

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/12/2011 through 12/23/2011**

<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>
AMERICAN REALTY CAPITAL GLOBAL DAILY NET ASSET VALUE TR INC	NEW YORK, NY	12/14/2011	00629073-01	Pending
Number of Registration Filings: 1				

<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>
Number of Exemption Filings: 0				

<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>
ASTON FUNDS ASTON SILVERCREST SMALL CAP FUND CLASS I SHARES	CHICAGO, IL	12/21/2011	00630071-03	Registered
ASTON FUNDS ASTON SILVERCREST SMALL CAP FUND CLASS N SHARES	CHICAGO, IL	12/21/2011	00630072-03	Registered
FT 3275 IRONMARK STRATEGY PORTFOLIO 1ST QTR 2012 SERIES SERIES 49	WHEATON, IL	12/20/2011	00629142-05	Pending-Cleared
FT 3299 EQUITY CLOSED END PORTFOLIO SERIES 19	WHEATON, IL	12/20/2011	00629140-05	Pending-Cleared
FT 3324 TX ADVANTAGE MUNICIPAL CLOSED END PORTFOLIO SERIES 22	WHEATON, IL	12/20/2011	00629138-05	Pending-Cleared
FT 3326 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 49	WHEATON, IL	12/20/2011	00629141-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 844 GLOBAL HIGH DIVIDEND & GROWTH BLUEPRINTS SELECT PORTFOLIO SERIES 5	LISLE, IL	12/20/2011	00629139-05	Pending-Cleared
PIONEER SERIES TR 4 PIONEER MULTI ASSET INCOME FUND CLASS A SHARES	BOSTON, MA	12/20/2011	00629831-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
PIONEER SERIES TR 4 PIONEER MULTI ASSET INCOME FUND CLASS C SHARES	BOSTON, MA	12/20/2011	00629832-03	Registered
PIONEER SERIES TR 4 PIONEER MULTI ASSET INCOME FUND CLASS Y SHARES	BOSTON, MA	12/20/2011	00629833-03	Registered
TOUCHSTONE FUNDS GROUP TR TOUCHSTONE MERGER ARBITRAGE FUND CLASS Y	CINCINNATI, OH	12/20/2011	00629157-03	Registered
TOUCHSTONE FUNDS GROUP TR TOUCHSTONE MERGER ARBITRAGE FUND CLASS A	CINCINNATI, OH	12/20/2011	00629158-03	Registered
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1042 INSURED MUNICIPALS INCOME TR SERIES 640	OAKBROOK, IL	12/20/2011	00629143-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1043 INSURED MUNICIPALS INCOME TR SERIES 641	OAKBROOK, IL	12/20/2011	00629144-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1044 INVESTORS QUALITY TX EX TR SERIES 155	OAKBROOK, IL	12/20/2011	00629145-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1045 INVESTORS QUALITY TX EX TR SERIES 156	OAKBROOK, IL	12/20/2011	00629146-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1048 QUALITY MUNICIPALS INCOME TR 55TH LTD MATURITY SERIES	OAKBROOK, IL	12/20/2011	00629148-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1049 QUALITY MUNICIPALS INCOME TR 56TH LTD MATURITY SERIES	OAKBROOK, IL	12/20/2011	00629147-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1050 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 29	OAKBROOK, IL	12/20/2011	00629149-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1180 STOCKS FOR 2015 PORTFOLIO	OAKBROOK, IL	12/20/2011	00629156-05	Pending-Cleared

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VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 364 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 12	OAKBROOK, IL	12/20/2011	00629150-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 365 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 13	OAKBROOK, IL	12/20/2011	00629151-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 366 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 17	OAKBROOK, IL	12/20/2011	00629153-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 367 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 18	OAKBROOK, IL	12/20/2011	00629152-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 368 INVESTMENT GRADE INCOME TR 7 PLUS YEAR SERIES 14	OAKBROOK, IL	12/20/2011	00629155-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 369 INVESTMENT GRADE INCOME TR 7 PLUS YEAR SERIES 15	OAKBROOK, IL	12/20/2011	00629154-05	Pending-Cleared
ADVANTAGE FUNDS INC DREYFUS OPPORTUNISTIC US STOCK FUND CLASS I	NEW YORK, NY	12/19/2011	00629052-03	Registered
ADVANTAGE FUNDS INC DREYFUS OPPORTUNISTIC US STOCK FUND CLASS A	NEW YORK, NY	12/19/2011	00629050-03	Registered
ADVANTAGE FUNDS INC DREYFUS OPPORTUNISTIC US STOCK FUND CLASS C	NEW YORK, NY	12/19/2011	00629051-03	Registered
ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 42	MONUMENT, CO	12/19/2011	00629118-05	Pending-Cleared
EATON VANCE GROWTH TR EATON VANCE ATLANTA CAPITAL SELECT EQUITY FUND CLASS I SHARES	BOSTON, MA	12/19/2011	00629054-03	Pending-Cleared
EATON VANCE GROWTH TR EATON VANCE ATLANTA CAPITAL SELECT EQUITY FUND CLASS A SHARES	BOSTON, MA	12/19/2011	00629053-03	Pending-Cleared

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EATON VANCE MUTUAL FUNDS TR EATON VANCE PARAMETRIC STRUCTURED CURRENCY FUND CLASS I SHARES	BOSTON, MA	12/19/2011	00629055-03	Pending-Cleared
EATON VANCE MUTUAL FUNDS TR EATON VANCE PARAMETRIC STRUCTURED CURRENCY FUND CLASS A SHARES	BOSTON, MA	12/19/2011	00629056-03	Pending-Cleared
FT 3287 CLOUD COMPUTING PORTFOLIO SERIES 5	WHEATON, IL	12/19/2011	00629117-05	Pending-Cleared
STEELPATH MLP FUNDS TR STEELPATH MLP & INFRASTRUCTURE DEBT FUND CLASS I SHARES	DALLAS, TX	12/19/2011	00629121-03	Pending-Cleared
STEELPATH MLP FUNDS TR STEELPATH MLP & INFRASTRUCTURE DEBT FUND CLASS A SHARES	DALLAS, TX	12/19/2011	00629120-03	Pending-Cleared
STEELPATH MLP FUNDS TR STEELPATH MLP & INFRASTRUCTURE DEBT FUND CLASS C SHARES	DALLAS, TX	12/19/2011	00629119-03	Pending-Cleared
FT 3260 INFLATION HEDGE OPPORTUNITY PORTFOLIO SERIES 11	WHEATON, IL	12/16/2011	00629076-05	Pending-Cleared
FT 3288 REIT GROWTH & INCOME SELECT PORTFOLIO	WHEATON, IL	12/16/2011	00629078-05	Pending-Cleared
FT 3301 BALANCED INCOME SELECT PORTFOLIO SERIES 23	WHEATON, IL	12/16/2011	00629077-05	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN GLOBAL ABSOLUTE RETURN STRATEGIES FUND CLASS I	BOSTON, MA	12/16/2011	00629038-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN GLOBAL ABSOLUTE RETURN STRATEGIES FUND CLASS A	BOSTON, MA	12/16/2011	00629037-03	Registered
HANCOCK JOHN FUNDS 3 HANCOCK JOHN STRATEGIC GROWTH FUND CLASS A	BOSTON, MA	12/16/2011	00629039-03	Registered
HANCOCK JOHN FUNDS 3 HANCOCK JOHN STRATEGIC GROWTH FUND CLASS I	BOSTON, MA	12/16/2011	00629040-03	Registered

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VANGUARD CHARLOTTE FUNDS VANGUARD EMERGING MARKETS GOVERNMENT BOND INDEX FUND ADMIRAL SHARES	VALLEY FORGE, PA	12/16/2011	00629081-03	Pending-Cleared
VANGUARD CHARLOTTE FUNDS VANGUARD EMERGING MARKETS GOVERNMENT BOND INDEX FUND INVESTOR SHARES	VALLEY FORGE, PA	12/16/2011	00629085-03	Pending-Cleared
VANGUARD CHARLOTTE FUNDS VANGUARD EMERGING MARKETS GOVERNMENT BOND INDEX FUND INSTITUTIONALAL SHARES	VALLEY FORGE, PA	12/16/2011	00629083-03	Pending-Cleared
VANGUARD CHARLOTTE FUNDS VANGUARD TOTAL INTERNATIONAL BOND FUND INVESTOR SHARES	VALLEY FORGE, PA	12/16/2011	00629082-03	Pending-Cleared
VANGUARD CHARLOTTE FUNDS VANGUARD TOTAL INTERNATIONAL BOND INDEX FUND ADMIRAL SHARES	VALLEY FORGE, PA	12/16/2011	00629080-03	Pending-Cleared
VANGUARD CHARLOTTE FUNDS VANGUARD TOTAL INTERNATIONAL BOND INSTITUTIONALAL SHARES	VALLEY FORGE, PA	12/16/2011	00629084-03	Pending-Cleared
VANGUARD CHESTER FUNDS VANGAURD TARGET RETIREMENT 2060 FUND INVESTOR SHARES	VALLEY FORGE, PA	12/16/2011	00629079-03	Pending-Cleared
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 D	NEW YORK, NY	12/15/2011	00629022-03	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 AGIC GLOBAL MANAGED VOLATILITY FUND CLASS C	NEW YORK, NY	12/15/2011	00629020-03	Registered

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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 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 2025 FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/15/2011	00629008-03	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 2055 FUND CLASS R	NEW YORK, NY	12/15/2011	00629016-03	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 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 A	NEW YORK, NY	12/15/2011	00629013-03	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 2045 FUND CLASS P	NEW YORK, NY	12/15/2011	00629021-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2055 FUND CLASS A	NEW YORK, NY	12/15/2011	00629025-03	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 2035 FUND ADMINISTRATIVE CLASS	NEW YORK, NY	12/15/2011	00629007-03	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 2045 FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/15/2011	00629015-03	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 2045 FUND ADMINISTRATIVE CLASS	NEW YORK, NY	12/15/2011	00629023-03	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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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 2035 FUND CLASS P	NEW YORK, NY	12/15/2011	00629010-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ GLOBAL INVESTORS SOLUTIONS 2055 FUND CLASS P	NEW YORK, NY	12/15/2011	00629014-03	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
INVESTMENT MANAGERS SERIES TR 361 LONG SHORT EQUITY FUND CLASS A	MILWAUKEE, WI	12/14/2011	00629068-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR 361 LONG SHORT EQUITY FUND CLASS I	MILWAUKEE, WI	12/14/2011	00629069-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR 361 MANAGED FUTURES FUND CLASS A	MILWAUKEE, WI	12/14/2011	00629071-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR 361 MANAGED FUTURES FUND CLASS I	MILWAUKEE, WI	12/14/2011	00629070-03	Pending-Cleared
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

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO PREMIUM INCOME FUND INSTITUTIONAL CLASS SHARES	HOUSTON, TX	12/13/2011	00628973-03	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 C SHARES	HOUSTON, TX	12/13/2011	00628975-03	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 CLASS Y SHARES	HOUSTON, TX	12/13/2011	00628976-03	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	Registered
JANUS INVESTMENT FUND INTECH GLOBAL DIVIDEND FUND CLASS C SHARES	DENVER, CO	12/13/2011	00628986-03	Registered
JANUS INVESTMENT FUND INTECH GLOBAL DIVIDEND FUND CLASS D SHARES	DENVER, CO	12/13/2011	00628988-03	Registered

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JANUS INVESTMENT FUND INTECH GLOBAL DIVIDEND FUND CLASS I SHARES	DENVER, CO	12/13/2011	00628990-03	Registered
JANUS INVESTMENT FUND INTECH GLOBAL DIVIDEND FUND CLASS S SHARES	DENVER, CO	12/13/2011	00628992-03	Registered
JANUS INVESTMENT FUND INTECH GLOBAL DIVIDEND FUND CLASS T SHARES	DENVER, CO	12/13/2011	00628994-03	Registered
JANUS INVESTMENT FUND JANUS PROTECTED SERIES GLOBAL CLASS A SHARES	DENVER, CO	12/13/2011	00628979-03	Registered
JANUS INVESTMENT FUND JANUS PROTECTED SERIES GLOBAL CLASS C SHARES	DENVER, CO	12/13/2011	00628977-03	Registered
JANUS INVESTMENT FUND JANUS PROTECTED SERIES GLOBAL CLASS D SHARES	DENVER, CO	12/13/2011	00628978-03	Registered
JANUS INVESTMENT FUND JANUS PROTECTED SERIES GLOBAL CLASS I SHARES	DENVER, CO	12/13/2011	00628980-03	Registered
JANUS INVESTMENT FUND JANUS PROTECTED SERIES GLOBAL CLASS S SHARES	DENVER, CO	12/13/2011	00628981-03	Registered
JANUS INVESTMENT FUND JANUS PROTECTED SERIES GLOBAL CLASS T SHARES	DENVER, CO	12/13/2011	00628983-03	Registered
JANUS INVESTMENT FUND PERKINS SELECT VALUE FUND CLASS A SHARES	DENVER, CO	12/13/2011	00628989-03	Registered
JANUS INVESTMENT FUND PERKINS SELECT VALUE FUND CLASS C SHARES	DENVER, CO	12/13/2011	00628985-03	Registered
JANUS INVESTMENT FUND PERKINS SELECT VALUE FUND CLASS D SHARES	DENVER, CO	12/13/2011	00628993-03	Registered
JANUS INVESTMENT FUND PERKINS SELECT VALUE FUND CLASS I SHARES	DENVER, CO	12/13/2011	00628987-03	Registered
JANUS INVESTMENT FUND PERKINS SELECT VALUE FUND CLASS S SHARES	DENVER, CO	12/13/2011	00628991-03	Registered
JANUS INVESTMENT FUND PERKINS SELECT VALUE FUND CLASS T SHARES	DENVER, CO	12/13/2011	00628982-03	Registered

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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
MARSHALL FUNDS INC BMO PYFORD INTERNATIONAL STOCK FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/13/2011	00628841-03	Pending-Cleared
MARSHALL FUNDS INC BMO PYFORD INTERNATIONAL STOCK FUND INVESTOR CLASS	MILWAUKEE, WI	12/13/2011	00628840-03	Pending-Cleared
SCHRODER GLOBAL SERIES TR SCHRODER ABSOLUTE RETURN EMD & CURRENCY FUND ADVISOR SHARES	NEW YORK, NY	12/13/2011	00629000-03	Registered
SCHRODER GLOBAL SERIES TR SCHRODER ABSOLUTE RETURN EMD & CURRENCY FUND INVESTOR SHARES	NEW YORK, NY	12/13/2011	00629001-03	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

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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 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 DIVERSIFIED CREDIT OPPORTUNITIES PORTFOLIO SERIES 5	OAKBROOK, IL	12/13/2011	00628823-05	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
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
Number of Investment Company Filings: 138				

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/12/2011 through 12/23/2011**

<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>
ENERVEST ENERGY INSTITUTIONAL CO INVESTMENT 12 2A LP	HOUSTON, TX	12/20/2011	00629137-07	Filed
INDEPENDENCE GOLD CORP	VANCOUVER V6B 4N8 BC,	12/16/2011	00629074-07	Filed
TERRA SECURED INCOME FUND 2 LLC	NEW YORK, NY	12/15/2011	00629075-07	Filed
FIR TREE SPECIAL OPPORTUNITIES FUND 2 LP	NEW YORK, NY	12/14/2011	00629066-07	Filed
SAB EQUITY PARTNERSHIP 3 LP	SAN ANTONIO, TX	12/14/2011	00629065-07	Filed
VS FX VOLATILITY FUND LTD	GRAND CAYMAN KY1-9005,	12/14/2011	00629067-07	Filed
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
Number of Regulation D Notice Filings: 12				

<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>
Junk King Franchise Systems, Inc. / Junk King	San Carlos, CA	12/23/2011	603304	Registered
SANDLER SYSTEMS INC / SANDLER TRAINING	Owings Mills, MD	12/22/2011	603282	Registered
CAMPERO USA CORP	DALLAS, TX	12/22/2011	603296	Registered
EG SYSTEMS INC	MARYSVILLE, OH	12/22/2011	603297	Registered
SEATTLES BEST COFFEE LLC	SEATTLE, WA	12/22/2011	603298	Registered
Sonic Franchising LLC / Sonic Franchising LLC Number 7 License Agreement	Oklahoma City, OK	12/21/2011	603279	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/12/2011 through 12/23/2011**

<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>
Sonic Franchising LLC / Sonic Franchising LLC Number 6A License Agreement	Oklahoma City, OK	12/21/2011	603278	Registered
Benvenuto's Franchising Systems LLC / Benvenuto's Italian Grill	Beaver Dam, WI	12/21/2011	603277	Registered
Applebee's International, Inc. / Applebee's Neighborhood Grill & Bar	Kansas City, MO	12/21/2011	603275	Registered
Scooter's Coffee, LLC / Scooter's Coffee, Scooter's Coffeehouse, Scooter's Coffee & Yogurt	Omaha, NE	12/20/2011	603274	Registered
IHOP Company, LLC / International House Of Pancakes	GLENDALE, CA	12/20/2011	603284	Registered
IHOP Company, LLC / Non-Traditional	GLENDALE, CA	12/20/2011	603285	Registered
PRICELESS RENT A CAR LLC	KENSINGTON, MD	12/19/2011	603283	Registered
GolfTEC Franchising LP	Centennial, CO	12/16/2011	603270	Registered
Learning Express, Inc. / Learning Express	Devens, MA	12/16/2011	603269	Registered
FASTFRAME USA INC	NEWBURY PARK, CA	12/16/2011	603272	Registered
MISS UNIVERSE LP LLLP / Miss Universe, Miss Universe 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
Number of Franchise Filings: 23				

<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	