

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 10/8/2012 through 10/19/2012**

<b>Securities Law Registration Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
<b>Number of Registration Filings: 0</b>				

<b>Securities Law Exemption Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
<b>Number of Exemption Filings: 0</b>				

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
FT 3787 SELECT DSIP PORTFOLIO 4TH QTR 2012 SERIES	WHEATON, IL	10/15/2012	00652275-05	Pending-Cleared
FT 3788 UTILITIES SELECT PORTFOLIO SERIES 23	WHEATON, IL	10/15/2012	00652327-05	Pending-Cleared
FT 3820 HIGH YIELD CORPORATE TR SHORT INTERMEDIATE SERIES 7	WHEATON, IL	10/15/2012	00652273-05	Pending-Cleared
FT 3821 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 38	WHEATON, IL	10/15/2012	00652326-05	Pending-Cleared
FT 3856 HIGH YIELD INCOME CLOSED END PORTFOLIO SERIES 54	WHEATON, IL	10/15/2012	00652274-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 955 GUGGENHEIM INFLATION DEFENSE & DIVIDEND PORTFOLIO SERIES 9	LISLE, IL	10/15/2012	00652276-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 955 GUGGENHEIM US HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 6	LISLE, IL	10/15/2012	00652277-05	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
GUGGENHEIM DEFINED PORTFOLIOS SERIES 955 GUGGENHEIM US SMID HIGH INCOME DIVIDEND STRATEGY PORTFOLIO SERIES 6	LISLE, IL	10/15/2012	00652278-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 956 CANADIAN ENERGY & INCOME PORTFOLIO SERIES 27	LISLE, IL	10/15/2012	00652325-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 962 GLOBAL BALANCED INCOME BUILDER PORTFOLIO SERIES 1	LISLE, IL	10/15/2012	00652324-05	Pending-Cleared
INCAPITAL UNIT TR SERIES 10 MIST NEXT 4 PORTFOLIO SERIES 1	CHICAGO, IL	10/15/2012	00652272-05	Pending-Cleared
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
GUGGENHEIM DEFINED PORTFOLIOS SERIES 957 GUGGENHEIM REIT PORTFOLIO SERIES 7	LISLE, IL	10/11/2012	00652270-05	Pending-Cleared
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
SMART TR DYNAMIC SECTOR INCOME TR SERIES 4	PARSIPPANY, NJ	10/11/2012	00652271-05	Pending-Cleared
UNIFIED SERIES TR ROOSEVELT MULTI CAP FUND INSTITUTIONAL CLASS	INDIANAPOLIS, IN	10/11/2012	00652144-03	Pending-Cleared
ADVISORS DISCIPLINED TR 911 GLOBAL GOLD INCOME PORTFOLIO SERIES 2012 4Q SMC PORTFOLIO	MONUMENT, CO	10/10/2012	00652048-05	Pending-Cleared
ADVISORS DISCIPLINED TR 912 DIVIDEND RULER COVERED CALL PORTFOLIO SERIES 2012 4Q	MONUMENT, CO	10/10/2012	00652047-05	Pending-Cleared
ADVISORS DISCIPLINED TR 943 ADVISORS CORP TR VAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 61	MONUMENT, CO	10/10/2012	00652049-05	Pending-Cleared
FT 3853 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 46	WHEATON, IL	10/10/2012	00652051-05	Pending-Cleared
RIVERNORTH FUNDS RIVERNORTH DYNAMIC BUY WRITE FUND CLASS R	CHICAGO, IL	10/10/2012	00652007-03	Registered
WALTHAUSEN FUNDS WALTHAUSEN SELECT VALUE FUND INVESTOR CLASS	CLIFTON PARK, NY	10/10/2012	00652056-03	Registered

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WALTHAUSEN FUNDS WALTHAUSEN SELECT VALUE FUND RETAIL CLASS	CLIFTON PARK, NY	10/10/2012	00652055-03	Registered
ADVISORS DISCIPLINED TR 969 BRAND FAVORITES FOCUS PORTFOLIO SERIES 2012 4Q	MONUMENT, CO	10/9/2012	00652157-05	Pending-Cleared
FT 3784 DIVERSIFIED FIXED INCOME ETF PORTFOLIO SERIES 11	WHEATON, IL	10/9/2012	00652162-05	Pending-Cleared
FT 3785 EQUITY INCOME SELECT PORTFOLIO SERIES 33	WHEATON, IL	10/9/2012	00652163-05	Pending-Cleared
FT 3855 STRATEGIC INCOME SELECT CLOSED END PORTFOLIO SERIES 10	WHEATON, IL	10/9/2012	00652165-05	Pending-Cleared
GUGGENHIEM DEFINED PORTFOLIOS SERIES 953 MULTIPLE ASSET PORTFOLIO PLUS SERIES 43	LISLE, IL	10/9/2012	00652167-05	Pending-Cleared
GUGGENHIEM DEFINED PORTFOLIOS SERIES 953 STRATEGIC INCOME PORTFOLIO SERIES 67	LISLE, IL	10/9/2012	00652168-05	Pending-Cleared
OPPENHEIMER GOLD & SPECIAL MINERALS FUND CLASS I	DENVER, CO	10/9/2012	00652161-03	Pending-Cleared
OPPENHEIMER MAIN STREET SMALL & MID CAP FUND CLASS I	DENVER, CO	10/9/2012	00652160-03	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1127 INVESTOR QUALITY TX EX TR SERIES 173	OAKBROOK TER, IL	10/9/2012	00652174-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1128 INVESTOR QUALITY TX EX TR SERIES 174	OAKBROOK TER, IL	10/9/2012	00652173-05	Pending-Cleared

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<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
VAN KAMPEN UNIT TR SERIES 1276 PREFERRED OPPORTUNITY SERIES 20	OAKBROOK TER, IL	10/9/2012	00652175-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1277 GLOBAL HIGH DIVIDEND PORTFOLIO 2012 4	OAKBROOK TER, IL	10/9/2012	00652176-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1279 CONSERVATIVE INCOME ALLOCATION PORTFOLIO SERIES 14	OAKBROOK TER, IL	10/9/2012	00652177-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 424 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 34	OAKBROOK TER, IL	10/9/2012	00652170-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 425 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 35	OAKBROOK TER, IL	10/9/2012	00652169-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 426 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 36	OAKBROOK TER, IL	10/9/2012	00652172-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 427 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 37	OAKBROOK TER, IL	10/9/2012	00652171-05	Pending-Cleared
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
<b>Number of Investment Company Filings: 49</b>				

**All Securities Law, Franchise Law, and Take-Over Law Filings  
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<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
COMMONFUND STRATEGIC SOLUTIONS REAL ESTATE OPPORTUNITY FUND 2011 LP	CLEVELAND, OH	10/15/2012	00652328-07	Filed
DOUBLELINE LEVERAGED FUND LTD	LOS ANGELES, CA	10/15/2012	00652320-07	Filed
ECHO REALTY VENTURE LP	PITTSBURGH, PA	10/15/2012	00652321-07	Filed
LC RIMROCK LP	LOS ANGELES, CA	10/15/2012	00652323-07	Filed
MAGNITUDE INSTITUTIONAL LTD	GRAND CAYMAN, AK	10/15/2012	00652319-07	Filed
SINGLE TOUCH SYSTEMS INC	ENCINITAS, CA	10/15/2012	00652322-07	Filed
COMBIMATRIX CORP	IRVINE, CA	10/12/2012	00652281-07	Filed
FABCAB INC	SEATTLE, WA	10/12/2012	00652279-07	Filed
SAB VALUE OPPORTUNITIES FUND LP	SAN ANTONIO, TX	10/12/2012	00652280-07	Filed
BROADBAND PROPERTIES INC	LAS VEGAS, NV	10/11/2012	00652303-07	Filed
FREEDOM HEALTH HOLDINGS LLC	DOVER, MA	10/11/2012	00652269-07	Filed
GEOSPHERE FUND LP	NEW YORK, NY	10/11/2012	00652267-07	Filed
SHIBUMI COM INC	SAN FRANCISCO, CA	10/11/2012	00652268-07	Filed
WAUPACA BANCORP INC	WAUPACA, WI	10/11/2012	00652302-07	Filed
MY HEALTH DIRECT INC	BROOKFIELD, WI	10/10/2012	00652046-07	Filed
RAM REALTY PARTNERS 3 LP	PALM BEACH GARDENS, FL	10/10/2012	00652053-07	Filed
RK MINE FINANCE FUND 2 LP	PEMBROKE, AK	10/10/2012	00652054-07	Filed
BREP 7 COMMERCIAL REAL ESTATE TR	NEW YORK, NY	10/9/2012	00652166-07	Filed

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<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
TIDAL PETROLEUM INC	SCHERTZ, TX	10/9/2012	00652164-07	Filed
<b>Number of Regulation D Notice Filings: 19</b>				

<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
1ST WATCH FRANCHISE DEVELOPMENT CO / First Watch Restaurants	BRADENTON, FL	10/17/2012	604857	Registered
Pie 5 Pizza Co., Inc. / Pie 5 Restaurant	The Colony, TX	10/17/2012	604858	Registered
INTERIM HEALTHCARE INC	SUNRISE, FL	10/16/2012	604855	Registered
AlphaGraphics, Inc. / AlphaGraphics	Salt Lake City, UT	10/15/2012	604852	Registered
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
Fannie Mae Franchise	North Canton, OH	10/12/2012	604847	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
<b>Number of Franchise Filings: 14</b>				

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