

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/9/2013 through 9/20/2013**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
HINES GLOBAL REIT 2 INC	HOUSTON, TX	9/16/2013	00680340-01	Pending
STRATEGIC STORAGE TR 2 INC	LADERA RANCH, CA	9/10/2013	00680054-01	Pending
Number of Registration Filings: 2				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
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
Number of Exemption Filings: 2				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MANAGED PORTFOLIO SERIES HILTON YIELD PLUS FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	9/16/2013	00680338-03	Registered
MANAGED PORTFOLIO SERIES HILTON YIELD PLUS FUND INVESTOR SHARES	MILWAUKEE, WI	9/16/2013	00680337-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2055 FUND CLASS A	ENFIELD, CT	9/16/2013	00680336-03	Pending-Cleared
ADVISORS DISCIPLINED TR 1082 UTILITIES PORTFOLIO SERIES 2013 2	MONUMENT, CO	9/12/2013	00680148-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1083 REIT PORTFOLIO SERIES 2013 2	MONUMENT, CO	9/12/2013	00680149-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1110 AMERICAN RENAISSANCE PORTFOLIO SERIES 2013 1	MONUMENT, CO	9/12/2013	00680150-05	Pending-Cleared
FEDERATED INCOME SECURITIES TR FEDERATED FLOATING RATE STRATEGIC INCOME FUND CLASS C SHARES	WARRENDALE, PA	9/12/2013	00680144-03	Registered
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
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 QUANITATIVE 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

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Firm Name	Location	Date Received	File Number	Status
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
GUGGENHEIM DEFINED PORTFOLIO SERIES 1079 GUGGENHEIM MODERATE ASSET ALLOCATION PORTFOLIO OF ETFs SERIES 16	LISLE, IL	9/12/2013	00680146-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIO SERIES 1080 DOW JONES VALUE DIVIDEND FOCUS PORTFOLIO SERIES 14	LISLE, IL	9/12/2013	00680145-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIO SERIES 1081 GUGGENHEIM GLOBAL TELECOM STRATEGY PORTFOLIO SERIES 12	LISLE, IL	9/12/2013	00680147-05	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 GLOBAL LOW VOLITILITY EQUITY FUND INVESTOR CLASS	MILWAUKEE, WI	9/11/2013	00680096-03	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

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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
NATIONWIDE MUTUAL FUNDS NATIONWIDE BAILARD COGNITIVE VALUE FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680138-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE BAILARD INTERNATIONAL EQUITIES FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680139-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE BAILARD TECHNOLOGY & SCIENCE FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680142-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE GENEVA MID CAP GROWTH FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680129-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE GENEVA SMALL CAP GROWTH FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680141-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE HIGHMARK BALANCED FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680127-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE HIGHMARK BOND FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680130-03	Registered

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Firm Name	Location	Date Received	File Number	Status
NATIONWIDE MUTUAL FUNDS NATIONWIDE HIGHMARK LARGE CAP CORE EQUITY FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680135-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE HIGHMARK LARGE CAP GROWTH FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680128-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE HIGHMARK NATIONAL INTERMEDIATE TAX FREE BOND FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680136-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE HIGHMARK SHORT TERM BOND FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680137-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE HIGHMARK SMALL CAP CORE FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680140-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE HIGHMARK VALUE FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680134-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE ZIEGLER EQUITY INCOME FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680133-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE ZIEGLER NYSE ARCA TECH 100 INDEX FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680131-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE ZIEGLER WI TX EX FUND INSTITUTIONAL CLASS	BOSTON, MA	9/11/2013	00680132-03	Registered
TEMPLETON INCOME TR TEMPLETON CONSTRAINED BOND FUND ADVISOR CLASS	SAN MATEO, CA	9/11/2013	00680061-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
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 N	W ALLIS, WI	9/10/2013	00680051-03	Registered
DOUBLELINE EQUITY FUNDS DOUBLELINE EQUITIES GROWTH FUND CLASS I	W ALLIS, WI	9/10/2013	00680052-03	Registered
TD ASSET MANAGEMENT USA FUNDS INC TDAM 1 TO 5 YEAR CORPORATE BOND PORTFOLIO	NEW YORK, NY	9/10/2013	00679748-03	Registered
TD ASSET MANAGEMENT USA FUNDS INC TDAM 5 TO 10 YEAR CORPORATE BOND PORTFOLIO	NEW YORK, NY	9/10/2013	00679749-03	Registered
ADVISORS DISCIPLINED TR 1079 PERONI GROWTH PORTFOLIO AUTUMN 2013 SERIES	MONUMENT, CO	9/9/2013	00680037-05	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
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
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
Number of Investment Company Filings: 67				

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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
CERECOR INC	BALTIMORE, MD	9/16/2013	00680343-07	Filed
ENVIRO WATER MINERALS CO INC	HOUSTON, TX	9/16/2013	00680339-07	Filed
KIOWA COUNTY INVESTMENT GROUP LLC	EADS, CO	9/16/2013	00680342-07	Filed
TIDAL PETROLEUM INC	SCHERTZ, TX	9/16/2013	00680341-07	Filed
ALTARIS HEALTH PARTNERS 3 LP	NEW YORK, NY	9/13/2013	00680212-07	Filed
GREENPOINT FINE ART FUND LLC	MADISON, WI	9/13/2013	00680211-07	Filed
PENNECO DRILLING ASSOC 2013 1	DELMONT, PA	9/13/2013	00680215-07	Filed
TOGETHER MOBILE INC	AUSTIN, TX	9/13/2013	00680213-07	Filed
UPSTART NETWORK INC	PALO ALTO, CA	9/13/2013	00680210-07	Filed
VISIONGATE INC	PHOENIX, AZ	9/13/2013	00680214-07	Filed
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
MACKENZIE INCOME FUND 27 LLC	MORAGA, CA	9/12/2013	00680209-07	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

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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
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
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
Number of Regulation D Notice Filings: 23				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Freakin' Franchising, LLC / Freakin' Unbelievable Burgers	Lexington, KY	9/20/2013	606492	Registered
Goldfish Swim School Franchising, LLC / Goldfish Swim School	Birmingham, MI	9/19/2013	606480	Registered
My Place Hotels of America LLC / My Place	Aberdeen, SD	9/18/2013	606489	Registered
TOTAL CAR FRANCHISING CORP / COLORS ON PARADE	Conway, SC	9/18/2013	606487	Registered
Get In Shape Franchise, Inc. / Get In Shape For Women Area Representative	Needham, MA	9/17/2013	606473	Registered
ROSATIS FRANCHISE & DEVELOPMENT LLC / Rosatis Pizza	Warrenville, IL	9/17/2013	606485	Registered
Zohra Enterprise LLC / \$5 Pizza	Ham Lake, MN	9/16/2013	606483	Registered
RMG Development / ROMANOS MACARONI GRILL	Houston, TX	9/13/2013	606478	Registered
Staylight Fitness LLC	Burnsville, MN	9/13/2013	606482	Registered
Fabulous Floors Franchise, LLC	Mentor, OH	9/12/2013	606477	Registered
JCS Development LLC / Joe's Crab Shack	Houston, TX	9/12/2013	606481	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
StearClear Holdings LLC	Wyckoff, NJ	9/12/2013	606476	Registered
DaVi Nails Salon and Spa, LLC	West Valley City, UT	9/9/2013	606466	Registered
Number of Franchise Filings: 13				

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