

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/16/2011 through 5/27/2011**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ATEL 15 LLC	SAN FRANCISCO, CA	5/26/2011	00612528-01	Pending
VANGUARD ENERGY CORP	HOUSTON, TX	5/25/2011	00612438-01	Pending
INFINITY CHINA 1 ACQUISITION CORP	NEW YORK, NY	5/24/2011	00612405-01	Pending
Number of Registration Filings: 3				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
KISH BANCORP INC	,	5/23/2011	00612327-08	Not Disallowed
BAYSIDE COMMUNITY CHURCH OF SARASOTA INC	BRADENTON, FL	5/19/2011	00612221-08	Filed
SMOKE BREAK LLC	MILWAUKEE, WI	5/19/2011	00612219-08	Pending
FIRST SHARES INC	PLATTEVILLE, WI	5/18/2011	00612271-08	Pending
Number of Exemption Filings: 4				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ASTON FUNDS ASTON CROSSWIND SMALL CAP GROWTH FUND CLASS I SHARES	CHICAGO, IL	5/27/2011	00612663-03	Registered
ASTON FUNDS ASTON RIVER ROAD INDEPENDENT VALUE FUND CLASS I SHARES	CHICAGO, IL	5/27/2011	00612664-03	Registered
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2020 PORTFOLIO CLASS K SHARES	SAN FRANCISCO, CA	5/27/2011	00612640-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2020 PORTFOLIO INSTITUTIONAL SHARES	SAN FRANCISCO, CA	5/27/2011	00612639-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2020 PORTFOLIO INVESTOR A SHARES	SAN FRANCISCO, CA	5/27/2011	00612641-03	Pending-Cleared

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BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2025 PORTFOLIO INSTITUTIONAL SHARES	SAN FRANCISCO, CA	5/27/2011	00612643-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2025 PORTFOLIO INVESTOR A SHARES	SAN FRANCISCO, CA	5/27/2011	00612642-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2025 PORTFOLIO CLASS K SHARES	SAN FRANCISCO, CA	5/27/2011	00612645-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2030 PORTFOLIO INSTITUTIONAL SHARES	SAN FRANCISCO, CA	5/27/2011	00612647-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2030 PORTFOLIO CLASS K SHARES	SAN FRANCISCO, CA	5/27/2011	00612655-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2030 PORTFOLIO INVESTOR A SHARES	SAN FRANCISCO, CA	5/27/2011	00612661-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2035 PORTFOLIO INVESTOR A SHARES	SAN FRANCISCO, CA	5/27/2011	00612649-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2035 PORTFOLIO CLASS K SHARES	SAN FRANCISCO, CA	5/27/2011	00612651-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2035 PORTFOLIO INSTITUTIONAL SHARES	SAN FRANCISCO, CA	5/27/2011	00612659-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2040 PORTFOLIO CLASS K SHARES	SAN FRANCISCO, CA	5/27/2011	00612644-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2040 PORTFOLIO INVESTOR A SHARES	SAN FRANCISCO, CA	5/27/2011	00612657-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2040 PORTFOLIO INSTITUTIONAL SHARES	SAN FRANCISCO, CA	5/27/2011	00612653-03	Pending-Cleared

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BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2045 PORTFOLIO INSTITUTIONAL SHARES	SAN FRANCISCO, CA	5/27/2011	00612648-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2045 PORTFOLIO INVESTOR A SHARES	SAN FRANCISCO, CA	5/27/2011	00612646-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2045 PORTFOLIO CLASS K SHARES	SAN FRANCISCO, CA	5/27/2011	00612650-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2050 PORTFOLIO INSTITUTIONAL SHARES	SAN FRANCISCO, CA	5/27/2011	00612654-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2050 PORTFOLIO CLASS K SHARES	SAN FRANCISCO, CA	5/27/2011	00612656-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2050 PORTFOLIO INVESTOR A SHARES	SAN FRANCISCO, CA	5/27/2011	00612652-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2055 PORTFOLIO INSTITUTIONAL SHARES	SAN FRANCISCO, CA	5/27/2011	00612660-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2055 PORTFOLIO CLASS K SHARES	SAN FRANCISCO, CA	5/27/2011	00612662-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2055 PORTFOLIO INVESTOR A SHARES	SAN FRANCISCO, CA	5/27/2011	00612658-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX RETIREMENT PORTFOLIO INVESTOR A SHARES	SAN FRANCISCO, CA	5/27/2011	00612636-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX RETIREMENT PORTFOLIO INSTITUTIONAL SHARES	SAN FRANCISCO, CA	5/27/2011	00612637-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX RETIREMENT PORTFOLIO CLASS K SHARES	SAN FRANCISCO, CA	5/27/2011	00612638-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
MFS SERIES TR 3 MFS MUNICIPAL HIGH INCOME FUND CLASS I SHARES	BOSTON, MA	5/27/2011	00612635-03	Pending-Cleared
FT 2920 DOW TARGET 10 JUNE 11 TERM 6 29 12	WHEATON, IL	5/26/2011	00612523-05	Pending-Cleared
FT 2920 DOW TARGET DVD JUNE 11 TERM 8 31 12	WHEATON, IL	5/26/2011	00612521-05	Pending-Cleared
FT 2920 TARGET FOCUS 4 JUNE 11 TERM 8 31 12	WHEATON, IL	5/26/2011	00612522-05	Pending-Cleared
FT 2920 TARGET TRIAD JUNE 11 TERM 8 31 12	WHEATON, IL	5/26/2011	00612520-05	Pending-Cleared
FT 2920 TARGET VIP JUNE 11 TERM 8 31 12	WHEATON, IL	5/26/2011	00612519-05	Pending-Cleared
FT 2955 INTEREST RATE HEDGE PORTFOLIO SERIES 33	WHEATON, IL	5/26/2011	00612518-05	Pending-Cleared
FT 2956 SENIOR LOAN & LIMITED DURATION PLUS CLOSED END PORTFOLIO SERIES 41	WHEATON, IL	5/26/2011	00612515-05	Pending-Cleared
FT 2993 MARKET STRENGTH ALLOCATION PLUS PORTFOLIO SERIES 7	WHEATON, IL	5/26/2011	00612517-05	Pending-Cleared
FT 2994 TECHNOLOGY SELECT PORTFOLIO SERIES 40	WHEATON, IL	5/26/2011	00612516-05	Pending-Cleared
FT 3013 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 30	WHEATON, IL	5/26/2011	00612514-05	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDAMENTAL ALL CAP CORE FUND CLASS A	BOSTON, MA	5/25/2011	00612481-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDAMENTAL ALL CAP CORE FUND CLASS I	BOSTON, MA	5/25/2011	00612479-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDAMENTAL LARGE CAP VALUE FUND CLASS A	BOSTON, MA	5/25/2011	00612480-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDAMENTAL LARGE CAP VALUE FUND CLASS I	BOSTON, MA	5/25/2011	00612482-03	Registered

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HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDAMENTAL LARGE CAP CORE FUND CLASS I	BOSTON, MA	5/25/2011	00612478-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDAMENTAL LARGE CAP CORE FUND CLASS A	BOSTON, MA	5/25/2011	00612477-03	Registered
HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS LOCAL DEBT FUND CLASS C	SIMSBURY, CT	5/25/2011	00612459-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS LOCAL DEBT FUND CLASS R5	SIMSBURY, CT	5/25/2011	00612455-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS LOCAL DEBT FUND CLASS R4	SIMSBURY, CT	5/25/2011	00612456-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS LOCAL DEBT FUND CLASS Y	SIMSBURY, CT	5/25/2011	00612454-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS LOCAL DEBT FUND CLASS R3	SIMSBURY, CT	5/25/2011	00612457-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS LOCAL DEBT FUND CLASS I	SIMSBURY, CT	5/25/2011	00612458-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS LOCAL DEBT FUND CLASS A	SIMSBURY, CT	5/25/2011	00612453-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS RESEARCH FUND CLASS R4	SIMSBURY, CT	5/25/2011	00612450-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS RESEARCH FUND CLASS C	SIMSBURY, CT	5/25/2011	00612447-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS RESEARCH FUND CLASS R5	SIMSBURY, CT	5/25/2011	00612449-03	Pending-Cleared

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HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS RESEARCH FUND CLASS A	SIMSBURY, CT	5/25/2011	00612446-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS RESEARCH FUND CLASS Y	SIMSBURY, CT	5/25/2011	00612448-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS RESEARCH FUND CLASS I	SIMSBURY, CT	5/25/2011	00612452-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD EMERGING MARKETS RESEARCH FUND CLASS R3	SIMSBURY, CT	5/25/2011	00612451-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD WORLD BOND FUND CLASS A	SIMSBURY, CT	5/25/2011	00612444-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD WORLD BOND FUND CLASS C	SIMSBURY, CT	5/25/2011	00612442-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD WORLD BOND FUND CLASS I	SIMSBURY, CT	5/25/2011	00612443-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD WORLD BOND FUND CLASS R3	SIMSBURY, CT	5/25/2011	00612441-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD WORLD BOND FUND CLASS R4	SIMSBURY, CT	5/25/2011	00612440-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD WORLD BOND FUND CLASS R5	SIMSBURY, CT	5/25/2011	00612439-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD WORLD BOND FUND CLASS Y	SIMSBURY, CT	5/25/2011	00612445-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR ZACKS SMALL CAP CORE FUND	MILWAUKEE, WI	5/25/2011	00612513-03	Pending-Cleared
MFS SERIES TR 13 MFS NEW DISCOVERY VALUE FUND CLASS A SHARES	BOSTON, MA	5/25/2011	00612474-03	Registered
MFS SERIES TR 13 MFS NEW DISCOVERY VALUE FUND CLASS B SHARES	BOSTON, MA	5/25/2011	00612472-03	Registered

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MFS SERIES TR 13 MFS NEW DISCOVERY VALUE FUND CLASS C SHARES	BOSTON, MA	5/25/2011	00612469-03	Registered
MFS SERIES TR 13 MFS NEW DISCOVERY VALUE FUND CLASS I SHARES	BOSTON, MA	5/25/2011	00612470-03	Registered
MFS SERIES TR 13 MFS NEW DISCOVERY VALUE FUND CLASS R1 SHARES	BOSTON, MA	5/25/2011	00612471-03	Registered
MFS SERIES TR 13 MFS NEW DISCOVERY VALUE FUND CLASS R2 SHARES	BOSTON, MA	5/25/2011	00612473-03	Registered
MFS SERIES TR 13 MFS NEW DISCOVERY VALUE FUND CLASS R3 SHARES	BOSTON, MA	5/25/2011	00612475-03	Registered
MFS SERIES TR 13 MFS NEW DISCOVERY VALUE FUND CLASS R4 SHARES	BOSTON, MA	5/25/2011	00612476-03	Registered
ADVISORS RISK MITIGATED RETURN PORTFOLIO Q GSP SERIES 1	MONUMENT, CO	5/23/2011	00612300-05	Pending-Cleared
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO VAN KAMPEN AMERICAN FRANCHISE FUND CLASS R SHARES	HOUSTON, TX	5/23/2011	00612429-03	Registered
AIM FUNDS GROUP INVESCO FUNDS GROUP INVESCO GLOBAL CORE EQUITY FUND CLASS R SHARES	HOUSTON, TX	5/23/2011	00612424-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO CONVERTIBLE SECURITIES FUND INSTITUTIONAL CLASS SHARES	HOUSTON, TX	5/23/2011	00612425-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO PACIFIC GROWTH FUND INSTITUTIONAL CLASS SHARES	HOUSTON, TX	5/23/2011	00612428-03	Registered
AIM SECTOR FUNDS INVESCO SECTOR FUNDS INVESCO VAN KAMPEN VALUE OPPORTUNITIES FUND CLASS R SHARES	HOUSTON, TX	5/23/2011	00612427-03	Registered

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AIM SECTOR FUNDS INVESCO SECTOR FUNDS INVESCO VAN KAMPEN VALUE OPPORTUNITIES FUND INSTITUTIONAL CLASS SHARES	HOUSTON, TX	5/23/2011	00612426-03	Registered
EATON VANCE MUTUAL FUNDS TR EATON VANCE PARAMETRIC STRUCTURED COMMODITY STRATEGY FUND CLASS I SHARES	BOSTON, MA	5/23/2011	00612430-03	Registered
FIRST TR COMBINED SERIES 365 BUILD AMERICA BONDS PORTFOLIO SERIES 35	WHEATON, IL	5/23/2011	00612302-05	Pending-Cleared
FT 2930 EQUITY INCOME PORTFOLIO SERIES 30	WHEATON, IL	5/23/2011	00612304-05	Pending-Cleared
FT 2931 GLOBAL AGRICULTURE PORTFOLIO SERIES 17	WHEATON, IL	5/23/2011	00612313-05	Pending-Cleared
FT 2932 GLOBAL COMMODITIES PORTFOLIO SERIES 16	WHEATON, IL	5/23/2011	00612307-05	Pending-Cleared
FT 2933 GLOBAL HARD ASSETS PORTFOLIO SERIES 8	WHEATON, IL	5/23/2011	00612303-05	Pending-Cleared
FT 2934 NATURAL GAS PORTFOLIO SERIES 10	WHEATON, IL	5/23/2011	00612312-05	Pending-Cleared
FT 2939 DIVIDEND INCOME TR SERIES 9	WHEATON, IL	5/23/2011	00612301-05	Pending-Cleared
FT 2966 STRATEGIC INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 5	WHEATON, IL	5/23/2011	00612310-05	Pending-Cleared
FT 2995 TACTICAL INCOME PORTFOLIO SERIES 6	WHEATON, IL	5/23/2011	00612309-05	Pending-Cleared
FT 2997 MARKET STRENGTH ALLOCATION SELECT PORTFOLIO SERIES	WHEATON, IL	5/23/2011	00612308-05	Pending-Cleared
FT 2999 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 31	WHEATON, IL	5/23/2011	00612306-05	Pending-Cleared
FT 3002 COAL PORTFOLIO SERIES	WHEATON, IL	5/23/2011	00612305-05	Pending-Cleared
FT 3003 GLOBAL BOND INCOME PLUS CLOSED END PORTFOLIO SERIES 21	WHEATON, IL	5/23/2011	00612311-05	Pending-Cleared
INTERNATIONAL HIGH 30 DIVIDEND PORTFOLIO SERIES 2011 2Q	MONUMENT, CO	5/23/2011	00612299-05	Pending-Cleared

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LORD ABBETT SECURITIES TR LORD ABBETRT GROWTH LEADERS FUND CLASS C	JERSEY CITY, NJ	5/23/2011	00612329-03	Pending-Cleared
LORD ABBETT SECURITIES TR LORD ABBETT GROWTH LEADERS FUND CLASS R3	JERSEY CITY, NJ	5/23/2011	00612333-03	Pending-Cleared
LORD ABBETT SECURITIES TR LORD ABBETT GROWTH LEADERS FUND CLASS A	JERSEY CITY, NJ	5/23/2011	00612328-03	Pending-Cleared
LORD ABBETT SECURITIES TR LORD ABBETT GROWTH LEADERS FUND CLASS R2	JERSEY CITY, NJ	5/23/2011	00612332-03	Pending-Cleared
LORD ABBETT SECURITIES TR LORD ABBETT GROWTH LEADERS FUND CLASS F	JERSEY CITY, NJ	5/23/2011	00612330-03	Pending-Cleared
LORD ABBETT SECURITIES TR LORD ABBETT GROWTH LEADERS FUND CLASS I	JERSEY CITY, NJ	5/23/2011	00612331-03	Pending-Cleared
FT 2996 STRATEGIC DIVIDEND SELECT PORTFOLIO SERIES	WHEATON, IL	5/20/2011	00612246-05	Pending-Cleared
FT 3001 STRATEGIC INCOME SELECT CLOSED END PORTFOLIO SERIES	WHEATON, IL	5/20/2011	00612245-05	Pending-Cleared
ICON FUNDS ICON ENERGY FUND CLASS C SHARES	GREENWOOD VILLAGE, CO	5/20/2011	00612244-03	Pending-Cleared
PRINCIPAL FUNDS INC SMALL MIDCAP DIVIDEND INCOME FUND INSTITUTIONAL CLASS	DES MOINES, IA	5/20/2011	00612274-03	Pending-Cleared
PRINCIPAL FUNDS INC SMALL MIDCAP DIVIDEND INCOME FUND CLASS P	DES MOINES, IA	5/20/2011	00612275-03	Pending-Cleared
PRINCIPAL FUNDS INC SMALL MIDCAP DIVIDEND INCOME FUND CLASS A	DES MOINES, IA	5/20/2011	00612273-03	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 984 INVESTORS QUALITY TAX EXEMPT TR SERIES 141	OAKBROOK, IL	5/20/2011	00612251-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 985 INSURED MUNICIPALS INCOME TR SERIES 632	OAKBROOK, IL	5/20/2011	00612250-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 986 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 21	OAKBROOK, IL	5/20/2011	00612249-05	Pending-Cleared

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VAN KAMPEN UNIT TR MUNICIPAL SERIES 987 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 22	OAKBROOK, IL	5/20/2011	00612248-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 988 INVESTMENT GRADE MUNICIPAL TR SERIES 126	OAKBROOK, IL	5/20/2011	00612247-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 323 BUILD AMERICA BONDS INCOME TR SERIES 76	OAKBROOK, IL	5/20/2011	00612256-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 324 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 5	OAKBROOK, IL	5/20/2011	00612255-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 325 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 6	OAKBROOK, IL	5/20/2011	00612254-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 326 INVESTMENT GRADE INCOME TR 7+ YEAR SERIES 3	OAKBROOK, IL	5/20/2011	00612253-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 327 INVESTMENT GRADE INCOME TR 7+ YEAR SERIES 4	OAKBROOK, IL	5/20/2011	00612252-05	Pending-Cleared
FIDELITY FIXED INCOME TR FIDELITY MUNICIPAL INCOME 2015 FUND FIDELITY ADVISOR MUNICIPAL INCOME 2015 FUND INSTITUTIONAL	BOSTON, MA	5/18/2011	00612287-03	Registered
FIDELITY FIXED INCOME TR FIDELITY MUNICIPAL INCOME 2015 FUND FIDELITY ADVISOR MUNICIPAL INCOME 2015 FUND CLASS A	BOSTON, MA	5/18/2011	00612284-03	Registered
FIDELITY FIXED INCOME TR FIDELITY MUNICIPAL INCOME 2015 FUND FIDELITY MUNICIPAL INCOME 2015 FUND	BOSTON, MA	5/18/2011	00612293-03	Registered

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FIDELITY FIXED INCOME TR FIDELITY MUNICIPAL INCOME 2017 FUND FIDELITY ADVISOR MUNICIPAL INCOME 2017 FUND CLASS A	BOSTON, MA	5/18/2011	00612289-03	Registered
FIDELITY FIXED INCOME TR FIDELITY MUNICIPAL INCOME 2017 FUND FIDELITY MUNICIPAL INCOME 2017 FUND	BOSTON, MA	5/18/2011	00612291-03	Registered
FIDELITY FIXED INCOME TR FIDELITY MUNICIPAL INCOME 2017 FUND FIDELITY ADVISOR MUNICIPAL INCOME 2017 FUND INSTITUTIONAL	BOSTON, MA	5/18/2011	00612285-03	Registered
FIDELITY FIXED INCOME TR FIDELITY MUNICIPAL INCOME 2019 FUND FIDELITY ADVISOR MUNICIPAL INCOME 2019 FUND CLASS A	BOSTON, MA	5/18/2011	00612295-03	Registered
FIDELITY FIXED INCOME TR FIDELITY MUNICIPAL INCOME 2019 FUND	BOSTON, MA	5/18/2011	00612286-03	Registered
FIDELITY FIXED INCOME TR FIDELITY MUNICIPAL INCOME 2019 FUND FIDELITY ADVISOR MUNICIPAL INCOME 2019 FUND INSTITUTIONAL	BOSTON, MA	5/18/2011	00612290-03	Registered
FIDELITY FIXED INCOME TR FIDELITY MUNICIPAL INCOME 2021 FUND FIDELITY ADVISOR MUNICIPAL INCOME 2021 FUND CLASS A	BOSTON, MA	5/18/2011	00612294-03	Registered
FIDELITY FIXED INCOME TR FIDELITY MUNICIPAL INCOME 2021 FUND	BOSTON, MA	5/18/2011	00612292-03	Registered
FIDELITY FIXED INCOME TR FIDELITY MUNICIPAL INCOME 2021 FUND FIDELITY ADVISOR MUNICIPAL INCOME 2021 FUND INSTITUTIONAL	BOSTON, MA	5/18/2011	00612288-03	Registered
HENDERSON GLOBAL FUNDS HENDERSON GLOBAL LEADERS FUND CLASS I	CHICAGO, IL	5/18/2011	00612202-03	Pending-Cleared
HENDERSON GLOBAL FUNDS HENDERSON JAPAN FOCUS FUND CLASS I	CHICAGO, IL	5/18/2011	00612201-03	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
NORTHERN LIGHTS FUND TR PRINCETON FUTURES STRATEGY FUND CLASS I	HAUPPAUGE, NY	5/18/2011	00612200-03	Pending-Cleared
NORTHERN LIGHTS FUND TR PRINCETON FUTURES STRATEGY FUND CLASS A	HAUPPAUGE, NY	5/18/2011	00612199-03	Pending-Cleared
ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 32	MONUMENT, CO	5/17/2011	00612162-05	Pending-Cleared
COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO 2 YR SERIES 2011 1	MONUMENT, CO	5/17/2011	00612163-05	Pending-Cleared
FT 2929 MEGA CAP PORTFOLIO SERIES 19	WHEATON, IL	5/17/2011	00612164-05	Pending-Cleared
FT 2964 GLOBAL EQUITY INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 4	WHEATON, IL	5/17/2011	00612166-05	Pending-Cleared
FT 3000 SENIOR LOAN & LIMITED DURATION CLOSED END PORTFOLIO SERIES	WHEATON, IL	5/17/2011	00612165-05	Pending-Cleared
INVESTMENT MANAGERS SERIES TR WCM FOCUSED INTERNATIONAL GROWTH FUND	MILWAUKEE, WI	5/17/2011	00612198-03	Pending-Cleared
DOW VALUE TEN PORTFOLIO SERIES 2011 2Q	MONUMENT, CO	5/16/2011	00612128-05	Pending-Cleared
FIRST TR COMBINED SERIES 349 TAX EXEMPT MUNICIPAL ICOME TR INTERMEDIATE SERIES	WHEATON, IL	5/16/2011	00612131-05	Pending-Cleared
FIRST TR COMBINED SERIES 364 TAX EXEMPT MUNICIPAL INCOME TR SERIES 266	WHEATON, IL	5/16/2011	00612135-05	Pending-Cleared
FT 2927 DIVIDEND STRENGTH PORTFOLIO SERIES 10	WHEATON, IL	5/16/2011	00612129-05	Pending-Cleared
FT 2928 GLOBAL DIVIDEND PORTFOLIO SERIES 25	WHEATON, IL	5/16/2011	00612133-05	Pending-Cleared
FT 2952 INTEREST RATE HEDGE PORTFOLIO SERIES 32	WHEATON, IL	5/16/2011	00612125-05	Pending-Cleared
FT 2962 COVERED CALL OPPORTUNITIES CLOSED END PORTFOLIO SERIES 5	WHEATON, IL	5/16/2011	00612132-05	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 2963 DIVIDEND & INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 4	WHEATON, IL	5/16/2011	00612134-05	Pending-Cleared
FT 2968 DORSEY WRIGHT REALTIVE STRENGTH DIVIDEND PORTFOLIO SERIES	WHEATON, IL	5/16/2011	00612130-05	Pending-Cleared
INVESTMENT MANAGERS SERIES TR FAMCO MLP & ENERGY INCOME FUND CLASS A	MILWAUKEE, WI	5/16/2011	00612124-03	Pending-Cleared
STRATEGIC FOUNDATIONS OF GROWTH PORTFOLIO SERIES 2011 1	MONUMENT, CO	5/16/2011	00612127-05	Pending-Cleared
TACTICAL INCOME CLOSED END PORTFOLIO SERIES 2011 2	MONUMENT, CO	5/16/2011	00612126-05	Pending-Cleared
Number of Investment Company Filings: 154				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AMERICAN OIL FOR AMERICANS LP	SEDONA, AZ	5/26/2011	00612524-07	Filed
PLYMOUTH OIL COMPANY LLC	MERRILL, IA	5/26/2011	00612525-07	Filed
EMERALD CITY OF OZ LLC	WILMINGTON, DE	5/25/2011	00612461-07	Filed
VICOR TECHNOLOGIES INC	BOCA RATON, FL	5/25/2011	00612460-07	Filed
HSM LLC	MILWAUKEE, WI	5/24/2011	00612402-07	Filed
CASTLE AT THE BAY LLC	ARKDLE, WI	5/23/2011	00612315-07	Filed
HAYDEN LAKE MOTION PICTURE LLC	SCOTTSDALE, AZ	5/23/2011	00612316-07	Filed
SINGULEX INC	ALAMEDA, CA	5/23/2011	00612314-07	Filed
BARCLAYS BANK PLC ENG	LONDON XO E14 5HP,	5/20/2011	00612258-07	Filed
OLYMPUS PACIFIC MINERALS INC	TORONTO ONTARIO M5C 1C3,	5/20/2011	00612259-07	Filed
PINNACLE INVESTMENT CORP	NEW YORK, NY	5/20/2011	00612260-07	Filed
DILON TECHNOLOGIES INC	NEWPORT NEWS, VA	5/19/2011	00612257-07	Filed
IASO PHARMA INC	SAN DIEGO, CA	5/19/2011	00612217-07	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
IVP NEXTIO LLC	AVON, NJ	5/19/2011	00612218-07	Filed
MURVIN & MEIER OIL CO 2011 2	BARRINGTON, IL	5/19/2011	00612220-07	Filed
2514 DIVERSIFIED LP	TAMPA, FL	5/16/2011	00612138-07	Filed
CHESTNUT EXPLORATION INC SUN OIL 14 RE ENTRY JOINT VENTURE	RICHARDSON, TX	5/16/2011	00612139-07	Filed
GREENFIELD ACQUISITION PARTNERS 6 LP	SOUTH NORWALK, CT	5/16/2011	00612141-07	Filed
ROYAL OPPORTUNITIES FEEDER SA	LUXEMBOURG, L1331,	5/16/2011	00612137-07	Filed
ROYALTY OPPORTUNITIES SAR I	LUXEMBOURG, L1331,	5/16/2011	00612136-07	Filed
SPM OPPORTUNITY OFFSHORE FUND LTD	GRAND CAYMAN KY1 9002,	5/16/2011	00612140-07	Filed
Number of Regulation D Notice Filings: 21				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Jan-Pro Franchising International, Inc. / Jan-Pro; Jan-Pro Cleaning Systems	Alpharetta, GA	5/27/2011	602695	Registered
Sonic Franchising LLC / Sonic Franchising LLC Number 6A License Agreement	Oklahoma City, OK	5/26/2011	602683	Registered
Sonic Franchising LLC / Sonic Franchising LLC Number 7 License Agreement	Oklahoma City, OK	5/26/2011	602682	Registered
ACG PIZZA PARTNERS LLC	MARIETTA, GA	5/26/2011	602688	Registered
Artisan Cabinet Franchising, Inc. / Savewood Kitchen	Plainfield, IL	5/26/2011	602690	Registered
CITY PUBLICATIONS FRANCHISE GROUP INC	ATLANTA, GA	5/26/2011	602692	Registered
HEALTHSOURCE CHIROPRACTIC INC / REGIONAL DEVELOPER	VERMILLION, OH	5/26/2011	602691	Registered
MRS FIELDS FRANCHISING LLC	SALT LAKE CITY, UT	5/26/2011	602693	Registered
WORLD INSPECTION NETWORK INTERNATIONAL INC / WIN Home Inspection	SEATTLE, WA	5/26/2011	602689	Registered
MCCOLLA ENTERPRISES LTD	TOPEKA, KS	5/25/2011	602685	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
TCBY SYSTEMS LLC	SALT LAKE CITY, UT	5/25/2011	602686	Registered
Crescendo USA, LLC	Madison, WI	5/24/2011	602687	Incomplete
GAMES 2 U FRANCHISING LLC	AUSTIN, TX	5/24/2011	602679	Registered
IKOR	Kennett Square, PA	5/24/2011	602680	Registered
Exercise Coach USA, LLC / Excercise Coach Fitness Studio	Buffalo Grove, IL	5/23/2011	602677	Registered
GYMBOREE PLAY PROGRAMS INC	SAN FRANCISCO, CA	5/23/2011	602678	Registered
RPC Acquisition Corp. / Pro Cuts (Sports)	MINNEAPOLIS, MN	5/23/2011	602676	Registered
TheHomeMag Franchising, LLC / TheHomeMag	Cape Coral, FL	5/20/2011	602674	Registered
ALAMO DRAFTHOUSE CINEMAS LTD	AUSTIN, TX	5/19/2011	602669	Registered
AMAZING SPACES FRANCHISING LLC	Woodlands, TX	5/19/2011	602671	Registered
BRUEGGERS FRANCHISE CORP	BURLINGTON, VT	5/19/2011	602673	Registered
GOLDS GYM FRANCHISING LLC / Heritage program	IRVING, TX	5/19/2011	602667	Registered
STANLEY STEEMER INTERNATIONAL INC	DUBLIN, OH	5/19/2011	602670	Registered
TIM HORTONS USA INC	DUBLIN, OH	5/19/2011	602672	Registered
CAR X ASSOC CORP	TOLEDO, OH	5/18/2011	602665	Registered
MCALISTERS CORP	RIDGELAND, MS	5/18/2011	602662	Registered
NOBLE ROMANS INC	INDIANAPOLIS, IN	5/18/2011	602663	Registered
TUFFY ASSOC CORP	Toledo, OH	5/18/2011	602664	Registered
Vision Quest Franchising, LLC	Highland Park, IL	5/18/2011	602681	Registered
PITA PIT INC. / THE PITA PIT	COEUR D'ALENE, ID	5/17/2011	602651	Registered
BROADWAY STATION RESTAURANTS INC	WOODBURY, MN	5/17/2011	602657	Registered
Redwood Healthcare Staffing, LLC	LOS ANGELES, CA	5/17/2011	602658	Registered
Zippy Shell USA, LLC	Jersey City, NJ	5/17/2011	602660	Registered
ACCELERATION PRODUCTS INC	PARK CITY, UT	5/16/2011	602655	Registered
KIDVILLE FRANCHISE CO LLC	NEW YORK, NY	5/16/2011	602653	Registered
PHYSICIANS WEIGHT LOSS CENTERS OF AMERICA INC	AKRON, OH	5/16/2011	602652	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
UNITED COUNTRY REAL ESTATE INC	KANSAS CITY, MO	5/16/2011	602654	Registered
Number of Franchise Filings: 37				

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