

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/1/2012 through 10/12/2012**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
LOGISTICS INCOME TR INC	DENVER, CO	10/4/2012	00651956-01	Pending
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
LOS ANGELES OASIS CHRISTIAN CHURCH	VALLEY VILLAGE, CA	10/2/2012	00651931-08	Pending
Number of Exemption Filings: 1				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN EMERGING MARKETS EQUITY PORTFOLIO CLASS C	NEW YORK, NY	10/11/2012	00652017-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN EMERGING MARKETS EQUITY PORTFOLIO CLASS A	NEW YORK, NY	10/11/2012	00652016-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN EMERGING MARKETS EQUITY PORTFOLIO ADVISOR CLASS	NEW YORK, NY	10/11/2012	00652018-03	Registered
ROYCE FUND ROYCE ENTERPRISE SELECT FUND INVESTMENT CLASS	NEW YORK, NY	10/11/2012	00652021-03	Registered
ROYCE FUND ROYCE GLOBAL SELECT LONG SHORT FUND INVESTMENT CLASS	NEW YORK, NY	10/11/2012	00652019-03	Registered

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ROYCE FUND ROYCE OPPORTUNITY SELECT FUND INVESTMENT CLASS	NEW YORK, NY	10/11/2012	00652023-03	Registered
ROYCE FUND ROYCE SELECT FUND 1 INVESTMENT CLASS	NEW YORK, NY	10/11/2012	00652020-03	Registered
ROYCE FUND ROYCE SELECT FUND 2 INVESTMENT CLASS	NEW YORK, NY	10/11/2012	00652022-03	Registered
RIVERNORTH FUNDS RIVERNORTH DYNAMIC BUY WRITE FUND CLASS R	CHICAGO, IL	10/10/2012	00652007-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 952 STRATEGIC INCOME PORTFOLIO 15 MONTH SERIES 64	LISLE, IL	10/8/2012	00651966-05	Registered
NORTHERN LIGHTS FUND TR 3 SWAN DEFINED RISK FUND CLASS A	HAUPPAUGE, NY	10/8/2012	00651968-03	Registered
NORTHERN LIGHTS FUND TR 3 SWAN DEFINED RISK FUND CLASS I	HAUPPAUGE, NY	10/8/2012	00651967-03	Registered
CLEARWATER INVESTMENT TR CLEARWATER INTERNATIONAL FUND	SAINT PAUL, MN	10/5/2012	00651879-03	Registered
1ST TR COMBINED SERIES 409 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO 10 20 YEAR SERIES 3	WHEATON, IL	10/4/2012	00651963-05	Pending-Cleared
ADVISORS DISCIPLINED TR 913 BALANCED PORTFOLIO 15 MONTH SERIES 2012 4Q	MONUMENT, CO	10/4/2012	00651945-05	Pending-Cleared
ADVISORS DISCIPLINED TR 914 SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2012 4Q	MONUMENT, CO	10/4/2012	00651942-05	Pending-Cleared

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ADVISORS DISCIPLINED TR 915 GLOBAL COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO 15 MONTH SERIES 2012 4Q	MONUMENT, CO	10/4/2012	00651948-05	Pending-Cleared
ADVISORS DISCIPLINED TR 924 TACTICAL INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2012 4Q	MONUMENT, CO	10/4/2012	00651941-05	Pending-Cleared
ADVISORS DISCIPLINED TR 926 DIVIDEND RULER PORTFOLIO SERIES 2012D	MONUMENT, CO	10/4/2012	00651946-05	Pending-Cleared
ADVISORS DISCIPLINED TR 927 ANGELS PORTFOLIO SERIES 2012 4Q	MONUMENT, CO	10/4/2012	00651947-05	Pending-Cleared
ADVISORS DISCIPLINED TR 955 ATLAS EQUITY STRATEGY PORTFOLIO EUROPE SERIES 2012 4Q	MONUMENT, CO	10/4/2012	00651944-05	Pending-Cleared
FT 3780 DIVERSIFIED EQUITY STRATEGIC ALLOCATION PORT 4Q 12 TERM 1/15/14	WHEATON, IL	10/4/2012	00651935-05	Pending-Cleared
FT 3781 FINANCIALS SELECT PORTFOLIO SERIES 40	WHEATON, IL	10/4/2012	00651964-05	Pending-Cleared
FT 3782 HEALTH CARE SELECT PORTFOLIO SERIES 26	WHEATON, IL	10/4/2012	00651962-05	Pending-Cleared
FT 3783 60 40 STRATEGIC ALLOCATION PORT 4Q 12 TERM 1/16/14	WHEATON, IL	10/4/2012	00651958-05	Pending-Cleared
FT 3783 75 25 STRATEGIC ALLOCATION PORT 4Q 12 TERM 1/16/14	WHEATON, IL	10/4/2012	00651957-05	Pending-Cleared
FT 3786 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 20	WHEATON, IL	10/4/2012	00651959-05	Pending-Cleared
FT 3818 DIVIDEND & INCOME SELECT CLOSED END PORTFOLIO SERIES 27	WHEATON, IL	10/4/2012	00651936-05	Pending-Cleared

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FT 3819 INVESTMENT GRADE SELECT CLOSED END PORTFOLIO SERIES 37	WHEATON, IL	10/4/2012	00651961-05	Pending-Cleared
FT 3842 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 31	WHEATON, IL	10/4/2012	00651965-05	Pending-Cleared
FT 3843 BALANCED INCOME SELECT PORTFOLIO SERIES 31	WHEATON, IL	10/4/2012	00651960-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 954 CONVERTIBLE & INCOME PORTFOLIO OF FUNDS SERIES 16	LISLE, IL	10/4/2012	00651943-05	Pending-Cleared
MAINSTAY FUNDS TR MAINSTAY MARKETFIELD FUND CLASS A	NEW YORK, NY	10/4/2012	00651874-03	Registered
MAINSTAY FUNDS TR MAINSTAY MARKETFIELD FUND CLASS C	NEW YORK, NY	10/4/2012	00651876-03	Registered
MAINSTAY FUNDS TR MAINSTAY MARKETFIELD FUND CLASS I	NEW YORK, NY	10/4/2012	00651875-03	Registered
MAINSTAY FUNDS TR MAINSTAY MARKETFIELD FUND INVESTOR CLASS	NEW YORK, NY	10/4/2012	00651877-03	Registered
SCHRODER GLOBAL SERIES TR SCHRODER GLOBAL QUALITY FUND INSTITUTIONAL SERVICE SHARES	NEW YORK, NY	10/4/2012	00651873-03	Registered
ICON FUNDS ICON INFORMATION TECHNOLOGY FUND CLASS A	CENTENNIAL, CO	10/3/2012	00651730-03	Registered
LEGG MASON PARTNERS INCOME TR WESTERN ASSET SHORT TERM BOND FUND CLASS IS	NEW YORK, NY	10/3/2012	00651756-03	Registered

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Firm Name	Location	Date Received	File Number	Status
WESTERN ASSET FUNDS INC WESTERN ASSET CORE BOND FUND CLASS C1	BALTIMORE, MD	10/3/2012	00651753-03	Registered
WESTERN ASSET FUNDS INC WESTERN ASSET CORE PLUS BOND FUND CLASS C1	BALTIMORE, MD	10/3/2012	00651755-03	Registered
WESTERN ASSET FUNDS INC WESTERN ASSET INFLATION INDEXED PLUS BOND FUND CLASS FI	BALTIMORE, MD	10/3/2012	00651757-03	Registered
WESTERN ASSET FUNDS INC WESTERN ASSET INFLATION INDEXED PLUS BOND FUND CLASS C1	BALTIMORE, MD	10/3/2012	00651754-03	Registered
VAN KAMPEN UNIT TR SERIES 1275 ALLTERNATIVES ALLOCATION PORTFOLIO 2012 4	OAKBROOK TER, IL	10/2/2012	00651929-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1280 HIGH INCOME ALLOCATION PORTFOLIO SERIES 1	OAKBROOK TER, IL	10/2/2012	00651930-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 419 INVESTMENT GRADE INCOME TR 7 PLUS YEAR SERIES 28	OAKBROOK TER, IL	10/2/2012	00651914-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 420 INVESTMENT GRADE INCOME TR 7 PLUS YEAR SERIES 29	OAKBROOK TER, IL	10/2/2012	00651915-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 421 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 33	OAKBROOK TER, IL	10/2/2012	00651916-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 422 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 34	OAKBROOK TER, IL	10/2/2012	00651917-05	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
FT 3779 RICHARD BERNSTEIN ADVISORS QUALITY INCOME PORTFOLIO SERIES 6	WHEATON, IL	10/1/2012	00651714-05	Pending-Cleared
FT 3815 CORE 3 CLOSED END ALLOCATION PORTFOLIO SERIES 2	WHEATON, IL	10/1/2012	00651713-05	Pending-Cleared
FT 3841 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 15	WHEATON, IL	10/1/2012	00651715-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 973 FLAHERTY & CRUMRINE PREFERRED PORTFOLIO SERIES 30	LISLE, IL	10/1/2012	00651709-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1264 DIVIDEND SUSTAINABILITY PORTFOLIO 2012 4	OAKBROOK TER, IL	10/1/2012	00651919-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1264 INTERNATIONAL DIVIDEND SUSTAINABILITY PORTFOLIO 2012 4	OAKBROOK TER, IL	10/1/2012	00651920-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1271 SELECT 10 INDUSTRIAL PORTFOLIO 2012 6	OAKBROOK TER, IL	10/1/2012	00651926-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1272 INFLATION HEDGE PORTFOLIO SERIES 7	OAKBROOK TER, IL	10/1/2012	00651927-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1273 DIVERSIFIED HEALTHCARE PORTFOLIO SERIES 61	OAKBROOK TER, IL	10/1/2012	00651922-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1273 ENERGY PORTFOLIO SERIES 44	OAKBROOK TER, IL	10/1/2012	00651923-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1273 FINANCIAL INSTITUTIONS PORTFOLIO SERIES 56	OAKBROOK TER, IL	10/1/2012	00651924-05	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 SERIES 1273 REIT INCOME PORTFOLIO 2012 4	OAKBROOK TER, IL	10/1/2012	00651921-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1273 UTILITY INCOME PORTFOLIO SERIES 41	OAKBROOK TER, IL	10/1/2012	00651925-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1274 DOW JONES LARGE CAP GROWTH STRATEGIES 2014 4	OAKBROOK TER, IL	10/1/2012	00651928-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 423 GNMA INCOME PORTFOLIO SERIES 11	OAKBROOK TER, IL	10/1/2012	00651918-05	Pending-Cleared
Number of Investment Company Filings: 64				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BASCOM VALUE ADDED APARTMENT INVESTORS LLC	IRVINE, CA	10/4/2012	00651955-07	Filed
HUBBELL REALTY CO	WEST DES MOINES, IA	10/4/2012	00651953-07	Filed
LTC ACQUISITION FINANCE LLC	FAIRFIELD, CT	10/4/2012	00651954-07	Filed
BRAUVIN NET INVESTMENTS INC	CHICAGO, IL	10/3/2012	00651731-07	Filed
KEYEDIN SOLUTIONS HOLDINGS INC	MINNEAPOLIS, MN	10/3/2012	00651733-07	Filed
WOODSTOCK HOLDINGS INC	WOODSTOCK, GA	10/3/2012	00651732-07	Filed
GREAT POINT PARTNERS 2 LP	GREENWICH, CT	10/2/2012	00651933-07	Filed
WILSHIRE DIVERSIFIED MAP FUND LLC	SANTA MONICA, CA	10/2/2012	00651932-07	Filed

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Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ALTERNATIVE STRATEGIES PRIVATE EQUITY PLATFORM LLC BLACKROCK SPECIAL CREDIT OPPORTUNITIES ASP FUND	CHARLOTTE, NC	10/1/2012	00651711-07	Filed
BLACK GOLD INDUSTRIES LLC	ARLINGTON, TX	10/1/2012	00651934-07	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
Ram Jack Systems Distribution, LLC / Ram Jack Foundation Solutions	Ada, OK	10/12/2012	604845	Registered
BFK Franchise Company, LLC / Bricks 4 Kidz	St.Augustine, FL	10/12/2012	604832	Registered
PB Franchising, LLC / Pure Barre	Spartanburg, SC	10/11/2012	604830	Registered
AERUS FRANCHISING, LLC	DALLAS, TX	10/11/2012	604829	Registered
Great Play Franchising LLC	Stamford, CT	10/10/2012	604838	Registered
Pieology Franchise LLC	Rancho Santa Margarita, CA	10/10/2012	604839	Registered
Teriyaki Madness LLC	Greenwood Village, CO	10/10/2012	604840	Registered
InShape MD Franchising, LLC. / InShape MD Weight Loss Clinic	Duluth, GA	10/9/2012	604826	Registered
Target Metabolism Franchising LLC	Greenwood, IN	10/9/2012	604833	Registered
ALLOVER MEDIA FRANCHISING INC	Minneapolis, MN	10/5/2012	604824	Registered
ANY TEST FRANCHISING INC / ANY LAB TEST NOW	ALPHARETTA, GA	10/4/2012	604794	Registered
US LAWNS INC	ORLANDO, FL	10/4/2012	604818	Registered
Hofbrauhaus of America LLC	Vassar, MI	10/2/2012	604815	Registered
Renew Crew Franchising Corp	Richmond, VA	10/2/2012	604816	Registered
RPC Acquisition Corp. / PRO-Cuts (Classic)	Minneapolis, MN	10/1/2012	604777	Registered
The Barbers, Hairstyling for Men & Women, Inc. / COST CUTTERS	Minneapolis, MN	10/1/2012	604776	Registered
5 STAR PAINTING INC	Spanish Fork, UT	10/1/2012	604817	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
AQUA2 ACQUISITION INC / Drive N Style	CHARLOTTE, NC	10/1/2012	604789	Registered
COFFEE BEANERY LTD	FLUSHING, MI	10/1/2012	604788	Registered
ECONO LUBE N TUNE INC	CHARLOTTE, NC	10/1/2012	604785	Registered
LINE X FRANCHISING LLC	HUNTSVILLE, AL	10/1/2012	604792	Registered
MAACO Franchising, Inc.	CHARLOTTE, NC	10/1/2012	604786	Registered
MEINEKE CAR CARE CENTERS INC	CHARLOTTE, NC	10/1/2012	604782	Registered
Number of Franchise Filings: 23				

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