

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 6/24/2013 through 7/5/2013**

| Securities Law Registration Filings Made with DFI's Securities Division | | | | |
|--|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| RED MOUNTAIN RESOURCES INC | DALLAS, TX | 6/26/2013 | 00675987-01 | Pending |
| PRIORITY SENIOR SECURED INCOME FUND INC | NEW YORK, NY | 6/25/2013 | 00676037-01 | 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 |
| TOUCHSTONE FUNDS GROUP TR MID CAP VALUE FUND CLASS Y | CINCINNATI, OH | 7/2/2013 | 00676230-03 | Registered |
| ALLIANZ FUNDS ALLIANZGI SMALL CAP BLEND FUND CLASS A | NEW YORK, NY | 7/1/2013 | 00676202-03 | Registered |
| ALLIANZ FUNDS ALLIANZGI SMALL CAP BLEND FUND CLASS C | NEW YORK, NY | 7/1/2013 | 00676205-03 | Registered |
| ALLIANZ FUNDS ALLIANZGI SMALL CAP BLEND FUND CLASS D | NEW YORK, NY | 7/1/2013 | 00676203-03 | Registered |
| ALLIANZ FUNDS ALLIANZGI SMALL CAP BLEND FUND CLASS P | NEW YORK, NY | 7/1/2013 | 00676206-03 | Registered |
| ALLIANZ FUNDS ALLIANZGI SMALL CAP BLEND FUND INSTITUTIONAL CLASS | NEW YORK, NY | 7/1/2013 | 00676204-03 | 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 |
| HANCOCK JOHN FUNDS 3 HANCOCK JOHN INTERNATIONAL VALUE EQUITY FUND CLASS R2 | BOSTON, MA | 7/1/2013 | 00676207-03 | Registered |
| HANCOCK JOHN FUNDS 3 HANCOCK JOHN INTERNATIONAL VALUE EQUITY FUND CLASS R6 | BOSTON, MA | 7/1/2013 | 00676209-03 | Registered |
| HANCOCK JOHN FUNDS 3 HANCOCK JOHN INTERNATIONAL VALUE EQUITY FUND CLASS R4 | BOSTON, MA | 7/1/2013 | 00676208-03 | Registered |
| METROPOLITAN WEST FUNDS METROPOLITAN WEST FLOATING RATE INCOME FUND CLASS M SHARES | LOS ANGELES, CA | 7/1/2013 | 00676227-03 | Registered |
| METROPOLITAN WEST FUNDS METROPOLITAN WEST FLOATING RATE INCOME FUND CLASS I SHARES | LOS ANGELES, CA | 7/1/2013 | 00676226-03 | Registered |
| TD ASSET MANAGEMENT USA FUNDS INC TDAM US SMALL MID CAP EQUITY FUND ADVISOR CLASS | NEW YORK, NY | 7/1/2013 | 00676228-03 | Registered |
| TD ASSET MANAGEMENT USA FUNDS INC TDAM US SMALL MID CAP EQUITY FUND INSTITUTIONAL CLASS | NEW YORK, NY | 7/1/2013 | 00676229-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE COMMON STOCK FUND CLASS R6 | SAN FRANCISCO, CA | 7/1/2013 | 00676224-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DISCOVERY FUND CLASS R6 | SAN FRANCISCO, CA | 7/1/2013 | 00676218-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2035 FUND CLASS R | SAN FRANCISCO, CA | 7/1/2013 | 00676219-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2025 FUND CLASS R | SAN FRANCISCO, CA | 7/1/2013 | 00676217-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2020 FUND CLASS R | SAN FRANCISCO, CA | 7/1/2013 | 00676211-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2015 FUND CLASS R | SAN FRANCISCO, CA | 7/1/2013 | 00676216-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2010 FUND CLASS R | SAN FRANCISCO, CA | 7/1/2013 | 00676213-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2040 FUND CLASS R | SAN FRANCISCO, CA | 7/1/2013 | 00676214-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2045 FUND CLASS R | SAN FRANCISCO, CA | 7/1/2013 | 00676221-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2055 FUND CLASS R | SAN FRANCISCO, CA | 7/1/2013 | 00676225-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2050 FUND CLASS R | SAN FRANCISCO, CA | 7/1/2013 | 00676223-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2030 FUND CLASS R | SAN FRANCISCO, CA | 7/1/2013 | 00676212-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET TODAY FUND CLASS R | SAN FRANCISCO, CA | 7/1/2013 | 00676215-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE EMERGING MARKETS EQUITY FUND CLASS R6 | SAN FRANCISCO, CA | 7/1/2013 | 00676210-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE SMALL CAP VALUE FUND CLASS R6 | SAN FRANCISCO, CA | 7/1/2013 | 00676220-03 | Registered |
| WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE SPECIAL MID CAP VALUE FUND CLASS R6 | SAN FRANCISCO, CA | 7/1/2013 | 00676222-03 | Registered |
| ADVANTAGE FUNDS INC DREYFUS GLOBAL ABSOLUTE RETURN FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676164-03 | Pending-Cleared |
| ADVANTAGE FUNDS INC DREYFUS GLOBAL DYNAMIC BOND FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676179-03 | Pending-Cleared |
| ADVANTAGE FUNDS INC DREYFUS GLOBAL REAL RETURN FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676174-03 | Pending-Cleared |
| ADVANTAGE FUNDS INC DREYFUS OPPORTUNISTIC MIDCAP VALUE FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676167-03 | Pending-Cleared |
| ADVANTAGE FUNDS INC DREYFUS STRATEGIC VALUE FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676192-03 | Pending-Cleared |
| ADVANTAGE FUNDS INC DREYFUS STRUCTURED MID CAP FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676187-03 | Pending-Cleared |
| ADVANTAGE FUNDS INC DREYFUS TOTAL EMERGING MARKETS FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676177-03 | Pending-Cleared |
| ADVANTAGE FUNDS INC GLOBAL ALPHA FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676178-03 | Pending-Cleared |

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| Firm Name | Location | Date Received | File Number | Status |
| ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI GLOBAL FUNDAMENTAL STRATEGY FUND INSTITUTIONAL CLASS | NEW YORK, NY | 6/28/2013 | 00676161-03 | Pending-Cleared |
| ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI GLOBAL FUNDAMENTAL STRATEGY FUND CLASS P | NEW YORK, NY | 6/28/2013 | 00676163-03 | Pending-Cleared |
| ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI GLOBAL FUNDAMENTAL STRATEGY FUND CLASS A | NEW YORK, NY | 6/28/2013 | 00676159-03 | Pending-Cleared |
| ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI GLOBAL FUNDAMENTAL STRATEGY FUND CLASS C | NEW YORK, NY | 6/28/2013 | 00676162-03 | Pending-Cleared |
| ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI GLOBAL FUNDAMENTAL STRATEGY FUND CLASS D | NEW YORK, NY | 6/28/2013 | 00676160-03 | Pending-Cleared |
| DREYFUS APPRECIATION FUND INC CLASS Y | NEW YORK, NY | 6/28/2013 | 00676184-03 | Pending-Cleared |
| DREYFUS INTERNATIONAL FUNDS INC DREYFUS EMERGING MARKETS FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676185-03 | Pending-Cleared |
| DREYFUS INVESTMENT FUNDS DREYFUS BOSTON CO SMALL CAP GROWTH FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676198-03 | Pending-Cleared |
| DREYFUS INVESTMENT FUNDS DREYFUS BOSTON CO SMALL MID CAP GROWTH FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676199-03 | Pending-Cleared |
| DREYFUS INVESTMENT FUNDS DREYFUS NEWTON INTERNATIONAL EQUITY FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676191-03 | Pending-Cleared |

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| Firm Name | Location | Date Received | File Number | Status |
| DREYFUS INVESTMENT FUNDS DREYFUS STANDISH GLOBAL FIXED INCOME FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676196-03 | Pending-Cleared |
| DREYFUS INVESTMENT FUNDS DREYFUS STANDISH INTERMEDIATE TX EX BOND FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676197-03 | Pending-Cleared |
| DREYFUS INVESTMENT GRADE FUNDS INC DREYFUS INFLATION ADJUSTED SECURITIES FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676173-03 | Pending-Cleared |
| DREYFUS INVESTMENT GRADE FUNDS INC DREYFUS INTERMEDIATE TERM INCOME FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676169-03 | Pending-Cleared |
| DREYFUS LAUREL FUNDS INC DREYFUS INTERNATIONAL BOND FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676195-03 | Pending-Cleared |
| DREYFUS LAUREL FUNDS INC DREYFUS OPPORTUNISTIC EMERGING MARKETS DEBT FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676200-03 | Registered |
| DREYFUS LAUREL FUNDS INC DREYFUS OPPORTUNISTIC FIXED INCOME FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676180-03 | Pending-Cleared |
| DREYFUS LAUREL FUNDS TR DREYFUS EMERGING MARKETS DEBT LOCAL CURRENCY FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676170-03 | Pending-Cleared |
| DREYFUS LAUREL FUNDS TR DREYFUS EQUITY INCOME FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676190-03 | Pending-Cleared |
| DREYFUS LAUREL FUNDS TR DREYFUS GLOBAL EQUITY INCOME FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676183-03 | Pending-Cleared |

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| Firm Name | Location | Date Received | File Number | Status |
| DREYFUS MUNICIPAL FUNDS INC DREYFUS AMT FREE MUNICIPAL BOND FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676165-03 | Pending-Cleared |
| DREYFUS MUNICIPAL FUNDS INC DREYFUS HIGH YIELD MUNICIPAL BOND FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676176-03 | Pending-Cleared |
| DREYFUS NJ MUNICIPAL BOND FUND INC CLASS Y | NEW YORK, NY | 6/28/2013 | 00676189-03 | Pending-Cleared |
| DREYFUS NY AMT FREE MUNICIPAL BOND FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676193-03 | Pending-Cleared |
| DREYFUS PREMIER CA AMT FREE MUNICIPAL BOND FUND INC DREYFUS CA AMT FREE MUNICIPAL BOND FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676186-03 | Pending-Cleared |
| DREYFUS PREMIER INVESTMENT FUNDS INC DREYFUS GLOBAL REAL ESTATE SECURITIES FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676168-03 | Pending-Cleared |
| DREYFUS PREMIER SHORT INTERMEDIATE MUNICIPAL BOND FUND DREYFUS SHORT INTERMEDIATE MUNICIPAL BOND FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676194-03 | Pending-Cleared |
| DREYFUS PREMIER WORLDWIDE GROWTH FUND INC DREYFUS WORLDWIDE GROWTH FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676171-03 | Pending-Cleared |
| DREYFUS RESEARCH GROWTH FUND INC CLASS Y | NEW YORK, NY | 6/28/2013 | 00676188-03 | Pending-Cleared |
| GUIDESTONE FUNDS REAL ASSETS FUND GS4 CLASS | DALLAS, TX | 6/28/2013 | 00676201-03 | Pending-Cleared |
| STRATEGIC FUNDS INC DREYFUS SELECT MANAGERS SMALL CAP GROWTH FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676175-03 | Pending-Cleared |

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| Firm Name | Location | Date Received | File Number | Status |
| STRATEGIC FUNDS INC DREYFUS SELECT MANAGERS SMALL CAP VALUE FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676172-03 | Pending-Cleared |
| STRATEGIC FUNDS INC DREYFUS US EQUITY FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676166-03 | Pending-Cleared |
| STRATEGIC FUNDS INC GLOBAL STOCK FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676181-03 | Pending-Cleared |
| STRATEGIC FUNDS INC INTERNATIONAL STOCK FUND CLASS Y | NEW YORK, NY | 6/28/2013 | 00676182-03 | Pending-Cleared |
| AIM TX EX FUNDS INVESCO TX EX FUNDS INVESCO TAX FREE INTERMEDIATE FUND CLASS C SHARES | HOUSTON, TX | 6/27/2013 | 00676064-03 | Pending-Cleared |
| DAILY INCOME FUND MONEY MARKET PORTFOLIO FIDUCIARY SHARES | NEW YORK, NY | 6/27/2013 | 00676069-03 | Registered |
| DAILY INCOME FUND MONEY MARKET PORTFOLIO INVESTOR SELECT SHARES | NEW YORK, NY | 6/27/2013 | 00676067-03 | Registered |
| DAILY INCOME FUND US GOVERNMENT PORTFOLIO FIDUCIARY SHARES | NEW YORK, NY | 6/27/2013 | 00676068-03 | Registered |
| DAILY INCOME FUND US GOVERNMENT PORTFOLIO INVESTOR SELECT SHARES | NEW YORK, NY | 6/27/2013 | 00676070-03 | Registered |
| DAILY INCOME FUND US TREASURY PORTFOLIO FIDUCIARY SHARES | NEW YORK, NY | 6/27/2013 | 00676065-03 | Registered |
| DAILY INCOME FUND US TREASURY PORTFOLIO INVESTOR SELECT SHARES | NEW YORK, NY | 6/27/2013 | 00676066-03 | Registered |
| HANCOCK JOHN FUNDS 3 HANCOCK JOHN DISCIPLINED VALUE MID CAP FUND CLASS R4 | BOSTON, MA | 6/27/2013 | 00676071-03 | Pending-Cleared |

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| Firm Name | Location | Date Received | File Number | Status |
| LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS LOCAL BOND FUND CLASS I | JERSEY CITY, NJ | 6/27/2013 | 00676153-03 | Registered |
| LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS LOCAL BOND FUND CLASS F | JERSEY CITY, NJ | 6/27/2013 | 00676152-03 | Registered |
| LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS LOCAL BOND FUND CLASS C | JERSEY CITY, NJ | 6/27/2013 | 00676151-03 | Registered |
| LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS LOCAL BOND FUND CLASS A | JERSEY CITY, NJ | 6/27/2013 | 00676150-03 | Registered |
| LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS LOCAL BOND FUND CLASS R2 | JERSEY CITY, NJ | 6/27/2013 | 00676154-03 | Registered |
| LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS LOCAL BOND FUND CLASS R3 | JERSEY CITY, NJ | 6/27/2013 | 00676155-03 | Registered |
| ADVISORS INNER CIRCLE FUND CBRE CLARION GLOBAL INFRASTRUCTURE VALUE FUND INSTITUTIONAL CLASS SHARES | BOSTON, MA | 6/26/2013 | 00675914-03 | Registered |
| ADVISORS INNER CIRCLE FUND WESTWOOD SHORT DURATION HIGH YIELD FUND A CLASS SHARES | BOSTON, MA | 6/26/2013 | 00675915-03 | Registered |
| BLACKSTONE ALTERNATIVE INVESTMENT FUNDS BLACKSTONE ALTERNATIVE MULTI MANAGER FUND CLASS I SHARES | NEW YORK, NY | 6/26/2013 | 00675984-03 | Pending-Cleared |
| RIVERPARK FUNDS TR RIVERPARK STRUCTURAL ALPHA FUND RETAIL CLASS SHARES | NEW YORK, NY | 6/26/2013 | 00675916-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| SUNAMERICA SPECIALTY SERIES SUNAMERICA INCOME EXPLORER FUND CLASS W | JERSEY CITY, NJ | 6/26/2013 | 00675919-03 | Registered |
| SUNAMERICA SPECIALTY SERIES SUNAMERICA INCOME EXPLORER FUND CLASS C | JERSEY CITY, NJ | 6/26/2013 | 00675918-03 | Registered |
| SUNAMERICA SPECIALTY SERIES SUNAMERICA INCOME EXPLORER FUND CLASS A | JERSEY CITY, NJ | 6/26/2013 | 00675917-03 | Registered |
| HANCOCK JOHN FUNDS 2 HANCOCK JOHN ALTERNATIVE ASSET ALLOCATION PORTFOLIO CLASS R4 | BOSTON, MA | 6/25/2013 | 00676054-03 | Pending-Cleared |
| HANCOCK JOHN FUNDS 2 HANCOCK JOHN INTERNATIONAL SMALL CO FUND CLASS A | BOSTON, MA | 6/25/2013 | 00676055-03 | Pending-Cleared |
| HANCOCK JOHN FUNDS 2 HANCOCK JOHN INTERNATIONAL SMALL CO FUND CLASS I | BOSTON, MA | 6/25/2013 | 00676056-03 | Pending-Cleared |
| SMART TR MORNINGSTAR DIVIDEND YIELD FOCUS TR SERIES 2 | PARSIPPANY, NJ | 6/25/2013 | 00676036-05 | Pending-Cleared |
| TOUCHSTONE FUNDS GROUP TR MID CAP FUND CLASS Z | CINCINNATI, OH | 6/25/2013 | 00676057-03 | Registered |
| TOUCHSTONE FUNDS GROUP TR TOTAL RETURN BOND FUND CLASS A | CINCINNATI, OH | 6/25/2013 | 00676058-03 | Registered |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2050 RETIREMENT TARGET FUND CLASS C | SAN MATEO, CA | 6/24/2013 | 00676031-03 | Pending-Cleared |

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| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2050 RETIREMENT TARGET FUND CLASS R | SAN MATEO, CA | 6/24/2013 | 00676032-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2030 RETIREMENT TARGET FUND ADVISOR CLASS | SAN MATEO, CA | 6/24/2013 | 00676015-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2040 RETIREMENT TARGET FUND CLASS A | SAN MATEO, CA | 6/24/2013 | 00676019-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2040 RETIREMENT TARGET FUND CLASS R6 | SAN MATEO, CA | 6/24/2013 | 00676023-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2020 RETIREMENT TARGET FUND CLASS R | SAN MATEO, CA | 6/24/2013 | 00676027-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2050 RETIREMENT TARGET FUND CLASS R6 | SAN MATEO, CA | 6/24/2013 | 00676033-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2030 RETIREMENT TARGET FUND CLASS A | SAN MATEO, CA | 6/24/2013 | 00676014-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2030 RETIREMENT TARGET FUND CLASS R | SAN MATEO, CA | 6/24/2013 | 00676018-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2040 RETIREMENT TARGET FUND CLASS R | SAN MATEO, CA | 6/24/2013 | 00676022-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2020 RETIREMENT TARGET FUND CLASS C | SAN MATEO, CA | 6/24/2013 | 00676026-03 | Pending-Cleared |

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| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2050 RETIREMENT TARGET FUND ADVISOR CLASS | SAN MATEO, CA | 6/24/2013 | 00676030-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2030 RETIREMENT TARGET FUND CLASS R6 | SAN MATEO, CA | 6/24/2013 | 00676017-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2040 RETIREMENT TARGET FUND CLASS C | SAN MATEO, CA | 6/24/2013 | 00676021-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2020 RETIREMENT TARGET FUND ADVISOR CLASS | SAN MATEO, CA | 6/24/2013 | 00676025-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2050 RETIREMENT TARGET FUND CLASS A | SAN MATEO, CA | 6/24/2013 | 00676029-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2030 RETIREMENT TARGET FUND CLASS C | SAN MATEO, CA | 6/24/2013 | 00676016-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2040 RETIREMENT TARGET FUND ADVISOR CLASS | SAN MATEO, CA | 6/24/2013 | 00676020-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2020 RETIREMENT TARGET FUND CLASS A | SAN MATEO, CA | 6/24/2013 | 00676024-03 | Pending-Cleared |
| FRANKLIN TEMPLETON FUND ALLOCATOR SERIES FRANKLIN LIFESMART 2020 RETIREMENT TARGET FUND CLASS R6 | SAN MATEO, CA | 6/24/2013 | 00676028-03 | Pending-Cleared |
| FT 4264 PREFERRED INCOME PORTFOLIO SERIES 63 | WHEATON, IL | 6/24/2013 | 00676005-05 | Pending-Cleared |

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| Firm Name | Location | Date Received | File Number | Status |
| LAZARD FUNDS INC LAZARD EXPLORER TOTAL RETURN PORTFOLIO OPEN SHARES | NEW YORK, NY | 6/24/2013 | 00676011-03 | Pending-Cleared |
| LAZARD FUNDS INC LAZARD EXPLORER TOTAL RETURN PORTFOLIO INSTITUTIONAL SHARES | NEW YORK, NY | 6/24/2013 | 00676012-03 | Pending-Cleared |
| SCHRODER SERIES TR SCHRODER EMERGING MARKETS MULTI SECTOR BOND FUND INVESTOR SHARES | NEW YORK, NY | 6/24/2013 | 00675840-03 | Registered |
| SCHRODER SERIES TR SCHRODER EMERGING MARKETS MULTI SECTOR BOND FUND ADVISOR SHARES | NEW YORK, NY | 6/24/2013 | 00675839-03 | Registered |
| Number of Investment Company Filings: 124 | | | | |

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|-------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| COMBATANT GENTLEMEN INC | IRVINE, CA | 6/27/2013 | 00675990-07 | Filed |
| FR XIII GLOBAL ENERGY FUND OFFSHORE LP | NEW YORK, NY | 6/27/2013 | 00675994-07 | Filed |
| GRAND ENERGY INC | ADDISON, TX | 6/27/2013 | 00675991-07 | Filed |
| KKR SPECIAL SITUATIONS ASP FUND SERIES OF ALTERNATIVE STRATEGIES PRIVATE QUITTY PLATFORM LLC | CHARLOTTE, SC | 6/27/2013 | 00675993-07 | Filed |
| SOLAR MOSAIC INC | OAKLAND, CA | 6/27/2013 | 00675992-07 | Filed |
| MIASOLE INVESTMENTS LLC | SAN FRANCISCO, CA | 6/26/2013 | 00675985-07 | Filed |
| PALANTIR INVESTMENTS LLC | SAN FRANCISCO, CA | 6/24/2013 | 00676013-07 | Filed |
| Number of Regulation D Notice Filings: 7 | | | | |

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 6/24/2013 through 7/5/2013**

| Franchise Law Filings Made with DFI's Securities Division | | | | |
|--|-------------------|----------------------|--------------------|---------------|
| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| SOLA FRANCHISE CORP / Sola Salon Studios | DENVER, CO | 7/5/2013 | 606276 | Registered |
| Tutu School Franchises, LLC / Tutu School | San Francisco, CA | 7/3/2013 | 606275 | Registered |
| HCAFRANCHISE CORP / Home Care Assistance 1-866-4-LiveIn | Palo Alto, CA | 6/28/2013 | 606271 | Registered |
| Sit Means Sit Franchise, Inc. / Sit Means Sit | Las Vegas, NV | 6/28/2013 | 606270 | Registered |
| HandyPro International, LLC / HandyPro | Plymouth, MI | 6/28/2013 | 606269 | Registered |
| American Blue Ribbon Holdings, LLC / Village Inn Restaurants | Nashville, TN | 6/28/2013 | 606268 | Registered |
| Forever Yogurt FC, LLC / Forever Yogurt | Chicago, IL | 6/27/2013 | 606261 | Registered |
| A Suite Salon Franchise Co, LLC / A Suite Salon | Jupiter, FL | 6/27/2013 | 606256 | Registered |
| Ziebart Corporation / Ziebart | Troy, MI | 6/26/2013 | 606254 | Registered |
| ChiroWay Franchise, LLC / ChiroWay Franchise | Woodbury, MN | 6/26/2013 | 606253 | Registered |
| 1 800 FLOWERS.COM FRANCHISE CO INC / Fruit Boquets by 1-800-Flowers.com | CARLE PLACE, NY | 6/26/2013 | 606262 | Registered |
| Drive N Style, LLC | CHRLOTTE, NC | 6/26/2013 | 606264 | Registered |
| UNITED COUNTRY REAL ESTATE INC | KANSAS CITY, MO | 6/26/2013 | 606263 | Registered |
| DBR FRANCHISING, LLC | Ewing, NJ | 6/24/2013 | 606260 | Registered |
| Tiger Rock MAI Systes, Inc. / Tiger Rock Martial Arts and Kisado Fitness | Pensacola, FL | 6/24/2013 | 606255 | Registered |
| TRAVEL LEADERS FRANCHISE GROUP LLC / Travel Leaders | Plymouth, MN | 6/24/2013 | 606259 | Registered |
| Number of Franchise Filings: 16 | | | | |

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