

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/5/2011 through 12/16/2011**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Number of Registration Filings: 0				

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
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ AGIC GLOBAL MANAGED VOLATILITY FUND CLASS D	NEW YORK, NY	12/15/2011	00629022-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ AGIC GLOBAL MANAGED VOLATILITY FUND CLASS C	NEW YORK, NY	12/15/2011	00629020-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ AGIC GLOBAL MANAGED VOLATILITY FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/15/2011	00629024-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ AGIC GLOBAL MANAGED VOLATILITY FUND CLASS A	NEW YORK, NY	12/15/2011	00629018-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ AGIC GLOBAL MANAGED VOLATILITY FUND CLASS P	NEW YORK, NY	12/15/2011	00629026-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2025 FUND CLASS A	NEW YORK, NY	12/15/2011	00629002-03	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
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2035 FUND CLASS P	NEW YORK, NY	12/15/2011	00629010-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2025 FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/15/2011	00629008-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2055 FUND CLASS R	NEW YORK, NY	12/15/2011	00629016-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2025 FUND ADMINISTRATIVE CLASS	NEW YORK, NY	12/15/2011	00629004-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2055 FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/15/2011	00629012-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2025 FUND CLASS P	NEW YORK, NY	12/15/2011	00629006-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2055 FUND CLASS P	NEW YORK, NY	12/15/2011	00629014-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2035 FUND CLASS A	NEW YORK, NY	12/15/2011	00629005-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2045 FUND CLASS A	NEW YORK, NY	12/15/2011	00629013-03	Registered

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ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2045 FUND CLASS P	NEW YORK, NY	12/15/2011	00629021-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2025 FUND CLASS R	NEW YORK, NY	12/15/2011	00629003-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2055 FUND ADMINISTRATIVE CLASS	NEW YORK, NY	12/15/2011	00629011-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2035 FUND CLASS R	NEW YORK, NY	12/15/2011	00629019-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2035 FUND ADMINISTRATIVE CLASS	NEW YORK, NY	12/15/2011	00629007-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2045 FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/15/2011	00629015-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2045 FUND ADMINISTRATIVE CLASS	NEW YORK, NY	12/15/2011	00629023-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2035 FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/15/2011	00629009-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2045 FUND CLASS R	NEW YORK, NY	12/15/2011	00629017-03	Registered

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ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2055 FUND CLASS A	NEW YORK, NY	12/15/2011	00629025-03	Registered
FEDERATED INDEX TR FEDERATED MID CAP INDEX FUND INSTITUTIONAL SHARES	WARRENDALE, PA	12/15/2011	00629028-03	Pending-Cleared
LEGG MASON CAPITAL MANAGEMENT VALUE TR INC CLASS F1	BALTIMORE, MD	12/15/2011	00629027-03	Registered
UNIFIED SERIES TR 1492 SMALL CAP GROWTH FUND INSTITUTIONAL CLASS SHARES	INDIANAPOLIS, IN	12/14/2011	00628906-03	Pending-Cleared
UNIFIED SERIES TR 1492 SMALL CAP VALUE FUND INSTITUTIONAL CLASS SHARES	INDIANAPOLIS, IN	12/14/2011	00628907-03	Pending-Cleared
VALUED ADVISERS TR GRANITE VALUE FUND	INDIANAPOLIS, IN	12/14/2011	00628908-03	Pending-Cleared
VALUED ADVISERS TR LONGVIEW GLOBAL ALLOCATION FUND	INDIANAPOLIS, IN	12/14/2011	00628905-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO PREMIUM INCOME FUND CLASS Y SHARES	HOUSTON, TX	12/13/2011	00628976-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO PREMIUM INCOME FUND CLASS R SHARES	HOUSTON, TX	12/13/2011	00628974-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO PREMIUM INCOME FUND CLASS A SHARES	HOUSTON, TX	12/13/2011	00628972-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO PREMIUM INCOME FUND INSTITUTIONAL CLASS SHARES	HOUSTON, TX	12/13/2011	00628973-03	Registered

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AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO PREMIUM INCOME FUND CLASS C SHARES	HOUSTON, TX	12/13/2011	00628975-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 842 GUGGENHEIM GROWTH ASSET ALLOCATION PORTFOLIO OF ETFs SERIES 9	LISLE, IL	12/13/2011	00628821-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 842 GUGGENHEIM MODERATE ASSET ALLOCATION PORTFOLIO OF ETFs SERIES 9	LISLE, IL	12/13/2011	00628822-05	Pending-Cleared
JANUS INVESTMENT FUND INTECH GLOBAL DIVIDEND FUND CLASS A SHARES	DENVER, CO	12/13/2011	00628984-03	Pending-Cleared
JANUS INVESTMENT FUND INTECH GLOBAL DIVIDEND FUND CLASS C SHARES	DENVER, CO	12/13/2011	00628986-03	Pending-Cleared
JANUS INVESTMENT FUND INTECH GLOBAL DIVIDEND FUND CLASS D SHARES	DENVER, CO	12/13/2011	00628988-03	Pending-Cleared
JANUS INVESTMENT FUND INTECH GLOBAL DIVIDEND FUND CLASS I SHARES	DENVER, CO	12/13/2011	00628990-03	Pending-Cleared
JANUS INVESTMENT FUND INTECH GLOBAL DIVIDEND FUND CLASS S SHARES	DENVER, CO	12/13/2011	00628992-03	Pending-Cleared
JANUS INVESTMENT FUND INTECH GLOBAL DIVIDEND FUND CLASS T SHARES	DENVER, CO	12/13/2011	00628994-03	Pending-Cleared
JANUS INVESTMENT FUND JANUS PROTECTED SERIES GLOBAL CLASS A SHARES	DENVER, CO	12/13/2011	00628979-03	Pending-Cleared
JANUS INVESTMENT FUND JANUS PROTECTED SERIES GLOBAL CLASS C SHARES	DENVER, CO	12/13/2011	00628977-03	Pending-Cleared
JANUS INVESTMENT FUND JANUS PROTECTED SERIES GLOBAL CLASS D SHARES	DENVER, CO	12/13/2011	00628978-03	Pending-Cleared
JANUS INVESTMENT FUND JANUS PROTECTED SERIES GLOBAL CLASS I SHARES	DENVER, CO	12/13/2011	00628980-03	Pending-Cleared

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JANUS INVESTMENT FUND JANUS PROTECTED SERIES GLOBAL CLASS S SHARES	DENVER, CO	12/13/2011	00628981-03	Pending-Cleared
JANUS INVESTMENT FUND JANUS PROTECTED SERIES GLOBAL CLASS T SHARES	DENVER, CO	12/13/2011	00628983-03	Pending-Cleared
JANUS INVESTMENT FUND PERKINS SELECT VALUE FUND CLASS A SHARES	DENVER, CO	12/13/2011	00628989-03	Pending-Cleared
JANUS INVESTMENT FUND PERKINS SELECT VALUE FUND CLASS C SHARES	DENVER, CO	12/13/2011	00628985-03	Pending-Cleared
JANUS INVESTMENT FUND PERKINS SELECT VALUE FUND CLASS D SHARES	DENVER, CO	12/13/2011	00628993-03	Pending-Cleared
JANUS INVESTMENT FUND PERKINS SELECT VALUE FUND CLASS I SHARES	DENVER, CO	12/13/2011	00628987-03	Pending-Cleared
JANUS INVESTMENT FUND PERKINS SELECT VALUE FUND CLASS S SHARES	DENVER, CO	12/13/2011	00628991-03	Pending-Cleared
JANUS INVESTMENT FUND PERKINS SELECT VALUE FUND CLASS T SHARES	DENVER, CO	12/13/2011	00628982-03	Pending-Cleared
MARSHALL FUNDS INC BMO DIVIDEND INCOME FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	12/13/2011	00628834-03	Pending-Cleared
MARSHALL FUNDS INC BMO DIVIDEND INCOME FUND INVESTOR CLASS	MILWAUKEE, WI	12/13/2011	00628835-03	Pending-Cleared
MARSHALL FUNDS INC BMO MONEGY HIGH YIELD BOND FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/13/2011	00628836-03	Pending-Cleared
MARSHALL FUNDS INC BMO MONEGY HIGH YIELD BOND FUND INVESTOR CLASS	MILWAUKEE, WI	12/13/2011	00628837-03	Pending-Cleared
MARSHALL FUNDS INC BMO PYFORD GLOBAL STRATEGIC RETURN FUND INVESTOR CLASS	MILWAUKEE, WI	12/13/2011	00628839-03	Pending-Cleared
MARSHALL FUNDS INC BMO PYFORD GLOBAL STRATEGIC RETURN FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/13/2011	00628838-03	Pending-Cleared

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MARSHALL FUNDS INC BMO PYFORD INTERNATIONAL STOCK FUND INVESTOR CLASS	MILWAUKEE, WI	12/13/2011	00628840-03	Pending-Cleared
MARSHALL FUNDS INC BMO PYFORD INTERNATIONAL STOCK FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/13/2011	00628841-03	Pending-Cleared
SCHRODER GLOBAL SERIES TR SCHRODER ABSOLUTE RETURN EMD & CURRENCY FUND INVESTOR SHARES	NEW YORK, NY	12/13/2011	00629001-03	Registered
SCHRODER GLOBAL SERIES TR SCHRODER ABSOLUTE RETURN EMD & CURRENCY FUND ADVISOR SHARES	NEW YORK, NY	12/13/2011	00629000-03	Registered
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1040 QUALITY MUNICIPALS INCOME TR 53RD LTD MATURITY SERIES	OAKBROOK, IL	12/13/2011	00628832-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1041 QUALITY MUNICIPALS INCOME TR 54TH LTD MATURITY SERIES	OAKBROOK, IL	12/13/2011	00628833-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1179 ALL CAP CORE STRATEGY 2012 1	OAKBROOK, IL	12/13/2011	00628830-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1179 LARGE CAP CORE STRATEGY 2012 1	OAKBROOK, IL	12/13/2011	00628829-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1179 MID CAP CORE STRATEGY 2012 1	OAKBROOK, IL	12/13/2011	00628828-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1179 S&P POWERPICKS PORTFOLIO 2012 1	OAKBROOK, IL	12/13/2011	00628826-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1179 SMALL CAP CORE STRATEGY 2012 1	OAKBROOK, IL	12/13/2011	00628827-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1183 CLOSED END STRATEGY GLOBAL INCOME PORTFOLIO SERIES 9	OAKBROOK, IL	12/13/2011	00628824-05	Pending-Cleared

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
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VAN KAMPEN UNIT TR SERIES 1183 CLOSED END STRATEGY DIVERSIFIED CREDIT OPPORTUNITIES PORTFOLIO SERIES 5	OAKBROOK, IL	12/13/2011	00628823-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1183 CLOSED END STRATEGY SENIOR LOAN & LTD DURATION PORTFOLIO SERIES 31	OAKBROOK, IL	12/13/2011	00628825-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 127 GLOBAL BOND INCOME TR SERIES 1	OAKBROOK, IL	12/13/2011	00628831-05	Pending-Cleared
VANTAGEPOINT FUNDS 500 STOCK INDEX FUND CLASS 2	WASHINGTON, DC	12/13/2011	00628998-03	Registered
VANTAGEPOINT FUNDS BROAD MARKET INDEX FUND CLASS 2	WASHINGTON, DC	12/13/2011	00628995-03	Registered
VANTAGEPOINT FUNDS CORE BOND INDEX FUND CLASS 2	WASHINGTON, DC	12/13/2011	00628996-03	Registered
VANTAGEPOINT FUNDS MID SMALL CO INDEX FUND CLASS 2	WASHINGTON, DC	12/13/2011	00628997-03	Registered
VANTAGEPOINT FUNDS OVERSEAS EQUITY INDEX FUND CLASS 2	WASHINGTON, DC	12/13/2011	00628999-03	Registered
FORWARD FUNDS FORWARD COMMODITY LONG SHORT STRATEGY FUND CLASS M	SAN FRANCISCO, CA	12/9/2011	00628748-03	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 D	NEWPORT BEACH, CA	12/9/2011	00628708-03	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 INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/9/2011	00628709-03	Registered

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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
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
TCW FUNDS INC TCW GLOBAL BOND FUND CLASS I	LOS ANGELES, CA	12/9/2011	00628809-03	Registered
TCW FUNDS INC TCW GLOBAL BOND FUND CLASS N	LOS ANGELES, CA	12/9/2011	00628810-03	Registered
TIAA CREF FUNDS LIFESTYLE AGGRESSIVE GROWTH FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/9/2011	00628720-03	Registered
TIAA CREF FUNDS LIFESTYLE AGGRESSIVE GROWTH FUND PREMIER CLASS	NEW YORK, NY	12/9/2011	00628718-03	Registered
TIAA CREF FUNDS LIFESTYLE AGGRESSIVE GROWTH FUND RETAIL CLASS	NEW YORK, NY	12/9/2011	00628721-03	Registered
TIAA CREF FUNDS LIFESTYLE AGGRESSIVE GROWTH FUND RETIREMENT CLASS	NEW YORK, NY	12/9/2011	00628719-03	Registered
TIAA CREF FUNDS LIFESTYLE CONSERVATIVE FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/9/2011	00628722-03	Registered
TIAA CREF FUNDS LIFESTYLE CONSERVATIVE FUND PREMIER CLASS	NEW YORK, NY	12/9/2011	00628724-03	Registered
TIAA CREF FUNDS LIFESTYLE CONSERVATIVE FUND RETAIL CLASS	NEW YORK, NY	12/9/2011	00628726-03	Registered
TIAA CREF FUNDS LIFESTYLE CONSERVATIVE FUND RETIREMENT CLASS	NEW YORK, NY	12/9/2011	00628734-03	Registered

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TIAA CREF FUNDS LIFESTYLE GROWTH FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/9/2011	00628732-03	Registered
TIAA CREF FUNDS LIFESTYLE GROWTH FUND PREMIER CLASS	NEW YORK, NY	12/9/2011	00628728-03	Registered
TIAA CREF FUNDS LIFESTYLE GROWTH FUND RETAIL CLASS	NEW YORK, NY	12/9/2011	00628730-03	Registered
TIAA CREF FUNDS LIFESTYLE GROWTH FUND RETIREMENT CLASS	NEW YORK, NY	12/9/2011	00628736-03	Registered
TIAA CREF FUNDS LIFESTYLE INCOME FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/9/2011	00628723-03	Registered
TIAA CREF FUNDS LIFESTYLE INCOME FUND PREMIER CLASS	NEW YORK, NY	12/9/2011	00628725-03	Registered
TIAA CREF FUNDS LIFESTYLE INCOME FUND RETAIL CLASS	NEW YORK, NY	12/9/2011	00628729-03	Registered
TIAA CREF FUNDS LIFESTYLE INCOME FUND RETIREMENT CLASS	NEW YORK, NY	12/9/2011	00628727-03	Registered
TIAA CREF FUNDS LIFESTYLE MODERATE FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/9/2011	00628731-03	Registered
TIAA CREF FUNDS LIFESTYLE MODERATE FUND PREMIER CLASS	NEW YORK, NY	12/9/2011	00628733-03	Registered
TIAA CREF FUNDS LIFESTYLE MODERATE FUND RETAIL CLASS	NEW YORK, NY	12/9/2011	00628737-03	Registered
TIAA CREF FUNDS LIFESTYLE MODERATE FUND RETIREMENT CLASS	NEW YORK, NY	12/9/2011	00628735-03	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 A	NEW YORK, NY	12/7/2011	00628410-03	Registered

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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 ADVISOR CLASS	NEW YORK, NY	12/7/2011	00628405-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN SELECT US EQUITY PORTFOLIO CLASS R	NEW YORK, NY	12/7/2011	00628407-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN SELECT US EQUITY PORTFOLIO CLASS K	NEW YORK, NY	12/7/2011	00628409-03	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 I	NEW YORK, NY	12/7/2011	00628408-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN SELECT US EQUITY PORTFOLIO CLASS A	NEW YORK, NY	12/7/2011	00628404-03	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	Registered

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FPA FUNDS TR FPA INTERNATIONAL VALUE FUND INSTITUTIONAL CLASS	LOS ANGELES, CA	12/7/2011	00628749-03	Registered
PAYDEN & RYNGEL INVESTMENT GROUP PAYDEN VALUE LEADERS FUND ADVISER CLASS	LOS ANGELES, CA	12/7/2011	00628750-03	Registered
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
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
Number of Investment Company Filings: 136				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
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MILLENNIUM STRATEGIC CAPITAL LP	NEW YORK, NY	12/13/2011	00628817-07	Filed
RESERVOIR CAPITAL CORP	VANCOUVER BC V6C1X8,	12/13/2011	00628820-07	Filed
TENEX HEALTH INC	ROCHESTER, MN	12/13/2011	00628819-07	Filed
THOMPSON STREET CAPITAL PARTNERS 3 LP	ST LOUIS, MO	12/13/2011	00628818-07	Filed
REDMILE CAPITAL OFFSHORE FUND LTD	GEORGE TOWN KY1 1108,	12/12/2011	00628934-07	Filed
VIGILANT LOW VOLATILITY FUND 1 LLC	CENTERVILLE, UT	12/12/2011	00628935-07	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
GO MINIS DEALERS LLC	SHERMAN OAKS, CA	12/9/2011	00628909-07	Filed
TRYGVE LLC	BRUCE, WI	12/9/2011	00628910-07	Filed
AAA ENERGY OPPORTUNITIES FUND LLC	NEW YORK, NY	12/7/2011	00628753-07	Filed
AIP GLOBAL MACRO FUND LP	WEST CONSHOHOCKE N, PA	12/7/2011	00628752-07	Filed
GID GROUP INC	LOUISVILLE, CO	12/7/2011	00628751-07	Filed
ARTIMAN VENTURES SPECIAL OPPORTUNITIES FUND LP	EAST PALO ALTO, CA	12/5/2011	00626931-07	Filed
Number of Regulation D Notice Filings: 12				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
GolfTEC Franchising LP	Centennial, CO	12/16/2011	603270	Registered
Learning Express, Inc. / Learning Express	Devens, MA	12/16/2011	603269	Registered
MISS UNIVERSE LP LLLP / Miss Universe, Miss Universie Organization, Miss USA	NEW YORK, NY	12/15/2011	603267	Registered
MISS UNIVERSE LP LLLP / Miss Teen USA	NEW YORK, NY	12/15/2011	603268	Registered
Xtend Holdings, LLC	Boca Raton, FL	12/13/2011	603259	Registered
CK Franchising, Inc. / Comfort Keepers	Dayton, OH	12/13/2011	603256	Registered
RUBY TUESDAY INC / Traditional Franchise Program	MARYVILLE, TN	12/13/2011	603257	Registered
US Ventures / Express Convenience Centers	Appleton, WI	12/13/2011	603264	Incomplete
Valvoline Instant Oil Change Franchising Inc.	Lexington, KY	12/12/2011	603255	Registered
BUNDY AMERICAN LLC	OWINGS MILLS, MD	12/9/2011	603253	Registered
Widestream Enterprises, Inc. / 1-800-TAXICAB	Carlsbad, CA	12/9/2011	603254	Registered
Valiant Health Care, Inc. / Accessible Home Health Care	Coral Springs, FL	12/6/2011	603241	Registered
Number of Franchise Filings: 12				

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/5/2011 through 12/16/2011**

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