

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 8/19/2013 through 8/30/2013**

| <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> |
| INTERCLOUD SYSTEMS INC   | RED BANK, NJ    | 8/23/2013            | 00679083-01        | Pending       |
| AMERICAN REALTY HOSPITALITY TR INC   | NEW YORK, NY    | 8/20/2013            | 00678977-01        | 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>  |
| CAREY WATERMARK INVESTORS INC   | NEW YORK, NY    | 8/22/2013            | 00679084-08        | Not Disallowed |
| <b>Number of Exemption Filings: 1</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> |
| AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO GLOBAL MARKETS STRATEGY FUND CLASS R5 SHARES            | HOUSTON, TX     | 8/27/2013            | 00679237-03        | Registered    |
| AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO GLOBAL MARKETS STRATEGY FUND CLASS A SHARES             | HOUSTON, TX     | 8/27/2013            | 00679235-03        | Registered    |
| AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO GLOBAL MARKETS STRATEGY FUND CLASS R6 SHARES            | HOUSTON, TX     | 8/27/2013            | 00679239-03        | Registered    |

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| <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>   |
| AIM INVESTMENT FUNDS<br>INVESCO INVESTMENT<br>FUNDS INVESCO GLOBAL<br>MARKETS STRATEGY FUND<br>CLASS R SHARES | HOUSTON, TX     | 8/27/2013            | 00679238-03        | Registered      |
| AIM INVESTMENT FUNDS<br>INVESCO INVESTMENT<br>FUNDS INVESCO GLOBAL<br>MARKETS STRATEGY FUND<br>CLASS C SHARES | HOUSTON, TX     | 8/27/2013            | 00679236-03        | Registered      |
| EATON VANCE MUTUAL<br>FUNDS TR EATON VANCE<br>CURRENCY INCOME<br>ADVANTAGE FUND CLASS I                       | BOSTON, MA      | 8/26/2013            | 00679234-03        | Pending-Cleared |
| EATON VANCE MUTUAL<br>FUNDS TR EATON VANCE<br>CURRENCY INCOME<br>ADVANTAGE FUND CLASS A                       | BOSTON, MA      | 8/26/2013            | 00679233-03        | Pending-Cleared |
| FT 4383 MUNICIPAL INCOME<br>OPPORTUNITIES CLOSED<br>END PORTFOLIO SERIES 21                                   | WHEATON, IL     | 8/23/2013            | 00679086-05        | Pending-Cleared |
| FT 4411 BIOTECHNOLOGY<br>PORTFOLIO SERIES 21  | WHEATON, IL     | 8/23/2013            | 00679082-05        | Pending-Cleared |
| FT 4150 US ENERGY<br>INDEPENDENCE PORTFOLIO<br>SERIES   | WHEATON, IL     | 8/22/2013            | 00679066-05        | Pending-Cleared |
| FT 4355 REIT GROWTH &<br>INCOME SELECT PORTFOLIO<br>SERIES 16   | WHEATON, IL     | 8/22/2013            | 00679076-05        | Pending-Cleared |
| FT 4358 CORE HOLDINGS<br>GROWTH TR 2013 FALL<br>SERIES  | WHEATON, IL     | 8/22/2013            | 00679065-05        | Pending-Cleared |
| FT 4359 GLOBAL DIVIDEND<br>OPPORTUNITY TR AUGUST<br>2013 SERIES   | WHEATON, IL     | 8/22/2013            | 00679077-05        | Pending-Cleared |
| FT 4360 STRUCTURED<br>PORTFOLIO PLAN DEFINED<br>PORTFOLIO AUGUST 2013<br>SERIES                               | WHEATON, IL     | 8/22/2013            | 00679071-05        | Pending-Cleared |

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| <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 4374 RICHARD BERNSTEIN ADVISORS GLOBAL DIVIDEND KINGS SERIES 7   | WHEATON, IL     | 8/22/2013            | 00679081-05        | Pending-Cleared |
| FT 4375 TECHNOLOGY DIVIDEND PORTFOLIO SERIES 5  | WHEATON, IL     | 8/22/2013            | 00679067-05        | Pending-Cleared |
| FT 4376 INVESTMENT GRADE SELECT CLOSED END PORTFOLIO SERIES 45  | WHEATON, IL     | 8/22/2013            | 00679078-05        | Pending-Cleared |
| FT 4381 REIT GROWTH & INCOME SELECT PORTFOLIO SERIES 25   | WHEATON, IL     | 8/22/2013            | 00679075-05        | Pending-Cleared |
| FT 4384 BALANCED INCOME SELECT PORTFOLIO SERIES 40  | WHEATON, IL     | 8/22/2013            | 00679080-05        | Pending-Cleared |
| FT 4385 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 85  | WHEATON, IL     | 8/22/2013            | 00679070-05        | Pending-Cleared |
| FT 4386 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 44   | WHEATON, IL     | 8/22/2013            | 00679072-05        | Pending-Cleared |
| FT 4387 INTEREST RATE HEDGE PORTFOLIO SERIES 75   | WHEATON, IL     | 8/22/2013            | 00679068-05        | Pending-Cleared |
| FT 4388 GLOBAL AUTOMOBILE & PARTS PORTFOLIO SERIES  | WHEATON, IL     | 8/22/2013            | 00679069-05        | Pending-Cleared |
| FT 4410 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 29  | WHEATON, IL     | 8/22/2013            | 00679079-05        | Pending-Cleared |
| ADVISORS INNER CIRCLE FUND 2 HANCOCK HORIZON DIVERSIFIED INCOME FUND CLASS A SHARES                           | BOSTON, MA      | 8/21/2013            | 00679109-03        | Registered      |
| DRIEHAUS MUTUAL FUNDS DRIEHAUS EVENT DRIVEN FUND  | CHICAGO, IL     | 8/21/2013            | 00679108-03        | Registered      |

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| <b>Firm Name</b>  | <b>Location</b>   | <b>Date Received</b> | <b>File Number</b> | <b>Status</b>   |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1071 DIVIDEND STRENGTH PORTFOLIO SERIES 10                               | LISLE, IL         | 8/21/2013            | 00679057-05        | Pending-Cleared |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1071 ENERGY PORTFOLIO SERIES 15  | LISLE, IL         | 8/21/2013            | 00679060-05        | Pending-Cleared |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1071 LARGE CAP CORE PORTFOLIO SERIES 20                                  | LISLE, IL         | 8/21/2013            | 00679058-05        | Pending-Cleared |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1083 MLP & ENERGY FUNDS PORTFOLIO SERIES 3                               | LISLE, IL         | 8/21/2013            | 00679059-05        | Pending-Cleared |
| PRUDENTIAL INVESTMENT PORTFOLIOS 12 PRUDENTIAL GLOBAL REAL ESTATE FUND CLASS Q                                | NEWARK, NJ        | 8/21/2013            | 00679107-03        | Pending-Cleared |
| 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      |
| INVESCO UNIT TR MUNICIPAL SERIES 1169 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 47                    | DOWNERS GROVE, IL | 8/20/2013            | 00678957-05        | Pending-Cleared |
| INVESCO UNIT TR MUNICIPAL SERIES 1170 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 48                    | DOWNERS GROVE, IL | 8/20/2013            | 00678958-05        | Pending-Cleared |
| INVESCO UNIT TR MUNICIPAL SERIES 1171 INVESTMENT GRADE MUNICIPAL TR SERIES 169                                | DOWNERS GROVE, IL | 8/20/2013            | 00678959-05        | Pending-Cleared |

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| INVESCO UNIT TR MUNICIPAL SERIES 1172 INVESTMENT GRADE MUNICIPAL TR SERIES 170                                | DOWNERS GROVE, IL | 8/20/2013            | 00678960-05        | Pending-Cleared |
| INVESCO UNIT TR MUNICIPAL SERIES 1173 INSURED MUNICIPALS INCOME TR SERIES 668                                 | DOWNERS GROVE, IL | 8/20/2013            | 00678961-05        | Pending-Cleared |
| INVESCO UNIT TR MUNICIPAL SERIES 1174 INSURED MUNICIPALS INCOME TR SERIES 669                                 | DOWNERS GROVE, IL | 8/20/2013            | 00678962-05        | Pending-Cleared |
| INVESCO UNIT TR MUNICIPAL SERIES 1175 INVESTORS QUALITY MUNICIPAL TR SERIES 183                               | DOWNERS GROVE, IL | 8/20/2013            | 00678963-05        | Pending-Cleared |
| INVESCO UNIT TR MUNICIPAL SERIES 1176 INVESTORS QUALITY MUNICIPAL TR SERIES 184                               | DOWNERS GROVE, IL | 8/20/2013            | 00678964-05        | Pending-Cleared |
| INVESCO UNIT TR MUNICIPAL SERIES 1177 QUALITY MUNICIPALS INCOME TR 75TH LTD MATURITY SERIES                   | DOWNERS GROVE, IL | 8/20/2013            | 00678965-05        | Pending-Cleared |
| INVESCO UNIT TR MUNICIPAL SERIES 1178 QUALITY MUNICIPALS INCOME TR 76TH LTD MATURITY SERIES                   | DOWNERS GROVE, IL | 8/20/2013            | 00678966-05        | Pending-Cleared |
| INVESCO UNIT TR TAXABLE INCOME SERIES 457 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 52                   | DOWNERS GROVE, IL | 8/20/2013            | 00678967-05        | Pending-Cleared |
| INVESCO UNIT TR TAXABLE INCOME SERIES 458 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 53                   | DOWNERS GROVE, IL | 8/20/2013            | 00678968-05        | Pending-Cleared |
| INVESCO UNIT TR TAXABLE INCOME SERIES 459 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 43                     | DOWNERS GROVE, IL | 8/20/2013            | 00678969-05        | Pending-Cleared |

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| INVESCO UNIT TR TAXABLE INCOME SERIES 460 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 44                       | DOWNERS GROVE, IL | 8/20/2013            | 00678970-05        | Pending-Cleared |
| MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL QUALITY PORTFOLIO CLASS L  | NEW YORK, NY      | 8/20/2013            | 00678974-03        | Pending-Cleared |
| MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL QUALITY PORTFOLIO CLASS 1  | NEW YORK, NY      | 8/20/2013            | 00678972-03        | Pending-Cleared |
| MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL QUALITY PORTFOLIO CLASS IS   | NEW YORK, NY      | 8/20/2013            | 00678973-03        | Pending-Cleared |
| MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL QUALITY PORTFOLIO CLASS A  | NEW YORK, NY      | 8/20/2013            | 00678971-03        | Pending-Cleared |
| 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      |
| 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      |

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|--|-----------------|----------------------|--------------------|-----------------|
| <b>Firm Name</b>   | <b>Location</b> | <b>Date Received</b> | <b>File Number</b> | <b>Status</b>   |
| ADVISORS PREFERRED TR<br>QUANTIFIEDMANAGED BOND<br>FUND INVESTOR CLASS<br>SHARES   | HAUPPAUGE, NY   | 8/19/2013            | 00678354-03        | Registered      |
| COMPASS EMP FUND TR<br>COMPASS EMP US 500<br>ENHANCED VOLATILITY<br>WEIGHTED FUND CLASS C                                | HAUPPAUGE, NY   | 8/19/2013            | 00678360-03        | Registered      |
| COMPASS EMP FUNDS TR<br>COMPASS EMP US 500<br>ENHANCED VOLATILITY<br>WEIGHTED FUND CLASS I                               | HAUPPAUGE, NY   | 8/19/2013            | 00678362-03        | Registered      |
| COMPASS EMP FUNDS TR<br>COMPASS EMP US SMALL<br>CAP 500 VOLITILITY<br>WEIGHTED FUND CLASS I                              | HAUPPAUGE, NY   | 8/19/2013            | 00678364-03        | Registered      |
| COMPASS EMP FUNDS TR<br>COMPASS INTERNATIONAL<br>500 ENHANCED VOLITILITY<br>WEIGHTED FUND CLASS I                        | HAUPPAUGE, NY   | 8/19/2013            | 00678363-03        | Registered      |
| GUGGENHEIM DEFINED<br>PORTFOLIOS SERIES 1037<br>GUGGENHEIM SHORT<br>DURATION HIGH YIELD TR<br>SERIES 27                  | LISLE, IL       | 8/19/2013            | 00678349-05        | Pending-Cleared |
| GUGGENHEIM DEFINED<br>PORTFOLIOS SERIES<br>1070GUGGENHEIM EMERGING<br>MARKETS DIVIDEND<br>STRATEGY PORTFOLIO<br>SERIES 7 | LISLE, IL       | 8/19/2013            | 00678350-05        | Pending-Cleared |
| MUTUAL FUND SERIES TR<br>CATALYST INSIDER BUYING<br>FUND CLASS A WEIGHTED<br>FUND CLASS C                                | HAUPPAUGE, NY   | 8/19/2013            | 00678361-03        | Registered      |
| MUTUAL FUND SERIES TR<br>CATALYST INSIDER BUYING<br>FUND CLASS C   | HAUPPAUGE, NY   | 8/19/2013            | 00678357-03        | Registered      |
| MUTUAL FUND SERIES TR<br>EVENTIDE GILEAD FUND<br>CLASS I   | HAUPPAUGE, NY   | 8/19/2013            | 00678359-03        | Registered      |

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| <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<br>13D ACTIVIST FUND CLASS C  | HAUPPAUGE, NY   | 8/19/2013            | 00678358-03        | Registered    |
| TURNER FUNDS TURNER<br>EMERGING MARKETS FUND<br>INSTITUTIONAL CLASS   | BERWYN, PA      | 8/19/2013            | 00678328-03        | Registered    |
| TURNER FUNDS TURNER<br>EMERGING MARKETS FUND<br>INVESTOR CLASS  | BERWYN, PA      | 8/19/2013            | 00678329-03        | Registered    |
| <b>Number of Investment Company Filings: 69</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> |
| INTERAXON INC   | TORONTO, ON                | 8/26/2013            | 00679089-07        | Filed         |
| INTERAXON US INC  | LIVINGSTON, NJ             | 8/26/2013            | 00679090-07        | Filed         |
| OLD JEWS TELLING JOKES<br>CHICAGO LP  | NEW YORK, NY               | 8/26/2013            | 00679088-07        | Filed         |
| ZEPPELINN ENERGY LP   | SAN ANTONIO,<br>TX         | 8/23/2013            | 00679085-07        | Filed         |
| CAYMUS MEDICAL INC  | SAN JUAN<br>CAPISTRANO, CA | 8/22/2013            | 00679063-07        | Filed         |
| GEOOPTICS INC   | PASADENA, CA               | 8/22/2013            | 00679061-07        | Filed         |
| NORTH STAR PRODUCING<br>LLC   | BROOMFIELD,<br>CO          | 8/22/2013            | 00679062-07        | Filed         |
| COMPANION DIAGNOSTICS<br>INC  | INDIANAPOLIS, IN           | 8/21/2013            | 00678976-07        | Filed         |
| EMPYREAN CAPITAL FUND LP  | LOS ANGELES,<br>CA         | 8/21/2013            | 00678975-07        | Filed         |
| 2013 BAYOU CITY SEABREEZE<br>FIELD DEVELOPMENT LP   | BOWLING<br>GREEN, KY       | 8/20/2013            | 00678366-07        | Filed         |
| AUTOAP INC  | BEAVERTON, OR              | 8/19/2013            | 00678342-07        | Filed         |

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| <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> |
| LOUISIANA DEEP 3 D JOINT VENTURE  | SAN ANTONIO, TX | 8/19/2013            | 00678343-07        | Filed         |
| <b>Number of Regulation D Notice Filings: 12</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> |
| JUST DRIVE, INC.   | PORT WASHINGTON, WI | 8/30/2013            | 606439             | Registered    |
| 1-800 Radiator Franchise, Inc. / 1-800 Radiator                                | Benicia, CA         | 8/28/2013            | 606437             | Registered    |
| DANCE WORKS OF WI LLC  | PEWAUKEE, WI        | 8/28/2013            | 606435             | Registered    |
| Dough Pac, Inc. / Sam & Louie's Pizzeria                                       | Elkhorn, NE         | 8/27/2013            | 606433             | Registered    |
| SmallBizPros, Inc. d/b/a Padgett Business Services / Padgett Business Services | Westwood, MA        | 8/27/2013            | 606432             | Registered    |
| 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    |
| <b>Number of Franchise Filings: 13</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>                                       |                      |