

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<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>
<b>Number of Registration Filings: 0</b>				

<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>
PIKES PEAK CHRISTIAN CHURCH	COLORADO SPRINGS, CO	7/23/2013	00677534-08	Not Disallowed
WORD OF LIFE CHRISTIAN CENTER INC	NEWARK, DE	7/16/2013	00676766-08	Not Disallowed
<b>Number of Exemption Filings: 2</b>				

<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>
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC AMERICAN CENTURY 1 CHOICESM IN RETIREMENT PORTFOLIO R6 R6 CLASS	KANSAS CITY, MO	7/25/2013	00677451-03	Pending-Cleared
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC AMERICAN CENTURY 1 CHOICESM 2030 PORTFOLIO R6 R6 CLASS	KANSAS CITY, MO	7/25/2013	00677455-03	Pending-Cleared
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC AMERICAN CENTURY 1 CHOICESM 2050 PORTFOLIO R6 R6 CLASS	KANSAS CITY, MO	7/25/2013	00677459-03	Pending-Cleared
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC AMERICAN CENTURY 1 CHOICE SM 2020 PORTFOLIO R6 R6 CLASS	KANSAS CITY, MO	7/25/2013	00677453-03	Pending-Cleared
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC AMERICAN CENTURY 1 CHOICESM 2040 PORTFOLIO R6 R6 CLASS	KANSAS CITY, MO	7/25/2013	00677457-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<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>
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC AMERICAN CENTURY 1 CHOICESM 2015 PORTFOLIO R6 R6 CLASS	KANSAS CITY, MO	7/25/2013	00677452-03	Pending-Cleared
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC AMERICAN CENTURY 1 CHOICESM 2035 PORTFOLIO R6 R6 CLASS	KANSAS CITY, MO	7/25/2013	00677456-03	Pending-Cleared
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC AMERICAN CENTURY 1 CHOICESM 2055 PORTFOLIO R6 R6 CLASS	KANSAS CITY, MO	7/25/2013	00677460-03	Pending-Cleared
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC AMERICAN CENTURY 1 CHOICESM 2025 PORTFOLIO R6 R6 CLASS	KANSAS CITY, MO	7/25/2013	00677454-03	Pending-Cleared
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC AMERICAN CENTURY 1 CHOICESM 2045 PORTFOLIO R6 R6 CLASS	KANSAS CITY, MO	7/25/2013	00677458-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY LARGE CO VALUE FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677471-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY REAL ESTATE FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677475-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY VALUE FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677470-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY SMALL CAP VALUE FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677474-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY EQUITY INCOME FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677472-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<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>
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY GLOBAL REAL ESTATE FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677476-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY MID CAP VALUE FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677473-03	Pending-Cleared
AMERICAN CENTURY INTERNATIONAL BOND FUNDS AMERICAN CENTURY GLOBAL BOND FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677481-03	Pending-Cleared
AMERICAN CENTURY INTERNATIONAL BOND FUNDS AMERICAN CENTURY INTERNATIONAL BOND FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677480-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY DIVERSIFIED BOND FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677478-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY HIGH YIELD FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677479-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY SHORT DURATION INFLATION PROTECTION BOND FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677477-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY GROWTH FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677461-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY HERITAGE FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677465-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY SELECT FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677462-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<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>
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY SMALL CAP GROWTH FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677464-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY ULTRA FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677463-03	Pending-Cleared
AMERICAN CENTURY STRATEGIC ASSET ALLOCATIONS INC AMERICAN CENTURY STRATEGIC ALLOCATION AGGRESSIVE FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677484-03	Pending-Cleared
AMERICAN CENTURY STRATEGIC ASSET ALLOCATIONS INC AMERICAN CENTURY STRATEGIC ALLOCATION CONSERVATIVE FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677482-03	Pending-Cleared
AMERICAN CENTURY STRATEGIC ASSET ALLOCATIONS INC AMERICAN CENTURY STRATEGIC ALLOCATION MODERATE FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677483-03	Pending-Cleared
AMERICAN CENTURY WORLD MUTUAL FUNDS INC AMERICAN CENTURY INTERNATIONAL GROWTH FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677466-03	Pending-Cleared
AMERICAN CENTURY WORLD MUTUAL FUNDS INC AMERICAN CENTURY INTERNATIONAL VALUE FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677469-03	Pending-Cleared
AMERICAN CENTURY WORLD MUTUAL FUNDS INC AMERICAN CENTURY EMERGING MARKETS FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677468-03	Pending-Cleared
AMERICAN CENTURY WORLD MUTUAL FUNDS INC AMERICAN CENTURY GLOBAL GROWTH FUND R6 CLASS	KANSAS CITY, MO	7/25/2013	00677467-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<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>
ADVISORS SERIES TR DAVIDSON MULTI CAP EQUITY FUND ADVISOR CLASS C	MILWAUKEE, WI	7/24/2013	00677581-03	Registered
DUNHAM FUNDS DUNHAM ALTERNATIVE STRATEGY FUND CLASS A	HAUPAGE, NY	7/24/2013	00677545-03	Registered
EQUINOX FUNDS TR CAMPBELL STRATEGY FUND CLASS A	HAUPAGE, NY	7/24/2013	00677560-03	Registered
EQUINOX FUNDS TR CAMPBELL STRATEGY FUND CLASS I	HAUPAGE, NY	7/24/2013	00677561-03	Registered
EQUINOX FUNDS TR CAMPBELL STRATEGY FUND CLASS P	HAUPAGE, NY	7/24/2013	00677562-03	Registered
MUTUAL FUND SERIES TR EVENTIDE HEALTHCARE & LIFE SCIENCES FUND CLASS A	HAUPAGE, NY	7/24/2013	00677558-03	Registered
NORTHERN LIGHTS FUND TR ALTEGRIS FIXED INCOME LONG SHORT FUND CLASS N	HAUPAGE, NY	7/24/2013	00677553-03	Registered
NORTHERN LIGHTS FUND TR ALTEGRIS FIXED INCOME LONG SHORT FUND CLASS A	HAUPAGE, NY	7/24/2013	00677551-03	Registered
NORTHERN LIGHTS FUND TR ALTEGRIS FIXED INCOME LONG SHORT FUND CLASS I	HAUPAGE, NY	7/24/2013	00677552-03	Registered
NORTHERN LIGHTS FUND TR ALTEGRIS MULTI STRATEGY ALTERNATIVE FUND CLASS N	HAUPAGE, NY	7/24/2013	00677556-03	Registered
NORTHERN LIGHTS FUND TR ALTEGRIS MULTI STRATEGY ALTERNATIVE FUND CLASS A	HAUPAGE, NY	7/24/2013	00677554-03	Registered
NORTHERN LIGHTS FUND TR ALTEGRIS MULTI STRATEGY ALTERNATIVE FUND CLASS I	HAUPAGE, NY	7/24/2013	00677555-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<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>
NORTHERN LIGHTS FUND TR ASCENDANT NATURAL RESOURCES FUND CLASS I	HAUPAGE, NY	7/24/2013	00677559-03	Registered
NORTHERN LIGHTS FUND TR BANDON ISOLATED ALPHA FIXED INCOME CLASS A SHARES	HAUPAGE, NY	7/24/2013	00677563-03	Registered
NORTHERN LIGHTS FUND TR EVENTIDE HEALTHCARE & LIFE SCIENCES FUND CLASS N	HAUPAGE, NY	7/24/2013	00677544-03	Registered
NORTHERN LIGHTS FUND TR LEADER TOTAL RETURN FUND INVESTOR CLASS	HAUPAGE, NY	7/24/2013	00677543-03	Registered
NORTHERN LIGHTS FUND TR PACIFIC FINANCIAL CORE EQUITY FUND INVESTOR CLASS	HAUPAGE, NY	7/24/2013	00677550-03	Registered
NORTHERN LIGHTS FUND TR PACIFIC FINANCIAL EXPLORER FUND INVESTOR CLASS	HAUPAGE, NY	7/24/2013	00677549-03	Registered
NORTHERN LIGHTS FUND TR PACIFIC FINANCIAL INTERNATIONAL FUND INVESTOR CLASS	HAUPAGE, NY	7/24/2013	00677548-03	Registered
NORTHERN LIGHTS FUND TR PACIFIC FINANCIAL STRATEGIC CONSERVATIVE FUND INVESTOR CLASS	HAUPAGE, NY	7/24/2013	00677547-03	Registered
NORTHERN LIGHTS FUND TR PACIFIC FINANCIAL TACTICAL FUND INVESTOR CLASS	HAUPAGE, NY	7/24/2013	00677546-03	Registered
1ST TR COMBINED SERIES 423 TX EX MUNICIPAL INCOME TR INTERMEDIATE SERIES 6	WHEATON, IL	7/22/2013	00677504-05	Pending-Cleared
ADVISORS SERIES TR SEMPER MBS TOTAL RETURN FUND INSTITUTIONAL CLASS	MILWAUKEE, IL	7/22/2013	00677491-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<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>
ADVISORS SERIES TR SEMPER MBS TOTAL RETURN FUND INVESTOR CLASS	MILWAUKEE, IL	7/22/2013	00677490-03	Registered
FT 4306 EQUITY INCOME PORTFOLIO SERIES 39	WHEATON, IL	7/22/2013	00677507-05	Pending-Cleared
FT 4322 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES MERGER & ACQUISITION PORTFOLIO 2013 2	WHEATON, IL	7/22/2013	00677505-05	Pending-Cleared
FT 4348 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 83	WHEATON, IL	7/22/2013	00677506-05	Pending-Cleared
FT 4349 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 42	WHEATON, IL	7/22/2013	00677508-05	Pending-Cleared
FT 4363 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 42	WHEATON, IL	7/22/2013	00677509-05	Pending-Cleared
INVESCO UNIT TR SERIES 1344 NEW WORLD LEADERS PORTFOLIO SERIES 11	DOWNERS GROVE, IL	7/22/2013	00677488-05	Pending-Cleared
INVESCO UNIT TR SERIES 1345 AMERICAN INFRASTRUCTURE GROWTH STRATEGY 2013 3	DOWNERS GROVE, IL	7/22/2013	00677489-05	Pending-Cleared
INVESCO UNIT TR SERIES 1353 ALTERNATIVES ALLOCATION PORTFOLIO 2013 3	OAKBROOK TER, IL	7/22/2013	00677487-05	Pending-Cleared
INVESCO UNIT TR SERIES 1359 SELECT 10 INDUSTRIAL PORTFOLIO 2013 5	DOWNERS GROVE, IL	7/22/2013	00677486-05	Pending-Cleared
INVESCO UNIT TR SERIES 1365 TECHNOLOGY PORTFOLIO 2013 4	DOWNERS GROVE, IL	7/22/2013	00677485-05	Pending-Cleared
OPPENHEIMER LTD TERM BOND FUND CLASS I	DENVER, CO	7/22/2013	00677492-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<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>
TOUCHSTONE STRATEGIC TR TOUCHSTONE FLEXIBLE INCOME FUND CLASS A	CINCINNATI, OH	7/22/2013	00677437-03	Registered
FINANCIAL INVESTORS TR EMERALD GROWTH FUND INVESTOR CLASS	DENVER, CO	7/19/2013	00676737-03	Registered
FT 4308 MARKET STRENGTH ALLOCATION SELECT PORTFOLIO SERIES 10	WHEATON, IL	7/19/2013	00676793-05	Pending-Cleared
PRINCIPAL FUNDS INC CAPITAL SECURITIES FUND CLASS S	DES MOINES, IA	7/19/2013	00676736-03	Registered
ULTIMUS MANAGERS TR APEXCM SMALL MID CAP GROWTH FUND	CINCINNATI, OH	7/18/2013	00676784-03	Registered
ADVISORS DISCIPLINED TR 1036 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 73	MONUMENT, CO	7/16/2013	00676788-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1051 ENHANCED EQUITY INCOME PORTFOLIO SERIES 2013 3Q	MONUMENT, CO	7/16/2013	00676754-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1063 INFLATION INCOME STRATEGY PORTFOLIO SERIES 2013 3	MONUMENT, CO	7/16/2013	00676755-05	Pending-Cleared
FT 4301 STRATEGIC DIVIDEND SELECT PORTFOLIO SERIES 10	WHEATON, IL	7/16/2013	00676763-05	Pending-Cleared
FT 4304 DEEP VALUE SUB 10 DIVIDEND PORTFOLIO SERIES 9	WHEATON, IL	7/16/2013	00676765-05	Pending-Cleared
FT 4307 TECHNOLOGY SELECT PORTFOLIO SERIES 49	WHEATON, IL	7/16/2013	00676794-05	Pending-Cleared
FT 4321 GLOBAL AGRICULTURE PORTFOLIO SERIES 25	WHEATON, IL	7/16/2013	00676762-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<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 4350 DORSEY WRIGHT RELATIVE STRENGTH INTERNATIONAL DIVIDEND PORTFOLIO SERIES 2	WHEATON, IL	7/16/2013	00676764-05	Pending-Cleared
FT 4356 CAPITAL STRENGTH BUY WRITE PORTFOLIO SERIES 9	WHEATON, IL	7/16/2013	00676795-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1036 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 26	LISLE, IL	7/16/2013	00676792-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1059 HEALTH CARE PORTFOLIO SERIES 15	LISLE, IL	7/16/2013	00676790-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1059 UTILITIES PORTFOLIO SERIES 18	LISLE, IL	7/16/2013	00676789-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1060 GUGGENHEIM BALANCED INCOME BUILDER PORTFOLIO SERIES 4	LISLE, IL	7/16/2013	00676791-05	Pending-Cleared
SMART TR TX FREE INCOME TR SERIES 14	PARSIPPANY, NJ	7/16/2013	00676776-05	Pending-Cleared
1ST TR COMBINED SERIES 422 TX EX MUNICIPAL INCOME TR LONG INTERMEDIATE SERIES 6	WHEATON, IL	7/15/2013	00676653-05	Pending-Cleared
ADVISERS INVESTMENT TR INDEPENDENT FRANCHISE PARTNERS US EQUITY FUND	COLUMBUS, OH	7/15/2013	00676604-03	Registered
ADVISORS DISCIPLINED TR 1054 HIGH YIELD & INCOME CLOSED END PORTFOLIO SERIES 2013 2	MONUMENT, CO	7/15/2013	00676742-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1055 BRIC ADVANTAGE PORTFOLIO SERIES 2013 2	MONUMENT, CO	7/15/2013	00676743-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<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>
ADVISORS DISCIPLINED TR 1086 ADVISORS CORPORATE TR HIGH YIELD BOND PORTFOLIO SERIES 2013 JULY	MONUMENT, CO	7/15/2013	00676744-05	Pending-Cleared
AQR FUNDS AQR LONG SHORT EQUITY FUND CLASS I SHARES	GREENWICH, CT	7/15/2013	00676600-03	Registered
AQR FUNDS AQR LONG SHORT EQUITY FUND CLASS N SHARES	GREENWICH, CT	7/15/2013	00676602-03	Registered
AQR FUNDS AQR MANAGED FUTURES STRATEGY HV FUND CLASS I SHARES	GREENWICH, CT	7/15/2013	00676601-03	Registered
AQR FUNDS AQR MANAGED FUTURES STRATEGY HV FUND CLASS N SHARES	GREENWICH, CT	7/15/2013	00676603-03	Registered
FT 4300 EUROPEAN DEEP VALUE SUB 10 DIVIDEND PORTFOLIO SERIES 6	WHEATON, IL	7/15/2013	00676741-05	Pending-Cleared
FT 4302 MEGA CAP PORTFOLIO SERIES 28	WHEATON, IL	7/15/2013	00676639-05	Pending-Cleared
FT 4303 STRATEGIC INCOME SELECT CLOSED END PORTFOLIO SERIES 14	WHEATON, IL	7/15/2013	00676739-05	Pending-Cleared
FT 4305 MARKET STRENGTH ALLOCATION PLUS PORTFOLIO SERIES 16	WHEATON, IL	7/15/2013	00676652-05	Pending-Cleared
FT 4317 MUNICIPAL INCOME SELECT CLOSED END & SHORT TREASURY ETF SERIES 3	WHEATON, IL	7/15/2013	00676638-05	Pending-Cleared
FT 4324 TX ADVANTAGED MUNICIPAL CLOSED END PORTFOLIO SERIES 37	WHEATON, IL	7/15/2013	00676740-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<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>
SMART TR ZACKS DIVERSIFIED EQUITY & CORPORATE BOND TR SERIES 3	PARSIPPANY, NJ	7/15/2013	00676738-05	Pending-Cleared
<b>Number of Investment Company Filings: 104</b>				

<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>
BROOKWOOD TX INVESTORS LLC	BEVERLY, MA	7/23/2013	00677524-07	Filed
BAKKEN DRILLING FUND 4 LP	GREENWOOD VILLAGE, CO	7/22/2013	00677511-07	Filed
LAUNCH ANGELS MANAGEMENT CO LLC	WINCHESTER, MA	7/22/2013	00677514-07	Filed
LIFE360 INC	SAN FRANCISCO, CA	7/22/2013	00677513-07	Filed
PARK WEST PARTNERS LTD	GRAND CAYMAN, AA	7/22/2013	00677515-07	Filed
PRICE FLEX QUALIFED QP FUND LP	LAFAYETTE, LA	7/22/2013	00677510-07	Filed
TN TRIP JOINT VENTURE	DALLAS, TX	7/22/2013	00677512-07	Filed
DIGITAL ANGEL CORP	DELRAY BEACH, FL	7/19/2013	00676796-07	Filed
HALEY COMMUNITIES LTD PARTERSHIP FUND NO 2	OMAHA, NE	7/19/2013	00676798-07	Filed
PAULSON CARDAX INVESTMENTS 1 LLC	PORTLAND, OR	7/19/2013	00676797-07	Filed
RECONROBOTICS INC	EDINA, MN	7/19/2013	00676799-07	Filed
PARTNERS FOR GROWTH 4 LP	SAN FRANCISCO, CA	7/18/2013	00676786-07	Filed
ALPHA TITANS LTD	GEORGETOWN, GRAND CAYMAN, AA	7/17/2013	00676774-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<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>
NATIONAL NET LEASE PORTFOLIO 3 DST	OAK BROOK, IL	7/17/2013	00676773-07	Filed
SECONDMARKET CRAVE INNOVATIONS FUND LLC	NEW YORK, NY	7/17/2013	00676775-07	Filed
ZUREX PHARMAGRA LLC	MIDDLETON, WI	7/17/2013	00676777-07	Filed
AIP PHOENIX GLOBAL REAL ESTATE SECONDARIES FUND 2 2013 LP	WEST CONSHOHOCKE N, PA	7/16/2013	00676752-07	Filed
GTIS US RESIDENTIAL STRATEGIES PARALLEL FUND B LP	NEW YORK, NY	7/16/2013	00676753-07	Filed
PORTFOLIO ADVISORS PRIVATE EQUITY FUND 2012 OFFSHORE LP	DARIEN, CT	7/16/2013	00676751-07	Filed
APOLLO INVESTMENT FUND I 8 LP	NEW YORK, NY	7/15/2013	00676658-07	Filed
GOLUB CAPITAL PARTNERS INTERNATIONAL 8 LP	GEORGE TOWN, GRAND CAYMAN, AA	7/15/2013	00676656-07	Filed
TANGO PUBLISHING CORP	NEW YORK, NY	7/15/2013	00676655-07	Filed
TEXLARK EXPLORATION CO INC	PLANO, TX	7/15/2013	00676657-07	Filed
<b>Number of Regulation D Notice Filings: 23</b>				

<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>
La Madeleine Franchising Co., Inc.	Dallas, TX	7/26/2013	606354	Registered
Mongolian Management and Investment Company, L.L.C. / bd's Mongolian Grill®	Burnsville, MN	7/25/2013	606349	Registered
Frost Gelato Franchising, LLC	Tuscan, AZ	7/25/2013	606342	Registered
I Dream of Falafel Franchising LLC / I Dream of Falafel	Chicago, IL	7/25/2013	606351	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<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>
ORION FOOD SYSTEMS INC / Hot Stuff Foods	SOUIX FALLS, SD	7/25/2013	606347	Registered
RxP FRANCHISE SERVICES, LLC / RxPROTECT	CHESTERFIELD, MO	7/25/2013	606355	Registered
All Tests Franchising, Inc. / All Lab Tests Fast	Miami, FL	7/24/2013	606341	Registered
Integrity Brands, LLC / Uncle Maddio's Pizza Joint	Atlanta, GA	7/22/2013	606334	Registered
U Got Stink Franchising, LLC / U Got Stink?	Portland, OR	7/22/2013	606333	Registered
HEALTHSOURCE CHIROPRACTIC INC / Single-Unit	Avon, OH	7/22/2013	606344	Registered
MANCHU WOK FRANCHISING USA INC	MARKHAM ON L6G 1A8, ON	7/22/2013	606338	Registered
Sizzler USA Franchise, Inc.	Mission Viejo, CA	7/22/2013	606339	Registered
ExecuStay Franchising, LLC / ExecuStay	Los Angeles, CA	7/19/2013	606331	Registered
Creative World Schools Franchising Company, Inc. / Creative World School	Bonita Springs, FL	7/19/2013	606328	Registered
HRG AFFILIATES LLC	New York, NY	7/19/2013	606336	Registered
Living Assistance Services, Inc.	Haertown, PA	7/19/2013	606337	Registered
Citadel Panda Express, Inc. / Panda Express	Rosemead, CA	7/18/2013	606327	Registered
FOCUS FRANCHISING, INC. / JANI-KING OF MADISON	MADISON, WI	7/18/2013	606326	Registered
CHICAGO BEEF INC / AI's Chicago's #1 Italian Beef Restaurants	Mokena, IL	7/18/2013	606345	Registered
Suite Management Franchising, LLC / My Salon Suite	Kenner, LA	7/17/2013	606325	Registered
FIREHOUSE OF AMERICA LLC / Area Representative Franchise	JACKSONVILLE, FL	7/17/2013	606324	Registered
Ultimate Franchises, Inc. / 18/8 Salon	Laguna Niguel, CA	7/17/2013	606321	Registered
Cups, LLC / Cups Frozen Yogurt	Livingston, NJ	7/17/2013	606319	Registered
COAST TO COAST ENGINEERING SERVICES INC / Criterium Engineers	PORTLAND, ME	7/16/2013	606323	Registered
INTERSTATE BATTERY FRANCHISING & DEVELOPMENT INC	Urbandale, IA	7/16/2013	606322	Registered
<b>Number of Franchise Filings: 25</b>				

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/15/2013 through 7/26/2013**

<b>Corporate Take-Over Law Filings Made with DFI's Securities Division</b>	
--	--

<b>Takeover Filing Reference</b>	<b>Date Received</b>
----------------------------------	----------------------

<b>Number of Takeover Filings: 0</b>	
--------------------------------------	--