

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 7/23/2012 through 8/3/2012**

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
Number of Exemption Filings: 0				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FORUM FUNDS PAYSON TOTAL RETURN FUND	PORTLAND, ME	8/2/2012	00647027-03	Registered
ROYCE FUND ROYCE DIVIDEND VALUE FUND INSTITUTIONAL CLASS	NEW YORK, NY	7/31/2012	00647021-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN GLOBAL ABSOLUTE RETURN STRATEGIES FUND CLASS C	BOSTON, MA	7/30/2012	00646663-03	Registered
MANNING & NAPIER FUND INC HIGH YIELD BOND SERIES CLASS I SHARES	FAIRPORT, NY	7/30/2012	00646664-03	Registered
MANNING & NAPIER FUND INC REAL ESTATE SERIES CLASS I SHARES	FAIRPORT, NY	7/30/2012	00646665-03	Registered
MANNING & NAPIER FUND INC STRATEGIC INCOME CONSERVATIVE SERIES CLASS I SHARES	FAIRPORT, NY	7/30/2012	00646668-03	Registered
MANNING & NAPIER FUND INC STRATEGIC INCOME CONSERVATIVE SERIES CLASS S SHARES	FAIRPORT, NY	7/30/2012	00646666-03	Registered
MANNING & NAPIER FUND INC STRATEGIC INCOME MODERATE SERIES CLASS I SHARES	FAIRPORT, NY	7/30/2012	00646667-03	Registered
MANNING & NAPIER FUND INC STRATEGIC INCOME MODERATE SERIES CLASS S SHARES	FAIRPORT, NY	7/30/2012	00646669-03	Registered

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Firm Name	Location	Date Received	File Number	Status
FINANCIAL INVESTORS TR PATHWAY ADVISORS AGGRESSIVE GROWTH FUND	DENVER, CO	7/27/2012	00646937-03	Registered
FINANCIAL INVESTORS TR PATHWAY ADVISORS CONSERVATIVE FUND	DENVER, CO	7/27/2012	00646935-03	Registered
FINANCIAL INVESTORS TR PATHWAY ADVISORS GROWTH & INCOME FUND	DENVER, CO	7/27/2012	00646936-03	Registered
MEMBERS MUTUAL FUNDS DIVERSIFIED INCOME FUND CLASS C	MADISON, WI	7/25/2012	00646742-03	Pending-Cleared
MEMBERS MUTUAL FUNDS EQUITY INCOME FUND CLASS C	MADISON, WI	7/25/2012	00646743-03	Pending-Cleared
MEMBERS MUTUAL FUNDS EQUITY INCOME FUND CLASS R6	MADISON, WI	7/25/2012	00646744-03	Pending-Cleared
FT 3622 UTILITIES SELECT PORTFOLIO SERIES 22	WHEATON, IL	7/24/2012	00646727-05	Pending-Cleared
FT 3623 DIVIDEND STRENGTH PORTFOLIO SERIES 15	WHEATON, IL	7/24/2012	00646730-05	Pending-Cleared
FT 3633 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 19	WHEATON, IL	7/24/2012	00646729-05	Pending-Cleared
FT 3673 RICHARD BERNSTEIN TACTICAL SERIES AMERICAN INDUSTRIAL RENAISSANCE 2012 1	WHEATON, IL	7/24/2012	00646728-05	Pending-Cleared
FT 3732 BALANCED INCOME PORTFOLIO SERIES 35	WHEATON, IL	7/24/2012	00646731-05	Pending-Cleared
SMART TR HIGH 20 DIVIDEND STRATEGY TR SERIES 2	PARSIPPANY, NJ	7/24/2012	00646732-05	Pending-Cleared
1ST TR COMBINED SERIES 401 TX EX MUNICIPAL INCOME TR SERIES 278	WHEATON, IL	7/23/2012	00647079-05	Pending-Cleared
1ST TR COMBINED SERIES 402 INSURED TX EX MUNICIPAL INCOME TR SERIES 249	WHEATON, IL	7/23/2012	00647078-05	Pending-Cleared
ANGELS PORTFOLIO SERIES 2012 3Q	MONUMENT, CO	7/23/2012	00647084-05	Pending-Cleared
BERKSHIRE FUNDS BERKSHIRE FOCUS FUND	SAN JOSE, CA	7/23/2012	00647067-03	Registered
DIVIDEND RULER PORTFOLIO SERIES 2012C	MONUMENT, CO	7/23/2012	00647083-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FT 3621 DEFENSIVE EQUITY PORTFOLIO SERIES 20	WHEATON, IL	7/23/2012	00647082-05	Pending-Cleared
FT 3622 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 60	WHEATON, IL	7/23/2012	00647081-05	Pending-Cleared
FT 3624 GLOBAL DIVIDEND PORTFOLIO SERIES 30	WHEATON, IL	7/23/2012	00647086-05	Pending-Cleared
FT 3631 INTEREST RATE HEDGE PORTFOLIO SERIES 50	WHEATON, IL	7/23/2012	00647087-05	Pending-Cleared
FT 3647 STRUCTURED PORTFOLIO PLAN DEFINED PORTFOLIO JULY 2012 SERIES	WHEATON, IL	7/23/2012	00647080-05	Pending-Cleared
FT 3656 DORSEY WRIGHT RELATIVE STRENGTH DIVIDEND PORTFOLIO SERIES 6	WHEATON, IL	7/23/2012	00647088-05	Pending-Cleared
GLOBAL TECHNOLOGY PORTFOLIO SERIES 2012 2	MONUMENT, CO	7/23/2012	00647085-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 924 UTILITIES PORTFOLIO SERIES 16	LISLE, IL	7/23/2012	00647076-05	Pending-Cleared
MANAGERS AMG FUNDS YACKTMAN FOCUSED FUND INSTITUTIONAL CLASS	MILWAUKEE, NY	7/23/2012	00646737-03	Registered
NEUBERGER BERMAN INCOME FUNDS NB SHORT DURATION HIGH INCOME FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	7/23/2012	00646738-03	Pending-Cleared
NEUBERGER BERMAN INCOME FUNDS NB SHORT DURATION HIGH INCOME FUND CLASS C SHARES	NEW YORK, NY	7/23/2012	00646739-03	Pending-Cleared
NEUBERGER BERMAN INCOME FUNDS NB SHORT DURATION HIGH INCOME FUND CLASS A SHARES	NEW YORK, NY	7/23/2012	00646740-03	Pending-Cleared
SALIENT MF TR SALIENT MLP & ENERGY INFRASTRUCTURE FUND 2 CLASS I	HOUSTON, TX	7/23/2012	00646585-03	Registered
SMART TR TX FREE INCOME TR SERIES 11	PARSIPPANY, NJ	7/23/2012	00647077-05	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 1102 INVESTMENT GRADE MUNICIPAL TR SERIES 153	OAKBROOK TER, IL	7/23/2012	00647073-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1103 INVESTMENT GRADE MUNICIPAL TR SERIES 154	OAKBROOK TER, IL	7/23/2012	00647072-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1104 INSURED MUNICIPALS INCOME TR SERIES 652	OAKBROOK TER, IL	7/23/2012	00647071-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1105 INSURED MUNICIPALS INCOME TR SERIES 653	OAKBROOK TER, IL	7/23/2012	00647070-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 409 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 28	OAKBROOK TER, IL	7/23/2012	00647069-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 410 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 29	OAKBROOK TER, IL	7/23/2012	00647068-05	Pending-Cleared
Number of Investment Company Filings: 46				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
OGLE COUNTY BANCSHARES INC	ROCHELLE, IL	7/25/2012	00646745-07	Filed
SLP 4 TECHNOLOGY TR	NEW YORK, NY	7/25/2012	00646741-07	Filed
AIR INDUSTRIES GROUP INC	BAY SHORE, NY	7/24/2012	00646735-07	Filed
EMPIRE RESIDENTIAL OPPORTUNITY FUND 5 LLC	SCOTTSDALE, AZ	7/24/2012	00646726-07	Filed
SANIBEL SUNDIAL PARTNERS LLC	NEWTOWN, PA	7/24/2012	00646733-07	Filed
JUMAMOSI TOUR LTD	NEW YORK, NY	7/23/2012	00647075-07	Filed
LUXOR CAPITAL PARTNERS OFFSHORE LTD	GEORGE TOWN, AK	7/23/2012	00647074-07	Filed
Number of Regulation D Notice Filings: 7				

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Ian's Pizza United LLC / Ian's Soul Central (ISC)	Madison, WI	8/2/2012 3	604604	Registered
Orange Shoe Gym Holdings Incorporated / Orange Shoe Personal Fitness	Lodi, WI	8/1/2012 4	604595	Registered
Twin Restaurant Franchise, LLC / Twin Peaks	Addison, TX	8/1/2012 1	604597	Registered
Fiesta Insurance Franchise Corporation / Fiesta Insurance	Huntington Beach, CA	8/1/2012 1	604596	Registered
Burman Enterprises, LLC / Fire Stop America	St. Louis, MO	8/1/2012	604613	Registered
FLOWERAMA OF AMERICA INC	WATERLOO, IA	8/1/2012	604610	Registered
7212186 Canada, Inc. / Team Makers	Montreal, QC	7/30/2012	604607	Registered
Aspen Leaf Yogurt, LLC / Rocky Mountain Chocolate Factory	Durango, CO	7/30/2012	604608	Registered
H&R BLOCK TAX SERVICES LLC	KANSAS CITY, MO	7/30/2012	604612	Registered
Living Assistance Services, Inc.	Haertown, PA	7/30/2012	604602	Registered
Sizzler USA Franchise, Inc.	Mission Viejo, CA	7/30/2012	604611	Registered
RMG Rehabilitation / OsteoArthritis Centers of America	Houston, TX	7/27/2012	604598	Registered
CRUISESHIPCENTERS USA INC	BELLEVUE, WA	7/26/2012	604599	Registered
CRUISESHIPCENTERS USA INC / Retail Host Agency	BELLEVUE, WA	7/26/2012	604600	Registered
ORION FOOD SYSTEMS INC / Hot Stuff Foods	SOUIX FALLS, SD	7/26/2012	604601	Registered
1-800 Radiator Franchise, Inc. / 1-800 Radiator	Benicia, CA	7/25/2012	604587	Registered
COPELANDS OF NEW ORLEANS INC	METARIRIE, LA	7/25/2012	604588	Registered
SPHERION STAFFING LLC	Atlanta, GA	7/25/2012	604589	Registered
Cartridge World North America, LLC / Cartridge World Express Business	Spring Grove, IL	7/24/2012	604578	Registered
The Launch Pad Franchising, LLC	Odessa, FL	7/24/2012	604577	Registered
Best In Class Education Center, LLC	Mercer Island, WA	7/24/2012	604581	Registered
HRG AFFILIATES LLC	STAMFORD, CT	7/24/2012	604583	Registered
MANCHU WOK FRANCHISING USA INC	MARKHAM ON L6G 1A8, ON	7/24/2012	604582	Registered

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YOUNG MASTERS LLC	DULUTH, GA	7/24/2012	604584	Registered
U Got Stink Franchising, LLC / U Got Stink?	Portland, OR	7/23/2012	604567	Registered
Citadel Panda Express, Inc.	Rosemead, CA	7/23/2012	604573	Registered
SWAT Development, LLC / SWAT Environmental	Lansing, MI	7/23/2012	604572	Registered
Number of Franchise Filings: 27				

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