

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2012 through 9/28/2012**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BLUEROCK ENHANCED MULTIFAMILY TR INC FOLLOW ON	NEW YORK, NY	9/25/2012	00650296-01	Pending
CORPORATE PROPERTY ASSOC 18 GLOBAL INC	NEW YORK, NY	9/20/2012	00650071-01	Pending
ALLIANCE DEVELOPMENT FUND INC	COLORADO SPRINGS, CO	9/18/2012	00649951-02	Pending
ALLIANCE DEVELOPMENT FUND INC	COLORADO SPRINGS, CO	9/18/2012	00649952-02	Pending
ALLIANCE DEVELOPMENT FUND INC	COLORADO SPRINGS, CO	9/18/2012	00649950-02	Pending
ALLIANCE DEVELOPMENT FUND INC	COLORADO SPRINGS, CO	9/18/2012	00649949-02	Pending
Number of Registration Filings: 6				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
TEXSTAR20 WELL LP	COLUMBIA, KY	9/25/2012	00650295-08	Not Disallowed
LAKE SAWYER CHRISTIAN CHURCH	BLACK DIAMOND, WA	9/21/2012	00650082-08	Pending
SPELL CAPITAL MEZZANINE PARTNERS SBIC LP	MINNEAPOLIS, MN	9/17/2012	00650189-08	Pending
Number of Exemption Filings: 3				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MFS SERIES TR 7 MFS EQUITY INCOME FUND CLASS R1 SHARES	BOSTON, MA	9/26/2012	00650184-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2012 through 9/28/2012**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MFS SERIES TR 7 MFS EQUITY INCOME FUND CLASS R2 SHARES	BOSTON, MA	9/26/2012	00650186-03	Pending-Cleared
MFS SERIES TR 7 MFS EQUITY INCOME FUND CLASS R3 SHARES	BOSTON, MA	9/26/2012	00650183-03	Pending-Cleared
MFS SERIES TR 7 MFS EQUITY INCOME FUND CLASS R4 SHARES	BOSTON, MA	9/26/2012	00650185-03	Pending-Cleared
MFS SERIES TR 7 MFS EQUITY INCOME FUND CLASS R5 SHARES	BOSTON, MA	9/26/2012	00650187-03	Pending-Cleared
MFS SERIES TR VII MFS EQUITY INCOME FUND CLASS A SHARES	BOSTON, MA	9/26/2012	00650179-03	Pending-Cleared
MFS SERIES TR VII MFS EQUITY INCOME FUND CLASS B SHARES	BOSTON, MA	9/26/2012	00650180-03	Pending-Cleared
MFS SERIES TR VII MFS EQUITY INCOME FUND CLASS C SHARES	BOSTON, MA	9/26/2012	00650181-03	Pending-Cleared
MFS SERIES TR VII MFS EQUITY INCOME FUND CLASS I SHARES	BOSTON, MA	9/26/2012	00650182-03	Pending-Cleared
PYXIS FUNDS 2 PYXIS CORE VALUE EQUITY FUND CLASS C SHARES	DALLAS, TX	9/26/2012	00650188-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO GLOBAL MARKETS STRATEGY FUND CLASS H1 SHARES	HOUSTON, TX	9/25/2012	00650178-03	Pending-Cleared
GOLDMAN SACHS TR GOLDMAN SACHS RETIREMENT PORTFOLIO COMPLETION FUND CLASS A	CHICAGO, IL	9/25/2012	00650173-03	Pending-Cleared

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for 9/17/2012 through 9/28/2012**

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GOLDMAN SACHS TR GOLDMAN SACHS RETIREMENT PORTFOLIO COMPLETION FUND CLASS I	CHICAGO, IL	9/25/2012	00650177-03	Pending-Cleared
GOLDMAN SACHS TR GOLDMAN SACHS RETIREMENT PORTFOLIO COMPLETION FUND CLASS IR	CHICAGO, IL	9/25/2012	00650174-03	Pending-Cleared
GOLDMAN SACHS TR GOLDMAN SACHS RETIREMENT PORTFOLIO COMPLETION FUND CLASS R	CHICAGO, IL	9/25/2012	00650176-03	Pending-Cleared
GOLDMAN SACHS TR GOLDMAN SACHS RETIREMENT PORTFOLIO COMPLETION FUND CLASS C	CHICAGO, IL	9/25/2012	00650175-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 949 DIVERSIFIED & INCOME PORTFOLIO SERIES 16	LISLE, IL	9/25/2012	00650298-05	Pending-Cleared
INVESTMENT MANAGERS SERIES TR CAPITAL INNOVATIONS GLOBAL AGRI TIMBER INFRASTRUCTURE FUND JINSTITUTIONAL CLASS	MILWAUKEE, WI	9/25/2012	00650301-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR CAPITAL INNOVATIONS GLOBAL AGRI TIMBER INFRASTRUCTURE FUND CLASS C	MILWAUKEE, WI	9/25/2012	00650300-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR CAPITAL INNOVATIONS GLOBAL AGRI TIMBER INFRASTRUCTURE FUND CLASS A	MILWAUKEE, WI	9/25/2012	00650299-03	Pending-Cleared
MANAGED PORTFOLIO SERIES AC 1 CHINA FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/25/2012	00650302-03	Registered
MANAGED PORTFOLIO SERIES AC 1 CHINA FUND INVESTOR CLASS	MILWAUKEE, WI	9/25/2012	00650303-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2012 through 9/28/2012**

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Firm Name	Location	Date Received	File Number	Status
ALLIANCEBERNSTEIN CORPORATE SHARES ALLIANCEBERNSTEIN TAXABLE MULTI SECTOR INCOME SHARES	NEW YORK, NY	9/24/2012	00650147-03	Registered
CNI CHARTER FUNDS CNI CHARTER PRIME MONEY MARKET FUND INSTITUTIONAL CLASS	BEVERLY HILLS, CA	9/24/2012	00650146-03	Registered
FRANKLIN INVESTORS SECURITIES TR FRANKLIN LOW DURATION TOTAL RETURN FUND CLASS C	SAN MATEO, CA	9/24/2012	00650293-03	Pending-Cleared
FT 3727 INCOME ALLOCATION CLOSED END OCT 12	WHEATON, IL	9/24/2012	00650252-05	Pending-Cleared
FT 3728 DOW TARGET 10 OCT 12 TERM 11/8/13	WHEATON, IL	9/24/2012	00650270-05	Pending-Cleared
FT 3728 TARGET FOCUS 4 OCT 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650269-05	Pending-Cleared
FT 3728 TARGET TRIAD OCT 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650271-05	Pending-Cleared
FT 3728 TARGET VIP OCT 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650272-05	Pending-Cleared
FT 3729 DOW TARGET 5 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650274-05	Pending-Cleared
FT 3729 DOW TARGET DVD 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650275-05	Pending-Cleared
FT 3729 GLOBAL TARGET 15 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650268-05	Pending-Cleared
FT 3729 NASDAQ TARGET 15 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650267-05	Pending-Cleared
FT 3729 NYSE INTL TARGET 25 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650266-05	Pending-Cleared
FT 3729 S&P TARGET 24 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650264-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
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Firm Name	Location	Date Received	File Number	Status
FT 3729 S&P TARGET DVD MULTI STRAT 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650263-05	Pending-Cleared
FT 3729 S&P TARGET SMID 60 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650262-05	Pending-Cleared
FT 3729 TARGET 50 50 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650265-05	Pending-Cleared
FT 3729 TARGET DBL PLAY 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650258-05	Pending-Cleared
FT 3729 TARGET DIVSD DVD 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650261-05	Pending-Cleared
FT 3729 TARGET FOCUS 5 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650259-05	Pending-Cleared
FT 3729 TARGET GLOBAL DVD LEADERS 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650273-05	Pending-Cleared
FT 3729 TARGET GROWTH 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650255-05	Pending-Cleared
FT 3729 TARGET VIP CONS EQTY 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650260-05	Pending-Cleared
FT 3729 VALUE LINE TARGET 25 4Q 12 TERM 1/9/14	WHEATON, IL	9/24/2012	00650257-05	Pending-Cleared
FT 3730 CAPITAL STRENGTH BUY WRITE PORTFOLIO SERIES	WHEATON, IL	9/24/2012	00650254-05	Pending-Cleared
FT 3746 DIVERSIFIED INCOME OPPORTUNITIES SEPTEMBER 2012 SERIES	WHEATON, IL	9/24/2012	00650251-05	Pending-Cleared
FT 3802 BALANCED INCOME PORTFOLIO SERIES 36	WHEATON, IL	9/24/2012	00650250-05	Pending-Cleared
FT 3803 STRATEGIC INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 11	WHEATON, IL	9/24/2012	00650253-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2012 through 9/28/2012**

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FT 3814 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 45	WHEATON, IL	9/24/2012	00650256-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1117 INVESTMENT GRADE MUNICIPAL TR SERIES 157	OAKBROOK TER, IL	9/24/2012	00650279-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1118 INVESTMENT GRADE MUNICIPAL TR SERIES 158	OAKBROOK TER, IL	9/24/2012	00650280-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1119 INSURED MUNICIPALS INCOME TR SERIES 656	OAKBROOK TER, IL	9/24/2012	00650281-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1120 INSURED MUNICIPALS INCOME TR SERIES 657	OAKBROOK TER, IL	9/24/2012	00650282-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1121 INVESTORS QUALITY TX EX TR SERIES 171	OAKBROOK TER, IL	9/24/2012	00650283-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1122 INVESTORS QUALITY TX EX TR SERIES 172	OAKBROOK TER, IL	9/24/2012	00650284-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1123 QUALITY MUNICIPALS INCOME TR 67TH LTD MATURITY SERIES	OAKBROOK TER, IL	9/24/2012	00650286-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1124 QUALITY MUNICIPALS INCOME TR 68TH LTD MATURITY SERIES	OAKBROOK TER, IL	9/24/2012	00650285-05	Pending-Cleared

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for 9/17/2012 through 9/28/2012**

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Firm Name	Location	Date Received	File Number	Status
VAN KAMPEN UNIT TR SERIES 1256 GLOBAL INFRASTRUCTURE STRATEGY 2012 3	OAKBROOK TER, IL	9/24/2012	00650289-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1256 GLOBAL WATER PORTFOLIO 2012 3	OAKBROOK TER, IL	9/24/2012	00650290-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1270 PRECIOUS METALS & MINING PORTFOLIO 2012 4	OAKBROOK TER, IL	9/24/2012	00650291-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 417 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 32	OAKBROOK TER, IL	9/24/2012	00650287-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 418 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 33	OAKBROOK TER, IL	9/24/2012	00650288-05	Pending-Cleared
VANGUARD MALVERN FUNDS VANGUARD SHORT TERM INFLATION PROTECTED SECURITIES INDEX FUND ADMIRAL SHARES	VALLEY FORGE, PA	9/24/2012	00650276-03	Pending-Cleared
VANGUARD MALVERN FUNDS VANGUARD SHORT TERM INFLATION PROTECTED SECURITIES INDEX FUND INSTITUTIONAL SHARES	VALLEY FORGE, PA	9/24/2012	00650277-03	Pending-Cleared
VANGUARD MALVERN FUNDS VANGUARD SHORT TERM INFLATION PROTECTED SECURITIES INDEX FUND INVESTOR SHARES	VALLEY FORGE, PA	9/24/2012	00650278-03	Pending-Cleared
ADVISORS DISCIPLINED TR 919 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 60	MONUMENT, CO	9/21/2012	00650080-05	Pending-Cleared
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO GROWTH & INCOME FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650125-03	Pending-Cleared

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AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO SMALL CAP DISCOVERY FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650129-03	Pending-Cleared
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO AMERICAN FRANCHISE FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650133-03	Pending-Cleared
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO EQUALLY WEIGHTED S&P 500 FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650140-03	Pending-Cleared
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO FLOATING RATE FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650116-03	Pending-Cleared
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO EQUITY & INCOME FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650123-03	Pending-Cleared
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO SMALL CAP DISCOVERY FUND CLASS R5 SHARES	HOUSTON, TX	9/21/2012	00650127-03	Pending-Cleared
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO GLOBAL REAL ESTATE INCOME FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650126-03	Pending-Cleared
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO CORE PLUS BOND FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650142-03	Pending-Cleared
AIM EQUITY FUNDS INVESCO EQUITY FUNDS INVESCO CHARTER FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650105-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2012 through 9/28/2012**

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AIM EQUITY FUNDS INVESCO EQUITY FUNDS INVESCO DIVERSIFIED DIVIDEND FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650119-03	Pending-Cleared
AIM FUNDS GROUP INVESCO FUNDS GROUP INVESCO INTERNATIONAL SMALL CO FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650109-03	Pending-Cleared
AIM FUNDS GROUP INVESCO FUNDS GROUP INVESCO SMALL CAP EQUITY FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650110-03	Pending-Cleared
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO BALANCED RISK RETIREMENT 2020 FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650121-03	Pending-Cleared
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO BALANCED RISK RETIREMENT NOW FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650120-03	Pending-Cleared
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO BALANCED RISK RETIREMENT 2040 FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650124-03	Pending-Cleared
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO BALANCED RISK RETIREMENT 2050 FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650134-03	Pending-Cleared
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO BALANCED RISK RETIREMENT 2030 FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650138-03	Pending-Cleared
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO CONVERTIBLE SECURITIES FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650130-03	Pending-Cleared
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO MID CAP CORE EQUITY FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650102-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2012 through 9/28/2012**

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Firm Name	Location	Date Received	File Number	Status
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO SMALL CAP GROWTH FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650103-03	Pending-Cleared
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL GROWTH FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650108-03	Pending-Cleared
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL CORE EQUITY FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650111-03	Pending-Cleared
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO GLOBAL OPPORTUNITIES FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650141-03	Pending-Cleared
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO GLOBAL GROWTH FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650106-03	Pending-Cleared
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO SELECT OPPORTUNITIES FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650143-03	Pending-Cleared
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO EMERGING MARKETS EQUITY FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650137-03	Pending-Cleared
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO ENDEAVOR FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650117-03	Pending-Cleared
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO DEVELOPING MARKETS FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650101-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2012 through 9/28/2012**

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AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO BALANCED RISK COMMODITY STRATEGY FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650135-03	Pending-Cleared
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO PREMIUM INCOME FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650139-03	Pending-Cleared
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO BALANCED RISK ALLOCATION FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650128-03	Pending-Cleared
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO EMERGING MARKET LOCAL CURRENCY DEBT FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650136-03	Pending-Cleared
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO INTERNATIONAL TOTAL RETURN FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650118-03	Pending-Cleared
AIM INVESTMENT SECURITIES FUNDS INVESCO INVESTMENT SECURITIES FUNDS INVESCO CORPORATE BOND FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650122-03	Pending-Cleared
AIM INVESTMENT SECURITIES FUNDS INVESCO INVESTMENT SECURITIES FUNDS INVESCO DYNAMICS FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650115-03	Pending-Cleared
AIM INVESTMENT SECURITIES FUNDS INVESCO INVESTMENT SECURITIES FUNDS INVESCO HIGH YIELD FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650107-03	Pending-Cleared
AIM INVESTMENT SECURITIES FUNDS INVESCO INVESTMENT SECURITIES FUNDS INVESCO GLOBAL REAL ESTATE FUND CLASS R6	HOUSTON, TX	9/21/2012	00650114-03	Pending-Cleared

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AIM INVESTMENT SECURITIES FUNDS INVESCO INVESTMENT SECURITIES FUNDS INVESCO REAL ESTATE FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650104-03	Pending-Cleared
AIM INVESTMENT SECURITIES FUNDS INVESCO INVESTMENT SECURITIES FUNDS INVESCO SHORT TERM BOND FUND CLASS R6	HOUSTON, TX	9/21/2012	00650113-03	Pending-Cleared
AIM SECTOR FUNDS INVESCO SECTOR FUNDS INVESCO AMERICAN VALUE FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650131-03	Pending-Cleared
AIM SECTOR FUNDS INVESCO SECTOR FUNDS INVESCO COMSTOCK FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650132-03	Pending-Cleared
AIM SECTOR FUNDS INVESCO SECTOR FUNDS INVESCO UTILITIES FUND CLASS R6 SHARES	HOUSTON, TX	9/21/2012	00650112-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 947 GLOBAL DOW 10 PORTFOLIO SERIES 3	LISLE, IL	9/21/2012	00650079-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 948 BLUEPRINTS TACTICAL HIGH DIVIDEND PORTFOLIO SERIES6	LISLE, IL	9/21/2012	00650081-05	Pending-Cleared
INVESTMENT MANAGERS SERIES TR RAMIUS STRATEGIC VOLATILITY FUND CLASS A	MILWAUKEE, WI	9/21/2012	00650084-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR RAMIUS STRATEGIC VOLATILITY FUND CLASS I	MILWAUKEE, WI	9/21/2012	00650085-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2012 through 9/28/2012**

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FT 3773 NORTHLAND SECURITIES HIGH YIELD CORP TR SHORT INTERMEDIATE SERIES	WHEATON, IL	9/20/2012	00650077-05	Pending-Cleared
BAIRD FUNDS INC BAIRD SHORT TERM BOND FUND INVESTOR CLASS	MILWAUKEE, MO	9/18/2012	00649896-03	Registered
FT 3750 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 23	WHEATON, IL	9/18/2012	00650057-05	Pending-Cleared
FT 3772 GLOBAL BOND INCOME PLUS CLOSED END PORTFOLIO SERIES 27	WHEATON, IL	9/18/2012	00650056-05	Pending-Cleared
FT 3804 TECHNOLOGY DIVIDEND BUY WRITE PORTFOLIO SERIES	WHEATON, IL	9/18/2012	00650078-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 959 MLP PORTFOLIO SERIES 1	LISLE, IL	9/18/2012	00650055-05	Pending-Cleared
OPPENHEIMER CURRENCY OPPORTUNITIES FUND CLASS I	DENVER, CO	9/18/2012	00650058-03	Pending-Cleared
OPPENHEIMER EMERGING MARKETS DEBT FUND CLASS I	DENVER, CO	9/18/2012	00650059-03	Pending-Cleared
SCOUT FUNDS SCOUT EMERGING MARKETS FUND	KANSAS CITY, MO	9/18/2012	00649897-03	Pending-Cleared
1ST TR COMBINED SERIES 408 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO LONG TERM SERIES 6	WHEATON, IL	9/17/2012	00650198-05	Pending-Cleared
ADVISORS DISCIPLINED TR 897 DIVIDEND INCOME VALUE STRATEGY PORTFOLIO SERIES 2012 3Q	MONUMENT, CO	9/17/2012	00650202-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2012 through 9/28/2012**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 898 PREFERRED INCOME OPPORTUNITIES PORTFOLIO 2 YR 2012 2	MONUMENT, CO	9/17/2012	00650194-05	Pending-Cleared
ADVISORS DISCIPLINED TR 899 PERONI GROWTH PORTFOLIO AUTUMN 2012 SERIES	MONUMENT, CO	9/17/2012	00650195-05	Pending-Cleared
ADVISORS DISCIPLINED TR 900 AGRI BUSINESS OPPORTUNITIES PORTFOLIO SERIES 2012 2	MONUMENT, CO	9/17/2012	00650209-05	Pending-Cleared
ADVISORS DISCIPLINED TR 901 HIGH 50 DIVIDEND STRATEGY PORTFOLIO SERIES 2012 3Q	MONUMENT, CO	9/17/2012	00650201-05	Pending-Cleared
FORWARD FUNDS FORWARD INTERNATIONAL DIVIDEND FUND CLASS M	SAN FRANCISCO, CA	9/17/2012	00649835-03	Registered
FT 3715 MULTI SECTOR INCOME PORTFOLIO SERIES 10	WHEATON, IL	9/17/2012	00650208-05	Pending-Cleared
FT 3716 RICHARD BERNSTEIN ADVISORS GLOBAL DIVIDEND KINGS SERIES 5	WHEATON, IL	9/17/2012	00650197-05	Pending-Cleared
FT 3740 BALANCED INCOME EQUITY & ETF PORTFOLIO SERIES	WHEATON, IL	9/17/2012	00650206-05	Pending-Cleared
FT 3744 INTERNATIONAL HIGH DIVIDEND EQUITY PORTFOLIO SERIES 9	WHEATON, IL	9/17/2012	00650203-05	Pending-Cleared
FT 3751 INTEREST RATE HIDGE PORTFOLIO SERIES 54	WHEATON, IL	9/17/2012	00650199-05	Pending-Cleared
FT 3752 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES64	WHEATON, IL	9/17/2012	00650207-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2012 through 9/28/2012**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 3767 GLOBAL EQUITY INCOME CLOSED END PORTFOLIO SERIES 25	WHEATON, IL	9/17/2012	00650193-05	Pending-Cleared
FT 3768 ETF GROWTH & INCOME SEPT 12	WHEATON, IL	9/17/2012	00650210-05	Pending-Cleared
FT 3771 PRECIOUS METALS SELECT PORTFOLIO SERIES 29	WHEATON, IL	9/17/2012	00650205-05	Pending-Cleared
FT 3799 STRATEGIC INCOME CLOSED END PORTFOLIO SERIES 43	WHEATON, IL	9/17/2012	00650196-05	Pending-Cleared
FT 3801 HIGH YIELD INCOME CLOSED END PORTFOLIO SERIES 53	WHEATON, IL	9/17/2012	00650204-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 928 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 19	LISLE, IL	9/17/2012	00650211-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 945 GUGGENHEIM MODERATE ASSET ALLOCATION PORTFOLIO OF ETFS SERIES 12	LISLE, IL	9/17/2012	00650200-05	Pending-Cleared
NORTHERN FUNDS MULTI MANAGER GLOBAL LISTED INFRASTRUCTURE FUND	CHICAGO, IL	9/17/2012	00649834-03	Registered
Number of Investment Company Filings: 145				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CREDIT VALUE PARTNERS DISTRESSED DURATION FUND LP	NEW YORK, NY	9/26/2012	00650430-07	Filed
RJ AMERICAN HOMES 4 RENT 1 LLC	MALIBU, CA	9/26/2012	00650429-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2012 through 9/28/2012**

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
VITAL FINANCIAL CD DIAGNOSTICS INVESTORS LLC	BETHESDA, MD	9/25/2012	00650294-07	Filed
MURVIN & MEIER OIL CO 2012 2013	BARRINGTON, IL	9/24/2012	00650292-07	Filed
NOBLE ROYALTY ACCESS FUND 13 LP	ADDISON, TX	9/24/2012	00650308-07	Filed
ZEPPELINN ENERGY LP	SAN ANTONIO, TX	9/24/2012	00650304-07	Filed
SILVERCREST MUNICIPAL SPECIAL SITUATIONS FUND 2 LLC	NEW YORK, NY	9/21/2012	00650083-07	Filed
AUTONET INVESTORS LLC	NEW YORK, NY	9/20/2012	00650072-07	Filed
EMERGING FIRMS INC	SAN DIEGO, CA	9/20/2012	00650073-07	Filed
ACON EQUITY PARTNERS 3 LP	WASHINGTON DC, DC	9/19/2012	00649895-07	Filed
WAYZATA OPPORTUNITIES FUND 3 LP	WAYZATA, MN	9/18/2012	00649953-07	Filed
FORT TRINIDAD DEVELOPMENT JOINT VENTURE	SAN ANTONIO, TX	9/17/2012	00650191-07	Filed
GLENGARRY BROADWAY LLC	NEW YORK, NY	9/17/2012	00650212-07	Filed
HEDGE ACCESS FUND LP	CHICAGO, IL	9/17/2012	00650190-07	Filed
Number of Regulation D Notice Filings: 14				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
RPC Acquisition Corp. / Pro-Cuts (Sports)	Minneapolis, MN	9/28/2012	604772	Registered
Roosters MGC International, LLC / Roosters Men's Grooming Center	Minneapolis, MN	9/28/2012	604771	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2012 through 9/28/2012**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Supercuts, Inc. / SUPERCUTS	Minneapolis, MN	9/28/2012	604770	Registered
BRINKER INTERNATIONAL PAYROLL LP / Chili's Grill & Bar	DALLAS, TX	9/27/2012	604766	Registered
MTO CLEAN INC	INDEPENDENCE, OH	9/27/2012	604767	Registered
Dent Doctor, Inc. / Dent Doctor	Little Rock, AR	9/26/2012	604746	Registered
CHYTEN FRANCHISING INC	LEXINGTON, MA	9/26/2012	604760	Registered
The Two Bucks of America LLC / Two Bucks	Westlake, OH	9/25/2012	604740	Registered
ZIEBART CORP	TROY, MI	9/25/2012	604751	Registered
Gigi's Franchising, LLC / Gigi's Cupcakes	Franklin, TN	9/21/2012	604736	Registered
ADVANCED FRESH CONCEPTS FRANCHISE CORP	RANCHO DOMINGUEZ, CA	9/21/2012	604744	Registered
E & I Holdings, Inc. / The Egg & I	Centennial, CO	9/21/2012	604738	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
Number of Franchise Filings: 16				

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