

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/27/2012 through 9/7/2012**

| 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 |
| VIRTUS OPPORTUNITIES TR VIRTUS EMERGING MARKETS DEBT FUND CLASS C | GREENFIELD, MA | 9/4/2012 | 00648968-03 | Registered |
| VIRTUS OPPORTUNITIES TR VIRTUS EMERGING MARKETS DEBT FUND CLASS A | GREENFIELD, MA | 9/4/2012 | 00648966-03 | Registered |
| VIRTUS OPPORTUNITIES TR VIRTUS EMERGING MARKETS DEBT FUND CLASS I | GREENFIELD, MA | 9/4/2012 | 00648967-03 | Registered |
| VIRTUS OPPORTUNITIES TR VIRTUS EMERGING MARKETS EQUITY INCOME FUND CLASS I | GREENFIELD, MA | 9/4/2012 | 00648979-03 | Registered |
| VIRTUS OPPORTUNITIES TR VIRTUS EMERGING MARKETS EQUITY INCOME FUND CLASS A | GREENFIELD, MA | 9/4/2012 | 00648969-03 | Registered |
| VIRTUS OPPORTUNITIES TR VIRTUS EMERGING MARKETS EQUITY INCOME FUND CLASS C | GREENFIELD, MA | 9/4/2012 | 00648970-03 | Registered |
| VIRTUS OPPORTUNITIES TR VIRTUS HERZFELD FUND CLASS A | GREENFIELD, MA | 9/4/2012 | 00648973-03 | Registered |
| VIRTUS OPPORTUNITIES TR VIRTUS HERZFELD FUND CLASS C | GREENFIELD, MA | 9/4/2012 | 00648977-03 | Registered |
| VIRTUS OPPORTUNITIES TR VIRTUS HERZFELD FUND CLASS I | GREENFIELD, MA | 9/4/2012 | 00648975-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| VIRTUS OPPORTUNITIES TR VIRTUS INTERNATIONAL SMALL CAP FUND CLASS A | GREENFIELD, MA | 9/4/2012 | 00648971-03 | Registered |
| VIRTUS OPPORTUNITIES TR VIRTUS INTERNATIONAL SMALL CAP FUND CLASS I | GREENFIELD, MA | 9/4/2012 | 00648974-03 | Registered |
| VIRTUS OPPORTUNITIES TR VIRTUS INTERNATIONAL SMALL CAP FUND CLASS C | GREENFIELD, MA | 9/4/2012 | 00648972-03 | Registered |
| VIRTUS OPPORTUNITIES TR VIRTUS WEALTH MASTERS FUND CLASS A | GREENFIELD, MA | 9/4/2012 | 00648976-03 | Registered |
| VIRTUS OPPORTUNITIES TR VIRTUS WEALTH MASTERS FUND CLASS C | GREENFIELD, MA | 9/4/2012 | 00648978-03 | Registered |
| VIRTUS OPPORTUNITIES TR VIRTUS WEALTH MASTERS FUND CLASS I | GREENFIELD, MA | 9/4/2012 | 00648980-03 | Registered |
| FT 3704 EQUITY CLOSED END PORTFOLIO SERIES 23 | WHEATON, IL | 8/31/2012 | 00649013-05 | Pending-Cleared |
| FT 3706 INFLATION HEDGE OPPORTUNITIES PORTFOLIO SERIES 14 | WHEATON, IL | 8/31/2012 | 00649017-05 | Pending-Cleared |
| FT 3708 STRATEGIC DIVIDEND PLUS PORTFOLIO SERIES 8 | WHEATON, IL | 8/31/2012 | 00649018-05 | Pending-Cleared |
| FT 3747 INTEREST RATE HEDGE PORTFOLIO SERIES 53 36 | WHEATON, IL | 8/31/2012 | 00649015-05 | Pending-Cleared |
| FT 3759 INVESTMENT GRADE SELECT CLOSED END PORTFOLIO SERIES 36 | WHEATON, IL | 8/31/2012 | 00649016-05 | Pending-Cleared |
| FT 3764 REIT GROWTH & INCOME PLUS PORTFOLIO SERIES 12 | WHEATON, IL | 8/31/2012 | 00649014-05 | Pending-Cleared |
| GPS FUNDS 2 GUIDEPATH ALTEGRIS MULTI STRATEGY ALLTERNATIVE ALLOCATION FUND INSTITUTIONAL SHARES | MILWAUKEE, WI | 8/31/2012 | 00649026-03 | Registered |
| GPS FUNDS 2 GUIDEPATH ALTEGRIS MULTI STRATEGY ALLTERNATIVE ALLOCATION FUND SERVICE SHARES | MILWAUKEE, WI | 8/31/2012 | 00649025-03 | Registered |
| GSP FUNDS 2 GUIDEPATH FIXED INCOME ALLOCATION FUND INSTITUTIONAL SHARES | MILWAUKEE, WI | 8/31/2012 | 00649024-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| GSP FUNDS 2 GUIDEPATH FIXED INCOME ALLOCATION FUNDD SERVICE SHARES | MILWAUKEE, WI | 8/31/2012 | 00649023-03 | Registered |
| GSP FUNDS 2 GUIDEPATH MULTI ASSET INCOME ASSET ALLOCATION FUND SERVICE SHARES | MILWAUKEE, WI | 8/31/2012 | 00649021-03 | Registered |
| GSP FUNDS 2 GUIDEPATH MULTI ASSET INCOME ASSET ALLOCATION INSTITUTIONAL SHARES | MILWAUKEE, WI | 8/31/2012 | 00649022-03 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 940 GUGGENHEIM ABC HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 11 | LISLE, IL | 8/31/2012 | 00649038-05 | Pending-Cleared |
| INCAPITAL UNIT TR SERIES 6 EUROPEAN DIVIDEND BUILDERS PORTFOLIO 3Q 2012 | CHICAGO, IL | 8/31/2012 | 00649011-05 | Pending-Cleared |
| INCAPITAL UNIT TR SERIES 9 NORTH AMERICAN DIVIDEND BUILDERS PORTFOLIO 3Q 2012 | CHICAGO, IL | 8/31/2012 | 00649012-05 | Pending-Cleared |
| LORD ASSET MANAGEMENT TR THOMAS WHITE EMERGING MARKETS FUND CLASS A | MILWAUKEE, WI | 8/31/2012 | 00649032-03 | Registered |
| LORD ASSET MANAGEMENT TR THOMAS WHITE EMERGING MARKETS FUND CLASS I | MILWAUKEE, WI | 8/31/2012 | 00649030-03 | Registered |
| LORD ASSET MANAGEMENT TR THOMAS WHITE EMERGING MARKETS FUND CLASS C | MILWAUKEE, WI | 8/31/2012 | 00649031-03 | Registered |
| LORD ASSET MANAGEMENT TR THOMAS WHITE INTERNATIONAL FUND CLASS C | MILWAUKEE, WI | 8/31/2012 | 00649035-03 | Registered |
| LORD ASSET MANAGEMENT TR THOMAS WHITE INTERNATIONAL FUND CLASS A | MILWAUKEE, WI | 8/31/2012 | 00649034-03 | Registered |
| LORD ASSET MANAGEMENT TR THOMAS WHITE INTERNATIONAL FUND CLASS I | MILWAUKEE, WI | 8/31/2012 | 00649033-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| WAKEFIELD ALTERNATIVE SERIES TR WAKEFIELD MANAGED FUTURES STRATEGY FUND CLASS I | DENVER, CO | 8/31/2012 | 00648965-03 | Registered |
| WAKEFIELD ALTERNATIVE SERIES TR WAKEFIELD MANAGED FUTURES STRATEGY FUND CLASS A | DENVER, CO | 8/31/2012 | 00648964-03 | Registered |
| FORWARD FUNDS FORWARD INTERNATIONAL REAL ESTATE FUND CLASS M | SAN FRANCISCO, CA | 8/29/2012 | 00647977-03 | Registered |
| ING MUTUAL FUNDS ING EMERGING MARKETS EQUITY FUND CLASS B | SCOTTSDALE, AZ | 8/29/2012 | 00647976-03 | Registered |
| THRIVENT MUTUAL FUNDS THRIVENT PARTNER EMERGING MARKETS EQUITY FUND CLASS I SHARES | MINNEAPOLIS, MN | 8/29/2012 | 00647979-03 | Registered |
| THRIVENT MUTUAL FUNDS THRIVENT PARTNER EMERGING MARKETS EQUITY FUND CLASS A SHARES | MINNEAPOLIS, MN | 8/29/2012 | 00647978-03 | Registered |
| EATON VANCE GROWTH TR EATON VANCE HEXAVEST EMERGING MARKETS EQUITY FUND CLASS I SHARES | BOSTON, MA | 8/28/2012 | 00648664-03 | Registered |
| EATON VANCE GROWTH TR EATON VANCE HEXAVEST EMERGING MARKETS EQUITY FUND CLASS A SHARES | BOSTON, MA | 8/28/2012 | 00648662-03 | Registered |
| EATON VANCE GROWTH TR EATON VANCE HEXAVEST GLOBAL EQUITY FUND CLASS I SHARES | BOSTON, MA | 8/28/2012 | 00648663-03 | Registered |
| EATON VANCE GROWTH TR EATON VANCE HEXAVEST GLOBAL EQUITY FUND CLASS A SHARES | BOSTON, MA | 8/28/2012 | 00648660-03 | Registered |
| EATON VANCE GROWTH TR EATON VANCE HEXAVEST INTERNATIONAL EQUITY FUND CLASS I SHARES | BOSTON, MA | 8/28/2012 | 00648661-03 | Registered |
| EATON VANCE GROWTH TR EATON VANCE HEXAVEST INTERNATIONAL EQUITY FUND CLASS A SHARES | BOSTON, MA | 8/28/2012 | 00648665-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| EATON VANCE GROWTH TR EATON VANCE HEXAVEST US EQUITY FUND CLASS A SHARES | BOSTON, MA | 8/28/2012 | 00648667-03 | Registered |
| EATON VANCE GROWTH TR EATON VANCE HEXAVEST US EQUITY FUND CLASS I SHARES | BOSTON, MA | 8/28/2012 | 00648666-03 | Registered |

Number of Investment Company Filings: 50

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| CARDIODX INC | PALO ALTO, CA | 8/31/2012 | 00649041-07 | Filed |
| CAYDEN RESOURCES INC | VANCOUER, BC | 8/31/2012 | 00649040-07 | Filed |
| NEW GULF RESOURCES LLC | TULSA, OK | 8/31/2012 | 00649039-07 | Filed |
| BROOKWOOD RB INVESTORS LLC | BEVERLY, MA | 8/29/2012 | 00648680-07 | Filed |
| CIC BANCSHARES INC | DENVER, CO | 8/29/2012 | 00648681-07 | Filed |
| CIC BANCSHARES INC | DENVER, CO | 8/29/2012 | 00648682-07 | Filed |

Number of Regulation D Notice Filings: 6

| Franchise Law Filings Made with DFI's Securities Division | | | | |
|--|---------------------|----------------------|--------------------|---------------|
| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| OnSight Solutions, LLC / OnSight Solutions | Albany, NY | 9/7/2012 1 | 604705 | Registered |
| Sniff K9's FC LLC / Sniff K9s | Cambridge, MA | 9/6/2012 3 | 604701 | Registered |
| JUST BETWEEN FRIENDS FRANCHISE SYSTEM INC | BROKEN ARROW, OK | 9/4/2012 | 604697 | Registered |
| FOR Franchising, LLC / Window Genie | Cincinnati, OH | 8/31/2012 | 604678 | Registered |
| HUDDLE HOUSE INC / HUDDLE HOUSE | ATLANTA, GA | 8/31/2012 | 604677 | Registered |
| RLLS, Inc. | Cleveland, OH | 8/31/2012 | 604693 | Registered |
| Flat Top Grill Development Company, LLC / FlatTop Grill® | Chicago, IL | 8/30/2012 | 604670 | Registered |
| ARCpoint Franchise Group, LLC. / ARCpoint | Greenville, SC | 8/30/2012 | 604659 | Registered |

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|--|-------------------|----------------------|--------------------|---------------|
| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| Blaze Pizza, LLC / Blaze FastFire'd Pizza | Pasadena, CA | 8/30/2012 | 604689 | Registered |
| MD PIZZA LLC / Mama DeLuca's Pizza Now! | Milford, CT | 8/30/2012 | 604688 | Registered |
| SMART COW FRANCHISING, LLC / SMART COW YOGURT BAR | Denver, CO | 8/29/2012 | 604657 | Registered |
| MERLINS FRANCHISING INC / Merlin 200,000 Mile Shops | GENEVA, IL | 8/29/2012 | 604685 | Registered |
| REALTY WORLD INC (Franchised Business Program) | Newport Beach, CA | 8/29/2012 | 604687 | Registered |
| DANCE WORKS OF WI LLC | PEWAUKEE, WI | 8/28/2012 | 604655 | Registered |
| BAM Franchising, Inc. / Bricks and Minifigs | Canby, OR | 8/28/2012 | 604684 | Registered |
| PIGGLY WIGGLY MIDWEST LLC | SHEBOYGAN, WI | 8/28/2012 | 604681 | Registered |
| SMALLBIZPROS INC / Padgett Business Services | Westwood, MA | 8/28/2012 | 604683 | Registered |
| Number of Franchise Filings: 17 | | | | |

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