

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 5/23/2011 through 6/3/2011**

<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>
SQN ALTERNATE INVESTMENT FUND 3 LP	NEW YORK, NY	5/31/2011	00612596-01	Pending
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: 4				

<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>
LIVING WORD BIBLE CHURCH	MESA, AZ	6/1/2011	00612695-08	Pending
KISH BANCORP INC	,	5/23/2011	00612327-08	Not Disallowed
Number of Exemption Filings: 2				

<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>
FT 2971 BANKING OPPORTUNITY PORTFOLIO SERIES 8	WHEATON, IL	6/3/2011	00612727-05	Pending-Cleared
FT 2973 MULTI SECITOR INCOME PORTFOLIO SERIES 4	WHEATON, IL	6/3/2011	00612726-05	Pending-Cleared
FT 2982 STRATEGIC INCOME CLOSED END PORTFOLIO SERIES 35	WHEATON, IL	6/3/2011	00612728-05	Pending-Cleared
FT 3005 SMID DIVIDEND PORTFOLIO SERIES	WHEATON, IL	6/3/2011	00612729-05	Pending-Cleared
FT 3043 INSURED MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 26	WHEATON, IL	6/3/2011	00612725-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 777 CLOSED END CORPORATE HIGH YIELD & INCOME PORTFOLIO 15 MONTH SERIES 18	LISLE, IL	6/3/2011	00612723-05	Pending-Cleared

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 777 STRATEIGIC INCOME PORTFOLIO 15 MONTH SERIES 54	LISLE, IL	6/3/2011	00612724-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 779 CLOSED END INCOME & TREASURY LTD DURATION PORTFOLIO 15 MONTH SERIES 12	LISLE, IL	6/3/2011	00612722-05	Pending-Cleared
VANGUARD TRUSTEES EQUITY FUND VANGUARD EMERGING MARKETS SELECT STOCK FUND INVESTOR SHARES	VALLEY FORGE, PA	6/3/2011	00612721-03	Pending-Cleared
UNIFIED SERIES TR LEEB RESOURCES FUND CLASS A	INDIANAPOLIS, IN	6/2/2011	00612708-03	Pending-Cleared
CATALYST FUNDS AMERICA 1ST DEFENSIVE GROWTH FUND CLASS A	WILLOW GROVE, PA	6/1/2011	00612688-03	Pending-Cleared
CATALYST FUNDS AMERICA 1ST DEFENSIVE GROWTH FUND CLASS I	WILLOW GROVE, PA	6/1/2011	00612686-03	Pending-Cleared
CATALYST FUNDS AMERICA 1ST DEFENSIVE GROWTH FUND CLASS U	WILLOW GROVE, PA	6/1/2011	00612687-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 776 CLOSED END COVERED CALL & INCOME PORTFOLIO 15 MONTH SERIES 24	LISLE, IL	6/1/2011	00612691-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 776 CLOSED END SENIOR LOAN & INCOME PORTFOLIO 15 MONTH SERIES 18	LISLE, IL	6/1/2011	00612690-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 776 DIVERSIFIED INCOME WAVE PORTFOLIO 15 MONTH SERIES 22	LISLE, IL	6/1/2011	00612692-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 790 DOW JONES VALUE RBP DIVIDEND FOCUS PORTFOLIOS SERIES 5	LISLE, IL	6/1/2011	00612689-05	Pending-Cleared

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DEL REY GLOBAL INVESTORS FUNDS DEL REY MONARCH FUND INSTITUTIONAL SHARES	LOS ANGELES, CA	5/31/2011	00612674-03	Registered
DEL REY GLOBAL INVESTORS FUNDS DEL REY MONARCH FUND CLASS A SHARES	LOS ANGELES, CA	5/31/2011	00612673-03	Registered
FIDELITY ABERDEEN STREET TR FIDELITY ADVISOR FREEDOM 2055 FUND CLASS C	BOSTON, MA	5/31/2011	00612680-03	Registered
FIDELITY ABERDEEN STREET TR FIDELITY ADVISOR FREEDOM 2055 FUND CLASS A	BOSTON, MA	5/31/2011	00612677-03	Registered
FIDELITY ABERDEEN STREET TR FIDELITY ADVISOR FREEDOM 2055 FUND INSTITUTIONAL CLASS	BOSTON, MA	5/31/2011	00612678-03	Registered
FIDELITY ABERDEEN STREET TR FIDELITY ADVISOR FREEDOM 2055 FUND CLASS T	BOSTON, MA	5/31/2011	00612679-03	Registered
FIDELITY ABERDEEN STREET TR FIDELITY FREEDOM 2055 FUND	BOSTON, MA	5/31/2011	00612675-03	Registered
FIDELITY ABERDEEN STREET TR FIDELITY FREEDOM INDEX 2055 FUND CLASS W	BOSTON, MA	5/31/2011	00612681-03	Registered
FIDELITY ABERDEEN STREET TR FIDELITY FREEDOM K 2055 FUND	BOSTON, MA	5/31/2011	00612676-03	Registered
FT 2919 INCOME ALLOCATION CLOSED END JUNE 11	WHEATON, IL	5/31/2011	00612562-05	Pending-Cleared
FT 2992 BALANCED INCOME SELECT PORTFOLIO SERIES 20	WHEATON, IL	5/31/2011	00612561-05	Pending-Cleared
FT 3004 GLOBAL BOND INCOME CLOSED END PORTFOLIO SERIES	WHEATON, IL	5/31/2011	00612560-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 787 GUGGENHEIM ABC HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 6	LISLE, IL	5/31/2011	00612565-05	Pending-Cleared

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 787 GUGGENHEIM BMAC COMMODITY PRODUCERS STRATEGY PORTFOLIO SERIES 6	LISLE, IL	5/31/2011	00612564-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 787 GUGGENHEIM GLOBAL TELECOM STRATEGY PORTFOLIO SERIES 6	LISLE, IL	5/31/2011	00612563-05	Pending-Cleared
JPMORGAN TR 1 JPMORGAN CURRENT INCOME FUND INSITUTIONAL CLASS SHARES	BOSTON, MA	5/31/2011	00612583-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN CURRENT INCOME FUND SELECT CLASS SHARES	BOSTON, MA	5/31/2011	00612584-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN FLOATING RATE INCOME FUND CLASS A SHARES	BOSTON, MA	5/31/2011	00612585-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN FLOATING RATE INCOME FUND CLASS C SHARES	BOSTON, MA	5/31/2011	00612586-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN FLOATING RATE INCOME FUND SELECT CLASS SHARES	BOSTON, MA	5/31/2011	00612587-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN US RESEARCH EQUITY PLUS FUND CLASS R6 SHARES	BOSTON, MA	5/31/2011	00612588-03	Pending-Cleared
MANAGED PORTFOLIO SERIES CORPORATE AMERICA CU SHORT DURATION FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	5/31/2011	00612595-03	Pending-Cleared
MANAGED PORTFOLIO SERIES NUANCE CONCENTRATED VALUE FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	5/31/2011	00612592-03	Pending-Cleared
MANAGED PORTFOLIO SERIES TORTOISE MLP & PIPELINE FUND INVESTOR CLASS SHARES	MILWAUKEE, WI	5/31/2011	00612594-03	Pending-Cleared

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MANAGED PORTFOLIO SERIES TORTOISE MLP & PIPELINE FUND INSITUTIONAL CLASS SHARES	MILWAUKEE, WI	5/31/2011	00612593-03	Pending-Cleared
REAL ESTATE INCOME TR PORTFOLIO SERIES 2011 1	MONUMENT, CO	5/31/2011	00612559-05	Pending-Cleared
STEELPATH MLP FUNDS TR STEELPATH MLP ALPHA FUND CLASS C SHARES	DALLAS, TX	5/31/2011	00612589-03	Pending-Cleared
STEELPATH MLP FUNDS TR STEELPATH MLP INCOME FUND CLASS C SHARES	DALLAS, TX	5/31/2011	00612590-03	Pending-Cleared
STEELPATH MLP FUNDS TR STEELPATH MLP SELECT 40 FUND CLASS C SHARES	DALLAS, TX	5/31/2011	00612591-03	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1114 BRIC OPPORTUNITY PORTFOLIO 2011 3	OAKBROOK, IL	5/31/2011	00612567-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1114 GLOBAL ALTERNATIVE ENERGY PORTFOLIO 2011 3	OAKBROOK, IL	5/31/2011	00612568-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1117 NEW WORLD LEADERS PORTFOLIO SERIES 2	OAKBROOK, IL	5/31/2011	00612569-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1120 CLOSED END STRATEGY COVERED CALL INCOME PORTFOLIO SERIES 2011 3	OAKBROOK, IL	5/31/2011	00612571-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1120 CLOSED END STRATEGY MASTER INCOME PORTFOLIO SERIES 28	OAKBROOK, IL	5/31/2011	00612572-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1120 CLOSED END STRATEGY MASTER MUNICIPAL INCOME PORTFOLIO NATIONAL SERIES 24	OAKBROOK, IL	5/31/2011	00612573-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1120 CLOSED END STRATEGY VALUE EQUITY AND INCOME PORTFOLIO 2011 3	OAKBROOK, IL	5/31/2011	00612570-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1121 S&P DIVIDEND GROWTH OPOPRTUNITIES TR SERIES 25	OAKBROOK, IL	5/31/2011	00612574-05	Pending-Cleared

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VAN KAMPEN UNIT TR SERIES 1122 ENHANCED INDEX STRATEGIES PORTFOLIO 2011 3	OAKBROOK, IL	5/31/2011	00612576-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1122 S&P POWERPICKS PORTFOLIO 2011 3	OAKBROOK, IL	5/31/2011	00612575-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1123 CLOSED END STRATEGY DIVERSIFIED CREDIT OPPORTUNITIES PORTFOLIO SERIES 3	OAKBROOK, IL	5/31/2011	00612579-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1123 CLOSED END STRATEGY GLOBAL INCOME PORTFOLIO SERIES 7	OAKBROOK, IL	5/31/2011	00612578-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1123 CLOSED END STRATEGY SENIOR LOAN AND LIMITED DURATION PORTFOLIO SERIES 29	OAKBROOK, IL	5/31/2011	00612577-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1124 CENTRAL EQUITY TR DIVERSIFIED INCOME SERIES 40	OAKBROOK, IL	5/31/2011	00612580-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1125 DIVIDEND INCOME & VALUE PORTFOLIO 2011 3	OAKBROOK, IL	5/31/2011	00612581-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1126 S&P DIVIDEND SUSTAINABILITY PORTFOLIO 2011 3	OAKBROOK, IL	5/31/2011	00612582-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 328 BUILD AMERICA BONDS INCOME TR SERIES 77	OAKBROOK, IL	5/31/2011	00612566-05	Pending-Cleared
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 INVESTOR A SHARES	SAN FRANCISCO, CA	5/27/2011	00612641-03	Pending-Cleared

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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 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 2025 PORTFOLIO INSTITUTIONAL SHARES	SAN FRANCISCO, CA	5/27/2011	00612643-03	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 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 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 2035 PORTFOLIO INVESTOR A SHARES	SAN FRANCISCO, CA	5/27/2011	00612649-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2040 PORTFOLIO INVESTOR A SHARES	SAN FRANCISCO, CA	5/27/2011	00612657-03	Pending-Cleared

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BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2040 PORTFOLIO INSTITUTIONAL SHARES	SAN FRANCISCO, CA	5/27/2011	00612653-03	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 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 2045 PORTFOLIO INSTITUTIONAL SHARES	SAN FRANCISCO, CA	5/27/2011	00612648-03	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 INSTITUTIONAL SHARES	SAN FRANCISCO, CA	5/27/2011	00612654-03	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 CLASS K SHARES	SAN FRANCISCO, CA	5/27/2011	00612638-03	Pending-Cleared

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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
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

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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
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 R4	SIMSBURY, CT	5/25/2011	00612456-03	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 Y	SIMSBURY, CT	5/25/2011	00612454-03	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 A	SIMSBURY, CT	5/25/2011	00612453-03	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 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 C	SIMSBURY, CT	5/25/2011	00612447-03	Pending-Cleared
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 R4	SIMSBURY, CT	5/25/2011	00612450-03	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 R3	SIMSBURY, CT	5/25/2011	00612451-03	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 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

**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>
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
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

**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>
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 INSTITUTIONAL CLASS SHARES	HOUSTON, TX	5/23/2011	00612426-03	Registered
AIM SECTOR FUNDS INVESCO SECTOR FUNDS INVESCO VAN KAMPEN VALUE OPPORTUNITIES FUND CLASS R SHARES	HOUSTON, TX	5/23/2011	00612427-03	Registered
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

**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>
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
LORD ABBETT SECURITIES TR LORD ABBETT 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 I	JERSEY CITY, NJ	5/23/2011	00612331-03	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 R2	JERSEY CITY, NJ	5/23/2011	00612332-03	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 F	JERSEY CITY, NJ	5/23/2011	00612330-03	Pending-Cleared
Number of Investment Company Filings: 167				

<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>
18780 BAGLEY PROPERTIES LP	MIDDLEBURG HEIGHTS, OH	6/3/2011	00612732-07	Filed
AEGIS SPECIAL OPPORTUNITY FUND LLC	NEW YORK, NY	6/3/2011	00612734-07	Filed
NGP NATURAL RESOURCES 10 LP	IRVING, TX	6/3/2011	00612733-07	Filed
PLUSCIOS FUND LLC	EVANSTON, IL	6/3/2011	00612731-07	Filed
WHOLESALES FLOORS LLC	NEW YORK, NY	6/3/2011	00612730-07	Filed
ARENA SOLUTIONS INC	FOSTER CITY, CA	6/2/2011	00612702-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 5/23/2011 through 6/3/2011**

<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>
CENTERFIELD CAPITAL PARTNERS 3 LP	INDIANAPOLIS, IN	6/2/2011	00612701-07	Filed
GEARBOX EXPRESS LLC	HARTLAND, WI	6/2/2011	00612703-07	Filed
THEESIS CHEMISTRY LLC	MENTOR, OH	6/2/2011	00612700-07	Filed
CROWN DAWSON 1 JOINT VENTURE	CARROLTON, TX	6/1/2011	00612694-07	Filed
JMB INVESTCO US LP	SEATTLE, WA	6/1/2011	00612693-07	Filed
AUGME TECHNOLOGIES INC	NEW YORK, NY	5/31/2011	00612554-07	Filed
H&R SERIES 1 LLC	AURORA, IL	5/31/2011	00612558-07	Filed
LITTLE CHENIERE FIELD DEVELOPMENT JOINT VENTURE	SAN ANTONIO, TX	5/31/2011	00612553-07	Filed
MPF BADGER ACQUISITION CO 2 LLC	MORAGA, CA	5/31/2011	00612556-07	Filed
TIDAL PETROLEUM INC	SCHERTZ, TX	5/31/2011	00612555-07	Filed
WOLCOTT DDF 2 LLC	CHICAGO, IL	5/31/2011	00612557-07	Filed
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
Number of Regulation D Notice Filings: 25				

<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>
COVERALL NORTH AMERICA, INC	BOCA RATON, FL	6/2/2011 1	602715	Registered
TINDER BOX INTERNATIONAL LTD	BALA CYNWYD, PA	6/2/2011 1	602714	Registered
DEALER SPECIALTIES INTERNATIONAL INC	MONROE, OH	6/2/2011	602716	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>
PAYLESS CAR RENTAL SYSTEM, INC	ST PETERSBURG, FL	6/2/2011	602717	Registered
BL Restaurant Franchises, LLC / Bar Louie	Addison, TX	6/1/2011	602720	Registered
COMPLETE NUTRITION FRANCHISING, LLC	OMAHA, NE	6/1/2011	602721	Registered
REGAL NAILS SALON & SPA LLC	BATON ROUGE, LA	6/1/2011	602719	Registered
TBC International, LLC / Title Boxing Club Fitness Facility	Overland Park, KS	6/1/2011	602722	Registered
Cybertary Franchising, LLC / Cybertary	Orem, UT	5/31/2011	602696	Registered
FRESHBERRY FRANCHISE SYSTEM LLC	TULSA, OK	5/31/2011	602709	Registered
GOIN POSTAL FRANCHISE CORP	ZEPHYRHILLS, FL	5/31/2011	602708	Registered
HARDEES FOOD SYSTEMS INC / Multi Unit	ST LOUIS, MO	5/31/2011	602703	Registered
HARDEES FOOD SYSTEMS INC / Non Traditional	ST LOUIS, MO	5/31/2011	602704	Registered
HARDEES FOOD SYSTEMS INC / St. Louis	ST LOUIS, MO	5/31/2011	602705	Registered
HARDEES FOOD SYSTEMS INC / Anaheim	ST LOUIS, MO	5/31/2011	602706	Registered
KARCHER CARL ENTERPRISES INC / Non Traditional	CARPINTERIA, CA	5/31/2011	602707	Registered
KARCHER CARL ENTERPRISES INC / Traditional	CARPINTERIA, CA	5/31/2011	602702	Registered
ROYAL FRANCHISING INC / JANI KING OF MILWAUKEE	BROOKFIELD, WI	5/31/2011	602710	Registered
The Beef Jerky Outlet Franchise, Inc.	Seymour, TN	5/31/2011	602711	Registered
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

**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>
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
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
Number of Franchise Filings: 36				

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