

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/28/2011 through 12/9/2011**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BUSINESS DEVELOPMENT CORP OF AMERICA	NEW YORK, NY	11/30/2011	00626932-01	Pending
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	DULLES, VA	12/5/2011	00628702-08	Not Disallowed
Number of Exemption Filings: 1				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PIMCO EQUITY SERIES PIMCO DIVIDEND & INCOME BUILDER FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/9/2011	00628709-03	Registered
PIMCO EQUITY SERIES PIMCO DIVIDEND & INCOME BUILDER FUND CLASS A	NEWPORT BEACH, CA	12/9/2011	00628706-03	Registered
PIMCO EQUITY SERIES PIMCO DIVIDEND & INCOME BUILDER FUND CLASS C	NEWPORT BEACH, CA	12/9/2011	00628707-03	Registered
PIMCO EQUITY SERIES PIMCO DIVIDEND & INCOME BUILDER FUND CLASS R	NEWPORT BEACH, CA	12/9/2011	00628715-03	Registered
PIMCO EQUITY SERIES PIMCO DIVIDEND & INCOME BUILDER FUND CLASS D	NEWPORT BEACH, CA	12/9/2011	00628708-03	Registered
PIMCO EQUITY SERIES PIMCO DIVIDEND & INCOME BUILDER FUND CLASS P	NEWPORT BEACH, CA	12/9/2011	00628711-03	Registered
PIMCO EQUITY SERIES PIMCO EQS DIVIDEND FUND CLASS A	NEWPORT BEACH, CA	12/9/2011	00628713-03	Registered
PIMCO EQUITY SERIES PIMCO EQS DIVIDEND FUND CLASS C	NEWPORT BEACH, CA	12/9/2011	00628710-03	Registered
PIMCO EQUITY SERIES PIMCO EQS DIVIDEND FUND CLASS D	NEWPORT BEACH, CA	12/9/2011	00628712-03	Registered

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PIMCO EQUITY SERIES PIMCO EQS DIVIDEND FUND CLASS P	NEWPORT BEACH, CA	12/9/2011	00628716-03	Registered
PIMCO EQUITY SERIES PIMCO EQS DIVIDEND FUND CLASS R	NEWPORT BEACH, CA	12/9/2011	00628717-03	Registered
PIMCO EQUITY SERIES PIMCO EQS DIVIDEND FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/9/2011	00628714-03	Registered
TIAA CREF FUNDS LIFESTYLE AGGRESSIVE GROWTH FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/9/2011	00628720-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE AGGRESSIVE GROWTH FUND PREMIER CLASS	NEW YORK, NY	12/9/2011	00628718-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE AGGRESSIVE GROWTH FUND RETAIL CLASS	NEW YORK, NY	12/9/2011	00628721-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE AGGRESSIVE GROWTH FUND RETIREMENT CLASS	NEW YORK, NY	12/9/2011	00628719-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE CONSERVATIVE FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/9/2011	00628722-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE CONSERVATIVE FUND PREMIER CLASS	NEW YORK, NY	12/9/2011	00628724-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE CONSERVATIVE FUND RETAIL CLASS	NEW YORK, NY	12/9/2011	00628726-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE CONSERVATIVE FUND RETIREMENT CLASS	NEW YORK, NY	12/9/2011	00628734-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE GROWTH FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/9/2011	00628732-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE GROWTH FUND PREMIER CLASS	NEW YORK, NY	12/9/2011	00628728-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE GROWTH FUND RETAIL CLASS	NEW YORK, NY	12/9/2011	00628730-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE GROWTH FUND RETIREMENT CLASS	NEW YORK, NY	12/9/2011	00628736-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE INCOME FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/9/2011	00628723-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
TIAA CREF FUNDS LIFESTYLE INCOME FUND PREMIER CLASS	NEW YORK, NY	12/9/2011	00628725-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE INCOME FUND RETAIL CLASS	NEW YORK, NY	12/9/2011	00628729-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE INCOME FUND RETIREMENT CLASS	NEW YORK, NY	12/9/2011	00628727-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE MODERATE FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/9/2011	00628731-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE MODERATE FUND PREMIER CLASS	NEW YORK, NY	12/9/2011	00628733-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE MODERATE FUND RETAIL CLASS	NEW YORK, NY	12/9/2011	00628737-03	Pending-Cleared
TIAA CREF FUNDS LIFESTYLE MODERATE FUND RETIREMENT CLASS	NEW YORK, NY	12/9/2011	00628735-03	Pending-Cleared
ALLIANCEBERNSTEIN BOND FUND INC ALLIANCEBERSNTEIN LTD DURATION HIGH INCOME PORTFOLIO CLASS A	NEW YORK, NY	12/7/2011	00628410-03	Registered
ALLIANCEBERNSTEIN BOND FUND INC ALLIANCEBERSNTEIN LTD DURATION HIGH INCOME PORTFOLIO ADVISOR CLASS	NEW YORK, NY	12/7/2011	00628412-03	Registered
ALLIANCEBERNSTEIN BOND FUND INC ALLIANCEBERSNTEIN LTD DURATION HIGH INCOME PORTFOLIO CLASS C	NEW YORK, NY	12/7/2011	00628411-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN SELECT US EQUITY PORTFOLIO CLASS C	NEW YORK, NY	12/7/2011	00628406-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN SELECT US EQUITY PORTFOLIO CLASS K	NEW YORK, NY	12/7/2011	00628409-03	Registered

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN SELECT US EQUITY PORTFOLIO CLASS I	NEW YORK, NY	12/7/2011	00628408-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN SELECT US EQUITY PORTFOLIO ADVISOR CLASS	NEW YORK, NY	12/7/2011	00628405-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN SELECT US EQUITY PORTFOLIO CLASS A	NEW YORK, NY	12/7/2011	00628404-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN SELECT US EQUITY PORTFOLIO CLASS R	NEW YORK, NY	12/7/2011	00628407-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ AGIC MICRO CAP FUND CLASS A	NEW YORK, NY	12/7/2011	00628401-03	Pending-Cleared
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ AGIC ULTRA MICRO CAP FUND CLASS A	NEW YORK, NY	12/7/2011	00628402-03	Pending-Cleared
EATON VANCE MUTUAL FUNDS TR EATON VANCE PARAMETRIC STRUCTURED ABSOLUTE RETURN FUND CLASS A SHARES	BOSTON, MA	12/7/2011	00628403-03	Pending-Cleared
FT 3250 INTERNATIONAL HIGH DIVIDEND EQUITY PORTFOLIO SERIES 7	WHEATON, IL	12/5/2011	00626936-05	Pending-Cleared
FT 3270 HIGH DIVIDEND EQUITY ALLOCATION PLUS PORTFOLIO SERIES	WHEATON, IL	12/5/2011	00626937-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 845 COVERED CALL & INCOME PORTFOLIO OF CEFS 15 MONTH SERIES 28	LISLE, IL	12/5/2011	00626934-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 845 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 26	LISLE, IL	12/5/2011	00626935-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
GUGGENHEIM DEFINED PORTFOLIOS SERIES 846 INCOME & TREASURY LTD DURATION PORTFOLIO OF FUNDS 15 MONTH SERIES 16	LISLE, IL	12/5/2011	00626933-05	Pending-Cleared
ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 41	MONUMENT, CO	12/2/2011	00626823-05	Pending-Cleared
FT 3249 CAPITAL STRENGTH PORTFOLIO SERIES 14	WHEATON, IL	12/2/2011	00626828-05	Pending-Cleared
FT 3253 PHARMACEUTICAL SELECT PORTFOLIO SERIES 39	WHEATON, IL	12/2/2011	00626824-05	Pending-Cleared
FT 3264 TACTICAL INCOME PORTFOLIO SERIES 11	WHEATON, IL	12/2/2011	00626825-05	Pending-Cleared
FT 3284 PREFERRED INCOME PORTFOLIO SERIES 47	WHEATON, IL	12/2/2011	00626826-05	Pending-Cleared
FT 3289 JANUARY EFFECT PLUS PORTFOLIO SERIES	WHEATON, IL	12/2/2011	00626821-05	Pending-Cleared
FT 3291 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 33	WHEATON, IL	12/2/2011	00626827-05	Pending-Cleared
FT 3293 STRATEGIC INCOME CLOSED END PORTFOLIO SERIES 38	WHEATON, IL	12/2/2011	00626822-05	Pending-Cleared
FT 3294 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 22	WHEATON, IL	12/2/2011	00626829-05	Pending-Cleared
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 A	NEW YORK, NY	12/1/2011	00626529-03	Registered
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 C	NEW YORK, NY	12/1/2011	00626528-03	Registered

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Firm Name	Location	Date Received	File Number	Status
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ NFJ INTERNATIONAL VALUE 2 FUND CLASS P	NEW YORK, NY	12/1/2011	00626532-03	Registered
JPMORGAN TR I JPMORGAN EX G4 CURRENCY STRATEGIES FUND SELECT CLASS	BOSTON, MA	12/1/2011	00626875-03	Registered
JPMORGAN TR I JPMORGAN EX G4 CURRENCY STRATEGIES FUND CLASS A	BOSTON, MA	12/1/2011	00626877-03	Registered
JPMORGAN TR I JPMORGAN EX G4 CURRENCY STRATEGIES FUND CLASS C	BOSTON, MA	12/1/2011	00626876-03	Registered
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN LONG SHORT FUND CLASS A SHARES	NEW YORK, NY	12/1/2011	00626818-03	Pending-Cleared
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN LONG SHORT FUND CLASS C SHARES	NEW YORK, NY	12/1/2011	00626819-03	Pending-Cleared
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN LONG SHORT FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	12/1/2011	00626820-03	Pending-Cleared
SMART TR TX FR INCOME TR 2011 SERIES L	PARSIPPANY, NJ	12/1/2011	00626878-05	Pending-Cleared
1ST TR COMBINED SERIES 388 BUILD AMERICA BONDS PORTFOLIO SERIES 47	WHEATON, IL	11/30/2011	00626869-05	Pending-Cleared
BROOKFIELD INVESTMENT FUNDS BROOKFIELD GLOBAL LISTED INFRASTRUCTURE FUND CLASS I	MILWAUKEE, WI	11/30/2011	00626858-03	Registered
BROOKFIELD INVESTMENT FUNDS BROOKFIELD GLOBAL LISTED INFRASTRUCTURE FUND CLASS Y	MILWAUKEE, WI	11/30/2011	00626857-03	Registered
BROOKFIELD INVESTMENT FUNDS BROOKFIELD GLOBAL LISTED REAL ESTATE FUND CLASS Y	MILWAUKEE, WI	11/30/2011	00626856-03	Registered

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BROOKFIELD INVESTMENT FUNDS BROOKFIELD GLOBAL LISTED REAL ESTATE FUND CLASS I	MILWAUKEE, WI	11/30/2011	00626855-03	Registered
BROOKFIELD INVESTMENT FUNDS BROOKFIELD HIGH YIELD FUND CLASS Y	MILWAUKEE, WI	11/30/2011	00626853-03	Registered
BROOKFIELD INVESTMENT FUNDS BROOKFIELD HIGH YIELD FUND CLASS I	MILWAUKEE, WI	11/30/2011	00626854-03	Registered
DIVIDEND INCOME VALUE STRATEGY PORTFOLIO SERIES 2011 4Q	MONUMENT, CO	11/30/2011	00626866-05	Pending-Cleared
FT 3248 CANADIAN ENERGY & INCOME PORTFOLIO SERIES 24	WHEATON, IL	11/30/2011	00626870-05	Pending-Cleared
FT 3251 WORLDWIDE ECONOMIC RECOVERY PORTFOLIO SERIES 5	WHEATON, IL	11/30/2011	00626871-05	Pending-Cleared
FT 3252 ABC PORTFOLIO SERIES 4	WHEATON, IL	11/30/2011	00626873-05	Pending-Cleared
FT 3283 HIGH YIELD INCOME CLOSED END PORTFOLIO SERIES 44	WHEATON, IL	11/30/2011	00626868-05	Pending-Cleared
FT 3290 INSURED MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 34	WHEATON, IL	11/30/2011	00626867-05	Pending-Cleared
FT 3298 MUNICIPAL INCOME OPPOTUNITIES CLOSED END PORTFOLIO SERIES 7	WHEATON, IL	11/30/2011	00626872-05	Pending-Cleared
RYDEX SERIES FUNDS US LONG SHORT MOMENTUM FUND INSTITUTIONAL CLASS	ROCKVILLE, MD	11/30/2011	00626346-03	Registered
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1036 INVESTORS QUALITY TX EX TR SERIES 153	OAKBROOK, IL	11/30/2011	00626861-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1037 INVESTORS QUALITY TX EX TR SERIES 154	OAKBROOK, IL	11/30/2011	00626862-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1038 INESTMENT GRADE MUNICIPAL TR SERIES 139	OAKBROOK, IL	11/30/2011	00626863-05	Pending-Cleared

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1039 INESTMENT GRADE MUNICIPAL TR SERIES 140	OAKBROOK, IL	11/30/2011	00626864-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1178 S&P DIVIDEND GROWTH OPPORTUNITIES TR SERIES 27	OAKBROOK, IL	11/30/2011	00626860-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1181 CENTRAL EQUITY TR DIVERSIFIED INCOME SERIES 42	OAKBROOK, IL	11/30/2011	00626859-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1182 DIVIDEND INCOME & VALUE PORTFOLIO 2012 1	OAKBROOK, IL	11/30/2011	00626865-05	Pending-Cleared
WHITEBOX MUTUAL FUNDS WHITEBOX ENHANCED CONVERTIBLE FUND INSTITUTIONAL SHARES	MINNEAPOLIS, MN	11/30/2011	00626343-03	Registered
WHITEBOX MUTUAL FUNDS WHITEBOX ENHANCED CONVERTIBLE FUND INVESTOR SHARES	MINNEAPOLIS, MN	11/30/2011	00626345-03	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 INVESTOR SHARES	MINNEAPOLIS, MN	11/30/2011	00626344-03	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 ADVISOR SHARES	MINNEAPOLIS, MN	11/30/2011	00626340-03	Registered
ADVISORS INNER CIRCLE FUND CAMBIAR GLOBAL SELECT FUND INVESTOR CLASS SHARES	BOSTON, MA	11/29/2011	00628399-03	Pending-Cleared
FT 3231 TARGET DIVERSIFIED GLOBAL ALLOCATION PORTFOLIO SERIES 2	WHEATON, IL	11/29/2011	00626849-05	Pending-Cleared
GABELLI SRI GREEN FUND INC CLASS I SHARES	RYE, NY	11/29/2011	00628400-03	Registered

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MATTHEWS INTERNATIONAL FUNDS MATTHEWS ASIA STRATEGIC INCOME FUND INSTITUTIONAL CLASS SHARES	SAN FRANCISCO, CA	11/29/2011	00628397-03	Pending-Cleared
MATTHEWS INTERNATIONAL FUNDS MATTHEWS ASIA STRATEGIC INCOME FUND INVESTOR CLASS SHARES	SAN FRANCISCO, CA	11/29/2011	00628398-03	Pending-Cleared
RBC FUNDS TR RBC BLUEBAY EMERGING MARKET CORPORATE BOND FUND CLASS I	MINNEAPOLIS, MN	11/29/2011	00628393-03	Registered
RBC FUNDS TR RBC BLUEBAY EMERGING MARKET SELECT BOND FUND CLASS I	MINNEAPOLIS, MN	11/29/2011	00628395-03	Registered
RBC FUNDS TR RBC BLUEBAY GLOBAL CONVERTIBLE BOND FUND CLASS I	MINNEAPOLIS, MN	11/29/2011	00628396-03	Registered
RBC FUNDS TR RBC BLUEBAY GLOBAL HIGH YIELD BOND FUND CLASS I	MINNEAPOLIS, MN	11/29/2011	00628394-03	Registered
FT 3209 INCOME ALLOCATION CLOSED END DEC 11	WHEATON, IL	11/28/2011	00626773-05	Pending-Cleared
FT 3210 DOW TARGET 10 DEC 11 TERM 12/31/12	WHEATON, IL	11/28/2011	00626776-05	Pending-Cleared
FT 3210 DOW TARGET DVD DEC 11 TERM 2/28/13	WHEATON, IL	11/28/2011	00626774-05	Pending-Cleared
FT 3210 TARGET FOCUS 4 DEC 11 TERM 2/28/13	WHEATON, IL	11/28/2011	00626775-05	Pending-Cleared
FT 3210 TARGET TRIAD DEC 11 TERM 2/28/13	WHEATON, IL	11/28/2011	00626777-05	Pending-Cleared
FT 3210 TARGET VIP DEC 11 TERM 2/28/13	WHEATON, IL	11/28/2011	00626778-05	Pending-Cleared
FT 3245 HIGH DIVIDEND EQUITY PORTFOLIO SERIES 8	WHEATON, IL	11/28/2011	00626766-05	Pending-Cleared
FT 3246 MULTI SECTOR INCOME PORTFOLIO SERIES 6	WHEATON, IL	11/28/2011	00626768-05	Pending-Cleared
FT 3247SMID HIGH DIVIDEND PORTFOLIO SERIES 3	WHEATON, IL	11/28/2011	00626770-05	Pending-Cleared
FT 3261 GLOBAL EQUITY INCOME CLOSED END PORTFOLIO SERIES 19	WHEATON, IL	11/28/2011	00626772-05	Pending-Cleared
FT 3262 HIGH DIVIDEND EQUITY ALLOCATION PORTFOLIO SERIES	WHEATON, IL	11/28/2011	00626771-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FT 3263 MUNICIPAL INCOME CLOSED END PORTFOLIO SERIES 43	WHEATON, IL	11/28/2011	00626769-05	Pending-Cleared
FT 3266 MUNICIPAL ADVANTAGE CLOSED END & ETF PORTFOLIO SERIES 9	WHEATON, IL	11/28/2011	00626764-05	Pending-Cleared
FT 3273 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 7	WHEATON, IL	11/28/2011	00626765-05	Pending-Cleared
FT 3281 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 36	WHEATON, IL	11/28/2011	00626767-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 803 GUGGENHEIM ABC HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 8	LISLE, IL	11/28/2011	00626761-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 803 GUGGENHEIM BMAC COMMODITY PRODUCERS STRATEGY PORTFOLIO SERIES 8	LISLE, IL	11/28/2011	00626762-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 803 GUGGENHEIM GLOBAL TELECOM STRATEGY PORTFOLIO SERIES 8	LISLE, IL	11/28/2011	00626763-05	Pending-Cleared
Number of Investment Company Filings: 125				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ARTIMAN VENTURES SPECIAL OPPORTUNITIES FUND LP	EAST PALO ALTO, CA	12/5/2011	00626931-07	Filed
CAYDEN RESOURCES INC	VANCOUVER,	12/2/2011	00626815-07	Filed
FOUNDERS FUND 4 LP	SAN FRANCISCO, CA	12/2/2011	00626817-07	Filed
POROUS POWER TECHNOLOGIES LLC	LAFAYETTE, CO	12/2/2011	00626816-07	Filed
AEI TETHYS 1 LLC	CHICAGO, IL	11/30/2011	00626851-07	Filed
PIN OAK PREMIER SELECT FUND LP	HOUSTON, TX	11/30/2011	00626850-07	Filed
WALTON US LAND FUND 1 LP	SCOTTSDALE, AZ	11/30/2011	00626852-07	Filed

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Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
2011 YEAR END DRILLING PROGRAM LP	BOWLING GREEN, KY	11/28/2011	00626760-07	Filed
US ENERGY CORP	CLEARWATER, FL	11/28/2011	00626792-07	Filed
Number of Regulation D Notice Filings: 9				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Valiant Health Care, Inc. / Accessible Home Health Care	Coral Springs, FL	12/6/2011	603241	Registered
CHICAGO BEEF INC / Al's Chicago's #1 Italian Beef Restaurants	Mokena, IL	12/2/2011	603238	Registered
CGI INTERNATIONAL INC / COLOR GLO	EDINA, MN	11/30/2011	603230	Registered
MMI-PEC / Pro Energy Consultants	Independence, OH	11/30/2011	603235	Registered
Oxford Group International, LLC / Grade aPower Learning	Farmingdale, NY	11/29/2011	603237	Registered
Monkey Bar Gym Inc / Monkey Bar	Madison, WI	11/28/2011	603232	Registered
Number of Franchise Filings: 6				

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