

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/30/2013 through 10/11/2013**

<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
<b>Number of Registration Filings: 1</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>
SUMMIT CHURCH HOMESTEAD HEIGHTS BAPTIST CHURCH INC	DURHAM, NC	10/1/2013	00681906-08	Not Disallowed
CANDI COACHWORKS CORP WI CORP	MEQUON, WI	9/30/2013	00681744-14	Filed
NEW GLARUS BANCORP INC	NEW GLARUS, WI	9/30/2013	00681745-08	Pending
<b>Number of Exemption Filings: 3</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>
FT 4428 INCOME ALLOCATION CLOSED END OCT 13	WHEATON, IL	10/4/2013	00681970-05	Pending-Cleared
FT 4429 DOW TARGET 10 OCT 13 TERM 11/7/14	WHEATON, IL	10/4/2013	00681969-05	Pending-Cleared
FT 4430 DOW TARGET 5 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681976-05	Pending-Cleared
FT 4430 DOW TARGET DVD 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681975-05	Pending-Cleared
FT 4430 GLOBAL TARGET 15 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681971-05	Pending-Cleared
FT 4430 NASDAQ TARGET 15 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681973-05	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 4430 NYSE INTL TARGET 25 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681972-05	Pending-Cleared
FT 4430 S&P TARGET 24 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681974-05	Pending-Cleared
FT 4430 S&P TARGET DVD MULTI STRAT 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681982-05	Pending-Cleared
FT 4430 S&P TARGET SMID 60 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681983-05	Pending-Cleared
FT 4430 TARGET DBL PLAY 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681981-05	Pending-Cleared
FT 4430 TARGET DIVSD DVD 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681985-05	Pending-Cleared
FT 4430 TARGET FOCUS 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681984-05	Pending-Cleared
FT 4430 TARGET FOCUS 5 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681979-05	Pending-Cleared
FT 4430 TARGET GLOBAL DVD LEADERS 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681987-05	Pending-Cleared
FT 4430 TARGET GROWTH 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681986-05	Pending-Cleared
FT 4430 TARGET TRIAD 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681980-05	Pending-Cleared
FT 4430 TARGET VIP 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681978-05	Pending-Cleared
FT 4430 VALUE LINE TARGET 25 4Q 13 TERM 1/9/15	WHEATON, IL	10/4/2013	00681977-05	Pending-Cleared
FT 4432 60/40 STRATEGIC ALLOCATION PORT 4Q 13 TERM 1/15/15	WHEATON, IL	10/4/2013	00681967-05	Pending-Cleared
FT 4432 75/25 STRATEGIC ALLOCATION PORT 4Q 13 TERM 1/15/15	WHEATON, IL	10/4/2013	00681966-05	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
FT 4439 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES AMERICAN INDUSTRIAL RENAISSANCE 2013 4	WHEATON, IL	10/4/2013	00681988-05	Pending-Cleared
FT 4440 SABRIENT DIVIDEND PORTFOLIO SERIES 3	WHEATON, IL	10/4/2013	00681968-05	Pending-Cleared
HIGHLAND FUNDS 2 HIGHLAND GLOBAL ALLOCATION FUND CLASS B SHARES	DALLAS, TX	10/4/2013	00681990-03	Registered
RYDEX SERIES FUNDS EMERGING MARKETS BOND STRATEGY FUND A CLASS	ROCKVILLE, MD	10/3/2013	00681877-03	Pending-Cleared
RYDEX SERIES FUNDS EMERGING MARKETS BOND STRATEGY FUND C CLASS	ROCKVILLE, MD	10/3/2013	00681878-03	Pending-Cleared
RYDEX SERIES FUNDS EMERGING MARKETS BOND STRATEGY FUND H CLASS	ROCKVILLE, MD	10/3/2013	00681879-03	Pending-Cleared
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS EQUITY INCOME FUND INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681959-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS EQUITY INCOME FUND ADVISOR CLASS	TRINITY, NY	10/2/2013	00681960-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS FUND FOR INCOME ADVISOR CLASS	TRINITY, NY	10/2/2013	00681945-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS GLOBAL FUND INSTITUTIONAL SHARES	TRINITY, NY	10/2/2013	00681957-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS GLOBAL FUND ADVISOR SHARES	TRINITY, NY	10/2/2013	00681958-03	Registered

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1ST INVESTORS EQUITY FUNDS 1ST INVESTORS GROWTH & INCOME FUND INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681955-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS GROWTH & INCOME FUND ADVISOR CLASS	TRINITY, NY	10/2/2013	00681956-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS INTERNATIONAL FUND INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681953-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS INTERNATIONAL FUND ADVISOR CLASS	TRINITY, NY	10/2/2013	00681954-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS OPPORTUNITY FUND INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681951-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS OPPORTUNITY FUND ADVISOR CLASS	TRINITY, NY	10/2/2013	00681952-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS SELECT GROWTH FUND INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681949-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS SELECT GROWTH FUND ADVISOR CLASS	TRINITY, NY	10/2/2013	00681950-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS SPECIAL SITUATION FUND INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681947-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS SPECIAL SITUATION FUND ADVISOR CLASS	TRINITY, NY	10/2/2013	00681948-03	Registered

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1ST INVESTORS EQUITY FUNDS 1ST INVESTORS TOTAL RETURN FUND INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681944-03	Registered
1ST INVESTORS EQUITY FUNDS 1ST INVESTORS TOTAL RETURN FUND ADVISOR CLASS	TRINITY, NY	10/2/2013	00681946-03	Registered
1ST INVESTORS INCOME FUNDS 1ST INVESTORS FLOATING RATE FUND CLASS A	TRINITY, NY	10/2/2013	00681942-03	Registered
1ST INVESTORS INCOME FUNDS 1ST INVESTORS FLOATING RATE FUND ADVISOR CLASS	TRINITY, NY	10/2/2013	00681941-03	Registered
1ST INVESTORS INCOME FUNDS 1ST INVESTORS FLOATING RATE FUND INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681940-03	Registered
1ST INVESTORS INCOME FUNDS 1ST INVESTORS FUND FOR INCOME INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681943-03	Registered
1ST INVESTORS INCOME FUNDS 1ST INVESTORS GOVERNMENT FUND ADVISOR CLASS	TRINITY, NY	10/2/2013	00681939-03	Registered
1ST INVESTORS INCOME FUNDS 1ST INVESTORS GOVERNMENT FUND INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681938-03	Registered
1ST INVESTORS INCOME FUNDS 1ST INVESTORS INTERNATIONAL OPPORTUNITIES BOND FUND INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681937-03	Registered
1ST INVESTORS INCOME FUNDS 1ST INVESTORS INTERNATIONAL OPPORTUNITIES BOND FUND ADVISOR CLASS	TRINITY, NY	10/2/2013	00681936-03	Registered

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1ST INVESTORS INCOME FUNDS 1ST INVESTORS INVESTMENT GRADE INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681934-03	Registered
1ST INVESTORS INCOME FUNDS 1ST INVESTORS INVESTMENT GRADE ADVISOR CLASS	TRINITY, NY	10/2/2013	00681935-03	Registered
1ST INVESTORS INCOME FUNDS 1ST INVESTORS STRATEGIC INCOME FUND ADVISOR CLASS	TRINITY, NY	10/2/2013	00681933-03	Registered
1ST INVESTORS TX EX FUNDS 1ST INVESTORS TX EX INCOME FUND INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681931-03	Registered
1ST INVESTORS TX EX FUNDS 1ST INVESTORS TX EX INCOME FUND ADVISOR CLASS	TRINITY, NY	10/2/2013	00681932-03	Registered
1ST INVESTORS TX EX FUNDS 1ST INVESTORS TX EX OPPORTUNITIES FUND ADVISOR CLASS	TRINITY, NY	10/2/2013	00681930-03	Registered
1ST INVESTORS TX EX FUNDS 1ST INVESTORS TX EX OPPORTUNITIES FUND INSTITUTIONAL CLASS	TRINITY, NY	10/2/2013	00681929-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC DFA SHORT DURATION REAL RETURN PORTFOLIO INSTITUTIONAL CLASS SHARES	ROLLINGWOOD, TX	10/2/2013	00681910-03	Registered
GUGGENHEIM DEFINED PORTFOLIO SERIES 1092 STRATEGIC INCOME PORTFOLIO 15 MONTH SERIES 72	LISLE, IL	10/2/2013	00681963-05	Pending-Cleared

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GUGGENHEIM DEFINED PORTFOLIO SERIES 1099 FLOATING RATE & DIVIDEND GROWTH PORTFOLIO SERIES 2	LISLE, IL	10/2/2013	00681962-05	Pending-Cleared
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
INVESCO UNIT TR SERIES 1357 INFLATUION HEDGE PORTFOLIO SERIES 11	OAKBROOK TER, IL	10/1/2013	00681925-05	Pending-Cleared
INVESCO UNIT TR SERIES 1374 DIVIDEND SUSTAINABILITY PORTFOLIO 2013 4	OAKBROOK TER, IL	10/1/2013	00681927-05	Pending-Cleared
INVESCO UNIT TR SERIES 1374 INTERNATIONAL DIVIDEND SUSTAINABILITY PORTFOLIO 2013 4	OAKBROOK TER, IL	10/1/2013	00681928-05	Pending-Cleared
INVESCO UNIT TR SERIES 1375 SELECT 10 INDUSTRIAL PORTFOLIO 2013 6	OAKBROOK TER, IL	10/1/2013	00681926-05	Pending-Cleared
INVESCO UNIT TR SERIES 1377 DIVERSIFIED HEALTHCARE PORTFOLIO SERIES 65	OAKBROOK TER, IL	10/1/2013	00681921-05	Pending-Cleared
INVESCO UNIT TR SERIES 1377 ENERGY PORTFOLIO SERIES 48	OAKBROOK TER, IL	10/1/2013	00681922-05	Pending-Cleared
INVESCO UNIT TR SERIES 1377 FINANCIAL INSTITUTIONS PORTFOLIO SERIES 60	OAKBROOK TER, IL	10/1/2013	00681923-05	Pending-Cleared
INVESCO UNIT TR SERIES 1377 REIT INCOME PORTFOLIO 2013 4	OAKBROOK TER, IL	10/1/2013	00681920-05	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
INVESCO UNIT TR SERIES 1377 UTILITY INCOME PORTFOLIO SERIES 45	OAKBROOK TER, IL	10/1/2013	00681924-05	Pending-Cleared
INVESCO UNIT TR SERIES 1378 MLP & INCOME PORTFOLIO SERIES 3	OAKBROOK TER, IL	10/1/2013	00681919-05	Pending-Cleared
INVESCO UNIT TR SERIES 1379 HIGH INCOME ALLOCATION PORTFOLIO SERIES 5	OAKBROOK TER, IL	10/1/2013	00681918-05	Pending-Cleared
INVESCO UNIT TR SERIES 1380 ALTERNATIVES ALLOCATION PORTFOLIO 2013 4	OAKBROOK TER, IL	10/1/2013	00681917-05	Pending-Cleared
INVESCO UNIT TR SERIES 1381 PREFERRED OPPORTUNITY PORTFOLIO SERIES 24	OAKBROOK TER, IL	10/1/2013	00681916-05	Pending-Cleared
INVESCO UNIT TR SERIES 1382 GLOBAL HIGH DIVIDEND PORTFOLIO 2013 4	OAKBROOK TER, IL	10/1/2013	00681915-05	Pending-Cleared
INVESCO UNIT TR SERIES 1384 CONSERVATIVE INCOME ALLOCATION PORTFOLIO SERIES 18	OAKBROOK TER, IL	10/1/2013	00681914-05	Pending-Cleared
RIVERPARK FUNDS TR RIVERPARK STRATEGIC INCOME FUND RETAIL CLASS SHARES	NEW YORK, NY	10/1/2013	00681690-03	Registered
AMANA MUTUAL FUNDS TR DEVELOPING WORLD FUND INSTITUTIONAL	BELLINGHAM, WA	9/30/2013	00681747-03	Pending-Cleared
AMANA MUTUAL FUNDS TR GROWTH FUND INSTITUTIONAL	BELLINGHAM, WA	9/30/2013	00681748-03	Pending-Cleared
AMANA MUTUAL FUNDS TR INCOME FUND INSTITUTIONAL	BELLINGHAM, WA	9/30/2013	00681749-03	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
DIAMOND HILL FUNDS DIAMOND HILL SELECT FUND CLASS C	COLUMBUS, OH	9/30/2013	00681680-03	Registered
DIREXION FUNDS DIREXION LONG SHORT GLOBAL CURRENCY FUND CLASS C	MILWAUKEE, WI	9/30/2013	00681750-03	Registered
DIREXION FUNDS DIREXION LONG SHORT GLOBAL CURRENCY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/30/2013	00681752-03	Registered
DIREXION FUNDS DIREXION LONG SHORT GLOBAL CURRENCY FUND CLASS A SHARES	MILWAUKEE, WI	9/30/2013	00681751-03	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
HCIM TR HATTERAS PE INTELLIGENCE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/30/2013	00681753-03	Registered
MANAGED PORTFOLIO SERIES TORTOISE SELECT OPPORTUNITY FUND INVESTOR CLASS SHARES	MILWAUKEE, WI	9/30/2013	00681754-03	Registered
MANAGED PORTFOLIO SERIES TORTOISE SELECT OPPORTUNITY FUND C CLASS SHARES	MILWAUKEE, WI	9/30/2013	00681756-03	Registered
MANAGED PORTFOLIO SERIES TORTOISE SELECT OPPORTUNITY FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	9/30/2013	00681755-03	Registered
NATIXIS FUNDS TR 2 ASG TACTICAL US MARKET FUND CLASS A	BOSTON, MA	9/30/2013	00681684-03	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 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
PRICE T ROWE INSTITUTIONAL INCOME FUNDS INC PTRI GLOBAL MULTI SECTOR BOND FUND	BALTIMORE, MD	9/30/2013	00681746-03	Pending-Cleared
<b>Number of Investment Company Filings: 97</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>
DISCOUNT RETAIL VENTURE 2 DST	OAK BROOK, IL	10/7/2013	00681995-07	Filed
INARI MEDICAL INC	ALISO VIEJO, CA	10/7/2013	00681994-07	Filed
LITESPEED OFFSHORE FUND LTD	GRAND CAYMAN, AA	10/7/2013	00681996-07	Filed
OCA STRATEGOS RMBS FUND	NEW YORK, NY	10/7/2013	00681993-07	Filed
AFFORDABLE HOUSING COMMUNITY FUND 4 LLC	CEDAREDGE, CO	10/4/2013	00681989-07	Filed
BROADTREE HOMES INC	ROCHESTER, NY	10/4/2013	00681991-07	Filed
ORCHARD VIEW ACQUISITION LLC	FAIRFIELD, CT	10/4/2013	00681992-07	Filed
MACARTHUR PARTNERS LLC	MILWAUKEE, WI	10/3/2013	00681965-07	Filed
EPINEX DIAGNOSTICS INC	TUSTIN, CA	10/2/2013	00681961-07	Filed
EXCELSIUS SURGICAL LLC	PHOENIX, AZ	10/1/2013	00681909-07	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>
INFORMATICS IN CONTEXT INC	BOSTON, MA	10/1/2013	00681908-07	Filed
VISANTE INC	SAINT PAUL, MN	10/1/2013	00681907-07	Filed
NATIONAL MILLWORK INC	RIVERA BEACH, FL	9/30/2013	00681743-07	Filed
NETSOCKET INC	PLANO, TX	9/30/2013	00681742-07	Filed
RIVERSTONE FIELDWOOD PARTNERS LP	NEW YORK, NY	9/30/2013	00681741-07	Filed
RP VILLAS AT WEST RIDGE LP	DALLAS, TX	9/30/2013	00681740-07	Filed
<b>Number of Regulation D Notice Filings: 16</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>
Sharkey's Franchise Offering Co., LLC / Sharkey's Hair It Is	Westport, CT	10/11/2013	606554	Registered
Christian Bros Automotive Corp	Houston, TX	10/10/2013	606550	Registered
LA TAN ENTERPRISES INC	LINCOLNWOOD, IL	10/10/2013	606551	Registered
Great Play Franchising LLC	Stamford, CT	10/8/2013	606549	Registered
Ian's Pizza United LLC / Ian's Pizza By The Slice	Madison, WI	10/8/2013	606552	Registered
Welcyon Franchising, LLC / Welcamp	Edina, MN	10/7/2013	606538	Registered
COFFEE BEANERY LTD	FLUSHING, MI	10/7/2013	606545	Registered
Tazinos Global Franchising LLC	Oak Creek, WI	10/7/2013	606544	Registered
Ram Jack Systems Distribution, LLC / Ram Jack Foundation Solutions	Ada, OK	10/6/2013	606537	Registered
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

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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
<b>Number of Franchise Filings: 19</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>	