

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/22/2012 through 11/2/2012**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
KKR ALTERNATIVE CORPORATE OPPORTUNITIES FUND	SAN FRANCISCO, CA	10/30/2012	00654094-01	Registered
KKR ALTERNATIVE CORPORATE OPPORTUNITIES FUND P	SAN FRANCISCO, CA	10/30/2012	00654095-01	Registered
CHRISTS OASIS MINISTRIES INC	CHICAGO, IL	10/29/2012	00653048-02	Pending
FS INVESTMENT CORP 2 FOLLOW ON	PHILADELPHIA, PA	10/24/2012	00653017-01	Pending
UNITED DEVELOPMENT FUNDING 4	GRAPEVINE, TX	10/24/2012	00653019-01	Pending
RESOURCE REAL ESTATE OPPORTUNITY REIT 2 INC	PHILADELPHIA, PA	10/23/2012	00652863-01	Pending
AMERICAN BAPTIST EXTENSION CORP	KING OF PRUSSIA, PA	10/22/2012	00652893-02	Pending
AMERICAN BAPTIST EXTENSION CORP	KING OF PRUSSIA, PA	10/22/2012	00652892-02	Pending
FS ENERGY & POWER FUND FOLLOW ON	PHILADELPHIA, PA	10/22/2012	00653009-01	Pending
Number of Registration Filings: 9				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GRAND FORKS ND COUNTY OF \$2 000 000 NURSING FACILITY REVENUE BONDS VALLEY HOMES & SERVICES SERIES 2012	MINNEAPOLIS, MN	10/26/2012	00653015-08	Not Disallowed
OLD FORT BAPTIST CHURCH	SUMMERVILLE, SC	10/24/2012	00653016-08	Pending
Number of Exemption Filings: 2				

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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
1ST TR COMBINED SERIES 410 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO INTERMEDIATE SERIES	WHEATON, IL	10/31/2012	00653068-05	Pending-Cleared
ADVISORS SERIES TR SHENKMAN SHORT DURATION HIGH INCOME FUND INSTUTUTIONAL CLASS	MILWAUKEE, WI	10/31/2012	00653082-03	Registered
ADVISORS SERIES TR SHENKMAN SHORT DURATION HIGH INCOME FUND CLASS A	MILWAUKEE, WI	10/31/2012	00653081-03	Registered
FT 3837 HIGH DIVIDEND EQUITY ALLOCATION PORTFOLIO SERIES 5	WHEATON, IL	10/31/2012	00653070-05	Pending-Cleared
FT 3852 GLOBAL EQUITY INCOME CLOSED END PORTFOLIO SERIES 26	WHEATON, IL	10/31/2012	00653071-05	Pending-Cleared
FT 3863 INTEREST RATE HEDGE PORTFOLIO SERIES 57	WHEATON, IL	10/31/2012	00653069-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 961 US LOW VOLITILITY STRATEGY PORTFOLIO SERIES 1	LISLE, IL	10/31/2012	00653073-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 989 SENIOR LOAN & INCOME PORTFOLIO OF CEFS SERIES 20	LISLE, IL	10/31/2012	00653072-05	Pending-Cleared
MFS SERIES TR 16 MFS GLOBAL MULTI ASSET FUND CLASS R5 SHARES	BOSTON, MA	10/31/2012	00654098-03	Pending-Cleared
PROFESSIONALLY MANAGED PORTFOLIOS CONGRESS ALL CAP OPPORTUNITY FUND RETAIL CLASS	MILWAUKEE, WI	10/31/2012	00653079-03	Registered

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PROFESSIONALLY MANAGED PORTFOLIOS CONGRESS ALL CAP OPPORTUNITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	10/31/2012	00653080-03	Registered
PROFESSIONALLY MANAGED PORTFOLIOS CONGRESS MID CAP GROWTH FUND RETAIL CLASS	MILWAUKEE, WI	10/31/2012	00653077-03	Registered
PROFESSIONALLY MANAGED PORTFOLIOS CONGRESS MID CAP GROWTH FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	10/31/2012	00653078-03	Registered
BOSTON TR & WALDEN FUNDS WALDEN SMID CAP INNOVATIONS FUND	COLUMBUS, OH	10/29/2012	00654084-03	Registered
FT 3826 DEEP VALUE SUB 10 DIVIDEND PORTFOLIO SERIES 6	WHEATON, IL	10/29/2012	00653053-05	Pending-Cleared
FT 3835 DIVERSIFIED INCOME & GROWTH PORTFOLIO WINTER 2012 SERIES	WHEATON, IL	10/29/2012	00653057-05	Pending-Cleared
FT 3851 STRATEGIC INCOME CLOSED END PORTFOLIO SERIES 44	WHEATON, IL	10/29/2012	00653055-05	Pending-Cleared
FT 3884 BALANCED INCOME PORTFOLIO SERIES 37	WHEATON, IL	10/29/2012	00653056-05	Pending-Cleared
FT 3885 STRATEGIC INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 12	WHEATON, IL	10/29/2012	00653054-05	Pending-Cleared
MUTUAL FUND SERIES TR SIGNALPOINT GLOBAL ALPHA FUND CLASS A	SMITHTOWN, NY	10/29/2012	00653061-03	Registered
MUTUAL FUND SERIES TR SIGNALPOINT GLOBAL ALPHA FUND CLASS C	SMITHTOWN, NY	10/29/2012	00653060-03	Registered
NORTHERN LIGHTS FUND TR FX STRATEGY FUND CLASS I SHARES	SMITHTOWN, NY	10/29/2012	00653062-03	Registered

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SARATOGA ADVANTAGE TR JAMES ALPHA GLOBAL ENHANCED REAL RETURN PORTFOLIO CLASS I SHARES	SMITHTOWN, NY	10/29/2012	00653063-03	Registered
CALVERT WORLD VALUES FUND INC CALVERT EMERGING MARKETS EQUITY FUND CLASS Y	BETHESDA, MD	10/26/2012	00653010-03	Pending-Cleared
CALVERT WORLD VALUES FUND INC CALVERT EMERGING MARKETS EQUITY FUND CLASS A	BETHESDA, MD	10/26/2012	00653013-03	Pending-Cleared
CALVERT WORLD VALUES FUND INC CALVERT EMERGING MARKETS EQUITY FUND CLASS I	BETHESDA, MD	10/26/2012	00653011-03	Pending-Cleared
CALVERT WORLD VALUES FUND INC CALVERT EMERGING MARKETS EQUITY FUND CLASS C	BETHESDA, MD	10/26/2012	00653012-03	Pending-Cleared
FT 3769 INCOME ALLOCATION CLOSED END NOV 12	WHEATON, IL	10/25/2012	00653035-05	Pending-Cleared
FT 3770 DOW FOCUS 4 NOV 12 TERM 12/9/14	WHEATON, IL	10/25/2012	00653039-05	Pending-Cleared
FT 3770 DOW TARGET 10 NOV 12 TERM 12/9/13	WHEATON, IL	10/25/2012	00653040-05	Pending-Cleared
FT 3770 TARGET TRIAD NOV 12 TERM 2/7/12	WHEATON, IL	10/25/2012	00653041-05	Pending-Cleared
FT 3770 TARGET VIP NOV 12 TERM 2/7/12	WHEATON, IL	10/25/2012	00653042-05	Pending-Cleared
FT 3823 GLOBAL BOND FUND CLOSED END PORTFOLIO SERIES 8	WHEATON, IL	10/25/2012	00653031-05	Pending-Cleared
FT 3824 EQUITY INCOME PORTFOLIO SERIES 36	WHEATON, IL	10/25/2012	00653036-05	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 3825 MARKET STRENGTH ALLOCATION SELECT PORTFOLIO SERIES 7	WHEATON, IL	10/25/2012	00653030-05	Pending-Cleared
FT 3827 GLOBAL AGRICULTURE PORTFOLIO SERIES 22	WHEATON, IL	10/25/2012	00653037-05	Pending-Cleared
FT 3831 GLOBAL COMMODITIES PORTFOLIO SEIES 21	WHEATON, IL	10/25/2012	00653029-05	Pending-Cleared
FT 3833 MARKET STRENGTH ALLOCATION PLUS PORTFOLIO SERIES 13	WHEATON, IL	10/25/2012	00653038-05	Pending-Cleared
FT 3834 TECHNOLOGY SELECT PORTFOLIO SEIES 46	WHEATON, IL	10/25/2012	00653028-05	Pending-Cleared
FT 3850 MULTI SECTOR INCOME PORTFOLIO SERIES 11	WHEATON, IL	10/25/2012	00653032-05	Pending-Cleared
FT 3867 CORE 3 CLOSED END ALLOCATION PORTFOLIO SERIES 3	WHEATON, IL	10/25/2012	00653034-05	Pending-Cleared
FT 3871 INVESTMENT GRADE SELECT CLOSED END PORTFOLIO SERIES 38	WHEATON, IL	10/25/2012	00653033-05	Pending-Cleared
PRICE T ROWE SHORT TERM BOND FUND INC PRICE T ROWE ULTRA SHORT TERM BOND FUND	BALTIMORE, MD	10/25/2012	00653026-03	Pending-Cleared
PRICE T ROWE TX FREE SHORT INTERMEDIATE FUND PRICE INC PTRTF ULTRA SHORT TERM BOND FUND	BALTIMORE, MD	10/25/2012	00653027-03	Pending-Cleared
PRUDENTIAL INVESTMENT PORTFOLIOS INC 15 PRUDENTIAL SHORT DURATION HIGH YIELD INCOME FUND CLASS Z	NEWARK, NJ	10/24/2012	00652565-03	Registered

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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
PRUDENTIAL INVESTMENT PORTFOLIOS INC 15 PRUDENTIAL SHORT DURATION HIGH YIELD INCOME FUND CLASS C	NEWARK, NJ	10/24/2012	00652564-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS INC 15 PRUDENTIAL SHORT DURATION HIGH YIELD INCOME FUND CLASS A	NEWARK, NJ	10/24/2012	00652563-03	Registered
FT 3822 MEGA CAP PORTFOLIO SERIES 25	WHEATON, IL	10/23/2012	00652861-05	Pending-Cleared
FT 3859 CAPITAL STRENGTH BUY WRITE PORTFOLIO SERIES 2	WHEATON, IL	10/23/2012	00652862-05	Pending-Cleared
FT 3859 CAPITAL STRENGTH BUY WRITE PORTFOLIO SERIES 2	WHEATON, IL	10/23/2012	00652864-05	Pending-Cleared
FT 3861 MUNICIPAL INCOME CLOSED END PORTFOLIO SERIES 52	WHEATON, IL	10/23/2012	00652865-05	Pending-Cleared
MERCER FUNDS MERCER GLOBAL LOWVOLITILITY EQUITY FUND CLASS Y 3	NEW YORK, NY	10/23/2012	00652866-03	Registered
SMART TR CAPITAL INNOVATIONS GLOBAL INFRASTRUCTURE & MLP TR SERIES 1	PARSIPPANY, NJ	10/23/2012	00652843-05	Pending-Cleared
SMART TR TX FREE INCOME TR SERIES 12	PARSIPPANY, NJ	10/23/2012	00652842-05	Pending-Cleared
SMART TR VALUE ARCHITECTS DISCIPLINED CORE PORTFOLIO TR SERIES 5	PARSIPPANY, NJ	10/23/2012	00652844-05	Pending-Cleared
FT 3790 DORSEY WRIGHT RELATIVE STRENGTH DIVIDEND PORTFOLIO SERIES 7	WHEATON, IL	10/22/2012	00652921-05	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
GUGGENHEIM DEFINED PORTFOLIOS SERIES 958 MULTINATIONAL TITANS PORTFOLIO SERIES 3	LISLE, IL	10/22/2012	00652923-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 958 PRECIOUS METALS & MINERS PORTFOLIO SERIES 3	LISLE, IL	10/22/2012	00652922-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 958 TECHNOLOGY PORTFOLIO SERIES 11	LISLE, IL	10/22/2012	00652924-05	Pending-Cleared
NORTHERN LIGHTS FUND TR ASTOR LONG SHORT ETF FUND CLASS A	HAUPPAUGE, NY	10/22/2012	00652963-03	Registered
OPPENHEIMER SENIOR FLOATING RATE FUND CLASS I SHARES	DENVER, CO	10/22/2012	00653007-03	Pending-Cleared
OPPENHEIMER SENIOR FLOATING RATE FUND CLASS N SHARES	DENVER, CO	10/22/2012	00653008-03	Pending-Cleared
Number of Investment Company Filings: 62				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
1ST GREEN PARTNERS LLC	MINNEAPOLIS, MN	10/31/2012	00653065-07	Filed
2012 GALVESTON BAY DRILLING PROGRAM LP	BOWLING GREEN, KY	10/31/2012	00653076-07	Filed
INFINITY RESOURCES HOLDINGS CORP	SCOTTSDALE, AZ	10/31/2012	00653067-07	Filed
LUMINOUS CAPITAL GLOBAL CREDIT OPPORTUNITIES FUND LP	LOS ANGELES, CA	10/31/2012	00653066-07	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
LIONSHARE VENTURES LLC	BOSTON, MA	10/29/2012	00653049-07	Filed
ABRY SENIOR EQUITY 4 LP	BOSTON, MA	10/25/2012	00653044-07	Filed
ALTERNITY CAPITAL OFFERING 6 LLC	ENGLEWOOD, CO	10/25/2012	00653043-07	Filed
MORGAN STANLEY SMITH BARNEY PROVIDENCE EQUITY PARTNERS 7 ONSHORE FEEDER FUND LP	NEW YORK, NY	10/25/2012	00653045-07	Filed
SNEAKZ LLC	DENVER, CO	10/24/2012	00653018-07	Filed
RCP SECONDARY OPPORTUNITY FUND 2 LP	CHICAGO, IL	10/23/2012	00652860-07	Filed
LET IT FLOW LP	SEDONA, AZ	10/22/2012	00653006-07	Filed
Number of Regulation D Notice Filings: 11				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
The Dentist's Choice, Inc.	Incline Village, NV	11/2/2012	604928	Registered
The Senior's Choice, Inc.	Incline Village, NV	11/1/2012	604926	Registered
Home Options Network LLC	Deerfield, IL	10/31/2012	604917	Registered
Aero-Colours Inc	CHARLOTTE, NC	10/31/2012	604922	Registered
AQUA2 ACQUISITIONS INC / AutoQual	CHARLOTTE, NC	10/31/2012	604920	Registered
INFINIUM REALTY GROUP INC / Help-U-Sell Real Estate	SARASOTA, FL	10/30/2012	604911	Registered
ARTHUR MURRAY INTERNATIONAL INC	CORAL GABLES, FL	10/30/2012	604924	Registered
Fabulous Floors Franchise, LLC	Mentor, OH	10/30/2012	604923	Registered
Sixt Franchise USA, LLC / Sixt Rent A Car	Fort Lauderdale, FL	10/29/2012	604925	Registered
AGILE PURSUITS FRANCHISING INC / Mr. Clean Car Wash Program	CINCINNATI, OH	10/26/2012	604901	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
AGILE PURSUITS FRANCHISING INC / Tide Dry Cleaners	CINCINNATI, OH	10/26/2012	604904	Registered
FANTASTIC SAMS SALONS CORP	BEVERLY, MA	10/26/2012	604909	Registered
FLOWERAMA OF AMERICA INC	Cedar Falls, IA	10/26/2012	604907	Registered
GLORIA JEANS GOURMET COFFEES FRANCHISING CORP	IRVINE, CA	10/25/2012	604889	Registered
Fox's Pizza Den, Inc.	Murrysville, PA	10/24/2012	604867	Registered
HTBH, LLC / DOGTOPIA	Vienna, VA	10/24/2012	604887	Registered
MISS UNIVERSE LP LLLP / Miss Universe, Miss Universie Organization, Miss USA	NEW YORK, NY	10/24/2012	604886	Registered
MISS UNIVERSE LP LLLP / Miss Teen USA	NEW YORK, NY	10/24/2012	604885	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
Number of Franchise Filings: 21				

Corporate Take-Over Law Filings Made with DFI's Securities Division	
Takeover Filing Reference	Date Received
UNSOLICITED TENDER OFFER	10/29/2012
Number of Takeover Filings: 1	