

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/13/2012 through 2/24/2012**

<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>
TWIN CITIES POWER HOLDINGS LLC	LAKEVILLE, MN	2/17/2012	00636794-01	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>
DFA INVESTMENT DIMENSIONS GROUP INC DIMENSIONAL RETIREMENT FIXED INCOME FUND 3 INSTITUTIONAL CLASS	AUSTIN, TX	2/17/2012	00636537-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC DIMENSIONAL RETIREMENT EQUITY FUND 2 INSTITUTIONAL CLASS	AUSTIN, TX	2/17/2012	00636536-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC DIMENSIONAL RETIREMENT FIXED INCOME FUND 2 INSTITUTIONAL CLASS	AUSTIN, TX	2/17/2012	00636538-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION BALANCED ETF PORTFOLIO CLASS A	GREENWOOD VILLAGE, CO	2/17/2012	00636539-03	Registered
PRINCIPAL FUNDS INC OVERSEAS FUND CLASS R 1	DES MOINES, IA	2/17/2012	00636540-03	Pending-Cleared
PRINCIPAL FUNDS INC OVERSEAS FUND CLASS R 2	DES MOINES, IA	2/17/2012	00636541-03	Pending-Cleared
PRINCIPAL FUNDS INC OVERSEAS FUND CLASS R 3	DES MOINES, IA	2/17/2012	00636542-03	Pending-Cleared
PRINCIPAL FUNDS INC OVERSEAS FUND CLASS R 4	DES MOINES, IA	2/17/2012	00636543-03	Pending-Cleared

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PRINCIPAL FUNDS INC OVERSEAS FUNDS CLASS R 5	DES MOINES, IA	2/17/2012	00636544-03	Pending-Cleared
FT 3362 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 10	WHEATON, IL	2/14/2012	00636660-05	Pending-Cleared
FT 3390 MUNICIPAL INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 8	WHEATON, IL	2/14/2012	00636661-05	Pending-Cleared
FT 3418 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 16	WHEATON, IL	2/14/2012	00636659-05	Pending-Cleared
NORTHERN LIGHTS FUND TR TRIX TACTICAL LONG SHORT SHARES	SMITHTOWN, NY	2/14/2012	00636655-03	Registered
NUVEEN INVESTMENT TR NUVEEN GLOBAL TOTAL RETURN BOND FUND CLASS I	CHIGACO, IL	2/14/2012	00635086-03	Registered
NUVEEN INVESTMENT TR NUVEEN GLOBAL TOTAL RETURN BOND FUND CLASS A	CHIGACO, IL	2/14/2012	00635085-03	Registered
NUVEEN INVESTMENT TR NUVEEN GLOBAL TOTAL RETURN BOND FUND CLASS C	CHIGACO, IL	2/14/2012	00635087-03	Registered
NUVEEN INVESTMENT TR NUVEEN GLOBAL TOTAL RETURN BOND FUND CLASS R3	CHIGACO, IL	2/14/2012	00635088-03	Registered
ALLIANZ FUNDS ALLIANZ GLOBAL INVESTORS MONEY MARKET FUND CLASS A	NEW YORK, NY	2/13/2012	00636475-03	Pending-Cleared
ALLIANZ FUNDS ALLIANZ GLOBAL INVESTORS MONEY MARKET FUND CLASS C	NEW YORK, NY	2/13/2012	00636476-03	Pending-Cleared
BNY MELLON FUNDS TR BNY MELLON CORPORATE BOND FUND CLASS M SHARES	NEW YORK, NY	2/13/2012	00636480-03	Registered
BNY MELLON FUNDS TR BNY MELLON CORPORATE BOND FUND INVESTOR SHARES	NEW YORK, NY	2/13/2012	00636479-03	Registered
FINANCIAL INVESTORS TR SEAFARER OVERSEAS GROWTH & INCOME FUND INVESTOR CLASS	DENVER, CO	2/13/2012	00636478-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
FINANCIAL INVESTORS TR SEAFARER OVERSEAS GROWTH & INCOME FUND INSTITUTIONAL CLASS	DENVER, CO	2/13/2012	00636477-03	Registered
FT 3357 GLOBAL BOND INCOME PLUS CLOSED END PORTFOLIO SERIES 24	WHEATON, IL	2/13/2012	00636597-05	Pending-Cleared
FT 3377 AUTOMATED QUANTITATIVE ANALYSIS AQA PORTFOLIO SERIES 4	WHEATON, IL	2/13/2012	00636589-05	Pending-Cleared
FT 3386 HIGH YIELD CORPORATE TR SHORT INTERMEDIATE SERIES 2	WHEATON, IL	2/13/2012	00636595-05	Pending-Cleared
FT 3389 HIGH DIVIDEND EMERGING MARKETS EQUITY PORTFOLIO SERIES 2	WHEATON, IL	2/13/2012	00636596-05	Pending-Cleared
FT 3423 MUNICIPAL INCOME CLOSED END PORTFOLIO SERIES 45 24	WHEATON, IL	2/13/2012	00636598-05	Pending-Cleared
FT 3426 INSURED MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 39	WHEATON, IL	2/13/2012	00636594-05	Pending-Cleared
FT 3427 INVESTMENT GRADE SELECT CLOSED END PORTFOLIO SERIES 30	WHEATON, IL	2/13/2012	00636593-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 863 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO SERIES 16	LISLE, IL	2/13/2012	00636590-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 864 GUGGENHEIM BULLISH EQUITY PORTFOLIO SERIES 5	LISLE, IL	2/13/2012	00636591-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 864 GUGGENHEIM DEFENSE EQUITY PORTFOLIO SERIES 5	LISLE, IL	2/13/2012	00636592-05	Pending-Cleared
Number of Investment Company Filings: 33				

**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>
BUTTONWOOD SELECT OPPORTUNITIES QP FUND LLC	NEW YORK, NY	2/17/2012	00636792-07	Filed
MANHATTAN PHARMACEUTICALS INC	NEW YORK, NY	2/17/2012	00636791-07	Filed
FAIVELEY TRANSPORT SA	GENNEVILLIERS, AK	2/16/2012	00636788-07	Filed
SOUTHLAKE ENERGY INC	FORT WORTH, TX	2/16/2012	00636789-07	Filed
ENCOMPASS CAPITAL FUND OFFSHORE LTD	GRAND CAYMAN, AK	2/15/2012	00636772-07	Filed
TRANSGENOMIC INC	OMAHA, NE	2/15/2012	00636773-07	Filed
VICTORIA SOUTH AMERICAN PARTNERS 2 LP	BUENOS AIRES, AK	2/15/2012	00636774-07	Filed
CHCP GLOBAL SECURITIES LP	DALLAS, TX	2/14/2012	00636650-07	Filed
CHCP VALUE FUND LP	DALLAS, TX	2/14/2012	00636654-07	Filed
LICENSE ACQUISITIONS LLC	PHOENIX, AZ	2/14/2012	00636652-07	Filed
PROUROCARE MEDICAL INC	EDEN PRAIRIE, MN	2/14/2012	00636651-07	Filed
ROYALE ENERGY INC	SAN DIEGO, CA	2/14/2012	00636648-07	Filed
SUMMIT PARTNERS CREDIT FUND 1 LP	BOSTON, MA	2/14/2012	00636653-07	Filed
TRUTOUCH TECHNOLOGIES INC	ALBUQUERQUE, NM	2/14/2012	00636649-07	Filed
BLACK GOLD INDUSTRIES LLC	DALLAS, TX	2/13/2012	00636622-07	Filed
BLACKSTONE PARTNERS OFFSHORE FUND LTD CLASS H & L SHARES	GRAND CAYMAN, AK	2/13/2012	00636586-07	Filed
DW CONTINENTAL BAKKEN 2 LP	IRVING, TX	2/13/2012	00636585-07	Filed
FAFCO THERMAL STORAGE SYSTEMS LLC	RICHMOND, VA	2/13/2012	00636588-07	Filed
ORGANOVO HOLDINGS INC	DURHAM, NC	2/13/2012	00636587-07	Filed
RXALLY LLC	LEESBURG, VA	2/13/2012	00636621-07	Filed
SAB EQUITY PARTNERSHIP 3 LP	SAN ANTONIO, TX	2/13/2012	00636583-07	Filed
SAB EQUITY PARTNERSHIP LP	SAN ANTONIO, TX	2/13/2012	00636584-07	Filed
SAB VALUE OPPORTUNITIES FUND LP	SAN ANTONIO, TX	2/13/2012	00636582-07	Filed
Number of Regulation D Notice Filings: 23				

**All Securities Law, Franchise Law, and Take-Over Law Filings  
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<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>
Stratus Franchising, L.L.C. / Stratus Building Solutions	St. Louis, MO	2/23/2012	603451	Registered
Hep41 Enterprises Inc / Healthy U Snacks	Stoughton, WI	2/22/2012	603449	Registered
INTERFACE FINANCIAL CORP	IRVINE, CA	2/21/2012	603450	Registered
ATC At Home, Inc.	Lake Success, NY	2/20/2012	603444	Registered
Home-Grown Industries of Georgia, Inc.	Atlanta, GA	2/20/2012	603443	Registered
SNAP ON TOOLS CO LLC	KENOSHA, WI	2/17/2012	603441	Registered
Moms On The Run LLC	Columbus, MN	2/16/2012	603440	Registered
OWENS CORNING REMODELING SYSTEMS, LLC	TOLEDO, OH	2/16/2012	603442	Registered
ORION FOOD SYSTEMS INC	SOUIX FALLS, SD	2/15/2012	603438	Registered
I Dream of Falafel Franchising LLC / I Dream of Falafel	Chicago, IL	2/13/2012	603433	Registered
NATIONAL PROPERTY INSPECTIONS INC	OMAHA, NE	2/13/2012	603434	Registered
Number of Franchise Filings: 11				

<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	