

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/12/2013 through 8/23/2013**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PHILLIPS EDISON ARC GROCERY CENTER REIT 2 INC	CINCINNATI, OH	8/15/2013	00678327-01	Pending
CARTER VALIDUS MISSION CRITICAL REIT 2 INC	TAMPA, FL	8/14/2013	00678216-01	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
FORWARD FUNDS FORWARD SELECT INCOME OPPORTUNITY FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	8/20/2013	00678935-03	Registered
FORWARD FUNDS FORWARD SELECT INCOME OPPORTUNITY FUND CLASS A	SAN FRANCISCO, CA	8/20/2013	00678934-03	Registered
ADVISORS DISCIPLINED TR 1037 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 74	MONUMENT, CO	8/19/2013	00678347-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1071 GLOBAL COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO SERIES 2013 2	MONUMENT, CO	8/19/2013	00678348-05	Pending-Cleared
ADVISORS PREFERRED TR QUANTIFIED ALL CAP EQUITY FUND INVESTOR CLASS SHARES	HAUPPAUGE, NY	8/19/2013	00678352-03	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
ADVISORS PREFERRED TR QUANTIFIED ALTERNATIVE INVESTMENT FUND INVESTOR CLASS SHARES	HAUPPAUGE, NY	8/19/2013	00678353-03	Registered
ADVISORS PREFERRED TR QUANTIFIED MARKET LEADERS FUND INVESTOR CLASS SHARES	HAUPPAUGE, NY	8/19/2013	00678351-03	Registered
ADVISORS PREFERRED TR QUANTIFIEDMANAGED BOND FUND INVESTOR CLASS SHARES	HAUPPAUGE, NY	8/19/2013	00678354-03	Registered
COMPASS EMP FUND TR COMPASS EMP US 500 ENHANCED VOLATILITY WEIGHTED FUND CLASS C	HAUPPAUGE, NY	8/19/2013	00678360-03	Registered
COMPASS EMP FUNDS TR COMPASS EMP US 500 ENHANCED VOLATILITY WEIGHTED FUND CLASS I	HAUPPAUGE, NY	8/19/2013	00678362-03	Registered
COMPASS EMP FUNDS TR COMPASS EMP US SMALL CAP 500 VOLITILITY WEIGHTED FUND CLASS I	HAUPPAUGE, NY	8/19/2013	00678364-03	Registered
COMPASS EMP FUNDS TR COMPASS INTERNATIONAL 500 ENHANCED VOLITILITY WEIGHTED FUND CLASS I	HAUPPAUGE, NY	8/19/2013	00678363-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1037 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 27	LISLE, IL	8/19/2013	00678349-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1070GUGGENHEIM EMERGING MARKETS DIVIDEND STRATEGY PORTFOLIO SERIES 7	LISLE, IL	8/19/2013	00678350-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
MUTUAL FUND SERIES TR CATALYST INSIDER BUYING FUND CLASS A WEIGHTED FUND CLASS C	HAUPPAUGE, NY	8/19/2013	00678361-03	Registered
MUTUAL FUND SERIES TR CATALYST INSIDER BUYING FUND CLASS C	HAUPPAUGE, NY	8/19/2013	00678357-03	Registered
MUTUAL FUND SERIES TR EVENTIDE GILEAD FUND CLASS I	HAUPPAUGE, NY	8/19/2013	00678359-03	Registered
NORTHERN LIGHTS FUND TR 13D ACTIVIST FUND CLASS C	HAUPPAUGE, NY	8/19/2013	00678358-03	Registered
TURNER FUNDS TURNER EMERGING MARKETS FUND INSTITUTIONAL CLASS	BERWYN, PA	8/19/2013	00678328-03	Registered
TURNER FUNDS TURNER EMERGING MARKETS FUND INVESTOR CLASS	BERWYN, PA	8/19/2013	00678329-03	Registered
EATON VANCE SPECIAL INVESTMENT TR EATON VANCE BOND FUND CLASS C SHARES	BOSTON, MA	8/16/2013	00678436-03	Registered
ADVISORS DISCIPLINED TR 1064 DIVIDEND ADVANTAGE PORTFOLIO SERIES 2013 3Q	MONUMENT, CO	8/13/2013	00678215-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1066 INTERNATIONAL HIGH 30 DIVIDEND PORTFOLIO SERIES 2013 3Q	MONUMENT, CO	8/13/2013	00678200-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1068 BLUE CHIP PORTFOLIO SERIES 2013 2	MONUMENT, CO	8/13/2013	00678206-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1069 ENERGY OPPORTUNITIES PORTFOLIO SERIES 2013 2	MONUMENT, CO	8/13/2013	00678205-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1070 TACTICAL INCOME CLOSED END PORTFOLIO SERIES 2013 3	MONUMENT, CO	8/13/2013	00678208-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1088 ADVISORS CORPORATE TR HIGH YIELD BOND PORTFOLIO SERIES 2013 AUGUST	MONUMENT, CO	8/13/2013	00678207-05	Pending-Cleared
FIDELITY ADVISOR SERIES 1 FIDELITY ADVISOR BALANCED FUND CLASS Z	BOSTON, MA	8/13/2013	00678175-03	Registered
FIDELITY ADVISOR SERIES 1 FIDELITY ADVISOR DIVIDEND GROWTH FUND CLASS Z	BOSTON, MA	8/13/2013	00678179-03	Registered
FIDELITY ADVISOR SERIES 1 FIDELITY ADVISOR EQUITY GROWTH FUND CLASS Z	BOSTON, MA	8/13/2013	00678173-03	Registered
FIDELITY ADVISOR SERIES 1 FIDELITY ADVISOR EQUITY INCOME FUND CLASS Z	BOSTON, MA	8/13/2013	00678171-03	Registered
FIDELITY ADVISOR SERIES 1 FIDELITY ADVISOR GROWTH OPPORTUNITIES FUND CLASS Z	BOSTON, MA	8/13/2013	00678181-03	Registered
FIDELITY ADVISOR SERIES 1 FIDELITY ADVISOR LEVERAGED CO STOCK FUND CLASS Z	BOSTON, MA	8/13/2013	00678185-03	Registered
FIDELITY ADVISOR SERIES 1 FIDELITY ADVISOR MID CAP 2 FUND CLASS Z	BOSTON, MA	8/13/2013	00678183-03	Registered
FIDELITY ADVISOR SERIES 1 FIDELITY ADVISOR SMALL CAP FUND CLASS Z	BOSTON, MA	8/13/2013	00678177-03	Registered
FIDELITY ADVISOR SERIES 8 FIDELITY ADVISOR DIVERSIFIED INTERNATIONAL FUND CLASS Z	BOSTON, MA	8/13/2013	00678174-03	Registered

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Firm Name	Location	Date Received	File Number	Status
FIDELITY ADVISOR SERIES 8 FIDELITY ADVISOR EMERGING MARKETS FUND CLASS Z	BOSTON, MA	8/13/2013	00678172-03	Registered
FIDELITY CAPITAL TR FIDELITY ADVISOR STOCK SELECTOR ALL CAP FUND CLASS Z FASSACF - CLASS Z	BOSTON, MA	8/13/2013	00678176-03	Registered
FIDELITY CONTRAFUND FIDELITY ADVISOR NEW INSIGHTS FUND CLASS Z	BOSTON, MA	8/13/2013	00678178-03	Registered
FIDELITY DESTINY PORTFOLIOS FIDELITY ADVISOR DIVERSIFIED STOCK FUND CLASS Z	BOSTON, MA	8/13/2013	00678180-03	Registered
FIDELITY HASTINGS STREET TR FIDELITY MEGA CAP STOCK FUND FIDELITY ADVISOR MEGA CAP STOCK FUND CLASS Z	BOSTON, MA	8/13/2013	00678182-03	Registered
FIDELITY INVESTMENT TR FIDELITY INTERNATIONAL DISCOVERY FUND FIDELITY ADVISOR INTERNATIONAL DISCOVERY FUND CLASS Z	BOSTON, MA	8/13/2013	00678186-03	Registered
FIDELITY INVESTMENT TR FIDELITY INTERNATIONAL GROWTH FUND FIDELITY ADVISOR INTERNATIONAL GROWTH FUND CLASS Z	BOSTON, MA	8/13/2013	00678184-03	Registered
FT 4343 GLOBAL BOND INCOME PLUS CLOSED END PORTFOLIO SERIES 32	WHEATON, IL	8/13/2013	00678198-05	Pending-Cleared
FT 4345 INFLATION HEDGE OPPORTUNITY PORTFOLIO SERIES 18	WHEATON, IL	8/13/2013	00678203-05	Pending-Cleared
FT 4364 GLOBAL GORILLAS PORTFOLIO SERIES 3	WHEATON, IL	8/13/2013	00678204-05	Pending-Cleared
FT 4367 HIGH YIELD INCOME CLOSED END PORTFOLIO SERIES 60	WHEATON, IL	8/13/2013	00678197-05	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
FT 4373 GLOBAL EQUITY INCOME CLOSED END PORTFOLIO SERIES 31	WHEATON, IL	8/13/2013	00678202-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIO SERIES 1067 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO SERIES 22	LISLE, IL	8/13/2013	00678201-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIO SERIES 1067 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO 2 YEAR SERIES 5	LISLE, IL	8/13/2013	00678199-05	Pending-Cleared
INCAPITAL UNIT TR SERIES 31 ZACKS SELECT EQUITIES BLEND PORTFOLIO 3Q 2013	CHICAGO, IL	8/13/2013	00678213-05	Pending-Cleared
INCAPITAL UNIT TR SERIES 32 ZACKS SELECT EQUITY INCOME PORTFOLIO 2013 3Q	CHICAGO, IL	8/13/2013	00678214-05	Pending-Cleared
ADVISERS INVESTMENT TRAIT GLOBAL EMERGING MARKETS OPPORTUNITY FUND CLASS I	COLUMBUS, OH	8/12/2013	00678026-03	Registered
BABSON CAPITAL FUNDS TR BABSON GLOBAL CREDIT INCOME OPPORTUNITIES FUND CLASS A	CHARLOTTE, NC	8/12/2013	00678143-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON GLOBAL CREDIT INCOME OPPORTUNITIES FUND CLASS I	CHARLOTTE, NC	8/12/2013	00678141-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON GLOBAL CREDIT INCOME OPPORTUNITIES FUND CLASS C	CHARLOTTE, NC	8/12/2013	00678142-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON GLOBAL CREDIT INCOME OPPORTUNITIES FUND CLASS Y	CHARLOTTE, NC	8/12/2013	00678140-03	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
BABSON CAPITAL FUNDS TR BABSON GLOBAL FLOATING RATE FUND CLASS C	CHARLOTTE, NC	8/12/2013	00678145-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON GLOBAL FLOATING RATE FUND CLASS Y	CHARLOTTE, NC	8/12/2013	00678147-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON GLOBAL FLOATING RATE FUND CLASS A	CHARLOTTE, NC	8/12/2013	00678146-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON GLOBAL FLOATING RATE FUND CLASS I	CHARLOTTE, NC	8/12/2013	00678148-03	Pending-Cleared
Number of Investment Company Filings: 61				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
2013 BAYOU CITY SEABREEZE FIELD DEVELOPMENT LP	BOWLING GREEN, KY	8/20/2013	00678366-07	Filed
AUTOAP INC	BEAVERTON, OR	8/19/2013	00678342-07	Filed
LOUISIANA DEEP 3 D JOINT VENTURE	SAN ANTONIO, TX	8/19/2013	00678343-07	Filed
ALTAIR MULTI FAMILY OPPORTUNITIES FUND 3 WOOD 3 LLC	LOS ANGELES, CA	8/15/2013	00678322-07	Filed
CARLYLE GMS FINANCE INC	NEW YORK, NY	8/15/2013	00678323-07	Filed
EMINENCE FUND LONG LTD	NEW YORK, NY	8/15/2013	00678324-07	Filed
ROTH SOASTA LLC 1	NEWPORT BEACH, CA	8/15/2013	00678325-07	Filed
TRIAN PARTNERS LP CLASS B & CLASS C LP INTERESTS	NEW YORK, NY	8/15/2013	00678326-07	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
ALTAIR MULTI FAMILY OPPORTUNITIES FUND 2 ROC BRIDGE LLC	LOS ANGELES, CA	8/14/2013	00678277-07	Filed
BLUEARC CREDIT OPPORTUNITIES FUND LLC	ATLANTA, GA	8/14/2013	00678212-07	Filed
WHOLESALE FLOORS LLC	NEW YORK, NY	8/13/2013	00678211-07	Filed
3 FORKS INC	BROOMFIELD, CO	8/12/2013	00678194-07	Filed
ALTEGRIS HAYMAN CAPITAL FUND LP	LA JOLLA, CA	8/12/2013	00678195-07	Filed
ALTEGRIS HAYMAN CAPITAL FUND LTD	LA JOLLA, CA	8/12/2013	00678196-07	Filed
ENHANCE ENTERTAINMENT LLC	HENDERSON, NV	8/12/2013	00678193-07	Filed
MURVIN & MEIER OIL CO 2013 2	BARRINGTON, IL	8/12/2013	00678192-07	Filed
VISIUM GLOBAL FUND LP	NEW YORK, NY	8/12/2013	00678123-07	Filed
Number of Regulation D Notice Filings: 17				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
OMEX INTERNATIONAL INC / OMEX	CAMP HILL, PA	8/21/2013	606424	Registered
CareBuilders At Home, Inc.	Lake Success, NY	8/21/2013	606428	Registered
Newk's Franchise Company LLC	Jackson, MS	8/21/2013	606429	Registered
YGFY, LLC / Yumz gourmet frozen yogurt	Elgin, IL	8/21/2013	606430	Registered
JACKSON HEWITT INC.	PARSIPPANY, NJ	8/20/2013	606423	Registered
TailWaggers Franchise Trio / TailWaggers Doggy Daycare	Greenville, WI	8/20/2013	606420	Registered
FLOWERAMA OF AMERICA INC	Cedar Falls, IA	8/20/2013	606427	Registered
Signal 88 Franchise Group, Inc. / Signal 88 Security	Omaha, NE	8/19/2013	606418	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
In Home Personal Services Development, LLC	Fox River Grove, IL	8/15/2013	606413	Registered
Pritikin ICR LLC	Clayton, MO	8/14/2013	606409	Registered
Club Pilates Global Inc	San Diego, CA	8/12/2013	606392	Registered
COMPUTERTOTS INC / Computer Explorers	CYPRESS, TX	8/12/2013	606397	Registered
HUDDLE HOUSE INC / HUDDLE HOUSE	ATLANTA, GA	8/12/2013	606395	Registered
ROMA FRANCHISE CORP / Tony Roma's	PLANO, TX	8/12/2013	606396	Registered
Number of Franchise Filings: 14				

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