

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/11/2013 through 2/22/2013**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
HARTMAN SHORT TERM INCOME PROPERTIES 20 INC	HOUSTON, TX	2/12/2013	00665858-01	Pending
SAN DIEGO SEASIDE CHURCH OF RELIGIOUS SCIENCE	ENCINITAS, CA	2/12/2013	00665861-02	Pending
Number of Registration Filings: 2				

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

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PIMCO FUNDS PIMCO EMERGING MARKETS FULL SPECTRUM BOND FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	2/21/2013	00667662-03	Registered
PIMCO FUNDS PIMCO EMERGING MARKETS FULL SPECTRUM BOND FUND CLASS A	NEWPORT BEACH, CA	2/21/2013	00667661-03	Registered
PIMCO FUNDS PIMCO EMERGING MARKETS FULL SPECTRUM BOND FUND CLASS D	NEWPORT BEACH, CA	2/21/2013	00667665-03	Registered
PIMCO FUNDS PIMCO EMERGING MARKETS FULL SPECTRUM BOND FUND CLASS C	NEWPORT BEACH, CA	2/21/2013	00667663-03	Registered
PIMCO FUNDS PIMCO EMERGING MARKETS FULL SPECTRUM BOND FUND CLASS P	NEWPORT BEACH, CA	2/21/2013	00667664-03	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
VALUED ADVISERS TR MITCHELL CAPITAL ALL CAP GROWTH FUND	INDIANAPOLIS, IN	2/21/2013	00667679-03	Registered
EAGLE SERIES TR EAGLE INTERNATIONAL STOCK FUND CLASS A SHARES	ST. PETERSBURG, FL	2/19/2013	00666420-03	Pending-Cleared
EAGLE SERIES TR EAGLE INTERNATIONAL STOCK FUND CLASS C SHARES	ST. PETERSBURG, FL	2/19/2013	00666421-03	Pending-Cleared
EAGLE SERIES TR EAGLE INTERNATIONAL STOCK FUND CLASS I SHARES	ST. PETERSBURG, FL	2/19/2013	00666422-03	Pending-Cleared
EAGLE SERIES TR EAGLE INTERNATIONAL STOCK FUND CLASS R 3 SHARES	ST. PETERSBURG, FL	2/19/2013	00666424-03	Pending-Cleared
EAGLE SERIES TR EAGLE INTERNATIONAL STOCK FUND CLASS R 5 SHARES	ST. PETERSBURG, FL	2/19/2013	00666423-03	Pending-Cleared
EAGLE SERIES TR EAGLE INTERNATIONAL STOCK FUND CLASS R 6 SHARES	ST. PETERSBURG, FL	2/19/2013	00666425-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN COMMODITIES STRATEGY FUND CLASS A	BOSTON, MA	2/19/2013	00666067-03	Registered
JPMORGAN TR 1 JPMORGAN COMMODITIES STRATEGY FUND CLASS C	BOSTON, MA	2/19/2013	00666068-03	Registered
JPMORGAN TR 1 JPMORGAN COMMODITIES STRATEGY FUND R6 CLASS SHARES	BOSTON, MA	2/19/2013	00666069-03	Registered
JPMORGAN TR 1 JPMORGAN COMMODITIES STRATEGY FUND SELECT CLASS SHARES	BOSTON, MA	2/19/2013	00666070-03	Registered

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Firm Name	Location	Date Received	File Number	Status
GUGGENHEIM DEFINED PORTFOLIOS SERIES 10003 GUGGENHEIM US HIGH DIVIDEND STRATEGY PORTFOLIO 2 YR SERIES 3	LISLE, IL	2/18/2013	00667682-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1003 BLUE CHIP GROWTH PORTFOLIO SERIES 2	LISLE, IL	2/18/2013	00667680-05	Pending-Cleared
INCAPITAL UNIT TR SERIES 20 EMERGING MARKETS GDP GROWTH PORTFOLIO SERIES 2	CHICAGO, IL	2/18/2013	00667681-05	Pending-Cleared
FT 4019 AUTOMATED QUANTITATIVE ANALYSIS AQA PORTFOLIO SERIES 6	WHEATON, IL	2/15/2013	00666052-05	Pending-Cleared
FT 4021 EQUITY CLOSED END PORTFOLIO SERIES 25 12	WHEATON, IL	2/15/2013	00666050-05	Pending-Cleared
FT 4022 STRATEGIC DIVIDEND PLUS PORTFOLIO SERIES 10	WHEATON, IL	2/15/2013	00666054-05	Pending-Cleared
FT 4063 DORSEY WRIGHT RELATIVE STRENGTH TOP 50 SERIES	WHEATON, IL	2/15/2013	00666051-05	Pending-Cleared
FT 4074 ML EXCESS DIVIDEND OPPORTUNITY PORTFOLIO	WHEATON, IL	2/15/2013	00666053-05	Pending-Cleared
FT 4076 BICK PORTFOLIO SERIES 9	WHEATON, IL	2/15/2013	00666055-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1004 DIVERSIFIED CREDIT PORTFOLIO OF ETFS SERIES 2	LISLE, IL	2/15/2013	00666058-05	Pending-Cleared
SMARTTR CAPITAL INNOVATIONS GLOBAL INFRASTRUCTURE & MLP TR SERIES 2	PARSIPPANY, NJ	2/15/2013	00666056-05	Pending-Cleared
SMARTTR DYNAMIC SECTOR INCOME TR SERIES 5	PARSIPPANY, NJ	2/15/2013	00666057-05	Pending-Cleared

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NUVEEN INVESTMENT TR NUVEEN NWQ SMALL CAP VALUE FUND CLASS R6 SHARES	CHIGACO, IL	2/14/2013	00667660-03	Pending-Cleared
PRINCIPAL FUNDS INC HIGH YIELD FUND 1 CLASS A	DES MOINES, IA	2/14/2013	00665947-03	Pending-Cleared
PRINCIPAL FUNDS INC LARGECAP GROWTH FUND 1 CLASS A	DES MOINES, IA	2/14/2013	00665946-03	Pending-Cleared
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME 2060 FUND INSTITUTIONAL CLASS	DES MOINES, IA	2/14/2013	00665944-03	Pending-Cleared
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME 2060 FUND CLASS J	DES MOINES, IA	2/14/2013	00665945-03	Pending-Cleared
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME 2060 FUND CLASS R 1	DES MOINES, IA	2/14/2013	00665939-03	Pending-Cleared
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME 2060 FUND CLASS R 2	DES MOINES, IA	2/14/2013	00665940-03	Pending-Cleared
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME 2060 FUND CLASS R 3	DES MOINES, IA	2/14/2013	00665941-03	Pending-Cleared
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME 2060 FUND CLASS R 4	DES MOINES, IA	2/14/2013	00665942-03	Pending-Cleared
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME 2060 FUND CLASS R 5	DES MOINES, IA	2/14/2013	00665943-03	Pending-Cleared
1ST TR COMBINED SERIES 415 TX EX MUNICIPAL INCOME TR SEROES 280	WHEATON, IL	2/13/2013	00666005-05	Pending-Cleared
ADVISORS DISCIPLINED TR 973 ADVISORS CORP TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 67	MONUMENT, CO	2/13/2013	00666008-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 987 ENERGY OPPORTUNITIES PORTFOLIO SERIES 2013 1	MONUMENT, CO	2/13/2013	00666009-05	Pending-Cleared
FT 4020 STRUCTURED PORTFOLIO PLAN DEFINED PORTFOLIO FEBRUARY 2013 SERIES	WHEATON, IL	2/13/2013	00666011-05	Pending-Cleared
FT 4050 GLOBAL BOND INCOME PLUS CLOSED END PORTFOLIO SERIES 30	WHEATON, IL	2/13/2013	00666007-05	Pending-Cleared
FT 4077 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 23	WHEATON, IL	2/13/2013	00666010-05	Pending-Cleared
FT 4080 BALANCED INCOME SELECT PORTFOLIO SERIES 35	WHEATON, IL	2/13/2013	00666006-05	Pending-Cleared
VICTORY PORTFOLIOS DIVIDEND GROWTH FUND CLASS A	COLUMBUS, OH	2/13/2013	00665728-03	Registered
VICTORY PORTFOLIOS DIVIDEND GROWTH FUND CLASS C	COLUMBUS, OH	2/13/2013	00665729-03	Registered
VICTORY PORTFOLIOS DIVIDEND GROWTH FUND CLASS I	COLUMBUS, OH	2/13/2013	00665730-03	Registered
VICTORY PORTFOLIOS DIVIDEND GROWTH FUND CLASS R	COLUMBUS, OH	2/13/2013	00665731-03	Registered
VICTORY PORTFOLIOS DIVIDEND GROWTH FUND CLASS Y	COLUMBUS, OH	2/13/2013	00665732-03	Registered
ABERDEEN FUNDS ABERDEEN EUROPEAN EQUITY FUND CLASS A	PHILADELPHIA, PA	2/12/2013	00665850-03	Pending-Cleared
ABERDEEN FUNDS ABERDEEN EUROPEAN EQUITY FUND CLASS C	PHILADELPHIA, PA	2/12/2013	00665851-03	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
ABERDEEN FUNDS ABERDEEN EUROPEAN EQUITY FUND CLASS R	PHILADELPHIA, PA	2/12/2013	00665847-03	Pending-Cleared
ABERDEEN FUNDS ABERDEEN EUROPEAN EQUITY FUND INSTITUTIONAL SERVICE CLASS	PHILADELPHIA, PA	2/12/2013	00665848-03	Pending-Cleared
ABERDEEN FUNDS ABERDEEN EUROPEAN EQUITY FUND INSTITUTIONAL CLASS	PHILADELPHIA, PA	2/12/2013	00665849-03	Pending-Cleared
ABERDEEN FUNDS ABERDEEN TX FR INCOME FUND CLASS R	PHILADELPHIA, PA	2/12/2013	00665844-03	Pending-Cleared
ABERDEEN FUNDS ABERDEEN TX FR INCOME FUND INSTITUTIONAL SERVICE CLASS	PHILADELPHIA, PA	2/12/2013	00665845-03	Pending-Cleared
ABERDEEN FUNDS ABERDEEN TX FR INCOME FUND INSTITUTIONAL CLASS	PHILADELPHIA, PA	2/12/2013	00665846-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1002 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO SERIES 20	LISLE, IL	2/12/2013	00665860-05	Pending-Cleared
WORLD FUNDS TR UNION STREET PARTNERS VALUE FUND CLASS C	RICHMOND, VA	2/12/2013	00665859-03	Registered
Number of Investment Company Filings: 60				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BROWN ADVISORY INVESTORS 2012 SLP 4 TE LLLP	BALTIMORE, MD	2/19/2013	00667702-07	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
CENTRAL PARK GROUP ATLAS GLOBAL FUND LLC	NEW YORK, NY	2/15/2013	00666060-07	Filed
PERMAL FIXED INCOME HOLDINGS ERISA LTD	ROAD TOWN TORTOLA, AA	2/15/2013	00666061-07	Filed
RACON PARTNERS LP	MILWAUKEE, WI	2/15/2013	00666059-07	Filed
PHARMACY PORTFOLIO 5 DST	OAKBROOK, IL	2/14/2013	00666034-07	Filed
NORTHWEST HOSPITAL CUSTODIAL ACCOUNT LLC	LITTLE ROCK, AR	2/12/2013	00665857-07	Filed
SLIPSTREAM LLC	FORT AKINSON, WI	2/12/2013	00665856-07	Filed
CDK CAPITAL BERMUDA LTD CDK GLOBAL SELECT FUND	NEW YORK, NY	2/11/2013	00665814-07	Filed
ENTOURAGE MEDICAL TECHNOLOGIES INC	MENLO PARK, CA	2/11/2013	00665820-07	Filed
REEF 2012 PRIVATE DRILLING FUND LP	RICHARDSON, TX	2/11/2013	00665813-07	Filed
Number of Regulation D Notice Filings: 10				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Integrity Brands, LLC / Uncle Maddio's Pizza Joint	Atlanta, GA	2/21/2013	605168	Registered
Mister Sparky Franchising, L.L.C. / Mister Sparky	Sarasota, FL	2/20/2013	605164	Registered
Benjamin Franklin Franchising, LLC / d/b/a Benjamin Franklin Plumbing	Sarasota, FL	2/20/2013	605163	Registered
One Hour Air Conditioning Franchising, L.L.C. / One Hour Air Conditioning and Heating	Sarasota, FL	2/20/2013	605162	Registered
Cobblestone Hotels, LLC / Cobblestone Hotel, Cobblestone Hotel and Suites and Cobblestone Inn and Suites	Neenah, WI	2/19/2013	605158	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
PIRTEK USA LLC	ROCKLEDGE, FL	2/19/2013	605166	Registered
YOUNG REMBRANDTS FRANCHISE INC / YOUNG REMBRANDTS	ELGIN, IL	2/19/2013	605165	Registered
SNAP ON TOOLS CO LLC	KENOSHA, WI	2/18/2013	605167	Registered
UBIF Franchising, Co. / UBREAKIFIX	Orlando, FL	2/15/2013	605155	Registered
MAID RITE CORP / Maid-Rite Restaurant	DES MOINES, IA	2/14/2013	605156	Registered
STEAK N SHAKE ENTERPRISES INC / Steak n Shake	INDIANAPOLIS, IN	2/13/2013	605129	Registered
INTERFACE FINANCIAL CORP	Bethesda, MD	2/11/2013	605159	Registered
Number of Franchise Filings: 12				

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