

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/29/2013 through 8/9/2013**

<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>
HOME BANCORP WI INC	MADISON, WI	8/2/2013	00677838-01	Pending
HARTMAN SHORT TERM INCOME PROPERTIES 20 INC FOLLOW ON	HOUSTON, TX	8/1/2013	00677850-01	Pending
<b>Number of Registration Filings: 2</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>
<b>Number of Exemption Filings: 0</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>
HANCOCK JOHN FUNDS 2 HANCOCK JOHN EMERGING MARKETS DEBT FUND CLASS A	BOSTON, MA	8/6/2013	00677897-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN EMERGING MARKETS DEBT FUND CLASS I	BOSTON, MA	8/6/2013	00677898-03	Registered
CALAMOS INVESTMENT TR CALAMOS DIVIDEND GROWTH FUND CLASS A	MILWAUKEE, WI	8/5/2013	00677862-03	Registered
CALAMOS INVESTMENT TR CALAMOS DIVIDEND GROWTH FUND CLASS C	MILWAUKEE, WI	8/5/2013	00677861-03	Registered
CALAMOS INVESTMENT TR CALAMOS DIVIDEND GROWTH FUND CLASS I	MILWAUKEE, WI	8/5/2013	00677860-03	Registered
CALAMOS INVESTMENT TR CALAMOS DIVIDEND GROWTH FUND CLASS R	MILWAUKEE, WI	8/5/2013	00677859-03	Registered
CALAMOS INVESTMENT TR CALAMOS MID CAP GROWTH FUND CLASS A	MILWAUKEE, WI	8/5/2013	00677866-03	Registered
CALAMOS INVESTMENT TR CALAMOS MID CAP GROWTH FUND CLASS C	MILWAUKEE, WI	8/5/2013	00677864-03	Registered
CALAMOS INVESTMENT TR CALAMOS MID CAP GROWTH FUND CLASS I	MILWAUKEE, WI	8/5/2013	00677863-03	Registered
CALAMOS INVESTMENT TR	MILWAUKEE, WI	8/5/2013	00677865-03	Registered

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CALAMOS MID CAP GROWTH FUND CLASS R				
DIAMOND HILL FUNDS DIAMOND HILL SELECT FUND CLASS A	COLUMBUS, OH	8/5/2013	00677885-03	Registered
FT 4328 INCOME ALLOCATION CLOSED END AUG 13	WHEATON, IL	8/5/2013	00677848-05	Pending-Cleared
FT 4329 DOW TARGET 10 AUG 13 TERM 9/9/14	WHEATON, IL	8/5/2013	00677842-05	Pending-Cleared
FT 4333 DIVERSIFIED INCOME & GROWTH PORTFOLIO FALL 2013	WHEATON, IL	8/5/2013	00677839-05	Pending-Cleared
FT 4335 MUNICIPAL ADVANTAGE CLOSED END & ETF PORTFOLIO SERIES 21	WHEATON, IL	8/5/2013	00677845-05	Pending-Cleared
FT 4336 NATURAL GAS PORTFOLIO SERIES 18	WHEATON, IL	8/5/2013	00677843-05	Pending-Cleared
FT 4337 BANKING OPPORTUNITY SERIES 11	WHEATON, IL	8/5/2013	00677849-05	Pending-Cleared
FT 4338 INCOME DIVIDEND EQUITY ALLOCATION IDEA PORTFOLIO SERIES 2	WHEATON, IL	8/5/2013	00677841-05	Pending-Cleared
FT 4346 CORE 3 CLOSED END ALLOCATION PORTFOLIO SERIES 11	WHEATON, IL	8/5/2013	00677847-05	Pending-Cleared
FT 4365 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 38	WHEATON, IL	8/5/2013	00677846-05	Pending-Cleared
FT 4368 MUNICIPAL INCOME SSELECT CLOSED END PORTFOLIO SERIES 54	WHEATON, IL	8/5/2013	00677840-05	Pending-Cleared
INVESCO UNIT TR SERIES 1358 EMERGING MARKETS DIVIDEND PORTFOLIO 2013 3	DOWNERS GROVE, IL	8/5/2013	00677851-05	Pending-Cleared
INVESCO UNIT TR SERIES 1360 ETF ALLOCATION PORTFOLIO SERIES 16	DOWNERS GROVE, IL	8/5/2013	00677852-05	Pending-Cleared
INVESCO UNIT TR SERIES 1360 ETF DIVERSIFIED INCOME PORTFOLIO SERIES 14	DOWNERS GROVE, IL	8/5/2013	00677853-05	Pending-Cleared
INVESCO UNIT TR SERIES 1361 DEFENSIVE EQUITY & INCOME PORTFOLIO SERIES 9	DOWNERS GROVE, IL	8/5/2013	00677854-05	Pending-Cleared
INVESCO UNIT TR SERIES 1362 GLOBAL WATER PORTFOLIO 2013 3	DOWNERS GROVE, IL	8/5/2013	00677855-05	Pending-Cleared
INVESCO UNIT TR SERIES 1363 DOW JONES TOTAL MARKET PORTFOLIO ENHANCED INDEX STRATEGY 2013 4	DOWNERS GROVE, IL	8/5/2013	00677856-05	Pending-Cleared
INVESCO UNIT TR SERIES 1363 ENHANCED SECTOR STRATEGY SECTOR	DOWNERS GROVE, IL	8/5/2013	00677857-05	Pending-Cleared

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ROTATION PORTFOLIO 2013 4				
INVESCO UNIT TR SERIES 1364 AMERICAN INNOVATION LEADERS PORTFOLIO SERIES 2	DOWNERS GROVE, IL	8/5/2013	00677858-05	Pending-Cleared
OPPENHEIMER SENIOR FLOATING RATE PLUS FUND CLASS A SHARES	CENTENNIAL, CO	8/5/2013	00677907-03	Pending-Cleared
OPPENHEIMER SENIOR FLOATING RATE PLUS FUND CLASS C SHARES	CENTENNIAL, CO	8/5/2013	00677906-03	Pending-Cleared
OPPENHEIMER SENIOR FLOATING RATE PLUS FUND CLASS I SHARES	CENTENNIAL, CO	8/5/2013	00677905-03	Pending-Cleared
OPPENHEIMER SENIOR FLOATING RATE PLUS FUND CLASS Y SHARES	CENTENNIAL, CO	8/5/2013	00677904-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIO SERIES 1065 DIVERSIFIED MUNICIPAL INCOME STRATEGY PORTFOLIO SERIES 7	LISLE, IL	8/2/2013	00677844-05	Pending-Cleared
ALPS SERIES TR GKE ASIAN OPPORTUNITIES FUND INSTITUTIONAL CLASS	DENVER, CO	8/1/2013	00677884-03	Registered
FEDERATED EQUITY FUNDS FEDERATED INTERCONTINENTAL FUND CLASS R6 SHARES	WARRENDALE, PA	8/1/2013	00677807-03	Registered
FEDERATED WORLD INVESTMENT SERIES INC FEDERATED INTERNATIONAL LEADERS FUND CLASS R6 SHARES	WARRENDALE, PA	8/1/2013	00677808-03	Registered
INVESTMENT MANAGERS SERIES TR PERIMETER SMALL CAP VALUE FUND CLASS I	MILWAUKEE, WI	7/31/2013	00677825-03	Registered
LEGG MASON PARTNERS EQUITY TR LEGG MASON BATTERYMARCH MANAGED VOLATILITY GLOBAL DIVIDEND FUND CLASS I	NEW YORK, NY	7/31/2013	00677793-03	Registered
LEGG MASON PARTNERS EQUITY TR LEGG MASON BATTERYMARCH MANAGED VOLATILITY INTERNATIONAL DIVIDEND FUND CLASS I	NEW YORK, NY	7/31/2013	00677794-03	Registered
MANNING & NAPIER FUND INC CORE PLUS BOND SERIES CLASS I SHARES	FAIRPORT, NY	7/31/2013	00677792-03	Registered
MERGER FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	7/31/2013	00677827-03	Registered
FT 4334 CONFLUENCE REIT INCOME & GROWTH PORTFOLIO SERIES 28	WHEATON, IL	7/30/2013	00677810-05	Pending-Cleared

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FT 4361 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 28	WHEATON, IL	7/30/2013	00677809-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1064 US LOW VOLITILITY STRATEGY PORTFOLIO SERIES 4	LISLE, IL	7/30/2013	00677811-05	Pending-Cleared
FT 4143 CORPORATE HIGH INCOME PORTFOLIO SERIES 8	WHEATON, IL	7/29/2013	00677769-05	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA HIGH YIELD MUNI CLASS A	ST. PETERSBURG, FL	7/29/2013	00677723-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA HIGH YIELD MUNI CLASS C	ST. PETERSBURG, FL	7/29/2013	00677724-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA HIGH YIELD MUNI CLASS I	ST. PETERSBURG, FL	7/29/2013	00677725-03	Registered
<b>Number of Investment Company Filings: 49</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>
GJG LIFE SCIENCES LLC	STATEN ISLAND, NY	8/7/2013	00677913-07	Filed
MARANON SENIOR CREDIT FUND 2A LP	CHICAGO, IL	8/7/2013	00677912-07	Filed
OH EQUITY FUND FOR HOUSING LP 23	COLUMBUS, OH	8/7/2013	00677914-07	Filed
COLOVORE LLC	SANTA CLARA, CA	8/6/2013	00677911-07	Filed
DEVONSHIRE REIT INC	WHITEHOUSE, OH	8/6/2013	00677909-07	Filed
MACON COUNTY HEALTHCARE INVESTORS LLC	MONTEZUMA, GA	8/6/2013	00677910-07	Filed
PVAM INTERNATIONAL SMALL CAP FUND LP	SAN FRANCISCO, CA	8/6/2013	00677908-07	Filed
CYTODYN INC	LAKE OSWEGO, OR	8/5/2013	00677868-07	Filed
ECF VALUE FUND 2 LP	NEW YORK, NY	8/5/2013	00677867-07	Filed
EXO LABS INC	SEATTLE, WA	8/1/2013	00677833-07	Filed
GH SAUNDERS MULTI WELL JOINT VENTURE	PLANO, TX	8/1/2013	00677832-07	Filed
RIVERSTONE UTEX STRATEGIC LP	NEW YORK, NY	8/1/2013	00677829-07	Filed
VERAX BIOMEDICAL INC	MARLBOROUGH, MA	8/1/2013	00677831-07	Filed
WELLBE INC	MADISON, WI	8/1/2013	00677830-07	Filed
MICRONOTES INC	CAMBRIDGE, MA	7/31/2013	00677814-07	Filed

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TRUTEX EXPLORATION LLC	FT WORTH, TX	7/31/2013	00677826-07	Filed
2013 SEABREEZE FIELD DEVELOPMENT LP	BOWLING GREEN, KY	7/30/2013	00677771-07	Filed
CREDIT VALUE FUND 3 LP	NEW YORK, NY	7/30/2013	00677770-07	Filed
CREDIT VALUE FUND CAYMAN 3 LP	GRAND CAYMAN, AA	7/30/2013	00677773-07	Filed
JUMPSOFT VENTURES LLC	BUFFALO, NY	7/30/2013	00677812-07	Filed
SENTINEL CAPITAL PARTNERS 5 LP	NEW YORK, NY	7/30/2013	00677772-07	Filed
MESQUITE TERRACE 2 INVESTORS LLC	WILLIAMSVILLE, NY	7/29/2013	00677759-07	Filed
REGI US INC	RICHMOND, BC	7/29/2013	00677758-07	Filed
SULLIVAN SOUTH 3 D JOINT VENTURE	SAN ANTONIO, TX	7/29/2013	00677768-07	Filed
<b>Number of Regulation D Notice Filings: 24</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>
Maid To Sparkle, Inc.	midlothian, VA	8/7/2013	606385	Registered
Dog Wizard Academy, LLC	Charlotte, NC	8/7/2013	606387	Registered
Drive N Style, LLC	CHARLOTTE, NC	8/7/2013	606389	Registered
Groutsmith Franchising, Inc.	Sarasota, FL	8/7/2013	606388	Registered
PIGGLY WIGGLY MIDWEST LLC	SHEBOYGAN, WI	8/7/2013	606386	Registered
GODFATHERS PIZZA INC / GODFATHERS PIZZA	OMAHA, NE	8/6/2013	606384	Registered
Super-Lube Franchise, LLC / Super-Lube	Tallahassee, FL	8/6/2013	606383	Registered
STEAMATIC INC	FORT WORTH, TX	8/5/2013	606382	Registered
SKYHAWKS FRANCHISE GROUP INC	MEAD, WA	8/5/2013	606381	Registered
AEEF LLC / Lodie's Shaved Ice Shack	Eau Claire, WI	8/5/2013	606379	Registered
PizzaRev Franchising, LLC / PizzaRev®	Westgate Village, CA	8/2/2013	606376	Registered
Monkburger Franchise Group LLC / Monk's Bar and Grill®	Wisconsin Dells, WI	8/2/2013	606374	Registered
TUTOR DOCTOR SYSTEMS INC	WILMINGTON, DE	8/2/2013	606378	Registered
FLOWERAMA OF AMERICA INC	Cedar Falls, IA	8/1/2013	606371	Registered
Emerging Vision, Inc.	New York, NY	7/31/2013	606368	Registered
FIXRIM MOBILE WHEEL REPAIR LLC	DALLAS, TX	7/31/2013	606367	Registered
H&R BLOCK TAX SERVICES LLC	KANSAS CITY, MO	7/30/2013	606369	Registered

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REALTY WORLD INC	Newport Beach, CA	7/30/2013	606366	Registered
FIESTA INSURANCE FRANCHISE CORPORATION / FIESTA INSURANCE	HUNTINGTON BEACH, CA	7/29/2013	606363	Registered
MARCOS FRANCHISING LLC / Area Representative	TOLEDO, OH	7/29/2013	606362	Registered
NATHANS FAMOUS SYSTEMS INC	Jericho, NY	7/29/2013	606361	Registered
<b>Number of Franchise Filings: 21</b>				

<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>	