

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/26/2011 through 10/7/2011**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ATLAS FUTURES FUND LP	FREEMONT, IN	9/28/2011	00621139-01	Pending
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
YOUNG MENS CHRISTIAN ASSOC AT PABST FARMS INC	OCONOMOWOC, WI	10/3/2011	00621163-08	Pending
	,	9/27/2011	00619676-55	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
1ST TR COMBINED SERIES 381 BUILD AMERICA BONDS PORTFOLIO SERIES 43	WHEATON, IL	10/5/2011	00621198-05	Pending-Cleared
FT 3166 60/40 STRATEGIC ALLOCATION PORT 4Q 11 TERM 1/16/13	WHEATON, IL	10/5/2011	00621196-05	Pending-Cleared
FT 3166 75/25 STRATEGIC ALLOCATION PORT 4Q 11 TERM 1/16/13	WHEATON, IL	10/5/2011	00621195-05	Pending-Cleared
FT 3170 HEALTH CARE SELECT PORTFOLIO SERIES 22	WHEATON, IL	10/5/2011	00621197-05	Pending-Cleared
FT 3228 INSURED MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 31	WHEATON, IL	10/5/2011	00621199-05	Pending-Cleared
PRINCIPAL FUNDS INC GLOBAL MULTI STRATEGY FUND CLASS A	DES MOINES, IA	10/5/2011	00621093-03	Pending-Cleared
PRINCIPAL FUNDS INC GLOBAL MULTI STRATEGY FUND CLASS P	DES MOINES, IA	10/5/2011	00621095-03	Pending-Cleared
PRINCIPAL FUNDS INC GLOBAL MULTI STRATEGY FUND INSTITUTIONAL CLASS	DES MOINES, IA	10/5/2011	00621094-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FT 3163 MERGER & ACQUISITION PORTFOLIO SERIES 9	OAKBROOK, IL	10/4/2011	00621185-05	Pending-Cleared
ICON FUNDS ICON HEALTHCARE FUND CLASS C SHARES	GREENWOOD VILLAGE, CO	10/4/2011	00621186-03	Registered
ICON FUNDS ICON MATERIALS FUND CLASS C SHARES	GREENWOOD VILLAGE, CO	10/4/2011	00621187-03	Registered
1ST PACIFIC MUTUAL FUND INC 1ST PACIFIC LOW VOLATILITY FUND INVESTOR CLASS	HONOLULU, HI	10/3/2011	00620060-03	Registered
BALANCED PORTFOLIO SERIES 2011-2	MONUMENT, CO	10/3/2011	00621147-05	Pending-Cleared
BPV FAMILY OF FUNDS BPV CORE DIVERSIFICATION FUND	KNOXVILLE, TN	10/3/2011	00620057-03	Registered
BPV FAMILY OF FUNDS BPV WEALTH PRESERVATION FUND	KNOXVILLE, TN	10/3/2011	00620058-03	Registered
CORTINA FUNDS INC CORTINA SMALL CAP GROWTH FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	10/3/2011	00620053-03	Registered
CORTINA FUNDS INC CORTINA SMALL CAP VALUE FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	10/3/2011	00620054-03	Registered
FT 3158 REIT GROWTH & INCOME SELECT PORTFOLIO SERIES 17	WHEATON, IL	10/3/2011	00621159-05	Pending-Cleared
FT 3159 MUNICIPAL INCOME CLOSED-END PORTFOLIO SERIES 42	WHEATON, IL	10/3/2011	00621153-05	Pending-Cleared
FT 3160 CLOUD COMPUTING PORTFOLIO SERIES 4	WHEATON, IL	10/3/2011	00621162-05	Pending-Cleared
FT 3161 HIGH-YIELD CLOSED-END & SHORT TREASURY ETF PORTFOLIO SERIES 3	WHEATON, IL	10/3/2011	00621158-05	Pending-Cleared
FT 3162 GLOBAL INFRASTRUCTURE PORTFOLIO SERIES 18	WHEATON, IL	10/3/2011	00621151-05	Pending-Cleared
FT 3164 PRECIOUS METALS SELECT PORTFOLIO SERIES 25	WHEATON, IL	10/3/2011	00621156-05	Pending-Cleared
FT 3183 ETF GROWTH & INCOME OCT. '11	WHEATON, IL	10/3/2011	00621155-05	Pending-Cleared

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FT 3184 GLOBAL GORILLAS PORTFOLIO SERIES	WHEATON, IL	10/3/2011	00621154-05	Pending-Cleared
FT 3187 INVESTMENT GRADE SELECT CLOSED-END PORTFOLIO SERIES 26	WHEATON, IL	10/3/2011	00621161-05	Pending-Cleared
FT 3188 TX ADVANTAGE MUNICIPAL CLOSED-END PORTFOLIO SERIES 20	WHEATON, IL	10/3/2011	00621160-05	Pending-Cleared
FT 3191 DIVIDEND & INCOME SELECT CLOSED-END PORTFOLIOS SERIES 19	WHEATON, WI	10/3/2011	00621150-05	Pending-Cleared
FT 3192 MUNICIPAL INCOME OPPORTUNITIES CLOSED-END PORTFOLIO SERIES 6	WHEATON, IL	10/3/2011	00621149-05	Pending-Cleared
FT 3193 MUNICIPAL INCOME PLUS CLOSED-END PORTFOLIO SERIES 20	WHEATON, IL	10/3/2011	00621157-05	Pending-Cleared
FT 3227 STRATEGIC INCOME PLUS CLOSED-END PORTFOLIO SERIES 34	WHEATON, IL	10/3/2011	00621148-05	Pending-Cleared
HIGHLAND FUNDS 2 HIGHLAND TREND FOLLOWING FUND CLASS C SHARES	DALLAS, TX	10/3/2011	00620055-03	Registered
HIGHLAND FUNDS 2 HIGHLAND TREND FOLLOWING FUND CLASS Y SHARES	DALLAS, TX	10/3/2011	00620056-03	Registered
KEELEY FUNDS INC KEELEY MID CAP DIVIDEND VALUE FUND CLASS A	MILWAUKEE, WI	10/3/2011	00621165-03	Pending-Cleared
KEELEY FUNDS INC KEELEY MID CAP DIVIDEND VALUE FUND CLASS I	MILWAUKEE, WI	10/3/2011	00621164-03	Pending-Cleared
MANAGERS TR 1 MANAGERS MICRO-CAP FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	10/3/2011	00621166-03	Registered
METROPOLITAN WEST FUNDS METROPOLITAN WEST UNCONSTRAINED BOND FUND CLASS M SHARES	LOS ANGELES, CA	10/3/2011	00620062-03	Registered
METROPOLITAN WEST FUNDS METROPOLITAN WEST UNCONSTRAINED BOND FUND CLASS I SHARES	LOS ANGELES, CA	10/3/2011	00620061-03	Registered

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STRATEGIC HIGH 50/Q-50 DIVIDEND & GROWTH PORTFOLIO SERIES 2011-4Q	MONUMENT, CO	10/3/2011	00621152-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1021 INSURED MUNICIPALS INCOME TR SERIES 636	OAKBROOK, IL	10/3/2011	00621173-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1022 INSURED MUNICIPALS INCOME TR SERIES 637	OAKBROOK, IL	10/3/2011	00621174-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1023 INVESTMENT GRADE MUNICIPAL TRUST SERIES 135	OAKBROOK, IL	10/3/2011	00621175-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1024 QUALITY MUNICIPALS INCOME TR 50TH LTD MATURITY SERIES	OAKBROOK, IL	10/3/2011	00621176-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1161 SELECT 10 INDUSTRIAL PORTFOLIO 2011-6	OAKBROOK, IL	10/3/2011	00621177-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1162 DIVERSIFIED HEALTHCARE PORTFOLIO SERIES 57	OAKBROOK, IL	10/3/2011	00621181-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1162 ENERGY PORTFOLIO SERIES 40	OAKBROOK, IL	10/3/2011	00621182-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1162 FINANCIAL INSTITUTIONS PORTFOLIO SERIES 52	OAKBROOK, IL	10/3/2011	00621183-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1162 REIT INCOME PORTFOLIO 2011-4	OAKBROOK, IL	10/3/2011	00621180-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1162 UTILITY INCOME PORTFOLIO INCOME TR SERIES 637	OAKBROOK, IL	10/3/2011	00621184-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1163 GLOBAL COMMODITY PORTFOLIO SERIES 3	OAKBROOK, IL	10/3/2011	00621178-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1164 DOW JONES LARGE CAP GROWTH STRATEGY 2011-4	OAKBROOK, IL	10/3/2011	00621179-05	Pending-Cleared

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VERICIMETRY FUNDS VERICIMETRY US SMALL CAP VALUE FUND	LOS ANGELES, CA	10/3/2011	00621171-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE ENTERPRISE FUND CLASS B	SAN FRANCISCO, CA	10/3/2011	00620059-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE OPPORTUNITY FUND CLASS B	SAN FRANCISCO, CA	10/3/2011	00620051-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE OPPORTUNITY FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	10/3/2011	00620052-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ RCM SHORT DURATION HIGH INCOME FUND CLASS P	NEW YORK, NY	9/30/2011	00619953-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ RCM SHORT DURATION HIGH INCOME FUND CLASS A	NEW YORK, NY	9/30/2011	00619949-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ RCM SHORT DURATION HIGH INCOME FUND CLASS C	NEW YORK, NY	9/30/2011	00619950-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ RCM SHORT DURATION HIGH INCOME FUND CLASS D	NEW YORK, NY	9/30/2011	00619951-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZ RCM SHORT DURATION HIGH INCOME FUND INSTITUTIONAL CLASS	NEW YORK, NY	9/30/2011	00619952-03	Registered
BLACKROCK FUNDS BLACKROCK COMMODITY STRATEGIES FUND INSTITUTIONAL SHARES	WILMINGTON, DE	9/30/2011	00619962-03	Registered
BLACKROCK FUNDS BLACKROCK COMMODITY STRATEGIES FUND INVESTOR C SHARES	WILMINGTON, DE	9/30/2011	00619961-03	Registered
BLACKROCK FUNDS BLACKROCK COMMODITY STRATEGIES FUND INVESTOR A SHARES	WILMINGTON, DE	9/30/2011	00619960-03	Registered

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Firm Name	Location	Date Received	File Number	Status
BOFA FUNDS SERIES TR BOFA CASH RESERVES INSTITUTIONAL CAPITAL CLASS	BOSTON, MA	9/30/2011	00619943-03	Registered
BOFA FUNDS SERIES TR BOFA GOVERNMENT PLUS RESERVES DAILY CLASS	BOSTON, MA	9/30/2011	00619946-03	Registered
BOFA FUNDS SERIES TR BOFA GOVERNMENT PLUS RESERVES INVESTOR 2 CLASS	BOSTON, MA	9/30/2011	00619945-03	Registered
BOFA FUNDS SERIES TR BOFA GOVERNMENT PLUS RESERVES INVESTOR CLASS	BOSTON, MA	9/30/2011	00619948-03	Registered
BOFA FUNDS SERIES TR BOFA MUNICIPAL RESERVES INSTITUTIONAL CAPITAL CLASS	BOSTON, MA	9/30/2011	00619944-03	Registered
BOFA FUNDS SERIES TR BOFA TREASURY RESERVES INSTITUTIONAL CAPITAL CLASS	BOSTON, MA	9/30/2011	00619947-03	Registered
DOUBLELINE FUNDS TR DOUBLELINE LOW DURATION BOND FUND CLASS N SHARES	MILWAUKEE, WI	9/30/2011	00620243-03	Registered
DOUBLELINE FUNDS TR DOUBLELINE LOW DURATION BOND FUND CLASS I	MILWAUKEE, WI	9/30/2011	00620242-03	Registered
HATTERAS ALTERNATIVE MUTUAL FUNDS TR ALPHA HEDGED STRAGETIES FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/30/2011	00620244-03	Registered
LITMAN GREGORY FUNDS TR LITMAN GREGORY MASTERS ALTERNATIVE STRAGIES FUND INVESTOR CLASS	MILWAUKEE, WI	9/30/2011	00620241-03	Registered
LITMAN GREGORY FUNDS TR LITMAN GREGORY MASTERS ALTERNATIVE STRAGIES FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/30/2011	00620240-03	Registered
PROFESSIONALLY MANAGED PORTFOLIOS BROWN ADVISORY TACTICAL BOND FUND ADVISOR CLASS	MILWAUKEE, WI	9/30/2011	00620245-03	Registered
PUTNAM FUNDS TR PUTNAM DYNAMIC RISK ALLOCATION FUND CLASS A	BOSTON, MA	9/30/2011	00619954-03	Registered

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PUTNAM FUNDS TR PUTNAM DYNAMIC RISK ALLOCATION FUND CLASS B	BOSTON, MA	9/30/2011	00619955-03	Registered
PUTNAM FUNDS TR PUTNAM DYNAMIC RISK ALLOCATION FUND CLASS C	BOSTON, MA	9/30/2011	00619958-03	Registered
PUTNAM FUNDS TR PUTNAM DYNAMIC RISK ALLOCATION FUND CLASS M	BOSTON, MA	9/30/2011	00619956-03	Registered
PUTNAM FUNDS TR PUTNAM DYNAMIC RISK ALLOCATION FUND CLASS R	BOSTON, MA	9/30/2011	00619957-03	Registered
PUTNAM FUNDS TR PUTNAM DYNAMIC RISK ALLOCATION FUND CLASS Y	BOSTON, MA	9/30/2011	00619959-03	Registered
ADVISORS INNER CIRCLE FUND 2 STW BROAD TAX AWARE VALUE BOND FUND INSTITUTIONAL SHARES	BOSTON, MA	9/29/2011	00619828-03	Registered
ADVISORS INNER CIRCLE FUND 2 STW LONG DURATION INVESTMENT GRADE BOND FUND INSTITUTIONAL SHARES	BOSTON, MA	9/29/2011	00619827-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS EQUITY FUND CLASS A SHARES	LONDON, UK	9/29/2011	00619819-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS EQUITY FUND CLASS C SHARES	LONDON, UK	9/29/2011	00619822-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS SMALL CAP EQUITY FUND CLASS C SHARES	LONDON, UK	9/29/2011	00619821-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS SMALL CAP EQUITY FUND INSTITUTIONAL CLASS SHARES	LONDON, UK	9/29/2011	00619823-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS SMALL CAP EQUITY FUND CLASS A SHARES	LONDON, UK	9/29/2011	00619820-03	Registered
GLG INVESTMENT SERIES TR GLG INTERNATIONAL SMALL CAP FUND CLASS C SHARES	NEW YORK, NY	9/29/2011	00619818-03	Registered

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
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GUGGENHEIM DEFINED PORTFOLIOS, SERIES 825 GUGGENHEIM INTERNATIONAL DIVIDEND STRATEGY PORTFOLIO SERIES 13	LISLE, IL	9/29/2011	00620027-05	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD FLOATING RATE HIGH INCOME FUND CLASS Y	SIMSBURY, CT	9/29/2011	00620020-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD FLOATING RATE HIGH INCOME FUND CLASS R4 SHARES	SIMSBURY, CT	9/29/2011	00620022-05	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD FLOATING RATE HIGH INCOME FUND CLASS A SHARES	SIMSBURY, CT	9/29/2011	00620026-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD FLOATING RATE HIGH INCOME FUND CLASS R5	SIMSBURY, CT	9/29/2011	00620021-05	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD FLOATING RATE HIGH INCOME CLASS I SHARES	SIMSBURY, CT	9/29/2011	00620024-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD FLOATING RATE HIGH INCOME FUND CLASS R3 SHARES	SIMSBURY, CT	9/29/2011	00620023-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD FLOATING RATE HIGH INCOME FUND CLASS C SHARES	SIMSBURY, CT	9/29/2011	00620025-03	Pending-Cleared
PIMCO FUNDS PIMCO INTERNATIONAL FUNDAMENTAL INDEXPLUS TR STRATEGY FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	9/29/2011	00619832-03	Registered
PIMCO FUNDS PIMCO SMALL CO FUNDAMENTAL INDEXPLUS TR STRATEGY FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	9/29/2011	00619833-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE ASIA PACIFIC FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	9/29/2011	00619830-03	Registered

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WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE EMERGING MARKETS EQUITY FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	9/29/2011	00619829-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE EQUITY VALUE FUND CLASS R	SAN FRANCISCO, CA	9/29/2011	00619825-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE EQUITY VALUE FUND CLASS B	SAN FRANCISCO, CA	9/29/2011	00619824-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE INTRINSIC WORLD EQUITY FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	9/29/2011	00619826-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE SMALL MID CAP CORE FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	9/29/2011	00619831-03	Registered
BLACKROCK FUNDS BLACKROCK GLOBAL LONG SHORT CREDIT FUND INSTITUTIONAL SHARES	WILMINGTON, DE	9/28/2011	00619941-03	Pending-Cleared
BLACKROCK FUNDS BLACKROCK GLOBAL LONG SHORT CREDIT FUND INVESTOR A SHARES	WILMINGTON, DE	9/28/2011	00619940-03	Pending-Cleared
BLACKROCK FUNDS BLACKROCK GLOBAL LONG SHORT CREDIT FUND INVESTOR C SHARES	WILMINGTON, DE	9/28/2011	00619942-03	Pending-Cleared
EATON VANCE GROWTH TR EATON VANCE RICHARD BERNSTEIN ALL ASSET STRATEGY FUND CLASS C SHARES	BOSTON, MA	9/28/2011	00619938-03	Pending-Cleared
EATON VANCE GROWTH TR EATON VANCE RICHARD BERNSTEIN ALL ASSET STRATEGY FUND CLASS A SHARES	BOSTON, MA	9/28/2011	00619937-03	Pending-Cleared
EATON VANCE GROWTH TR EATON VANCE RICHARD BERNSTEIN ALL ASSET STRATEGY FUND CLASS I SHARES	BOSTON, MA	9/28/2011	00619939-03	Pending-Cleared

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EATON VANCE MUTUAL FUNDS TR EATON VANCE MULTI STRATEGY ALL MARKET FUND CLASS I SHARES	BOSTON, MA	9/28/2011	00619936-03	Pending-Cleared
EATON VANCE MUTUAL FUNDS TR EATON VANCE MULTI STRATEGY ALL MARKET FUND CLASS A SHARES	BOSTON, MA	9/28/2011	00619934-03	Pending-Cleared
EATON VANCE MUTUAL FUNDS TR EATON VANCE MULTI STRATEGY ALL MARKET FUND CLASS C SHARES	BOSTON, MA	9/28/2011	00619935-03	Pending-Cleared
FT 3135 INCOME ALLOCATION CLOSED-END OCT. 11	WHEATON, IL	9/28/2011	00621130-05	Pending-Cleared
FT 3136 DOW TARGET 10 OCT 11-TERM 10/31/12	WHEATON, IL	9/28/2011	00621109-05	Pending-Cleared
FT 3136 DOW TARGET DVD OCT 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621107-05	Pending-Cleared
FT 3136 TARGET FOCUS 4 OCT 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621108-05	Pending-Cleared
FT 3136 TARGET TRIAD OCT 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621111-05	Pending-Cleared
FT 3136 TARGET VIP OCT 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621110-05	Pending-Cleared
FT 3137 DOW TARGET 5 4Q 11 -TERM 12/31/12	WHEATON, IL	9/28/2011	00621112-05	Pending-Cleared
FT 3137 GLOBAL TARGET 15 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621113-05	Pending-Cleared
FT 3137 MSCI EAFE TARGET 20 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621117-05	Pending-Cleared
FT 3137 NASDAQ TARGET 15 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621122-05	Pending-Cleared
FT 3137 NYSE INTL TARGET 25 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621123-05	Pending-Cleared
FT 3137 S&P TARGET 24 4Q 11 -TERM 12/31/12	WHEATON, IL	9/28/2011	00621118-05	Pending-Cleared
FT 3137 S&P TARGET SMID 60 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621115-05	Pending-Cleared
FT 3137 TARGET 50/50 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621114-05	Pending-Cleared
FT 3137 TARGET DBL PLAY 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621116-05	Pending-Cleared

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FT 3137 TARGET DIVSD DVD 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621119-05	Pending-Cleared
FT 3137 TARGET DVD MULTI-STRAT 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621121-05	Pending-Cleared
FT 3137 TARGET FOCUS 5 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621120-05	Pending-Cleared
FT 3137 TARGET GLOBAL DVD LEADERS 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621129-05	Pending-Cleared
FT 3137 TARGET GROWTH 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621128-05	Pending-Cleared
FT 3137 TARGET SMALL-CAP 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621125-05	Pending-Cleared
FT 3137 TARGET VIP CONS EQTY 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621124-05	Pending-Cleared
FT 3137 VALUE LINE DIVSD TARGET 40 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621126-05	Pending-Cleared
FT 3137 VALUE LINE TARGET 25 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621127-05	Pending-Cleared
FT 3140 TARGET DVD MULTI-STRAT PLUS 4Q 11-TERM 12/31/12	WHEATON, IL	9/28/2011	00621132-05	Pending-Cleared
FT 3147 TOP PICKS SEPTEMBER 2011 PORTFOLIO	WHEATON, IL	9/28/2011	00621131-05	Pending-Cleared
NATIXIS FUNDS TR 2 ASG GROWTH MARKETS FUND CLASS A	BOSTON, MA	9/28/2011	00619928-03	Registered
NATIXIS FUNDS TR 2 ASG GROWTH MARKETS FUND CLASS C	BOSTON, MA	9/28/2011	00619931-03	Registered
NATIXIS FUNDS TR 2 ASG GROWTH MARKETS FUND CLASS Y	BOSTON, MA	9/28/2011	00619929-03	Registered
NATIXIS FUNDS TR 2 LOOMIS SAYLES SENIOR FLOATING RATE & FIXED INCOME FUND CLASS C	BOSTON, MA	9/28/2011	00619932-03	Registered
NATIXIS FUNDS TR 2 LOOMIS SAYLES SENIOR FLOATING RATE & FIXED INCOME FUND CLASS Y	BOSTON, MA	9/28/2011	00619933-03	Registered
NATIXIS FUNDS TR 2 LOOMIS SAYLES SENIOR FLOATING RATE & FIXED INCOME FUND CLASS A	BOSTON, MA	9/28/2011	00619930-03	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
BLACKROCK FUNDS 2 HIGH YIELD BOND PORTFOLIO BLACKROCK SHARES	WILMINGTON, DE	9/27/2011	00619858-03	Registered
LEGG MASON CHARLES STREET TR INC LEGG MASON BW GLOBAL OPPORTUNITIES BOND FUND CLASS R	BALTIMORE, MD	9/27/2011	00619857-03	Registered
MFS SERIES TR I MFS GLOBAL LEADERS FUND CLASS A SHARES	BOSTON, MA	9/27/2011	00619859-03	Registered
MFS SERIES TR I MFS GLOBAL LEADERS FUND CLASS B SHARES	BOSTON, MA	9/27/2011	00619860-03	Registered
MFS SERIES TR I MFS GLOBAL LEADERS FUND CLASS C SHARES	BOSTON, MA	9/27/2011	00619861-03	Registered
MFS SERIES TR I MFS GLOBAL LEADERS FUND CLASS I SHARES	BOSTON, MA	9/27/2011	00619862-03	Registered
NUVEEN INVESTMENT TR 2 NUVEEN TRADEWINDS SMALL CAP OPPORTUNITIES FUND CLASS I	MINNEAPOLIS, MN	9/27/2011	00619854-03	Registered
NUVEEN INVESTMENT TR 2 NUVEEN TRADEWINDS SMALL CAP OPPORTUNITIES FUND CLASS A	MINNEAPOLIS, MN	9/27/2011	00619853-03	Registered
NUVEEN INVESTMENT TR 2 NUVEEN TRADEWINDS SMALL CAP OPPORTUNITIES FUND CLASS C	MINNEAPOLIS, MN	9/27/2011	00619855-03	Registered
NUVEEN INVESTMENT TR 2 NUVEEN TRADEWINDS SMALL CAP OPPORTUNITIES FUND CLASS R3	MINNEAPOLIS, MN	9/27/2011	00619856-03	Registered
VAN KAMPEN UNIT TR SERIES 1167 LARGE CAP CORE STRATEGY 2011-4	OAKBROOK, IL	9/26/2011	00620189-05	Pending-Cleared
Number of Investment Company Filings: 157				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BUTTONWOOD SOCIAL NETWORK QP FUND LLC	NEW YORK, NY	10/5/2011	00621189-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
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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
MICROPHAGE INC	LONGMONT, CO	10/5/2011	00621191-07	Filed
MICROPHAGE INC	LONGMONT, CO	10/5/2011	00621192-07	Filed
STRATEGIC ENERGY INCOME FUND 2 LP	GETZVILLE, NY	10/5/2011	00621190-07	Filed
IBG LLC	GREENWICH, CT	10/4/2011	00621188-07	Filed
US ENERGY CORP	CLEARWATER, FL	10/4/2011	00621172-07	Filed
COMMUNITY HOSPICE GROUP LLC	GLOBE, AZ	10/3/2011	00621145-07	Filed
PENNECO DRILLING ASSOC 2011 1	DELMONT, PA	10/3/2011	00621146-07	Filed
US PREVENTIVE MEDICINE INC	MCKINNEY, TX	10/3/2011	00621144-07	Filed
CORRIDOR DEVELOPMENT HOLDINGS INC	DOUSMAN, WI	9/30/2011	00620225-07	Filed
CROSS CREEK CAPITAL PARTNERS 2 LP	SALT LAKE CITY, UT	9/30/2011	00620224-07	Filed
MDF SPECIAL INVESTMENTS SPC LTD MDEF JUNE SEGREGATED PORTFOLIO	HAMILTON, WI	9/28/2011	00621140-07	Filed
MURVIN & MEIER OIL CO 2011 5	BARRINGTON, IL	9/27/2011	00620194-07	Filed
ORIGINOIL INC	LOS ANGELES, CA	9/27/2011	00620193-07	Filed
TIDAL PETROLEUM INC	SCHERTZ, TX	9/27/2011	00620195-07	Filed
AESSF 2 PRIVATE INVESTORS LLC	NEW YORK, NY	9/26/2011	00620173-07	Filed
AESSF 2 PRIVATE INVESTORS OFFSHORE USD LP	NEW YORK, NY	9/26/2011	00620174-07	Filed
JUDOBABY INC	REDWOOD CITY, CA	9/26/2011	00620176-07	Filed
RUNNING SPRINGS OIL & GAS LP	SEDONA, AZ	9/26/2011	00620175-07	Filed
ZEPPELINN ENERGY LP	SAN ANTONIO, TX	9/26/2011	00620192-07	Filed
Number of Regulation D Notice Filings: 20				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
AERUS FRANCHISING, LLC	DALLAS, TX	10/7/2011	603106	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
Family Financial Centers, LLC / Family Financial Centers	Doylestown, PA	10/7/2011	603105	Registered
Freedom Franchise Systems, LLC / Freedom Boat Club	Venice, FL	10/7/2011	603109	Registered
LINE X FRANCHISING LLC	SANTA ANA, CA	10/7/2011	603108	Registered
ZIEBART CORP	TROY, MI	10/7/2011	603107	Registered
MMI Peer Advisory Services, LLC / Inner Circle	INDEPENDENCE, OH	10/6/2011	603102	Registered
US LAWNS INC	ORLANDO, FL	10/6/2011	603104	Registered
ANY TEST FRANCHISING INC / ANY LAB TEST NOW	ALPHARETTA, GA	10/5/2011	603089	Registered
Bonchon Franchise, LLC	New York, NY	10/5/2011	603096	Registered
TGA premier junior tennis franchise, llc	El Sugundo, CA	10/5/2011	603095	Registered
THE BROTHERS THREE PIZZA FRANCHISE CORPORATION / The Brothers Three Pizza	Marinette, WI	10/4/2011	603088	Registered
InShape MD Franchising, LLC. / InShape MD Weight Loss Clinic	Duluth, GA	10/4/2011	603087	Registered
Red's Savoy Franchise, LLC / The Original Red's Savoy Pizza	Minneapolis, MN	10/4/2011	603100	Registered
RMIT INC / Regional	VALPARAISO, IN	10/4/2011	603098	Registered
RMIT INC / Individual	VALPARAISO, IN	10/4/2011	603099	Registered
Smart Betty US Ltd.	Mississauga, ON	10/4/2011	603090	Registered
The Two Bucks of America LLC / Two Bucks	Westlake, OH	10/3/2011	603071	Registered
BARBERS HAIRSTYLING FOR MEN & WOMEN INC / Cost Cutters	MINNEAPOLIS, MN	10/3/2011	603086	Incomplete
BARBERS HAIRSTYLING FOR MEN & WOMEN INC / Cool Cuts 4 Kids	MINNEAPOLIS, MN	10/3/2011	603093	Registered
BARBERS HAIRSTYLING FOR MEN & WOMEN INC / City Looks	MINNEAPOLIS, MN	10/3/2011	603092	Registered
ECONO LUBE N TUNE INC	CHARLOTTE, NC	10/3/2011	603079	Registered
MAACO Franchising, Inc.	CHARLOTTE, NC	10/3/2011	603080	Registered
MARCOS FRANCHISING LLC / Standard	TOLEDO, OH	10/3/2011	603083	Registered
MARCOS FRANCHISING LLC / AREA REPRESENTATIVE	TOLEDO, OH	10/3/2011	603084	Registered
MEINEKE CAR CARE CENTERS INC / Meineke Co-Brand Opportunity w/Econo Lube	CHARLOTTE, NC	10/3/2011	603077	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
MEINEKE CAR CARE CENTERS INC	CHARLOTTE, NC	10/3/2011	603078	Registered
RPC Acquisition Corp. / Pro Cuts (Sports)	MINNEAPOLIS, MN	10/3/2011	603091	Registered
RPC Acquisition Corp. / Pro Cuts (classic)	MINNEAPOLIS, MN	10/3/2011	603094	Registered
Vein Clinics of America, Inc. / Vein Clinics of America	Downers Grove, IL	9/30/2011	603060	Registered
AlphaGraphics, Inc. / AlphaGraphics	Salt Lake City, UT	9/30/2011	603059	Registered
BARBERS HAIRSTYLING FOR MEN & WOMEN INC / Raze	MINNEAPOLIS, MN	9/30/2011	603068	Registered
MMI BUSINESS BROKERS LLC	INDEPENDENCE, OH	9/30/2011	603065	Registered
ROOSTERS MGC INTERNATIONAL LLC	WARREN, MI	9/30/2011	603067	Registered
Supercuts, Inc.	MINNEAPOLIS, MN	9/30/2011	603066	Registered
TSS PHOTOGRAPHY INC	DULUTH, GA	9/30/2011	603069	Registered
AEFC INC	HILLSBOROUGH, NC	9/29/2011	603063	Registered
BRINKER INTERNATIONAL PAYROLL LP / Chili's Grill & Bar	DALLAS, TX	9/29/2011	603064	Registered
YOUNG MASTERS LLC	DULUTH, GA	9/29/2011	603062	Registered
MEDICAP PHARMACIES INC	EARTH CITY, MO	9/28/2011	603055	Registered
MEDICINE SHOPPE INTERNATIONAL INC	Dublin, OH	9/28/2011	603053	Registered
MTOCLEAN INC	INDEPENDENCE, OH	9/28/2011	603056	Registered
Security Franchisors, LLC / Security 101	West Palm Beach, FL	9/28/2011	603058	Registered
Fox's Pizza Den Inc.	Murrysville, PA	9/27/2011	603048	Registered
CherryBerry Enterprises, LLC	Broken Arrow, OK	9/27/2011	603051	Registered
NITE TIME DECOR INC	LUBBOCK, TX	9/27/2011	603052	Registered
AKT Business Services	Lake Mills, WI	9/26/2011	603038	Registered
NATURAL AWAKENINGS PUBLISHING CORP	NAPLES, FL	9/26/2011	603043	Registered
Number of Franchise Filings: 47				

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