

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/28/2013 through 2/8/2013**

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

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MERCED MUTUAL INSURANCE COMPANY	,	2/4/2013	00664555-08	Pending
MEAD & HUNT COMPANIES INC	,	2/1/2013	00664556-08	Pending
Number of Exemption Filings: 2				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
LOOMIS SAYLES FUNDS 1 LOOMIS SAYLES BOND FUND CLASS N	BOSTON, MA	1/31/2013	00664370-03	Pending-Cleared
LOOMIS SAYLES FUNDS 1 LOOMIS SAYLES GLOBAL BOND FUND CLASS N	BOSTON, MA	1/31/2013	00664365-03	Pending-Cleared
LOOMIS SAYLES FUNDS 1 LOOMIS SAYLES SMALL CAP VALUE FUND CLASS N	BOSTON, MA	1/31/2013	00664371-03	Pending-Cleared
LOOMIS SAYLES FUNDS 2 LOOMIS SAYLES GROWTH FUND CLASS N	BOSTON, MA	1/31/2013	00664372-03	Registered
LOOMIS SAYLES FUNDS 2 LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS N	BOSTON, MA	1/31/2013	00664367-03	Registered
LOOMIS SAYLES FUNDS 2 LOOMIS SAYLES MID CAP GROWTH FUND CLASS N	BOSTON, MA	1/31/2013	00664366-03	Registered

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LOOMIS SAYLES FUNDS 2 LOOMIS SAYLES SMALL CAP GROWTH FUND CLASS N	BOSTON, MA	1/31/2013	00664369-03	Registered
LOOMIS SAYLES FUNDS 2 LOOMIS SAYLES STRATEGIC INCOME FUND CLASS N	BOSTON, MA	1/31/2013	00664373-03	Registered
LOOMIS SAYLES FUNDS 2 LOOMIS SAYLES VALUE FUND CLASS N	BOSTON, MA	1/31/2013	00664368-03	Registered
MFS SERIES TR 11 MFS MID CAP VALUE FUND CLASS R5 SHARES	BOSTON, MA	1/31/2013	00664364-03	Registered
NATIXIS FUNDS TR 1 LOOMIS SAYLES CORE PLUS BOND FUND CLASS N	BOSTON, MA	1/31/2013	00664374-03	Pending-Cleared
NUVEEN INVESTMENT TR 2 NUVEEN SANTA BARBARA INTERNATIONAL DIVIDEND GROWTH FUND CLASS I	CHIGACO, IL	1/31/2013	00664358-03	Registered
NUVEEN INVESTMENT TR 2 NUVEEN SANTA BARBARA INTERNATIONAL DIVIDEND GROWTH FUND CLASS C	CHIGACO, IL	1/31/2013	00664359-03	Registered
NUVEEN INVESTMENT TR 2 NUVEEN SANTA BARBARA INTERNATIONAL DIVIDEND GROWTH FUND CLASS A	CHIGACO, IL	1/31/2013	00664357-03	Registered
NUVEEN INVESTMENT TR 2 NUVEEN SANTA BARBARA INTERNATIONAL DIVIDEND GROWTH FUND CLASS R3	CHIGACO, IL	1/31/2013	00664360-03	Registered
NUVEEN MUNICIPAL TR NUVEEN SHORT DURATION HIGH YIELD MUNICIPAL BOND FUND CLASS I	CHIGACO, IL	1/31/2013	00664361-03	Registered
NUVEEN MUNICIPAL TR NUVEEN SHORT DURATION HIGH YIELD MUNICIPAL BOND FUND CLASS C	CHIGACO, IL	1/31/2013	00664363-03	Registered

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NUVEEN MUNICIPAL TR NUVEEN SHORT DURATION HIGH YIELD MUNICIPAL BOND FUND CLASS A	CHIGACO, IL	1/31/2013	00664362-03	Registered
VICTORY PORTFOLIOS DIVERSIFIED STOCK FUND CLASS Y	COLUMBUS, OH	1/30/2013	00664304-03	Registered
VICTORY PORTFOLIOS ESTABLISHED VALUE FUND CLASS Y	COLUMBUS, OH	1/30/2013	00664305-03	Registered
VICTORY PORTFOLIOS FUND FOR INCOME CLASS Y	COLUMBUS, OH	1/30/2013	00664309-03	Registered
VICTORY PORTFOLIOS LARGE CAP GROWTH FUND CLASS Y	COLUMBUS, OH	1/30/2013	00664306-03	Registered
VICTORY PORTFOLIOS NATIONAL MUNICIPAL BOND FUND CLASS Y	COLUMBUS, OH	1/30/2013	00664310-03	Registered
VICTORY PORTFOLIOS SMALL CO OPPORTUNITY FUND CLASS Y	COLUMBUS, OH	1/30/2013	00664307-03	Registered
VICTORY PORTFOLIOS SPECIAL VALUE FUND CLASS Y	COLUMBUS, OH	1/30/2013	00664308-03	Registered
DOMINION FUNDS INC FAIRFAX GOLD & PRECIOUWS METALS FUND CLASS N	HAUPPAUGE, NY	1/29/2013	00664726-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 999 US LOW VOLATILITY STRATEGY PORTFOLIO SERIES 2	LISLE, IL	1/29/2013	00664721-05	Pending-Cleared
NORTHERN LIGHTS FUND TR 2 HUNDREDFOLD SELECT ALTERNATIVE FUND INVESTOR CLASS SHARES	HAUPPAUGE, NY	1/29/2013	00664725-03	Registered
NORTHERN LIGHTS FUND TR 3 PERSIMMON LONG SHORT FUND CLASS I SHARES	HAUPPAUGE, NY	1/29/2013	00664736-03	Registered

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NORTHERN LIGHTS FUND TR 3 PERSIMMON LONG SHORT FUND CLASS A SHARES	HAUPPAUGE, NY	1/29/2013	00664735-03	Registered
FT 3950 EQUITY INCOME PORTFOLIO SERIES 37	WHEATON, IL	1/28/2013	00664718-05	Pending-Cleared
FT 3959 INCOME ALLOCATION CLOSED END FEB 13	WHEATON, IL	1/28/2013	00664705-05	Pending-Cleared
FT 3960 DOW TARGET 10 FEB 13 TERM 3/7/14	WHEATON, IL	1/28/2013	00664714-05	Pending-Cleared
FT 3964 CORPORATE HIGH INCOME PORTFOLIO SERIES 7	WHEATON, IL	1/28/2013	00664713-05	Pending-Cleared
FT 3975 INTEREST RATE HEDGE PORTFOLIO SERIES 61	WHEATON, IL	1/28/2013	00664706-05	Pending-Cleared
FT 3975 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 71	WHEATON, IL	1/28/2013	00664716-05	Pending-Cleared
FT 3977 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 30	WHEATON, IL	1/28/2013	00664715-05	Pending-Cleared
FT 3985 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 364	WHEATON, IL	1/28/2013	00664707-05	Pending-Cleared
FT 3993 GLOBAL COMMODITIES PORTFOLIO SERIES 22	WHEATON, IL	1/28/2013	00664712-05	Pending-Cleared
FT 3994 MARKET STRENGTH ALLOCATION SELECT PORTFOLIO SERIES 8	WHEATON, IL	1/28/2013	00664708-05	Pending-Cleared
FT 3995 TECHNOLOGY SELECT PORTFOLIO SERIES 47	WHEATON, IL	1/28/2013	00664710-05	Pending-Cleared
FT 4024 CORE 3 CLOSED END ALLOCATION PORTFOLIO SERIES 6	WHEATON, IL	1/28/2013	00664711-05	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 4027 BRAZIL PORTFOLIO SERIES 11	WHEATON, IL	1/28/2013	00664717-05	Pending-Cleared
FT 4029 PREFERRED INCOME PORTFOLIO SERIES 60	WHEATON, IL	1/28/2013	00664709-05	Pending-Cleared
Number of Investment Company Filings: 44				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AMERICAN RESIDENTIAL PROPERTIES INC	SCOTTSDALE, AZ	2/1/2013	00664806-07	Filed
CHARLESTON LABORATORIES INC	CHARLESTON, SC	2/1/2013	00664807-07	Filed
CONSONANCE PRIVATE EQUITY LP	NEW YORK, NY	2/1/2013	00664809-07	Filed
PREMIER ALLIANCE GROUP INC	CHARLOTTE, NC	2/1/2013	00664808-07	Filed
CRESCENT 6 MEZZANINE FUND OFFSHORE LP	NEW YORK, NY	1/30/2013	00664778-07	Filed
CRESCENT 6 MEZZANINE TR	NEW YORK, NY	1/30/2013	00664779-07	Filed
OPTMED INC	NEW YORK, NY	1/30/2013	00664777-07	Filed
ARBITER CAPITAL DOMESTIC LP	NEW YORK, NY	1/29/2013	00664748-07	Filed
AREFLECTIONOF INC	SAN FRANCISCO, CA	1/29/2013	00664750-07	Filed
CAPVEST EQUITY PARTNERS 3 LP	ST HELIER, AK	1/29/2013	00664749-07	Filed
SINDICATO CIGAR GROUP LLC	WEST PALM BEACH, FL	1/29/2013	00664747-07	Filed
ELLINGTON HOUSING INC	OLD GREENWICH, CT	1/28/2013	00664681-07	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
MDS 2012 MARCELLUS SHALE DEVELOPMENT LP	KITTANNING, PA	1/28/2013	00664680-07	Filed
MORGAN STANLEY SMITH BARNEY BLACKROCK NTR RENEWABLE POWER ONSHORE FEEDER FUND LP	NEW YORK, NY	1/28/2013	00664682-07	Filed
OAKTREE EMERGING MARKETS ABSOLUTE RETURN FEEDER FUND LP	LOS ANGELES, CA	1/28/2013	00664683-07	Filed
SE FOLV INVESTORS LLC	CHICAGO, IL	1/28/2013	00664684-07	Filed
Number of Regulation D Notice Filings: 16				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Ski's Meat Market Franchising, Inc.	Stevens Point, WI	2/8/2013	605122	Registered
Certa ProPainters, Ltd. / CertaPro Painters	Oaks, PA	2/3/2013	605101	Registered
Campero USA Corp. / Pollo Campero	Dallas, TX	2/1/2013	605100	Registered
Zounds Hearing Franchising, LLC / Zounds Hearing Center	Phoenix, AZ	2/1/2013	605103	Registered
800 DC, LLC, d/b/a Bizzie, and 1 800 DryClean / Bizzie	Berkley, MI	1/29/2013	605094	Registered
Staybull, Inc.	Jacksonville, FL	1/29/2013	605093	Registered
HBH FRANCHISE CO LLC / Honey Baked Ham Co., & Cafe	Alphretta, GA	1/29/2013	605115	Registered
Mastercare Franchising, LLC / Mastercare	Honolulu, HI	1/28/2013	605092	Registered
COLOR ME MINE FRANCHISING INC	glendale, CA	1/28/2013	605117	Registered
OTA FRANCHISE CORP	IRVINE, CA	1/28/2013	605095	Registered
Number of Franchise Filings: 10				

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

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Number of Takeover Filings: 0