

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 10/15/2012 through 10/26/2012**

<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>
APPLIED MEDICAL CORP	RANCHO SANTA MARGARITA, CA	10/18/2012	00652467-01	Pending
<b>Number of Registration Filings: 1</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>
PIMCO FUNDS PIMCO MORTGAGE OPPORTUNITIES FUND CLASS A	NEWPORT BEACH, CA	10/19/2012	00652364-03	Registered
PIMCO FUNDS PIMCO MORTGAGE OPPORTUNITIES FUND CLASS C	NEWPORT BEACH, CA	10/19/2012	00652366-03	Registered
PIMCO FUNDS PIMCO MORTGAGE OPPORTUNITIES FUND CLASS D	NEWPORT BEACH, CA	10/19/2012	00652368-03	Registered
PIMCO FUNDS PIMCO MORTGAGE OPPORTUNITIES FUND CLASS P	NEWPORT BEACH, CA	10/19/2012	00652367-03	Registered
PIMCO FUNDS PIMCO MORTGAGE OPPORTUNITIES FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	10/19/2012	00652365-03	Registered
ADVISORS DISCIPLINED TR 925 GLOBAL INFLATION GROWTH PORTFOLIO SERIES 2012 2	MONUMENT, CO	10/18/2012	00652473-05	Pending-Cleared
ADVISORS DISCIPLINED TR 944 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 62	MONUMENT, CO	10/18/2012	00652472-05	Pending-Cleared

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ADVISORS DISCIPLINED TR 965 STEELPATH ALERIAN MLP & INCOME PORTFOLIO SERIES 2012 3	MONUMENT, CO	10/18/2012	00652474-05	Pending-Cleared
FT 3789 DIVIDEND STRENGTH PORTFOLIO SERIES 16	WHEATON, IL	10/18/2012	00652480-05	Pending-Cleared
FT 3791 GLOBAL DIVIDEND PORTFOLIO SERIES 31	WHEATON, IL	10/18/2012	00652479-05	Pending-Cleared
FT 3792 STRATEGIC DIVIDEND SELECT PORTFOLIO SERIES 7	WHEATON, IL	10/18/2012	00652483-05	Pending-Cleared
FT 3845 MUNICIPAL ADVANTAGE CLOSED END & ETF PORTFOLIO SERIES 16	WHEATON, IL	10/18/2012	00652476-05	Pending-Cleared
FT 3846 RICHARD BERNSTEIN TACTICAL SERIES AMERICAN INDUSTRIAL RENAISSANCE 2012 2	WHEATON, IL	10/18/2012	00652478-05	Pending-Cleared
FT 3849 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 46	WHEATON, IL	10/18/2012	00652481-05	Pending-Cleared
FT 3857 GLOBAL BOND INCOME PLUS CLOSED END PORTFOLIO SERIES 28	WHEATON, IL	10/18/2012	00652477-05	Pending-Cleared
FT 3860 EUROPEAN DEEP VALUE SUB 10 DIVIDEND PORTFOLIO SERIES 3	WHEATON, IL	10/18/2012	00652482-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIO SERIES 929 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 20	LISLE, IL	10/18/2012	00652475-05	Pending-Cleared
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

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
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
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
<b>Number of Investment Company Filings: 28</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>
COTTONWOOD RESIDENTIAL OP LP	SALT LAKE CITY, UT	10/18/2012	00652470-07	Filed
ENDURANCE LENDING NETWORK INC	SAN FRANCISCO, CA	10/18/2012	00652469-07	Filed
P2 CAPITAL MASTER FUND 7 LP	NEW YORK, NY	10/18/2012	00652471-07	Filed
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
<b>Number of Regulation D Notice Filings: 9</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>
Fox's Pizza Den, Inc.	Murrysville, PA	10/24/2012	604867	Registered
Options For Senior America Franchising Company / Options For Senior America Franchise	Bethesda, MD	10/23/2012	604866	Registered
Smiling Moose Deli Franchise Company / Smiling Moose Deli	Boulder, CO	10/22/2012	604862	Registered
1 800 GOT JUNK LLC	Valley Center, KS	10/22/2012	604880	Registered
CGI INTERNATIONAL INC / COLOR GLO INTERNATIONAL	EDINA, MN	10/18/2012	604870	Registered
LA TAN ENTERPRISES INC	LINCOLNWOOD, IL	10/18/2012	604872	Registered

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1ST WATCH FRANCHISE DEVELOPMENT CO / First Watch Restaurants	BRADENTON, FL	10/17/2012	604857	Registered
CHOO CHOO JOHNNYS FRANCHISE INC	FRANKFORT, IL	10/17/2012	604863	Registered
Mazzio's, LLC	Tulsa, OK	10/17/2012	604865	Registered
Pie 5 Pizza Co., Inc. / Pie 5 Restaurant	The Colony, TX	10/17/2012	604858	Registered
TT&B INC / Brilliant Sky Toys & Books	Okemos, MI	10/17/2012	604864	Registered
INTERIM HEALTHCARE INC	SUNRISE, FL	10/16/2012	604855	Registered
AlphaGraphics, Inc. / AlphaGraphics	Salt Lake City, UT	10/15/2012	604852	Registered
<b>Number of Franchise Filings: 13</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>	