

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 3/4/2013 through 3/15/2013**

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

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
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
RBC FUNDS TR RBC MICROCAP VALUE FUND CLASS I	MINNEAPOLIS, MN	3/12/2013	00668578-03	Registered
RBC FUNDS TR RBC SMALL CAP CORE FUND CLASS I	MINNEAPOLIS, MN	3/12/2013	00668579-03	Registered
ASTON FUNDS ASTON RIVER ROAD LONG SHORT FUND CLASS I SHARES	CHICAGO, IL	3/6/2013	00668431-03	Registered
ADVISORS DISCIPLINED TR 940 HEALTH CARE OPPORTUNITIES PORTFOLIO SERIES 2013 1	MONUMENT, CO	3/5/2013	00668539-05	Pending-Cleared
ADVISORS DISCIPLINED TR 966 SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO 2 YR SERIES 2013 1	MONUMENT, CO	3/5/2013	00668538-05	Pending-Cleared
ADVISORS DISCIPLINED TR 988 MUNICIPAL CLOSED END PORTFOLIO SERIES 2013 1	MONUMENT, CO	3/5/2013	00668537-05	Pending-Cleared
FT 4053 RICHARD BERNSTEIN ADVISORS GLOBAL DIVIDEND KINGS SERIES 5	WHEATON, IL	3/5/2013	00668540-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 3/4/2013 through 3/15/2013**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 4054 TECHNOLOGY DIVIDEND PORTFOLIO SERIES 3	WHEATON, IL	3/5/2013	00668536-05	Pending-Cleared
FT 4100 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 74	WHEATON, IL	3/5/2013	00668541-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1149 QUALITY MUNICIPALS INCOME TR 71ST LTD MATURITY SERIES	OAKBROOK TER, IL	3/5/2013	00668534-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1150 INVESTMENT GRADE MUNICIPAL TR SERIES 165	OAKBROOK TER, IL	3/5/2013	00668533-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1151 INVESTMENT GRADE MUNICIPAL TR SERIES 166	OAKBROOK TER, IL	3/5/2013	00668532-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1152 INVESTORS QUALITY TX EX TR SERIES 179	OAKBROOK TER, IL	3/5/2013	00668531-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1153 INVESTMENT QUALITY TX EXEMPT TR SERIES 180	OAKBROOK TER, IL	3/5/2013	00668530-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1154 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 43	OAKBROOK TER, IL	3/5/2013	00668528-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1155 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 44	OAKBROOK TER, IL	3/5/2013	00668529-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1156 QUALITY MUNICIPALS INCOME TR 72ND LTD MATURITY SERIES	OAKBROOK TER, IL	3/5/2013	00668535-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 3/4/2013 through 3/15/2013**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
INVESCO UNIT TR SERIES 1311 STOCKS FOR 2016 PORTFOLIO	OAKBROOK TER, IL	3/5/2013	00668523-05	Pending-Cleared
INVESCO UNIT TR SERIES 1312 DOW JONES SELECT DIVIDEND INDEX STRATEGY PORTFOLIO 2013 2	OAKBROOK TER, IL	3/5/2013	00668521-05	Pending-Cleared
INVESCO UNIT TR SERIES 1312 EAFE SELECT 20 PORTFOLIO 2013 2	OAKBROOK TER, IL	3/5/2013	00668522-05	Pending-Cleared
INVESCO UNIT TR SERIES 1312 GLOBAL 45 DIVIDEND STRATEGY PORTFOLIO 2013 2	OAKBROOK TER, IL	3/5/2013	00668517-05	Pending-Cleared
INVESCO UNIT TR SERIES 1312 SELECT 5 INDUSTRIAL PORTFOLIO 2013 2	OAKBROOK TER, IL	3/5/2013	00668520-05	Pending-Cleared
INVESCO UNIT TR SERIES 1312 SELECT S&P CORE PORTFOLIO 2013 2	OAKBROOK TER, IL	3/5/2013	00668519-05	Pending-Cleared
INVESCO UNIT TR SERIES 1312 SELECT S&P INDUSTRIAL PORTFOLIO 2013 2	OAKBROOK TER, IL	3/5/2013	00668518-05	Pending-Cleared
INVESCO UNIT TR SERIES 1313 CLOSED END STRATEGY COVERED CALL INCOME PORTFOLIO 2013 2	OAKBROOK TER, IL	3/5/2013	00668515-05	Pending-Cleared
INVESCO UNIT TR SERIES 1313 CLOSED END STRATEGY MASTER INCOME PORTFOLIO SERIES 35	OAKBROOK TER, IL	3/5/2013	00668514-05	Pending-Cleared
INVESCO UNIT TR SERIES 1313 CLOSED END STRATEGY MASTER MUNICIPAL INCOME PORTFOLIO NATIONAL SERIES 31	OAKBROOK TER, IL	3/5/2013	00668513-05	Pending-Cleared
INVESCO UNIT TR SERIES 1313 CLOSED END STRATEGY VALUE EQUITY & INCOME PORTFOLIO 2013 2	OAKBROOK TER, IL	3/5/2013	00668516-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 3/4/2013 through 3/15/2013**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
INVESCO UNIT TR TAXABLE INCOME SERIES 442 INVESTMENT GRADE INCOME TR 10 20 PLUS YEAR SERIES 39	OAKBROOK TER, IL	3/5/2013	00668527-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 443 INVESTMENT GRADE INCOME TR 10 20 PLUS YEAR SERIES 40	OAKBROOK TER, IL	3/5/2013	00668526-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 444 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 46	OAKBROOK TER, IL	3/5/2013	00668524-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 445 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 47	OAKBROOK TER, IL	3/5/2013	00668525-05	Pending-Cleared
EPIPHANY FUNDS EPIPHANY FFV LATIN AMERICA FUND CLASS A	IRVING, TX	3/4/2013	00668492-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1009 DIVERSIFIED INCOME WAVE PORTFOLIO 15 MONTH SERIES 36	LISLE, IL	3/4/2013	00668505-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1016 ALL CAP GROWTH STRATEGY PORTFOLIO SERIES 1	LISLE, IL	3/4/2013	00668506-05	Pending-Cleared
IVY FUNDS IVY GLOBAL REAL ESTATE FUND CLASS A	SHAWNEE MISSION, KS	3/4/2013	00668504-03	Pending-Cleared
IVY FUNDS IVY GLOBAL REAL ESTATE FUND CLASS B	SHAWNEE MISSION, KS	3/4/2013	00668503-03	Pending-Cleared
IVY FUNDS IVY GLOBAL REAL ESTATE FUND CLASS C	SHAWNEE MISSION, KS	3/4/2013	00668502-03	Pending-Cleared
IVY FUNDS IVY GLOBAL REAL ESTATE FUND CLASS I	SHAWNEE MISSION, KS	3/4/2013	00668501-03	Pending-Cleared
IVY FUNDS IVY GLOBAL REAL ESTATE FUND CLASS R	SHAWNEE MISSION, KS	3/4/2013	00668500-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 3/4/2013 through 3/15/2013**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
IVY FUNDS IVY GLOBAL REAL ESTATE FUND CLASS Y	SHAWNEE MISSION, KS	3/4/2013	00668499-03	Pending-Cleared
IVY FUNDS IVY GLOBAL RISK MANAGED REAL ESTATE FUND CLASS A	SHAWNEE MISSION, KS	3/4/2013	00668498-03	Pending-Cleared
IVY FUNDS IVY GLOBAL RISK MANAGED REAL ESTATE FUND CLASS B	SHAWNEE MISSION, KS	3/4/2013	00668497-03	Pending-Cleared
IVY FUNDS IVY GLOBAL RISK MANAGED REAL ESTATE FUND CLASS C	SHAWNEE MISSION, KS	3/4/2013	00668496-03	Pending-Cleared
IVY FUNDS IVY GLOBAL RISK MANAGED REAL ESTATE FUND CLASS I	SHAWNEE MISSION, KS	3/4/2013	00668495-03	Pending-Cleared
IVY FUNDS IVY GLOBAL RISK MANAGED REAL ESTATE FUND CLASS R	SHAWNEE MISSION, KS	3/4/2013	00668494-03	Pending-Cleared
IVY FUNDS IVY GLOBAL RISK MANAGED REAL ESTATE FUND CLASS Y	SHAWNEE MISSION, KS	3/4/2013	00668493-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN SHORT DURATION HIGH YIELD FUND CLASS R6 SHARES	BOSTON, MA	3/4/2013	00668568-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN SHORT DURATION HIGH YIELD FUND CLASS C SHARES	BOSTON, MA	3/4/2013	00668567-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN SHORT DURATION HIGH YIELD FUND CLASS A SHARES	BOSTON, MA	3/4/2013	00668566-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN SHORT DURATION HIGH YIELD FUND SELECT SHARES	BOSTON, MA	3/4/2013	00668569-03	Pending-Cleared
Number of Investment Company Filings: 51				

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 3/4/2013 through 3/15/2013**

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
INRANGE SYSTEMS INC	ALTOONA, PA	3/5/2013	00668542-07	Filed
BROWN ADVISORY INVESTORS 2012 RS ENERGY 5 TE LLLP	BALTIMORE, MD	3/4/2013	00668289-07	Filed
PREFERRED PARTNER JOINT VENTURE LP	LULING, TX	3/4/2013	00668507-07	Filed
Number of Regulation D Notice Filings: 3				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Snap Fitness, Inc. / Snap Fitness	Chanhassen, MN	3/15/2013	605237	Registered
Suspended in Time, Inc. / Suspended in Time	Orem, UT	3/15/2013	605236	Registered
ProTect Painters International LLC / ProTect Painters	ANN ARBOR, MI	3/15/2013	605235	Registered
MR HANDYMAN INTERNATIONAL LLC	ANN ARBOR, MI	3/15/2013	605234	Registered
MOLLY MAID INC	ANN ARBOR, MI	3/15/2013	605233	Registered
Famiglia-DeBartolo Franchise Systems, LLC / Famous Famiglia	White Plains, NY	3/13/2013	605231	Registered
JUMPBUNCH INC	ANNAPOLIS, MD	3/13/2013	605230	Registered
TES FRANCHISING, LLC / THE ENTREPRENEUR'S SOURCE SINGLE UNIT/AREA DEVELOPMENT	SOUTHBURY, CT	3/13/2013	605228	Registered
Schmizza International, Inc. / Pizza Schmizza	Salem, OR	3/12/2013	605227	Registered
FIGAROS ITALIAN PIZZA INC / Figaro's and Nick-N-Willy's	SALEM, OR	3/12/2013	605226	Registered
MOBILE REPAIR GUYS NEW L.L.C.	Rubicon, WI	3/12/2013	605223	Registered
Sonny Bryan's Franchise System LLC / Sonny Bryan's Smokehouse	Dallas, TX	3/12/2013	605222	Registered
Business Partner Franchising, LLC / Business Partner One Stop Marketing Single Unit/Area Development	Southbury, CT	3/12/2013	605221	Registered
PLAN AHEAD EVENTS INC	WEST PALM BEACH, FL	3/11/2013	605215	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 3/4/2013 through 3/15/2013**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
COLLEGE NANNIES & TUTORS DEVELOPMENT INC	WAYZATA, MN	3/11/2013	605224	Registered
G6 Hospitality Franchising LLC / Studio 6	CARROLTON, TX	3/11/2013	605225	Registered
Project Pie Franchising, LLC / Project Pie	Carlsbad, CA	3/8/2013	605214	Registered
I9 SPORTS CORP / I9 SPORTS	RIVERVIEW, FL	3/8/2013	605213	Registered
ABM Franchising Group, LLC / TEGG Service	Canonsburg, PA	3/7/2013	605209	Registered
ABM Franchising Group, LLC / CurrentSAFE	Canonsburg, PA	3/7/2013	605208	Registered
ABM Franchising Group, LLC / GreenHomes America	Canonsburg, PA	3/7/2013	605207	Registered
ABM Franchising Group, LLC / Linc Service	Canonsburg, PA	3/7/2013	605206	Registered
Mama Fu's Franchise Group, LLC / Mama Fu's Asian House	Austin, TX	3/7/2013	605203	Registered
ARCpoint Franchise Group, LLC. / ARCpoint	Greenville, SC	3/6/2013	605201	Registered
POSTNET INTERNATIONAL FRANCHISE CORP / PostNet	Denver, CO	3/5/2013	605196	Registered
UNITED SOCCER LEAGUES LLC / United Soccer Leagues (USL)	Tampa, FL	3/5/2013	605198	Registered
Mathnasium Center Licensing, LLC / MATHNASIUM and MATHNASIUM THE MATH LEARNING CENTER	Los Angeles, CA	3/5/2013	605195	Registered
BRIGHTSTAR FRANCHISING LLC / BrightStar	Gurnee, IL	3/5/2013	605205	Registered
LA BAMBAM FRANCHISE SERVICES LLC	CHAMPAIGN, IL	3/5/2013	605210	Registered
Rockin Jump Franchise LLC	Pleasanton, CA	3/5/2013	605204	Registered
PAK MAIL CENTERS OF AMERICA INC / PAK MAIL	CENTENNIAL, CO	3/4/2013	605211	Registered
Number of Franchise Filings: 31				

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