

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 11/21/2011 through 12/2/2011**

<b>Securities Law Registration Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
INDEPENDENCE MORTGAGE TR INC	PHILADELPHIA, PA	11/23/2011	00626417-01	Pending
ROI ACQUISITION CORP	NEW YORK, NY	11/21/2011	00626149-01	Pending
Number of Registration Filings: 2				

<b>Securities Law Exemption Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
NOVELOS THERAPEUTICS INC	NEWTON, MA	11/25/2011	00626244-08	Not Disallowed
Number of Exemption Filings: 1				

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ NFJ INTERNATIONAL VALUE 2 FUND CLASS D	NEW YORK, NY	12/1/2011	00626530-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ NFJ INTERNATIONAL VALUE 2 FUND CLASS A	NEW YORK, NY	12/1/2011	00626529-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ NFJ INTERNATIONAL VALUE 2 FUND CLASS P	NEW YORK, NY	12/1/2011	00626532-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ NFJ INTERNATIONAL VALUE 2 FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/1/2011	00626531-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ NFJ INTERNATIONAL VALUE 2 FUND CLASS C	NEW YORK, NY	12/1/2011	00626528-03	Registered
RYDEX SERIES FUNDS US LONG SHORT MOMENTUM FUND INSTITUTIONAL CLASS	ROCKVILLE, MD	11/30/2011	00626346-03	Registered

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WHITEBOX MUTUAL FUNDS WHITEBOX ENHANCED CONVERTIBLE FUND INVESTOR SHARES	MINNEAPOLIS, MN	11/30/2011	00626345-03	Registered
WHITEBOX MUTUAL FUNDS WHITEBOX ENHANCED CONVERTIBLE FUND INSTITUTIONAL SHARES	MINNEAPOLIS, MN	11/30/2011	00626343-03	Registered
WHITEBOX MUTUAL FUNDS WHITEBOX ENHANCED CONVERTIBLE FUND ADVISOR SHARES	MINNEAPOLIS, MN	11/30/2011	00626341-03	Registered
WHITEBOX MUTUAL FUNDS WHITEBOX TACTICAL OPPORTUNITIES FUND INSTITUTIONAL SHARES	MINNEAPOLIS, MN	11/30/2011	00626342-03	Registered
WHITEBOX MUTUAL FUNDS WHITEBOX TACTICAL OPPORTUNITIES FUND INVESTOR SHARES	MINNEAPOLIS, MN	11/30/2011	00626344-03	Registered
WHITEBOX MUTUAL FUNDS WHITEBOX TACTICAL OPPORTUNITIES FUND ADVISOR SHARES	MINNEAPOLIS, MN	11/30/2011	00626340-03	Registered
ICON FUNDS ICON CONSUMER DISCRETIONARY FUND CLASS A	GLENWOOD VILLAGE, CO	11/25/2011	00626506-03	Registered
ICON FUNDS ICON TELECOMMUNICATIONS & UTILITIES FUND CLASS A	GLENWOOD VILLAGE, CO	11/25/2011	00626507-03	Registered
NORTHERN LIGHTS FUND TR PEREGRINE GOLD SILVER ALPHA STRATEGY FUND CLASS I	HAUPPAUGE, NY	11/22/2011	00626065-03	Registered
NORTHERN LIGHTS FUND TR PEREGRINE GOLD SILVER ALPHA STRATEGY CLASS A	HAUPPAUGE, NY	11/22/2011	00626066-03	Registered
VAN KAMPEN UNIT TR SERIES 1171 DOW JONES TOTAL MARKET PORTFOLIO ENHANCED INDEX STRATEGY 2012 1	OAKBROOK, IL	11/22/2011	00626079-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1171 ENHANCED SECTOR STRATEGY SECTOR ROTATION PORTFOLIO 2012 1	OAKBROOK, IL	11/22/2011	00626080-05	Pending-Cleared

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VAN KAMPEN UNIT TR SERIES 1176 DOW JONES SELECT DIVIDEND INDEX STRATEGY PORTFOLIO 2012 1	OAKBROOK, IL	11/22/2011	00626077-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1176 EAFE SELECT 20 PORTFOLIO 2012 1	OAKBROOK, IL	11/22/2011	00626078-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1176 GLOBAL 45 DIVIDEND STRATEGY PORTFOLIO 2012 1	OAKBROOK, IL	11/22/2011	00626073-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1176 SELECT 10 INDUSTRIAL PORTFOLIO 2012 1	OAKBROOK, IL	11/22/2011	00626072-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1176 SELECT 5 INDUSTRIAL PORTFOLIO 2012 1	OAKBROOK, IL	11/22/2011	00626076-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1176 SELECT S & P CORE PORTFOLIO 2012 1	OAKBROOK, IL	11/22/2011	00626074-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1176 SELECT S & P INDUSTRIAL PORTFOLIO 2012 1	OAKBROOK, IL	11/22/2011	00626075-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1177 CLOSED END STRATEGY COVERED CALL INCOME PORTFOLIO 2012 1	OAKBROOK, IL	11/22/2011	00626070-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1177 CLOSED END STRATEGY MASTER MUNICIPAL INCOME PORTFOLIO NATIONAL SERIES 26	OAKBROOK, IL	11/22/2011	00626068-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1177 CLOSED END STRATEGY MASTER INCOME PORTFOLIO NATIONAL SERIES 30	OAKBROOK, IL	11/22/2011	00626069-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1177 CLOSED END STRATEGY VALUE EQUITY & INCOME PORTFOLIO 2012 1	OAKBROOK, IL	11/22/2011	00626071-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1184 S & P DIVIDEND SUSTAINABILITY PORTFOLIO 2012 1	OAKBROOK, IL	11/22/2011	00626067-05	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 360 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 15	OAKBROOK, IL	11/22/2011	00626083-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 361 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 16	OAKBROOK, IL	11/22/2011	00626084-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 362 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 10	OAKBROOK, IL	11/22/2011	00626082-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 363 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 11	OAKBROOK, IL	11/22/2011	00626081-05	Pending-Cleared
BAHL & GAYNOR SMALL CAP GROWTH & INCOME PORTFOLIO SERIES 2011 4Q	MONUMENT, CO	11/21/2011	00626184-05	Pending-Cleared
CONFLUENCE REIT PORTFOLIO SERIES 2011 2	MONUMENT, CO	11/21/2011	00626183-05	Pending-Cleared
FT 3226 STRATEGIC INCOME SELECT CLOSED END PORTFOLIO SERIES 4	WHEATON, IL	11/21/2011	00626179-05	Pending-Cleared
FT 3235 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 9	WHEATON, IL	11/21/2011	00626180-05	Pending-Cleared
FT 3272 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 48	WHEATON, IL	11/21/2011	00626181-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 848 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO 2 YEAR SERIES 1	LISLE, IL	11/21/2011	00626174-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 849 GUGGENHEIM US HIGH DIVIDEND STRATEGY PORTFOLIO 2 YEAR SERIS 1	LISLE, IL	11/21/2011	00626190-05	Pending-Cleared
INTERNATIONAL HIGH 30 DIVIDEND PORTFOLIO SERIES 2011 4Q	MONUMENT, CO	11/21/2011	00626182-05	Pending-Cleared
Number of Investment Company Filings: 42				

**All Securities Law, Franchise Law, and Take-Over Law Filings  
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<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
DILON TECHNOLOGIES INC	NEWPORT NEWS, VA	11/23/2011	00626356-07	Filed
NEW GULF RESOURCES LLC	TULSA, OK	11/23/2011	00626355-07	Filed
CANAL MEZZANINE PARTNERS 2 LP	TWINSBURG, OH	11/22/2011	00626085-07	Filed
INRANGE SYSTEMS INC	ALTOONA, PA	11/22/2011	00626086-07	Filed
HIGH STREET CAPITAL 4 SBIC LP	CHICAGO, IL	11/21/2011	00626235-07	Filed
MAGNEGAS CORP	TARPON SPRINGS, FL	11/21/2011	00626234-07	Filed
PREFERRED SPECTRUM INVESTMENTS LLC	PHOENIX, AZ	11/21/2011	00626233-07	Filed
Number of Regulation D Notice Filings: 7				

<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
CGI INTERNATIONAL INC / COLOR GLO	EDINA, MN	11/30/2011	603230	Registered
World of Beer Franchising, Inc. / World of Beer	Tampa, FL	11/23/2011	603217	Registered
Dryer Vent Wizard International LLC / Dryer Vent Wizard	Warren, MI	11/23/2011	603214	Registered
Kahala Franchising, L.L.C. / Surf City Squeeze	Scottsdale, AZ	11/22/2011	603211	Registered
Kahala Franchising, L.L.C. / Samurai Sam's and/or Samurai Sam's Teriyaki Grill	Scottsdale, AZ	11/22/2011	603210	Registered
Kahala Franchising, L.L.C. / Cold Stone Creamery with Rocky Mountain Chocolate Factory	Scottsdale, AZ	11/22/2011	603209	Registered
Kahala Franchising, L.L.C. / Blimpie	Scottsdale, AZ	11/22/2011	603208	Registered
Kahala Franchising, L.L.C. / Nrgize Lifestyle Cafe	Scottsdale, AZ	11/22/2011	603207	Registered
Touching Hearts, Inc.	Saint Paul, MN	11/22/2011	603204	Registered
Number of Franchise Filings: 9				

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<b>Corporate Take-Over Law Filings Made with DFI's Securities Division</b>	
<b>Takeover Filing Reference</b>	<b>Date Received</b>
Number of Takeover Filings: 0	