

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/23/2013 through 10/4/2013**

<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>
PERMAL HEDGE STRATEGIES FUND 1 SERVICE SHARES	NEW YORK, NY	9/30/2013	00681687-01	Registered
1ST CHRISTIAN CHURCH OF YUMA	YUMA, AZ	9/25/2013	00681543-02	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>
STRATEGIC STORAGE TR INC	LADERA RANCH, CA	9/24/2013	00681520-08	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>
BARON INVESTMENT FUNDS TR BARON DISCOVERY FUND INSTITUTIONAL SHARES	NEW YORK, NY	10/1/2013	00681691-03	Registered
BARON INVESTMENT FUNDS TR BARON DISCOVERY FUND RETAIL SHARES	NEW YORK, NY	10/1/2013	00681692-03	Registered
RIVERPARK FUNDS TR RIVERPARK STRATEGIC INCOME FUND RETAIL CLASS SHARES	NEW YORK, NY	10/1/2013	00681690-03	Registered
DIAMOND HILL FUNDS DIAMOND HILL SELECT FUND CLASS C	COLUMBUS, OH	9/30/2013	00681680-03	Registered
FUNDVANTAGE TR QUALITY DIVIDEND FUND CLASS A	WILMINGTON, DE	9/30/2013	00681682-03	Registered
FUNDVANTAGE TR QUALITY DIVIDEND FUND CLASS C	WILMINGTON, DE	9/30/2013	00681683-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
NATIXIS FUNDS TR 2 ASG TACTICAL US MARKET FUND CLASS A	BOSTON, MA	9/30/2013	00681684-03	Registered
NATIXIS FUNDS TR 2 ASG TACTICAL US MARKET FUND CLASS C	BOSTON, MA	9/30/2013	00681685-03	Registered
NATIXIS FUNDS TR 2 ASG TACTICAL US MARKET FUND CLASS Y	BOSTON, MA	9/30/2013	00681686-03	Registered
FUNDVANTAGE TR WHV SEIZERT SMALL CAP VALUE EQUITY FUND CLASS A SHARES	WILMINGTON, DE	9/27/2013	00681678-03	Registered
FUNDVANTAGE TR WHV SEIZERT SMALL CAP VALUE EQUITY FUND CLASS I SHARES	WILMINGTON, DE	9/27/2013	00681679-03	Registered
FORUM FUNDS STEINBERG SELECT FUND INSTITUTIONAL SHARES	PORTLAND, ME	9/26/2013	00681675-03	Pending-Cleared
FORUM FUNDS STEINBERG SELECT FUND INVESTOR SHARES	PORTLAND, ME	9/26/2013	00681676-03	Pending-Cleared
FUNDVANTAGE TR DUPONT CAPITAL EMERGING MARKETS DEBT FUND CLASS I	WILMINGTON, DE	9/26/2013	00681653-03	Registered
LEGG MASON PARTNERS EQUITY TR CLEARBRIDGE ENERGY MLP & INFRASTRUCTURE FUND CLASS I	NEW YORK, NY	9/26/2013	00681656-03	Registered
LINCOLN ADVISORS TR PRESIDENTIAL MANAGED RISK MODERATE FUND CLASS C	FORT WAYNE, IN	9/26/2013	00681655-03	Registered
LINCOLN ADVISORS TR PRESIDENTIAL MANAGED RISK MODERATE FUND CLASS A	FORT WAYNE, IN	9/26/2013	00681654-03	Registered

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DREYFUS LAUREL FUNDS INC DREYFUS FLOATING RATE INCOME FUND CLASS I	NEW YORK, NY	9/25/2013	00681642-03	Registered
DREYFUS LAUREL FUNDS INC DREYFUS FLOATING RATE INCOME FUND CLASS A	NEW YORK, NY	9/25/2013	00681641-03	Registered
DREYFUS LAUREL FUNDS INC DREYFUS FLOATING RATE INCOME FUND CLASS C	NEW YORK, NY	9/25/2013	00681643-03	Registered
DREYFUS LAUREL FUNDS INC DREYFUS FLOATING RATE INCOME FUND CLASS Y	NEW YORK, NY	9/25/2013	00681644-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1091 BLUEPRINTS TRIPLE PLAY PORTFOLIO SERIES 6	LISLE, IL	9/25/2013	00681540-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1091 GUGGENHEIM INTERNATIONAL DIVIDEND STRATEGY PORTFOLIO SERIES 21	LISLE, IL	9/25/2013	00681541-05	Pending-Cleared
PRINCIPAL FUNDS INC BLUE CHIP FUND CLASS A	DES MOINES, IA	9/25/2013	00681635-03	Pending-Cleared
PRINCIPAL FUNDS INC BLUE CHIP FUND CLASS C	DES MOINES, IA	9/25/2013	00681636-03	Pending-Cleared
PRINCIPAL FUNDS INC BLUE CHIP FUND CLASS P	DES MOINES, IA	9/25/2013	00681637-03	Pending-Cleared
PRINCIPAL FUNDS INC GLOBAL OPPORTUNITIES FUND CLASS A	DES MOINES, IA	9/25/2013	00681639-03	Pending-Cleared
PRINCIPAL FUNDS INC GLOBAL OPPORTUNITIES FUND CLASS C	DES MOINES, IA	9/25/2013	00681638-03	Pending-Cleared
PRINCIPAL FUNDS INC GLOBAL OPPORTUNITIES FUND CLASS P	DES MOINES, IA	9/25/2013	00681640-03	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
SMART TR DYNAMIC SECTOR INCOME TR SERIES 7	PARSIPPANY, NJ	9/25/2013	00681542-05	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON ACADIAN EMERGING MARKETS MANAGED VOLITILITY FUND INSTITUTIONAL CLASS	FT WORTH, TX	9/24/2013	00681527-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON ACADIAN EMERGING MARKETS MANAGED VOLITILITY FUND CLASS A	FT WORTH, TX	9/24/2013	00681526-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON ACADIAN EMERGING MARKETS MANAGED VOLITILITY FUND CLASS Y	FT WORTH, TX	9/24/2013	00681530-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON ACADIAN EMERGING MARKETS MANAGED VOLITILITY FUND INVESTOR CLASS	FT WORTH, TX	9/24/2013	00681529-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON ACADIAN EMERGING MARKETS MANAGED VOLITILITY FUND CLASS C	FT WORTH, TX	9/24/2013	00681528-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON SGA GLOBAL GROWTH FUND INSTITUTIONAL CLASS	FT WORTH, TX	9/24/2013	00681524-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON SGA GLOBAL GROWTH FUND CLASS A	FT WORTH, TX	9/24/2013	00681521-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON SGA GLOBAL GROWTH FUND Y CLASS	FT WORTH, TX	9/24/2013	00681525-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON SGA GLOBAL GROWTH FUND CLASS C	FT WORTH, TX	9/24/2013	00681522-03	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AMERICAN BEACON FUNDS AMERICAN BEACON SGA GLOBAL GROWTH FUND INVESTOR CLASS	FT WORTH, TX	9/24/2013	00681523-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIO SERIES 1038 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 28	LISLE, IL	9/24/2013	00681533-05	Pending-Cleared
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
FT 4405 US EQUITY CLOSED END PORTFOLIO SERIES 9	WHEATON, IL	9/23/2013	00681408-05	Pending-Cleared
FT 4417 S SENIOR 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

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PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T ROWE GLOBAL INDUSTRIALS FUND	BALTIMORE, MD	9/23/2013	00681463-03	Pending-Cleared
PRUDENTIAL WORLD FUND INC PRUDENTIAL JENNISON GLOBAL INFRASTRUCTURE FUND CLASS A	NEWARK, NJ	9/23/2013	00681347-03	Registered
PRUDENTIAL WORLD FUND INC PRUDENTIAL JENNISON GLOBAL INFRASTRUCTURE FUND CLASS Z	NEWARK, NJ	9/23/2013	00681349-03	Registered
PRUDENTIAL WORLD FUND INC PRUDENTIAL JENNISON GLOBAL INFRASTRUCTURE FUND CLASS C	NEWARK, NJ	9/23/2013	00681348-03	Registered
<b>Number of Investment Company Filings: 55</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>
LYONS LEGACY PERFORMANCE HORSES REVENUE FUND LP	BOWLING GREEN, KY	9/26/2013	00681548-07	Filed
PEAK ROCK CAPITAL FUND LP	AUSTIN, TX	9/26/2013	00681546-07	Filed
SCION G7 LP	CUPERTINO, CA	9/26/2013	00681544-07	Filed
SCION VALUE G7 LP	CUPERTINO, CA	9/26/2013	00681545-07	Filed
WELLNESS CENTER USA INC	SCHAUMBURG, IL	9/26/2013	00681547-07	Filed
FAIRMONT CROSSING PROPERTIES LP	MIDDLEBRG HTS, OH	9/25/2013	00681539-07	Filed
PROTEA BIOSCIENCES GROUP INC	MORGANTOWN, WV	9/25/2013	00681538-07	Filed
AQR DELTA XN FUND LP	GREENWICH, CT	9/24/2013	00681535-07	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>
BROWN ADVISORY INVESTORS 2013 QP RE LLLP	BALTIMORE, MD	9/24/2013	00681534-07	Filed
CLOUDCOVER LTD	BURNSVILLE, MN	9/23/2013	00681462-07	Filed
CRAFTFUND LLC	MILWAUKEE, WI	9/23/2013	00681459-07	Filed
JANIS ON BROADWAY LLC	NEW YORK, NY	9/23/2013	00681460-07	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>
World of Beer Franchising, Inc. / World of Beer	Tampa, FL	10/4/2013	606530	Registered
Dent Doctor, Inc. / Dent Doctor	Little Rock, AR	10/4/2013	606529	Registered
Smiling Moose Deli Franchise Company / Smiling Moose Deli	Denver, CO	10/4/2013	606527	Registered
The Decor Group, Inc.	Lubbock, TX	10/3/2013	606526	Registered
RPC Acquisition Corp. / Pro-Cuts (Sports)	Minneapolis, MN	10/3/2013	606525	Registered
AlphaGraphics, Inc. / AlphaGraphics	Salt Lake City, UT	9/30/2013	606531	Registered
LINE X FRANCHISING LLC	HUNTSVILLE, AL	9/30/2013	606532	Registered
Qualicare of America Inc	Southfield, MI	9/30/2013	606534	Registered
SEAL KING INC	LAKEVILLE, MN	9/30/2013	606535	Registered
Wholesome Tummies Franchise LLC	Orlando, FL	9/30/2013	606533	Registered
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

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<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>
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
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
<b>Number of Franchise Filings: 35</b>				

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