

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 10/29/2012 through 11/9/2012**

<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>
AMERICAN REALTY CAPITAL HEALTHCARE TR 2 INC	NEW YORK, NY	11/6/2012	00655143-01	Pending
WESTERN ASSET MIDDLE MARKET DEBT FUND INC	NEW YORK, NY	11/6/2012	00654705-01	Pending-Cleared
GLOBAL GROWTH TR INC FOLLOW ON	ORLANDO, FL	11/5/2012	00655163-01	Pending
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
<b>Number of Registration Filings: 6</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>
MD HEALTH & HIGHER EDUCATIONAL FACILITIES AUTH ANNE ARUNDEL HEALTH SYSTEM ISSUE SERIES 2012	BALTIMORE, MD	11/6/2012	00655193-08	Pending
<b>Number of Exemption Filings: 1</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>
STADION INVESTMENT TR STADION TRILOGY FUND CLASS I	CINCINNATI, OH	11/7/2012	00655195-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
1ST TR COMBINED SERIES 344 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO 10 20 YEAR SERIES 4	WHEATON, IL	11/6/2012	00655150-05	Pending-Cleared
ADVISORS DISCIPLINED TR 890 INFLATION INCOME STRATEGY PORTFOLIO SERIES 2012 2	MONUMENT, CO	11/6/2012	00655151-05	Pending-Cleared
ADVISORS DISCIPLINED TR 934 STRATEGIC FOUNDATIONS OF GROWTH PORTFOLIO SERIES 2012 2	MONUMENT, CO	11/6/2012	00655147-05	Pending-Cleared
ADVISORS DISCIPLINED TR 936 DOW VALUE 10 PORTFOLIO SERIES 2012 4Q	MONUMENT, CO	11/6/2012	00655148-05	Pending-Cleared
ADVISORS DISCIPLINED TR 938 INTERNATIONAL HIGH 30 DIVIDEND PORTFOLIO SERIES 2012 4Q	MONUMENT, CO	11/6/2012	00655153-05	Pending-Cleared
DAILY INCOME FUND US GOVERNMENT PORTFOLIO INSTITUTIONAL SERVICE CLASS SHARES	NEW YORK, NY	11/6/2012	00654704-03	Registered
FT 2729 UBS ELECTION STRATEGY PORTFOLIO 2012 BLUE	WHEATON, IL	11/6/2012	00655158-05	Pending-Cleared
FT 2730 UBS ELECTION STRATEGY PORTFOLIO 2012 RED	WHEATON, IL	11/6/2012	00655149-05	Pending-Cleared
FT 3838 HIGH DIVIDEND EQUITY PORTFOLIO SERIES 12	WHEATON, IL	11/6/2012	00655155-05	Pending-Cleared
FT 3864 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 26	WHEATON, IL	11/6/2012	00655157-05	Pending-Cleared
FT 3869 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 33	WHEATON, IL	11/6/2012	00655156-05	Pending-Cleared

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FT 3873 STRETIGIC INCOME ADVATAGE SELECT CLOSED END PORTFOLIO SERIES 33	WHEATON, IL	11/6/2012	00655145-05	Pending-Cleared
FT 3877 TACTICAL INCOME PORTFOLIO SERIES 16	WHEATON, IL	11/6/2012	00655154-05	Pending-Cleared
FT 3879 PREFERRED INCOME PORTFOLIO SERIES 58	WHEATON, IL	11/6/2012	00655152-05	Pending-Cleared
FT 3881 BALANCED INCOME SELECT PORTFOLIO 32	WHEATON, IL	11/6/2012	00655146-05	Pending-Cleared
AQR FUNDS AQR RISK PARITY 2 HV FUND CLASS I SHARES	GREENWICH, CT	11/5/2012	00654620-03	Registered
AQR FUNDS AQR RISK PARITY 2 HV FUND CLASS N SHARES	GREENWICH, CT	11/5/2012	00654622-03	Registered
AQR FUNDS AQR RISK PARITY 2 MV FUND CLASS I SHARES	GREENWICH, CT	11/5/2012	00654621-03	Registered
AQR FUNDS AQR RISK PARITY 2 MV FUND CLASS N SHARES	GREENWICH, CT	11/5/2012	00654623-03	Registered
FT 3836 CAPITAL STRENGTH PORTFOLIO SERIES 18	WHEATON, IL	11/5/2012	00655167-05	Pending-Cleared
FT 3839 SMID HIGH DIVIDEND PORTFOLIO SERIES 7	WHEATON, IL	11/5/2012	00655166-05	Pending-Cleared
FT 3862 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 67	WHEATON, IL	11/5/2012	00655165-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 963 DIVERSIFIED MUNICIPAL INCOME STRATEGY PORTFOLIO SERIES 4	LISLE, IL	11/5/2012	00655191-05	Pending-Cleared

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 963 GUGGENHEIM DISCOUNT OPPORTUNITY STRATEGY PORTFOLIO OF CEFS SERIES 4	LISLE, IL	11/5/2012	00655190-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 964 DIVIDEND GROWTH PORTFOLIO SERIES 2	LISLE, IL	11/5/2012	00655162-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 964 NATIONAL MUNICIPAL PORTFOLIO OF CEFS SERIES 22	LISLE, IL	11/5/2012	00655161-05	Pending-Cleared
1ST WESTERN FUNDS TR 1ST WESTERN FIXED INCOME FUND	GLENDALE, OH	11/2/2012	00654680-03	Registered
ADVISORS DISCIPLINED TR 930 DIVIDEND ADVANTAGE PORTFOLIO SERIES 2012 4Q	MONUMENT, CO	11/2/2012	00654677-05	Pending-Cleared
ADVISORS DISCIPLINED TR 932 STRATEGIC HIGH 80 DIVIDEND PORTFOLIO SERIES 2012 4Q	MONUMENT, CO	11/2/2012	00654676-05	Pending-Cleared
ADVISORS DISCIPLINED TR 942 ENHANCED EQUITY INCOME PORTFOLIO SERIES 2012 4Q	MONUMENT, CO	11/2/2012	00654675-05	Pending-Cleared
ADVISORS DISCIPLINED TR 945 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 63	MONUMENT, CO	11/2/2012	00654673-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIO SERIES 978 GUGGENHEIM SHORT INTERMEDIATE HIGH INCOME CORPORATE BOND TR SERIES 1	LISLE, IL	11/2/2012	00654674-05	Pending-Cleared
MFS SERIES TR 12 MFS LIFETIME 2015 FUND CLASS A SHARES	BOSTON, MA	11/2/2012	00654534-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
MFS SERIES TR 12 MFS LIFETIME 2015 FUND CLASS B SHARES	BOSTON, MA	11/2/2012	00654535-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2015 FUND CLASS C SHARES	BOSTON, MA	11/2/2012	00654542-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2015 FUND CLASS I SHARES	BOSTON, MA	11/2/2012	00654538-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2015 FUND CLASS R1 SHARES	BOSTON, MA	11/2/2012	00654546-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2015 FUND CLASS R2 SHARES	BOSTON, MA	11/2/2012	00654540-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2015 FUND CLASS R3 SHARES	BOSTON, MA	11/2/2012	00654544-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2015 FUND CLASS R4 SHARES	BOSTON, MA	11/2/2012	00654536-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2025 FUND CLASS A SHARES	BOSTON, MA	11/2/2012	00654537-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2025 FUND CLASS B SHARES	BOSTON, MA	11/2/2012	00654539-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2025 FUND CLASS C SHARES	BOSTON, MA	11/2/2012	00654541-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2025 FUND CLASS I SHARES	BOSTON, MA	11/2/2012	00654543-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2025 FUND CLASS R1 SHARES	BOSTON, MA	11/2/2012	00654545-03	Registered

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MFS SERIES TR 12 MFS LIFETIME 2025 FUND CLASS R2 SHARES	BOSTON, MA	11/2/2012	00654547-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2025 FUND CLASS R3 SHARES	BOSTON, MA	11/2/2012	00654548-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2025 FUND CLASS R4 SHARES	BOSTON, MA	11/2/2012	00654550-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2035 FUND CLASS A SHARES	BOSTON, MA	11/2/2012	00654562-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2035 FUND CLASS B SHARES	BOSTON, MA	11/2/2012	00654552-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2035 FUND CLASS C SHARES	BOSTON, MA	11/2/2012	00654568-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2035 FUND CLASS I SHARES	BOSTON, MA	11/2/2012	00654554-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2035 FUND CLASS R1 SHARES	BOSTON, MA	11/2/2012	00654564-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2035 FUND CLASS R2 SHARES	BOSTON, MA	11/2/2012	00654556-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2035 FUND CLASS R3 SHARES	BOSTON, MA	11/2/2012	00654572-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2035 FUND CLASS R4 SHARES	BOSTON, MA	11/2/2012	00654558-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2045 FUND CLASS A SHARES	BOSTON, MA	11/2/2012	00654566-03	Registered

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MFS SERIES TR 12 MFS LIFETIME 2045 FUND CLASS B SHARES	BOSTON, MA	11/2/2012	00654560-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2045 FUND CLASS C SHARES	BOSTON, MA	11/2/2012	00654570-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2045 FUND CLASS I SHARES	BOSTON, MA	11/2/2012	00654549-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2045 FUND CLASS R1 SHARES	BOSTON, MA	11/2/2012	00654551-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2045 FUND CLASS R2 SHARES	BOSTON, MA	11/2/2012	00654553-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2045 FUND CLASS R3 SHARES	BOSTON, MA	11/2/2012	00654555-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2055 FUND CLASS A SHARES	BOSTON, MA	11/2/2012	00654559-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2055 FUND CLASS B SHARES	BOSTON, MA	11/2/2012	00654561-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2055 FUND CLASS C SHARES	BOSTON, MA	11/2/2012	00654563-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2055 FUND CLASS I SHARES	BOSTON, MA	11/2/2012	00654565-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2055 FUND CLASS R1 SHARES	BOSTON, MA	11/2/2012	00654567-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2055 FUND CLASS R2 SHARES	BOSTON, MA	11/2/2012	00654569-03	Registered

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MFS SERIES TR 12 MFS LIFETIME 2055 FUND CLASS R3 SHARES	BOSTON, MA	11/2/2012	00654571-03	Registered
MFS SERIES TR 12 MFS LIFETIME 2055 FUND CLASS R4 SHARES	BOSTON, MA	11/2/2012	00654573-03	Registered
MFS SERIES TR XII MFS LIFETIME 2045 FUND CLASS R4 SHARES	BOSTON, MA	11/2/2012	00654557-03	Registered
1ST TR SERIES FUND 1ST TR SHORT DURATION HIGH INCOME FUND CLASS I	WHEATON, IL	11/1/2012	00654614-03	Registered
1ST TR SERIES FUND 1ST TR SHORT DURATION HIGH INCOME FUND CLASS C	WHEATON, IL	11/1/2012	00654613-03	Registered
1ST TR SERIES FUND 1ST TR SHORT DURATION HIGH INCOME FUND CLASS A	WHEATON, IL	11/1/2012	00654612-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC INTERNATIONAL SOCIAL CORE EQUITY PORTFOLIO INSTITUTIONAL CLASS	AUSTIN, TX	11/1/2012	00654592-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC WORLD EX US TARGETED VALUE PORTFOLIO INSTITUTIONAL CLASS	AUSTIN, TX	11/1/2012	00654593-03	Registered
ING FUNDS TR ING STRATEGIC INCOME FUND CLASS A	SCOTTSDALE, AZ	11/1/2012	00654587-03	Registered
ING FUNDS TR ING STRATEGIC INCOME FUND CLASS C	SCOTTSDALE, AZ	11/1/2012	00654588-03	Registered
ING FUNDS TR ING STRATEGIC INCOME FUND CLASS I	SCOTTSDALE, AZ	11/1/2012	00654590-03	Registered

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ING FUNDS TR ING STRATEGIC INCOME FUND CLASS R	SCOTTSDALE, AZ	11/1/2012	00654589-03	Registered
ING FUNDS TR ING STRATEGIC INCOME FUND CLASS W	SCOTTSDALE, AZ	11/1/2012	00654591-03	Registered
ING MUTUAL FUNDS ING DIVERSIFIED EMERGING MARKETS DEBT FUND CLASS A	SCOTTSDALE, AZ	11/1/2012	00654579-03	Registered
ING MUTUAL FUNDS ING DIVERSIFIED EMERGING MARKETS DEBT FUND CLASS W	SCOTTSDALE, AZ	11/1/2012	00654583-03	Registered
ING MUTUAL FUNDS ING DIVERSIFIED EMERGING MARKETS DEBT FUND CLASS C	SCOTTSDALE, AZ	11/1/2012	00654580-03	Registered
ING MUTUAL FUNDS ING DIVERSIFIED EMERGING MARKETS DEBT FUND CLASS R	SCOTTSDALE, AZ	11/1/2012	00654581-03	Registered
ING MUTUAL FUNDS ING DIVERSIFIED EMERGING MARKETS DEBT FUND CLASS I	SCOTTSDALE, AZ	11/1/2012	00654582-03	Registered
KKR SERIES TR KKR ALTERNATIVE HIGH YIELD FUND INSTITUTIONAL CLASS SHARES	SAN FRANCISCO, CA	11/1/2012	00654584-03	Registered
KKR SERIES TR KKR ALTERNATIVE HIGH YIELD FUND INVESTOR CLASS SHARES	SAN FRANCISCO, CA	11/1/2012	00654585-03	Registered
KKR SERIES TR KKR ALTERNATIVE HIGH YIELD FUND KKR CLASS SHARES	SAN FRANCISCO, CA	11/1/2012	00654586-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA ENHANCED MUNI CLASS A SHARES	ST. PETERSBURG, FL	11/1/2012	00654594-03	Registered

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TRANSAMERICA FUNDS TRANSAMERICA ENHANCED MUNI CLASS C SHARES	ST. PETERSBURG, FL	11/1/2012	00654595-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA ENHANCED MUNI CLASS I SHARES	ST. PETERSBURG, FL	11/1/2012	00654598-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA INCOME & GROWTH CLASS A SHARES	ST. PETERSBURG, FL	11/1/2012	00654596-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA INCOME & GROWTH CLASS C SHARES	ST. PETERSBURG, FL	11/1/2012	00654597-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA INCOME & GROWTH CLASS I SHARES	ST. PETERSBURG, FL	11/1/2012	00654599-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA TACTICAL ALLOCATION CLASS A SHARES	ST. PETERSBURG, FL	11/1/2012	00654602-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA TACTICAL ALLOCATION CLASS C SHARES	ST. PETERSBURG, FL	11/1/2012	00654603-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA TACTICAL ALLOCATION CLASS I SHARES	ST. PETERSBURG, FL	11/1/2012	00654605-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA TACTICAL ROTATION CLASS A SHARES	ST. PETERSBURG, FL	11/1/2012	00654600-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA TACTICAL ROTATION CLASS C SHARES	ST. PETERSBURG, FL	11/1/2012	00654601-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA TACTICAL ROTATION CLASS I SHARES	ST. PETERSBURG, FL	11/1/2012	00654604-03	Registered

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WESTERN ASSET FUNDS INC WESTERN ASSET ASIAN OPPORTUNITIES FUND CLASS IS	BALTIMORE, MD	11/1/2012	00654611-03	Registered
WESTERN ASSET FUNDS INC WESTERN ASSET ASIAN OPPORTUNITIES FUND CLASS FI	BALTIMORE, MD	11/1/2012	00654609-03	Registered
WESTERN ASSET FUNDS INC WESTERN ASSET ASIAN OPPORTUNITIES FUND CLASS I	BALTIMORE, MD	11/1/2012	00654610-03	Registered
WHITEBOX MUTUAL FUNDS WHITEBOX LONG SHORT EQUITY FUND ADVISOR SHARES	MINNEAPOLIS, MN	11/1/2012	00654606-03	Registered
WHITEBOX MUTUAL FUNDS WHITEBOX LONG SHORT EQUITY FUND INSTITUTIONAL SHARES	MINNEAPOLIS, MN	11/1/2012	00654607-03	Registered
WHITEBOX MUTUAL FUNDS WHITEBOX LONG SHORT EQUITY FUND INVESTOR SHARES	MINNEAPOLIS, MN	11/1/2012	00654608-03	Registered
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

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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	Registered
PROFESSIONALLY MANAGED PORTFOLIOS CONGRESS ALL CAP OPPORTUNITY FUND RETAIL CLASS	MILWAUKEE, WI	10/31/2012	00653079-03	Registered
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 INSTITUTIONAL CLASS	MILWAUKEE, WI	10/31/2012	00653078-03	Registered
PROFESSIONALLY MANAGED PORTFOLIOS CONGRESS MID CAP GROWTH FUND RETAIL CLASS	MILWAUKEE, WI	10/31/2012	00653077-03	Registered
ADVISORS DISCIPLINED TR 928 CONFLUENCE REIT PORTFOLIO SERIES 2012 2	MONUMENT, CO	10/30/2012	00654644-05	Pending-Cleared

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ADVISORS DISCIPLINED TR 929 COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO 2 YR SERIES 2012 2	MONUMENT, CO	10/30/2012	00654645-05	Pending-Cleared
FT 3832 GLOBAL HARD ASSETS PORTFOLIO SERIES 13	WHEATON, IL	10/30/2012	00654648-05	Pending-Cleared
FT 3868 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 47	WHEATON, IL	10/30/2012	00654649-05	Pending-Cleared
INCAPITAL UNIT TR SERIES 11 BALANCED RISK ALLOCATION PORTFOLIO 4Q 2012	CHICAGO, IL	10/30/2012	00654646-05	Pending-Cleared
INCAPITAL UNIT TR SERIES 13 ZACKS SELECT EQUITIES BLEND PORTFOLIO 4Q 2012	CHICAGO, IL	10/30/2012	00654647-05	Pending-Cleared
INVESCO UNIT TR SERIES 1281 ETF ALLOCATION PORTFOLIO SERIES 13	OAKBROOK TER, IL	10/30/2012	00654654-05	Pending-Cleared
INVESCO UNIT TR SERIES 1281 ETF DIVERSIFIED INCOME PORTFOLIO SERIES 11	OAKBROOK TER, IL	10/30/2012	00654655-05	Pending-Cleared
INVESCO UNIT TR SERIES 1282 BRIC OPPORTUNITY PORTFOLIO 2013 1	OAKBROOK TER, IL	10/30/2012	00654658-05	Pending-Cleared
INVESCO UNIT TR SERIES 1282 DEVENSIVE EQUITY & INCOME PORTFOLIO SERIES 6	OAKBROOK TER, IL	10/30/2012	00654657-05	Pending-Cleared
INVESCO UNIT TR SERIES 1283 DOW JONES TOTAL MARKET PORTFOLIO ENHANCED INDEX STRATEGY 2013 1	OAKBROOK TER, IL	10/30/2012	00654659-05	Pending-Cleared
INVESCO UNIT TR SERIES 1283 ENHANCED SECTOR STRATEGY SECTOR ROTATION PORTFOLIO 2013 1	OAKBROOK TER, IL	10/30/2012	00654660-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
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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>
INVESCO UNIT TR SERIES 1284 TECHNOLOGY PORTFOLIO 2013 1	OAKBROOK TER, IL	10/30/2012	00654651-05	Pending-Cleared
INVESCO UNIT TR SERIES 1285 NEW WORLD LEADERS PORTFOLIO SERIES 8	OAKBROOK TER, IL	10/30/2012	00654656-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1125 INSURED MUNICIPALS INCOME TR SERIES 658	OAKBROOK TER, IL	10/30/2012	00654652-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1126 INSURED MUNICIPALS INCOME TR SERIES 659	OAKBROOK TER, IL	10/30/2012	00654653-05	Pending-Cleared
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

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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>
NORTHERN LIGHTS FUND TR FX STRATEGY FUND CLASS I SHARES	SMITHTOWN, NY	10/29/2012	00653062-03	Registered
SARATOGA ADVANTAGE TR JAMES ALPHA GLOBAL ENHANCED REAL RETURN PORTFOLIO CLASS I SHARES	SMITHTOWN, NY	10/29/2012	00653063-03	Registered
<b>Number of Investment Company Filings: 148</b>				

<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>
BROWN BELL 3 MULTI WELL JOINT VENTURE	PLANO, TX	11/7/2012	00655194-07	Filed
NCP GP VA LP	GREENWICH, CT	11/7/2012	00655197-07	Filed
TEXSTAR HOLDINGS INC	LULING, TX	11/7/2012	00655196-07	Filed
ENERGY CAPITAL PARTNERS MEZZANINE OPPORTUNITIES FUND B LP	SHORT HILLS, NJ	11/5/2012	00655160-07	Filed
SPONSOR ME INC	IRVINE, CA	11/5/2012	00655168-07	Filed
VIP PARTNERS 4 LLC	ELMHURST, IL	11/5/2012	00655164-07	Filed
EMG TALLGRASS HOLDINGS COINVESTMENT LP	DALLAS, TX	11/2/2012	00654679-07	Filed
WABASH CROSSINGS LLC	CROWN POINT, IN	11/2/2012	00654678-07	Filed
2D2C INC	LINCOLNSHIRE, IL	11/1/2012	00654682-07	Filed
CARDIA INC	EAGAN, MN	11/1/2012	00654681-07	Filed
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

**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>
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
LIONSHARE VENTURES LLC	BOSTON, MA	10/29/2012	00653049-07	Filed
<b>Number of Regulation D Notice Filings: 15</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>
Christian Bros Automotive Corp	Houston, TX	11/6/2012	604945	Registered
MMI-PEC / Pro Energy Consultants	Independence, OH	11/6/2012	604943	Registered
BB FRANCHISING LLC / Brain Balance Centers	Jersey City, NJ	11/5/2012	604937	Registered
In Home Personal Services Development, LLC	Fox River Grove, IL	11/5/2012	604938	Registered
INSPECT IT 1ST LLC	INDEPENDENCE, OH	11/5/2012	604942	Registered
MOSSY OAK PROPERTIES INC	WEST POINT, MS	11/5/2012	604939	Registered
The Dentist's Choice, Inc.	Incline Village, NV	11/2/2012	604928	Registered
PREMIER RENTAL PURCHASE INC	WILLIAMSBURG, VA	11/2/2012	604935	Registered
WINZER CORP	DALLAS, TX	11/2/2012	604936	Registered
The Senior's Choice, Inc.	Incline Village, NV	11/1/2012	604926	Registered
PCJV USA, LLC / Potato Corner	Los Angeles, CA	11/1/2012	604934	Registered
Home Options Network LLC	Deerfield, IL	10/31/2012	604917	Registered
Aero-Colours Inc	CHRLOTTE, NC	10/31/2012	604922	Registered
AQUA2 ACQUISITIONS INC / AutoQual	CHRLOTTE, NC	10/31/2012	604920	Registered
INFINIUM REALTY GROUP INC / Help-U-Sell Real Estate	SARASTOA, 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

**All Securities Law, Franchise Law, and Take-Over Law Filings  
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<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>
Sixt Franchise USA, LLC / Sixt Rent A Car	Fort Lauderdale, FL	10/29/2012	604925	Registered
<b>Number of Franchise Filings: 18</b>				

<b>Corporate Take-Over Law Filings Made with DFI's Securities Division</b>	
<b>Takeover Filing Reference</b>	<b>Date Received</b>
UNSOLICITED TENDER OFFER	10/29/2012
AMEND #1 TO SCHED 14D 9 SOLICITATION	10/30/2012
AMENDMENT NO 2 TO SCHEDULE 14D	11/6/2012
<b>Number of Takeover Filings: 3</b>	