

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/16/2013 through 9/27/2013**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
OCONNOR FUND OF FUNDS MASTERS	STAMFORD, CT	9/20/2013	00681378-01	Pending
STEADFAST APARTMENT REIT INC	IRVINE, CA	9/20/2013	00681379-01	Pending
ALLIANCE DEVELOPMENT FUND INC	COLORADO SPRINGS, CO	9/19/2013	00681370-02	Registered
ALLIANCE DEVELOPMENT FUND INC	COLORADO SPRINGS, CO	9/19/2013	00681373-02	Registered
ALLIANCE DEVELOPMENT FUND INC	COLORADO SPRINGS, CO	9/19/2013	00681371-02	Registered
ALLIANCE DEVELOPMENT FUND INC	COLORADO SPRINGS, CO	9/19/2013	00681372-02	Registered
MVP REIT INC	LAS VEGAS, NV	9/18/2013	00680413-01	Registered
HINES GLOBAL REIT 2 INC	HOUSTON, TX	9/16/2013	00680340-01	Pending
Number of Registration Filings: 8				

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
1ST TR COMBINED SERIES 425 TX EX MUNICIPAL INCOME TR LONG INTERMEDIATE SERIES 7	WHEATON, IL	9/23/2013	00681412-05	Pending-Cleared
FT 4404 EQUITY INCOME SELECT PORTFOLIO SERIES 37	WHEATON, IL	9/23/2013	00681406-05	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 4405 US EQUITY CLOSED END PORTFOLIO SERIES 9	WHEATON, IL	9/23/2013	00681408-05	Pending-Cleared
FT 4417 SSENIOR LOAN CLOSED END & ETF PORTFOLIO SERIES	WHEATON, IL	9/23/2013	00681410-05	Pending-Cleared
FT 4422 HEALTH CARE SELECT PORTFOLIO SERIES 30	WHEATON, IL	9/23/2013	00681411-05	Pending-Cleared
FT 4423 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 39	WHEATON, IL	9/23/2013	00681407-05	Pending-Cleared
FT 4424 FINANCIALS SELECT PORTFOLIO SERIES 44	WHEATON, IL	9/23/2013	00681409-05	Pending-Cleared
FT 4426 UTILITIES SELECT PORTFOLIO SERIES 27	WHEATON, IL	9/23/2013	00681405-05	Pending-Cleared
FT 4456 INTEREST RATE HEDGE PORTFOLIO SERIES 77	WHEATON, IL	9/23/2013	00681404-05	Pending-Cleared
FT 4457 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 87	WHEATON, IL	9/23/2013	00681403-05	Pending-Cleared
PRUDENTIAL WORLD FUND INC PRUDENTIAL JENNISON GLOBAL INFRASTRUCTURE FUND CLASS C	NEWARK, NJ	9/23/2013	00681348-03	Pending-Cleared
PRUDENTIAL WORLD FUND INC PRUDENTIAL JENNISON GLOBAL INFRASTRUCTURE FUND CLASS A	NEWARK, NJ	9/23/2013	00681347-03	Pending-Cleared
PRUDENTIAL WORLD FUND INC PRUDENTIAL JENNISON GLOBAL INFRASTRUCTURE FUND CLASS Z	NEWARK, NJ	9/23/2013	00681349-03	Pending-Cleared
ADVISORS DICIPLINED TR 1058 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 75	MONUMENT, CO	9/20/2013	00681369-05	Registered

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GUGGENHEIM DEFINED PORTFOLIO SERIES 1040 ZACKS INDICATOR DEFINED OUTCOME TR SERIES 1	MONUMENT, CO	9/20/2013	00681367-05	Registered
GUGGENHEIM DEFINED PORTFOLIO SERIES 1082 DIVERSIFIED DIVIDEND & INCOME PORTFOLIO SERIES 18	MONUMENT, CO	9/20/2013	00681368-05	Registered
INVESTMENT MANAGERS SERIES TR RAMIUS EVENT DRIVEN EQUITY FUND CLASS A	MILWAUKEE, NJ	9/20/2013	00681362-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR RAMIUS EVENT DRIVEN EQUITY FUND CLASS I	MILWAUKEE, NJ	9/20/2013	00681361-03	Pending-Cleared
SMART TR MORNINGSTAR DIVIDEND YIELD FOCUS TR SERIES 3	PARSIPPANY, NJ	9/20/2013	00681365-05	Registered
SMART TR VALUE ARCHITECTS DISCIPLINED CORE PORTFOLIO TR SERIES 7	PARSIPPANY, NJ	9/20/2013	00681366-05	Registered
ULTIMUS MANAGERS TR BARROW ALL CAP CORE FUND INVETOR CLASS	GLENDALE, OH	9/20/2013	00681375-03	Registered
ULTIMUS MANAGERS TR BARROW ALL CAP LONG SHORT FUND INVETOR CLASS`	GLENDALE, OH	9/20/2013	00681374-03	Registered
BMO FUNDS INC BMO TCH EMERGING MARKETS BOND FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/19/2013	00681359-03	Registered
BMO FUNDS INC BMO TCH EMERGING MARKETS BOND FUND INVESTOR CLASS	MILWAUKEE, WI	9/19/2013	00681360-03	Registered
DWS SECURITIES TR DWS RREEF REAL ESTATE SECURITIES INCOME FUND CLASS C SHARES	CHICAGO, IL	9/19/2013	00681300-03	Registered

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Firm Name	Location	Date Received	File Number	Status
DWS SECURITIES TR DWS RREEF REAL ESTATE SECURITIES INCOME FUND CLASS A SHARES	CHICAGO, IL	9/19/2013	00681299-03	Registered
DWS SECURITIES TR DWS RREEF REAL ESTATE SECURITIES INCOME FUND INSTITUTIONAL CLASS SHARES	CHICAGO, IL	9/19/2013	00681302-03	Registered
DWS SECURITIES TR DWS RREEF REAL ESTATE SECURITIES INCOME FUND CLASS S SHARES	CHICAGO, IL	9/19/2013	00681301-03	Registered
MADISON FUNDS INVESTORS FUND CLASS A SHARES	MADISON, WI	9/19/2013	00681358-03	Registered
VALUED ADVISERS TR BFS EQUITY FUND	INDIANAPOLIS, IN	9/19/2013	00681298-03	Registered
FT 4104 HIGH YIELD CORPORATE TR SHORT INTERMEDIATE SERIES 19	WHEATON, IL	9/18/2013	00680407-05	Pending-Cleared
FT 4403 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 53	WHEATON, IL	9/18/2013	00680409-05	Pending-Cleared
FT 4418 SABRIENT WEAK TREASURY PORTFOLIO SERIES	WHEATON, IL	9/18/2013	00680408-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1084 PREFERRED INCOME OPPORTUNITIES PORTFOLIO 2 YR SERIES 2013 2	MONUMENT, CO	9/17/2013	00680402-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1085 AGRI BUSINESS OPPORTUNITIES PORTFOLIO SERIES 2013 2	MONUMENT, CO	9/17/2013	00680403-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1090 ADVISORS CORPORATE TR HIGH YIELD BOND PORTFOLIO SERIES 2013	MONUMENT, CO	9/17/2013	00680400-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1122 SMALL MID CAP ADVANTAGE PORTFOLIO SERIES 2013 1	MONUMENT, CO	9/17/2013	00680401-05	Pending-Cleared
FT 4419 GLOBAL DEEP VALUE SUB 10 DIVIDEND PORTFOLIO SERIES	WHEATON, IL	9/17/2013	00680399-05	Pending-Cleared
FT 4444 STRATEGIC DIVIDEND SELECT PORTFOLIO SERIES 11	WHEATON, IL	9/17/2013	00680397-05	Pending-Cleared
FT 4459 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES JAPAN OPPORTUNITIES PORTFOLIO 2013 1	WHEATON, IL	9/17/2013	00680398-05	Pending-Cleared
ADVISORS PREFERRED TR GOLD BULLION STRATEGY FUND INVESTOR CLASS	SMITHTOWN, NY	9/16/2013	00680371-03	Registered
DUNHAM FUNDS DUNHAM FOCUSED LARGE CAP GROWTH FUND CLASS A	SMITHTOWN, NY	9/16/2013	00680374-03	Registered
EQUINOX FUNDS TR EQUINOX EQUITYHEDGE US STRATEGY FUND CLASS I SHARES	HAUPPAGUE, NY	9/16/2013	00680361-03	Registered
EQUINOX FUNDS TR EQUINOX EQUITYHEDGE US STRATEGY FUND CLASS A SHARES	HAUPPAGUE, NY	9/16/2013	00680359-03	Registered
EQUINOX FUNDS TR EQUINOX EQUITYHEDGE US STRATEGY FUND CLASS C SHARES	HAUPPAGUE, NY	9/16/2013	00680360-03	Registered
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

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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
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2055 FUND CLASS A	ENFIELD, CT	9/16/2013	00680336-03	Pending-Cleared
NILE CAPITAL INVESTMENT TR NILE PAN AFRICA FUND INSTITUTIONAL CLASS	HAUPPAGUE, NY	9/16/2013	00680362-03	Registered
NORTHERN LIGHTS FUND TR 13D ACTIVIST FUND CLASS I	SMITHTOWN, NY	9/16/2013	00680368-05	Pending-Cleared
NORTHERN LIGHTS FUND TR 2 AFTERSHOCK STRATEGIES FUND CLASS I	SMITHTOWN, NY	9/16/2013	00680370-03	Registered
NORTHERN LIGHTS FUND TR 2 AIS TACTICAL ASSET ALLOCATION PORTFOLIO CLASS A SHARES	SMITHTOWN, NY	9/16/2013	00680369-03	Registered
NORTHERN LIGHTS FUND TR ASTOR ACTIVE INCOME ETF FUND CLASS A	HAUPPAGUE, NY	9/16/2013	00680365-03	Registered
NORTHERN LIGHTS FUND TR CMG GLOBAL EQUITY FUND CLASS A	HAUPPAGUE, NY	9/16/2013	00680366-03	Registered
NORTHERN LIGHTS FUND TR CMG GLOBAL EQUITY FUND CLASS I	HAUPPAGUE, NY	9/16/2013	00680367-03	Registered
NORTHERN LIGHTS FUND TR LEADER SHORT TERM BOND FUND CLASS A	HAUPPAGUE, NY	9/16/2013	00680364-03	Registered
REALTY CAPITAL INCOME FUNDS TR AR CAPITAL REAL ESTATE INCOME FUND CLASS C	SMITHTOWN, NY	9/16/2013	00680372-03	Registered
REALTY CAPITAL INCOME FUNDS TR AR CAPITAL REAL ESTATE INCOME FUND CLASS A	SMITHTOWN, NY	9/16/2013	00680373-03	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
RESOURCE REAL ESTATE DIVERSIFIED INCOME FUND	HAUPPAGUE, NY	9/16/2013	00680363-03	Registered
Number of Investment Company Filings: 59				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AMERICAN RESTAURANTS LLC	NEWPORT BEACH, CA	9/20/2013	00681380-07	Filed
FABCAB INC	SEATTLE, WA	9/20/2013	00681376-07	Filed
SAUK PRAIRIE MOB LLC	DENVER, CO	9/20/2013	00681377-07	Filed
EDEN ROCK MONTENEGRO LLC	CLEVELAND, OH	9/18/2013	00680410-07	Filed
VITAL AXIOMX INVESTORS LLC	BETHESDA, MD	9/18/2013	00680412-07	Filed
ELN PARTNERS FUND 1 LP	SAN FRANCISCO, CA	9/17/2013	00680406-07	Filed
PIVOTNORTH FUND 2 LP	PALO ALTO, CA	9/17/2013	00680405-07	Filed
PORTFOLIO ADVISORS PRIVATE EQUITY FUND 2012 LP	DARIEN, CT	9/17/2013	00680404-07	Filed
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
Number of Regulation D Notice Filings: 12				

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
The Barbers, Hairstyling for Men & Women, Inc. / COST CUTTERS	Minneapolis, MN	9/27/2013	606524	Registered
Dickey's Barbecue Restaurants, Inc. / Dickey's Barbecue Pit	Plano, TX	9/27/2013	606519	Registered
MEDICAP PHARMACIES INCORPORATED / Medicap Pharmacy	Dublin, OH	9/27/2013	606517	Registered
MEDICINE SHOPPE INTERNATIONAL, INC. / The Medicine Shoppe, Medicine Shoppe	Dublin, OH	9/27/2013	606516	Registered
JTH Tax, Inc. / Liberty Tax Service-Area Developer	Virginia Beach, VA	9/26/2013	606515	Registered
JTH Tax, Inc. / Liberty Tax Service-Unit	Virginia Beach, VA	9/26/2013	606514	Registered
Roosters MGC International, LLC / Roosters Men's Grooming Center	Minneapolis, MN	9/26/2013	606511	Registered
1ST WATCH FRANCHISE DEVELOPMENT CO / First Watch Restaurants	UNIVERSITY PARK, FL	9/26/2013	606510	Registered
Your Pie Franchising, LLC / Your Pie	Athens, GA	9/26/2013	606507	Registered
CherryBerry Enterprises, LLC	Broken Arrow, OK	9/26/2013	606520	Registered
E & I Holdings, Inc. / The Egg & I	Centennial, CO	9/26/2013	606521	Registered
FRONTIER ADJUSTERS INC	PHOENIX, AZ	9/26/2013	606518	Registered
PESTMASTER FRANCHISE NETWORK INC / PESTMASTER SERVICES	RENO, NV	9/25/2013	606504	Registered
MOD Super Fast Pizza Franchising, LLC / MOD Pizza Restaurant	Bellevue, WA	9/25/2013	606503	Registered
ADVANCED FRESH CONCEPTS FRANCHISE CORP / AFC, Southern Tsunami	RANCHO DOMINGUEZ, CA	9/24/2013	606509	Registered
BRINKER INTERNATIONAL PAYROLL LP / Chili's Grill & Bar	DALLAS, TX	9/24/2013	606508	Registered
MTO CLEAN INC	INDEPENDENCE, OH	9/24/2013	606512	Registered
Kahala Franchising, L.L.C. / Great Steak & Potato Company and/or Great Steak & Potato	Scottsdale, AZ	9/23/2013	606501	Registered
Kahala Franchising, L.L.C. / Surf City Squeeze	Scottsdale, AZ	9/23/2013	606500	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Kahala Franchising, L.L.C. / Samurai Sam's and/or Samurai Sam's Teriyaki Grill	Scottsdale, AZ	9/23/2013	606499	Registered
Kahala Franchising, L.L.C. / Cold Stone Creamery with Rocky Mountain Chocolate Factory	Scottsdale, AZ	9/23/2013	606498	Registered
Kahala Franchising, L.L.C. / Cold Stone Creamery	Scottsdale, AZ	9/23/2013	606497	Registered
Kahala Franchising, L.L.C. / Nrgize Lifestyle Cafe	Scottsdale, AZ	9/23/2013	606496	Registered
Kahala Franchising, L.L.C. / Blimpie	Scottsdale, AZ	9/23/2013	606495	Registered
INTERFACE FINANCIAL CORP	Bethesda, MD	9/23/2013	606513	Registered
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
Number of Franchise Filings: 32				

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