

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/10/2012 through 9/21/2012**

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
BAIRD FUNDS INC BAIRD SHORT TERM BOND FUND INVESTOR CLASS	MILWAUKEE, MO	9/18/2012	00649896-03	Registered
SCOUT FUNDS SCOUT EMERGING MARKETS FUND	KANSAS CITY, MO	9/18/2012	00649897-03	Pending-Cleared
FORWARD FUNDS FORWARD INTERNATIONAL DIVIDEND FUND CLASS M	SAN FRANCISCO, CA	9/17/2012	00649835-03	Registered
NORTHERN FUNDS MULTI MANAGER GLOBAL LISTED INFRASTRUCTURE FUND	CHICAGO, IL	9/17/2012	00649834-03	Registered
SALIENT MF TR SALIENT MLP & ENERGY INFRASTRUCTURE FUND 2 CLASS A	HOUSTON, TX	9/14/2012	00649838-03	Registered
SALIENT MF TR SALIENT MLP & ENERGY INFRASTRUCTURE FUND 2 CLASS C	HOUSTON, TX	9/14/2012	00649839-03	Registered
SALIENT MF TR SALIENT RISK PARITY FUND CLASS A	HOUSTON, TX	9/14/2012	00649836-03	Registered
SALIENT MF TR SALIENT RISK PARITY FUND CLASS C	HOUSTON, TX	9/14/2012	00649837-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/10/2012 through 9/21/2012**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
NUVEEN INVESTMENT TR V NUVEEN GRESHAM DIVERSIFIED COMMODITY STRATEGY FUND CLASS I	CHIGACO, IL	9/13/2012	00649812-03	Registered
NUVEEN INVESTMENT TR V NUVEEN GRESHAM DIVERSIFIED COMMODITY STRATEGY FUND CLASS C	CHIGACO, IL	9/13/2012	00649811-03	Registered
NUVEEN INVESTMENT TR V NUVEEN GRESHAM DIVERSIFIED COMMODITY STRATEGY FUND CLASS A	CHIGACO, IL	9/13/2012	00649810-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 943 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 35	LISLE, IL	9/12/2012	00649888-05	Pending-Cleared
MANAGED PORTFOLIO SERIES ADVANTUS STRATEGIC DIVIDEND INCOME FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	9/12/2012	00649881-03	Registered
MANAGED PORTFOLIO SERIES TORTOISE MLP & PIPELINE FUND C CLASS SHARES	MILWAUKEE, WI	9/12/2012	00649880-03	Registered
MARSHALL FUNDS INC BMO LOW VOLATILITY EQUITY FUND INVESTOR` CLASS	MILWAUKEE, WI	9/12/2012	00649883-03	Pending-Cleared
MARSHALL FUNDS INC BMO LOW VOLATILITY EQUITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/12/2012	00649882-03	Pending-Cleared
MARSHALL FUNDS INC BMO SHORT TERM TX FREE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/12/2012	00649884-03	Pending-Cleared
MARSHALL FUNDS INC BMO SHORT TERM TX FREE FUND INVESTOR CLASS	MILWAUKEE, WI	9/12/2012	00649885-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/10/2012 through 9/21/2012**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MARSHALL FUNDS INC BMO TCH EMERGING MARKETS BOND FUND INVESTOR CLASS	MILWAUKEE, WI	9/12/2012	00649887-03	Pending-Cleared
MARSHALL FUNDS INC BMO TCH EMERGING MARKETS BOND FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/12/2012	00649886-03	Pending-Cleared
1ST TR COMBINED SERIES 407 INSURED TX EX MUNICIPAL INCOME TR SERIES 250	WHEATON, IL	9/10/2012	00649641-05	Pending-Cleared
ADVISORS DISCIPLINED TR 894 MUONICIPAL CLOSED END PORTFOLIO SERIES 2012 2	MONUMENT, CO	9/10/2012	00649642-05	Pending-Cleared
ADVISORS DISCIPLINED TR 895 CONVERTIBLE & INCOME CLOSED END PORTFOLIO SERIES 2012 2	MONUMENT, CO	9/10/2012	00649636-05	Pending-Cleared
ADVISORS DISCIPLINED TR 896 GLOBAL BASIC MATERIALS PORTFOLIO SERIES 2012 2	MONUMENT, CO	9/10/2012	00649637-05	Pending-Cleared
ADVISORS DISCIPLINED TR 918 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 59	MONUMENT, CO	9/10/2012	00649635-05	Pending-Cleared
FT 3711 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 32	WHEATON, IL	9/10/2012	00649607-05	Pending-Cleared
FT 3712 STRATEGIC INCOME SELECT CLOSED END PORTFOLIO SERIES 9	WHEATON, IL	9/10/2012	00649640-05	Pending-Cleared
FT 3717 AUTOMATED QUANTITATIVE ANALYSIS AQA PORTFOLIO SERIES 5	WHEATON, IL	9/10/2012	00649638-05	Pending-Cleared
FT 3760 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 30	WHEATON, IL	9/10/2012	00649639-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/10/2012 through 9/21/2012**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GUGGENHEIM DEFINED PORTFOLIOS SERIES 944 INCOME & LTD DURATION PORTFOLIO OF FUNDS SERIES 23	LISLE, IL	9/10/2012	00649609-05	Pending-Cleared
JPMORGAN TR 1 JPMORGAN QUANTITATIVE LARGE CAP PLUS FUND CLASS A	BOSTON, MA	9/10/2012	00649647-03	Registered
JPMORGAN TR 1 JPMORGAN QUANTITATIVE LARGE CAP PLUS FUND R5 CLASS SHARES	BOSTON, MA	9/10/2012	00649645-03	Registered
JPMORGAN TR 1 JPMORGAN QUANTITATIVE LARGE CAP PLUS FUND CLASS C	BOSTON, MA	9/10/2012	00649646-03	Registered
JPMORGAN TR 1 JPMORGAN QUANTITATIVE LARGE CAP PLUS FUND SELECT CLASS SHARES	BOSTON, MA	9/10/2012	00649644-03	Registered
JPMORGAN TR 1 JPMORGAN QUANTITATIVE LARGE CAP PLUS FUND R2 CLASS SHARES	BOSTON, MA	9/10/2012	00649648-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTALLOCATION EQUITY FUND CLASS A	BOSTON, MA	9/10/2012	00649649-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTALLOCATION EQUITY FUND CLASS C	BOSTON, MA	9/10/2012	00649650-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTALLOCATION EQUITY FUND R2 CLASS	BOSTON, MA	9/10/2012	00649651-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTALLOCATION EQUITY FUND R5 CLASS	BOSTON, MA	9/10/2012	00649652-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTALLOCATION EQUITY FUND R6 CLASS	BOSTON, MA	9/10/2012	00649653-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/10/2012 through 9/21/2012**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
JPMORGAN TR 1 JPMORGAN SMARTALLOCATION EQUITY FUND SELECT CLASS SHARES	BOSTON, MA	9/10/2012	00649654-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTALLOCATION INCOME FUND CLASS A	BOSTON, MA	9/10/2012	00649655-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTALLOCATION INCOME FUND CLASS C	BOSTON, MA	9/10/2012	00649656-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTALLOCATION INCOME FUND R2 CLASS	BOSTON, MA	9/10/2012	00649657-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTALLOCATION INCOME FUND R5 CLASS	BOSTON, MA	9/10/2012	00649658-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTALLOCATION INCOME FUND R6 CLASS	BOSTON, MA	9/10/2012	00649659-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTALLOCATION INCOME FUND SELECT CLASS SHARES	BOSTON, MA	9/10/2012	00649660-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC FRONTIER EMERGING MARKETS PORTFOLIO CLASS H	NEW YORK, NY	9/10/2012	00649606-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC FRONTIER EMERGING MARKETS PORTFOLIO CLASS I SHARES	NEW YORK, NY	9/10/2012	00649605-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC FRONTIER EMERGING MARKETS PORTFOLIO CLASS L SHARES	NEW YORK, NY	9/10/2012	00649604-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC FRONTIER EMERGING MARKETS PORTFOLIO CLASS P SHARES	NEW YORK, NY	9/10/2012	00649603-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/10/2012 through 9/21/2012**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
NORTHERN LIGHTS FUND TR IRON HORSE FUND CLASS A SHARES	HAUPPAUGE, NY	9/10/2012	00649634-03	Registered
TOUCHSTONE STRATEGIC TR TOUCHSTONE MICRO CAP VALUE FUND CLASS A	CINCINNATI, OH	9/10/2012	00649426-03	Registered
TOUCHSTONE STRATEGIC TR TOUCHSTONE STRATEGIC INCOME FUND CLASS C	CINCINNATI, OH	9/10/2012	00649427-03	Registered
TOUCHSTONE STRATEGIC TR TOUCHSTONE STRATEGIC INCOME FUND CLASS Y	CINCINNATI, OH	9/10/2012	00649428-03	Registered
Number of Investment Company Filings: 55				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ACON EQUITY PARTNERS 3 LP	WASHINGTON DC, DC	9/19/2012	00649895-07	Filed
CALPACIFIC EQUITY FUND 1 LLC	VALENCIA, CA	9/13/2012	00649782-07	Filed
IR&M TAX EFFICIENT CROSSOVER BOND FUND LLC	BOSTON, MA	9/13/2012	00649744-07	Filed
LEGACY FARMS LLC	MEOTTE, IN	9/13/2012	00649720-07	Filed
WISERG CORP	REDMOND, WA	9/13/2012	00649783-07	Filed
SAB EQUITY PARTNERSHIP LP	SAN ANTONIO, TX	9/12/2012	00649864-07	Filed
LOOMIS SAYLES CORE PLUS FIXED INCOME TR	BOSTON, MA	9/10/2012	00649598-07	Filed
SERIES 1 OF RMB FIXED INCOME OPPORTUNITIES QP LLC	CHICAGO, IL	9/10/2012	00649610-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/10/2012 through 9/21/2012**

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
SMASHBURGER MASTER LLC	DENVER, CO	9/10/2012	00649643-07	Filed
TEXSTAR 20 WELL LP	LULING, TX	9/10/2012	00649608-07	Filed
Number of Regulation D Notice Filings: 10				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Gigi's Franchising, LLC / Gigi's Cupcakes	Franklin, TN	9/21/2012	604736	Registered
CherryBerry Enterprises, LLC	Broken Arrow, OK	9/19/2012	604734	Registered
FRONTIER ADJUSTERS INC	PHOENIX, AZ	9/19/2012	604732	Registered
Tutu School Franchises, LLC / Tutu School	San Francisco, CA	9/18/2012	604731	Registered
FRESHBERRY FRANCHISE SYSTEM LLC	TULSA, OK	9/18/2012	604730	Registered
360BRANDS, INC. / 360clean	Charleston, SC	9/11/2012	604714	Registered
DICKEYS BARBECUE RESTAURANTS INC	Plano, TX	9/11/2012	604722	Registered
Dinner Detective Productions LLC	Long Beach, CA	9/11/2012	604720	Registered
Number of Franchise Filings: 8				

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