

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/2/2013 through 9/13/2013**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
STRATEGIC STORAGE TR 2 INC	LADERA RANCH, CA	9/10/2013	00680054-01	Pending
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PIKES PEAK CHRISTIAN CHURCH	COLORADO SPRINGS, CO	9/9/2013	00680047-10	Not Disallowed
WORD OF LIFE CHRISTIAN CENTER INC	NEWARK, DE	9/9/2013	00680048-10	Not Disallowed
INDUSTRIAL INCOME TR INC	DENVER, CO	9/3/2013	00679500-08	Not Disallowed
Number of Exemption Filings: 3				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 4394 STRATEGIC INCOME CLOSED END PORTFOLIO SERIES 49	WHEATON, IL	9/12/2013	00680104-05	Pending-Cleared
FT 4396 RICHARD BERNSTEIN ADVISORS QUALITY INCOME PORTFOLIO SERIES 10	WHEATON, IL	9/12/2013	00680110-05	Pending-Cleared
FT 4397 HOMEBUILDERS RECOVERY SELECT PORTFOLIO SERIES 5	WHEATON, IL	9/12/2013	00680103-05	Pending-Cleared
FT 4398 BALANCED INCOME PORTFOLIO SERIES 41	WHEATON, IL	9/12/2013	00680112-05	Pending-Cleared
FT 4399 ENERGY SELECT PORTFOLIO SERIES 48	WHEATON, IL	9/12/2013	00680105-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/2/2013 through 9/13/2013**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 4399 WATER UTILITY & INFRASTRUCTURE SELECT PORTFOLIO SELECT PORTFOLIO SERIES 30	WHEATON, IL	9/12/2013	00680106-05	Pending-Cleared
FT 4401 DIVIDEND STRENGTH PORTFOLIO SERIES 20	WHEATON, IL	9/12/2013	00680102-05	Pending-Cleared
FT 4402 PREFERRED INCOME PORTFOLIO SERIES 64	WHEATON, IL	9/12/2013	00680111-05	Pending-Cleared
FT 4408 AUTOMATED QUANTITATIVE ANALYSIS AQA PORTFOLIO SERIES 7	WHEATON, IL	9/12/2013	00680109-05	Pending-Cleared
FT 4414 DIVIDEND STRENGTH BUY WRITE PORTFOLIO SERIES	WHEATON, IL	9/12/2013	00680108-05	Pending-Cleared
FT 4421 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 86	WHEATON, IL	9/12/2013	00680107-05	Pending-Cleared
FT 4427 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 45	WHEATON, IL	9/12/2013	00680113-05	Pending-Cleared
BMO FUNDS INC BMO GLOBAL LOW VOLITILITY EQUITY FUND INVESTOR CLASS	MILWAUKEE, WI	9/11/2013	00680096-03	Pending-Cleared
BMO FUNDS INC BMO GLOBAL LOW VOLITILITY EQUITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/11/2013	00680095-03	Pending-Cleared
BMO FUNDS INC BMO MICRO CAP FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/11/2013	00680094-03	Pending-Cleared
BMO FUNDS INC BMO MICRO CAP FUND INVESTOR CLASS	MILWAUKEE, WI	9/11/2013	00680093-03	Pending-Cleared
FRANKLIN INVESTORS SECURITIES TR FRANKLIN ADJUSTABLE US GOVERNMENT SECURITIES FUND CLASS R6	SAN MATEO, CA	9/11/2013	00680059-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/2/2013 through 9/13/2013**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FRANKLIN INVESTORS SECURITIES TR FRANKLIN NATURAL REOSURCES FUND CLASS R6	SAN MATEO, CA	9/11/2013	00680060-03	Pending-Cleared
MORGAN STANLEY GLOBAL FIXED INCOME OPPORTUNITIES FUND CLASS IS	NEW YORK, NY	9/11/2013	00680009-03	Registered
MORGAN STANLEY MULTI CAP GROWTH TR CLASS IS	NEW YORK, NY	9/11/2013	00680010-03	Registered
TEMPLETON INCOME TR TEMPLETON CONSTRAINED BOND FUND ADVISOR CLASS	SAN MATEO, CA	9/11/2013	00680061-03	Pending-Cleared
TEMPLETON INCOME TR TEMPLETON CONSTRAINED BOND FUND CLASS A	SAN MATEO, CA	9/11/2013	00680063-03	Pending-Cleared
TEMPLETON INCOME TR TEMPLETON CONSTRAINED BOND FUND CLASS C	SAN MATEO, CA	9/11/2013	00680064-03	Pending-Cleared
TEMPLETON INCOME TR TEMPLETON CONSTRAINED BOND FUND CLASS R	SAN MATEO, CA	9/11/2013	00680065-03	Pending-Cleared
TEMPLETON INCOME TR TEMPLETON CONSTRAINED BOND FUND CLASS R6	SAN MATEO, CA	9/11/2013	00680062-03	Pending-Cleared
TOUCHSTONE STRATEGIC TR TOUCHSTONE MID CAP VALUE OPPORTUNITIES FUND CLASS C	CINCINNATI, OH	9/11/2013	00680011-03	Registered
TOUCHSTONE STRATEGIC TR TOUCHSTONE SMALL CAP GROWTH FUND CLASS Y	CINCINNATI, OH	9/11/2013	00680012-03	Registered
DOUBLELINE EQUITY FUNDS DOUBLELINE EQUITIES GROWTH FUND CLASS I	W ALLIS, WI	9/10/2013	00680052-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/2/2013 through 9/13/2013**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
DOUBLELINE EQUITY FUNDS DOUBLELINE EQUITIES GROWTH FUND CLASS N	W ALLIS, WI	9/10/2013	00680051-03	Registered
TD ASSET MANAGEMENT USA FUNDS INC TDAM 1 TO 5 YEAR CORPORATE BOND PORTFOLIO	NEW YORK, NY	9/10/2013	00679748-03	Pending-Cleared
TD ASSET MANAGEMENT USA FUNDS INC TDAM 5 TO 10 YEAR CORPORATE BOND PORTFOLIO	NEW YORK, NY	9/10/2013	00679749-03	Pending-Cleared
ADVISORS DISCIPLINED TR 1079 PERONI GROWTH PORTFOLIO AUTUMN 2013 SERIES	MONUMENT, CO	9/9/2013	00680037-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1080 GLOBAL BASIC MATERIALS PORTFOLIO SERIES 2013 2	MONUMENT, CO	9/9/2013	00680036-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1081 CONVERTIBLE & INCOME CLOSED END PORTFOLIO SERIES 2013 2	MONUMENT, CO	9/9/2013	00680035-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1077 INCOME & TREASURY LTD DURATION PORTFOLIO OF FUNDS SERIES 31	LISLE, IL	9/9/2013	00680039-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1078 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 43	LISLE, IL	9/9/2013	00680033-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1078 INFRASTRUCTURE & MLP PORTFOLIO OF CEFS SERIES 15	LISLE, IL	9/9/2013	00680038-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1086 TECHNOLOGICAL INNOVATION PORTFOLIO SERIES 1	LISLE, IL	9/9/2013	00680034-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/2/2013 through 9/13/2013**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
LEGG MASON PARTNERS EQUITY TR CLEARBRIDGE MID CAP GROWTH FUND CLASS R	NEW YORK, NY	9/9/2013	00679747-03	Registered
LEGG MASON PARTNERS EQUITY TR CLEARBRIDGE MID CAP GROWTH FUND CLASS IS	NEW YORK, NY	9/9/2013	00679746-03	Registered
STADION INVESTMENT TR STADION TRILOGY FUND CLASS C SHARES	WATKINSVILLE, GA	9/9/2013	00679745-03	Registered
FT 4377 TARGET HIGH QUALITY DIVIDEND PORTFOLIO SERIES 3	WHEATON, IL	9/6/2013	00679730-05	Pending-Cleared
FT 4378 INCOME ALLOCATION CLOSED END SEPT 13	WHEATON, IL	9/6/2013	00679728-05	Pending-Cleared
FT 4380 TARGET DIVERSIFIED GLOBAL ALLOCATION PORTFOLIO SERIES 9	WHEATON, IL	9/6/2013	00679731-05	Pending-Cleared
FT 4393 DIVIDEND INCOME PLUS PORTFOLIO SERIES 11	WHEATON, IL	9/6/2013	00679724-05	Pending-Cleared
FT 4395 ALTERNATIVE INCOME PORTFOLIO SERIES 2	WHEATON, IL	9/6/2013	00679722-05	Pending-Cleared
FT 4406 ETF GROWTH & INCOME SEPT 13	WHEATON, IL	9/6/2013	00679726-05	Pending-Cleared
FT 4409 TACTICAL INCOME PORTFOLIO SERIES 23	WHEATON, IL	9/6/2013	00679727-05	Pending-Cleared
FT 4413 NORTH AMERICAN SHALE PORTFOLIO SERIES 3	WHEATON, IL	9/6/2013	00679725-05	Pending-Cleared
FT 4415 STRATEGIC DIVIDEND PLUS PORTFOLIO SERIES 14	WHEATON, IL	9/6/2013	00679723-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/2/2013 through 9/13/2013**

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FT 4416 SENIOR LOAN & LTD DURATION OPPRTUNITIES CLOSED END PORTFOLIO SERIES 26	WHEATON, IL	9/6/2013	00679721-05	Pending-Cleared
FT 4420 INTEREST RATE HEDGE PORTFOLIO SERIES 76	WHEATON, IL	9/6/2013	00679729-05	Pending-Cleared
INCAPITAL UNIT TR SERIES 34 EUROPEAN DIVIDEND BUILDERS PORTFOLIO 3Q 2013	CHICAGO, IL	9/6/2013	00680013-05	Pending-Cleared
FUNDVANTAGE TR GOTHAM NEUTRAL FUND INSTITUTIONAL CLASS SHARES	WILMINGTON, DE	9/5/2013	00679808-03	Registered
LEGG MASON PARTNERS INST TR WESTERN ASSET INST US TREASURY OBLIGATIONS MONEY MARKET FUND INVESTOR SHARES	NEW YORK, NY	9/5/2013	00679810-03	Registered
LEGG MASON PARTNERS INST TRUST WESTERN ASSET INST US TREASURY OBLIGATIONS MONEY MARKET FUND INST SHARES	NEW YORK, NY	9/5/2013	00679809-03	Registered
PEAR TREE FUNDS PEAR TREE QUALITY FUND INSTITUTIONAL SHARES	LINCOLN, MA	9/5/2013	00679811-03	Registered
PIONEER SERIES TRUST 6 PIONEER MULTI ASSET REAL RETURN FUND CLASS R SHARES	BOSTON, MA	9/5/2013	00679807-03	Registered
TR FOR PROFESSIONAL MANAGERS VISIUM EVENT DRIVEN FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/5/2013	00679716-03	Registered
TR FOR PROFESSIONAL MANAGERS VISIUM EVENT DRIVEN FUND INVESTOR CLASS	MILWAUKEE, WI	9/5/2013	00679715-03	Registered

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for 9/2/2013 through 9/13/2013**

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ADVISORS DISCIPLINED TR 1077 HIGH 50 DIVIDEND STRATEGY PORTFOLIO SERIES 2013 3	MONUMENT, CO	9/4/2013	00679657-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1078 DIVIDEND INCOME VALUE STRATEGY PORTFOLIO SERIES 2013 3Q	MONUMENT, CO	9/4/2013	00679658-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1089 SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO 2 YR SERIES 2013 3	MONUMENT, CO	9/4/2013	00679656-05	Pending-Cleared
ADVISORS PREFERRED TR ONTRACK CORE FUND ADVISOR CLASS SHARES	HAUPPAUGE, NY	9/4/2013	00679648-03	Registered
FRANKLIN GLOBAL TR FRANKLIN GLOBAL LISTED INFRASTRUCTURE FUND ADVISOR CLASS	SAN MATEO, CA	9/4/2013	00679704-03	Pending-Cleared
FRANKLIN GLOBAL TR FRANKLIN GLOBAL LISTED INFRASTRUCTURE FUND CLASS R	SAN MATEO, CA	9/4/2013	00679702-03	Pending-Cleared
FRANKLIN GLOBAL TR FRANKLIN GLOBAL LISTED INFRASTRUCTURE FUND CLASS C	SAN MATEO, CA	9/4/2013	00679701-03	Pending-Cleared
FRANKLIN GLOBAL TR FRANKLIN GLOBAL LISTED INFRASTRUCTURE FUND CLASS A	SAN MATEO, CA	9/4/2013	00679705-03	Pending-Cleared
FRANKLIN GLOBAL TR FRANKLIN GLOBAL LISTED INFRASTRUCTURE FUND CLASS R6	SAN MATEO, CA	9/4/2013	00679703-03	Pending-Cleared
FRANKLIN STRATEGIC SERIES FRANKLIN GLOBAL GOVERNMENT BOND FUND ADVISOR CLASS	SAN MATEO, CA	9/4/2013	00679707-03	Pending-Cleared

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for 9/2/2013 through 9/13/2013**

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FRANKLIN STRATEGIC SERIES FRANKLIN GLOBAL GOVERNMENT BOND FUND CLASS C	SAN MATEO, CA	9/4/2013	00679709-03	Pending-Cleared
FRANKLIN STRATEGIC SERIES FRANKLIN GLOBAL GOVERNMENT BOND FUND CLASS A	SAN MATEO, CA	9/4/2013	00679706-03	Pending-Cleared
FRANKLIN STRATEGIC SERIES FRANKLIN GLOBAL GOVERNMENT BOND FUND CLASS R6	SAN MATEO, CA	9/4/2013	00679710-03	Pending-Cleared
FRANKLIN STRATEGIC SERIES FRANKLIN GLOBAL GOVERNMENT BOND FUND CLASS R	SAN MATEO, CA	9/4/2013	00679708-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIO SERIES 1076 DIVERSIFIED INCOME WAVE PORTFOLIO 15 MONTH SERIES 40	LISLE, IL	9/4/2013	00679655-05	Pending-Cleared
INVESCO UNIT TR SERIES 1366 DOW JONES SELECT DIVIDEND INDEX STRATEGY PORTFOLIO 2013 4	DOWNERS GROVE, IL	9/4/2013	00679675-05	Pending-Cleared
INVESCO UNIT TR SERIES 1366 EAFE SELECT 20 PORTFOLIO 2013 4	DOWNERS GROVE, IL	9/4/2013	00679674-05	Pending-Cleared
INVESCO UNIT TR SERIES 1366 GLOBAL 45 DIVIDEND STRATEGY PORTFOLIO 2013 4	DOWNERS GROVE, IL	9/4/2013	00679679-05	Pending-Cleared
INVESCO UNIT TR SERIES 1366 SELECT 5 INDUSTRIAL PORTFOLIO 2013 4	DOWNERS GROVE, IL	9/4/2013	00679676-05	Pending-Cleared
INVESCO UNIT TR SERIES 1366 SELECT S&P CORE PORTFOLIO 2013 4	DOWNERS GROVE, IL	9/4/2013	00679678-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/2/2013 through 9/13/2013**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
INVESCO UNIT TR SERIES 1366 SELECT S&P INDUSTRIAL PORTFOLIO 2013 4	DOWNERS GROVE, IL	9/4/2013	00679677-05	Pending-Cleared
INVESCO UNIT TR SERIES 1367 CLOSED END STRATEGY COVERED CALL INCOME PORTFOLIO 2013 4	DOWNERS GROVE, IL	9/4/2013	00679683-05	Pending-Cleared
INVESCO UNIT TR SERIES 1367 CLOSED END STRATEGY MASTER INCOME PORTFOLIO SERIES 37	DOWNERS GROVE, IL	9/4/2013	00679682-05	Pending-Cleared
INVESCO UNIT TR SERIES 1367 CLOSED END STRATEGY MASTER MUNICIPAL INCOME PORTFOLIO NATIONAL SERIES 33	DOWNERS GROVE, IL	9/4/2013	00679680-05	Pending-Cleared
INVESCO UNIT TR SERIES 1367 CLOSED END STRATEGY VALUE EQUITY & INCOME PORTFOLIO 2013 4	DOWNERS GROVE, IL	9/4/2013	00679681-05	Pending-Cleared
INVESCO UNIT TR SERIES 1368 ALL CAP CORE STRATEGY 2013 4	DOWNERS GROVE, IL	9/4/2013	00679684-05	Pending-Cleared
INVESCO UNIT TR SERIES 1368 LARGE CAP CORE STRATEGY 2013 4	DOWNERS GROVE, IL	9/4/2013	00679685-05	Pending-Cleared
INVESCO UNIT TR SERIES 1368 MID CAP CORE STRATEGY 2013 4	DOWNERS GROVE, IL	9/4/2013	00679686-05	Pending-Cleared
INVESCO UNIT TR SERIES 1368 S&P POWERPICKS PORTFOLIO 2013 4	DOWNERS GROVE, IL	9/4/2013	00679688-05	Pending-Cleared
INVESCO UNIT TR SERIES 1368 SMALL CAP CORE STRATEGY 2013 4	DOWNERS GROVE, IL	9/4/2013	00679687-05	Pending-Cleared
INVESCO UNIT TR SERIES 1369 CENTRAL EQUITY TR DIVERSIFIED INCOME SERIES 49	DOWNERS GROVE, IL	9/4/2013	00679689-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/2/2013 through 9/13/2013**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
INVESCO UNIT TR SERIES 1370 DIVIDEND INCOME & VALUE PORTFOLIO 2013 4	DOWNERS GROVE, IL	9/4/2013	00679690-05	Pending-Cleared
INVESCO UNIT TR SERIES 1371 CLOSED END STRATEGY DIVERSIFIED CREDIT OPPORTUNITIES PORTFOLIO SERIES 12	DOWNERS GROVE, IL	9/4/2013	00679693-05	Pending-Cleared
INVESCO UNIT TR SERIES 1371 CLOSED END STRATEGY GLOBAL INCOME PORTFOLIO SERIES 16	DOWNERS GROVE, IL	9/4/2013	00679692-05	Pending-Cleared
INVESCO UNIT TR SERIES 1371 CLOSED END STRATEGY SENIOR LOAN & LTD DURATION PORTFOLIO SERIES 38	DOWNERS GROVE, IL	9/4/2013	00679691-05	Pending-Cleared
INVESCO UNIT TR SERIES 1372 TURNAROUND STRATEGY PORTFOLIO 2013A	DOWNERS GROVE, IL	9/4/2013	00679694-05	Pending-Cleared
INVESCO UNIT TR SERIES 1373 AMERICAN INFRASTRUCTURE GROWTH PORTFOLIO 2013 4	DOWNERS GROVE, IL	9/4/2013	00679695-05	Pending-Cleared
JPMORGAN TR 1 JPMORGAN CA TAX FREE BOND FUND SELECT CLASS SHARES	BOSTON, MA	9/4/2013	00679744-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC ADVANTAGE PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679664-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC EMERGING MARKETS EXTERNAL DEBT PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679660-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC EMERGING MARKETS PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679670-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/2/2013 through 9/13/2013**

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Firm Name	Location	Date Received	File Number	Status
MORGAN STANLEY INSTITUTIONAL FUND INC EMERGING MARKETS DOMESTIC DEBT PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679669-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL OPPORTUNITY PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679662-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL REAL ESTATE PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679666-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC GROWTH PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679673-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC INTERNATIONAL OPPORTUNITY PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679665-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC INTERNATIONAL EQUITY PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679671-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC INTERNATIONAL REAL ESTATE PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679667-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC OPPORTUNITY PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679663-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC SELECT GLOBAL INFRASTRUCTURE PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679661-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/2/2013 through 9/13/2013**

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MORGAN STANLEY INSTITUTIONAL FUND INC SMALL CO GROWTH PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679672-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC US REAL ESTATE PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679668-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND TR MID CAP GROWTH PORTFOLIO CLASS IS	NEW YORK, NY	9/4/2013	00679659-03	Pending-Cleared
MUTUAL FUND SERIES TR CATALYST HEDGED FUTURES STRATEGY FUND CLASS A	HAUPPAUGE, NY	9/4/2013	00679650-03	Registered
FT 4379 DOW TARGET 10 SEPT 13 TERM 10/9/14	WHEATON, IL	9/3/2013	00679499-05	Pending-Cleared
FT 4391 CYCLICAL STRENGTH PORTFOLIO SERIES 2	WHEATON, IL	9/3/2013	00679495-05	Pending-Cleared
FT 4392 INTERNATIONAL HIGH DIVIDEND EQUITY PORTFOLIO SERIES 13	WHEATON, IL	9/3/2013	00679498-05	Pending-Cleared
FT 4407 PRECIOUS METALS SELECT PORTFOLIO SERIES 33	WHEATON, IL	9/3/2013	00679496-05	Pending-Cleared
FT 4412 DISCOUNT OPPORTUNITY CLOSED END PORTFOLIO SERIES	WHEATON, IL	9/3/2013	00679497-05	Pending-Cleared
FUNDVANTAGE TR FORMULA INVESTING INTERNATIONAL VALUE SELECT FUND CLASS I	WILMINGTON, DE	9/3/2013	00679639-03	Registered
FUNDVANTAGE TR FORMULA INVESTING US VALUE SELECT FUND CLASS I	WILMINGTON, DE	9/3/2013	00679638-03	Registered
INVESTMENT MANAGERS SERIES TR PALMER SQUARE FOUNTAIN HIGH INCOME FUND CLASS I	MILWAUKEE, WI	9/3/2013	00679646-03	Pending-Cleared

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for 9/2/2013 through 9/13/2013**

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Firm Name	Location	Date Received	File Number	Status
INVESTMENT MANAGERS SERIES TR PALMER SQUARE FOUNTAIN HIGH INCOME FUND CLASS A	MILWAUKEE, WI	9/3/2013	00679645-03	Pending-Cleared
SHELTON FUNDS SHELTON GREEN ALPHA FUND	SAN FRANCISCO, CA	9/3/2013	00679637-03	Registered
TR FOR PROFESSIONAL MANAGERS ALLIANCEBERNSTEIN TWM GLOBAL EQUITY & COVERED CALL STRATEGY FUND INVETOR CLASS SHARES	MILWAUKEE, WI	9/3/2013	00679647-03	Registered
Number of Investment Company Filings: 125				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BLACK MAPLE CAPITAL PARTNERS LP	ST. FRANCIS, WI	9/12/2013	00680099-07	Filed
LION LABS INC	SAN FRANCISCO, CA	9/12/2013	00680097-07	Filed
MORGAN STANLEY HEDGEPREMIER IVORY FLAGSHIP OFFSHORE FUND LP	GEORGE TOWN, GRAND CAYMAN, AA	9/12/2013	00680098-07	Filed
ACTIVE IMPLANTS LLC	MEMPHIS, TN	9/11/2013	00680058-07	Filed
AQR STYLE PREMIA FUND LP	GREENWICH, CT	9/11/2013	00680057-07	Filed
TERRA SECURED INCOME FUND 5 LLC	NEW YORK, NY	9/11/2013	00680055-07	Filed
WAFERGEN BIO SYSTEMS INC	FREMONT, CA	9/11/2013	00680056-07	Filed
JMW FUND PARTNERS LP	NAPLES, FL	9/10/2013	00680050-07	Filed
EMPIRE RESIDENTIAL COMMUNITIES FUND 2 LLC	SCOTTSDALE, AZ	9/9/2013	00680042-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/2/2013 through 9/13/2013**

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GENESIS DRILLING PROGRAM 3 LP	GETZVILLE, NY	9/9/2013	00680041-07	Filed
MACKENZIE BADGER ACQUISITION CO 3 LLC	MORAGA, CA	9/9/2013	00680043-07	Filed
NEUROTROPE BIOSCIENCE INC	PLANTATION, FL	9/9/2013	00680040-07	Filed
BUTTERFLY HEALTH INC	LOS GATOS, CA	9/6/2013	00679718-07	Filed
GAMMA CONVERTIBLE FUND LP	NEW YORK, NY	9/6/2013	00679717-07	Filed
HCHC HOLDINGS INC	BIRMINGHAM, AL	9/6/2013	00679719-07	Filed
BAILARD REAL ESTATE INVESTMENT TR INC	FOSTER CITY, CA	9/5/2013	00679698-07	Filed
BROWN ADVISORY INVESTORS 2013 SANDTON 3 LLLP	BALTIMORE, MD	9/5/2013	00679699-07	Filed
BROWN ADVISORY INVESTORS 2013 SANDTON 3 TE LLLP	BALTIMORE, MD	9/5/2013	00679700-07	Filed
WATERS OF OAKDALE INVESTORS LLC	MINNETONKA, MN	9/5/2013	00679697-07	Filed
WATERS ON MAYOWOOD INVESTORS LLC	MINNETONKA, MN	9/5/2013	00679696-07	Filed
COSKATA INC	WARRENVILLE, IL	9/4/2013	00679652-07	Filed
WESTEND PARTNERS LP	SAN FRANCISCO, CA	9/4/2013	00679651-07	Filed
RESAAS SERVICES INC	VANCOUVER, ON	9/3/2013	00679494-07	Filed
SOLANA SENIOR LIVING LLC	CARMEL, IN	9/3/2013	00679644-07	Filed
Number of Regulation D Notice Filings: 24				

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/2/2013 through 9/13/2013**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
DaVi Nails Salon and Spa, LLC	West Valley City, UT	9/9/2013	606466	Registered
LifeSpring In-Home Care Network, L.L.C.	Norman, OK	9/6/2013	606462	Registered
US LAWNS INC	ORLANDO, FL	9/6/2013	606470	Registered
Murphy Business & Financial Corporation	Clearwater, FL	9/5/2013	606454	Registered
TONI&GUY HAIRDRESSING ACADEMY FRANCHISE LP	CARROLTON, TX	9/5/2013	606468	Registered
Hoss's Franchise Corporation, Inc.	Duncansville,, PA	9/4/2013	606442	Registered
Pizza Bell Hop, LLC / Pizza Bell Hop	Blaine, MN	9/3/2013	606440	Registered
ATL INTERNATIONAL INC / All Tune and Lube	MILLERSVILLE, MD	9/3/2013	606459	Registered
ATL INTERNATIONAL INC / All Tune Transmissions	MILLERSVILLE, MD	9/3/2013	606463	Registered
ATL INTERNATIONAL INC / ATL MotorMate	MILLERSVILLE, MD	9/3/2013	606461	Registered
JOHNNY ROCKETS LICENSING CORP	Aliso Viejo, CA	9/3/2013	606460	Registered
Number of Franchise Filings: 11				

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