

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/7/2013 through 10/18/2013**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Number of Registration Filings: 0				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CARMANAH TECHNOLOGIES CORP	VICTORIA, BC	10/14/2013	00682321-08	Pending
GRACE EVANGELICAL LUTHERAN CHURCH OF MENOMONEE FALLS WI	MENOMONEE FALLS, WI	10/11/2013	00682315-08	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
CALVERT IMPACT FUND INC CALVERT SMALL CAP FUND CLASS Y	BETHESDA, MD	10/14/2013	00682333-03	Pending-Cleared
FT 4441 DEEP VALUE SUB 10 DIVIDEND PORTFOLIO SERIES 10	WHEATON, IL	10/14/2013	00682331-05	Pending-Cleared
FT 4442 SELECT DSIP PORTFOLIO 4TH QUARTER 2013 SERIES	WHEATON, IL	10/14/2013	00682328-05	Pending-Cleared
FT 4443 STRATEGIC INCOME SELECT CLOSED END PORTFOLIO SERIES 15	WHEATON, IL	10/14/2013	00682327-05	Pending-Cleared
FT 4445 MARKET STRENGTH ALLOCATION PLUS PORTFOLIO SERIES 17	WHEATON, IL	10/14/2013	00682326-05	Pending-Cleared
FT 4446 CLOUD COMPUTING PORTFOLIO SERIES 9	WHEATON, IL	10/14/2013	00682347-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FT 4448 TECHNOLOGY SELECT PORTFOLIO SERIES 50	WHEATON, IL	10/14/2013	00682348-05	Pending-Cleared
FT 4449 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES MERGER & ACQUISITION PORTFOLIO 2013 3	WHEATON, IL	10/14/2013	00682346-05	Pending-Cleared
FT 4462 GLOBAL AGRICULTURE PORTFOLIO SERIES 26	WHEATON, IL	10/14/2013	00682330-05	Pending-Cleared
FT 4466 HIGH YIELD CLOSED END & SHORT TREASURY ETF PORTFOLIO SERIES 12	WHEATON, IL	10/14/2013	00682325-05	Pending-Cleared
FT 4467 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 55	WHEATON, IL	10/14/2013	00682349-05	Pending-Cleared
FT 4469 INNOVATIVE TECHNOLOGY PORTFOLIO SERIES	WHEATON, IL	10/14/2013	00682324-05	Pending-Cleared
FT 4472 STRATEGIC DIVIDEND PLUS PORTFOLIO SERIES 15	WHEATON, IL	10/14/2013	00682350-05	Pending-Cleared
SMARTTR CAPITAL INNOVATIONS GLOBAL INFRASTRUCTURE & MLP TR SERIES 4	PARSIPPANY, NJ	10/14/2013	00682329-05	Pending-Cleared
2 ROADS SHARED TR LJM PRESERVATION & GRWOTH FUND CLASS A SHARES	HAUPPAUGE, NY	10/11/2013	00682277-03	Registered
2 ROADS SHARED TR LJM PRESERVATION & GRWOTH FUND CLASS I SHARES	HAUPPAUGE, NY	10/11/2013	00682278-03	Registered
MUTUAL FUND SERIES TR DAY HAGAN TACTICAL ALLOCATION FUND ETFS CLASS A	HAUPPAUGE, NY	10/11/2013	00682275-03	Registered

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NORTHERN LIGHTS FUND TR 2 INNEALTA RISK BASED OPPORTUNITY MODERATE FUND CLASS I SHARES	HAUPPAUGE, NY	10/11/2013	00682273-03	Registered
NORTHERN LIGHTS FUND TR 2 INNEALTA RISK BASED OPPORTUNITY MODERATE FUND CLASS A SHARES	HAUPPAUGE, NY	10/11/2013	00682272-03	Registered
NORTHERN LIGHTS FUND TR 2 INNEALTA RISK BASED OPPORTUNITY MODERATE FUND CLASS N SHARES	HAUPPAUGE, NY	10/11/2013	00682274-03	Registered
EQUINOX FUNDS TR CAMPBELL STRATEGY FUND CLASS C	HAUPPAUGE, NY	10/9/2013	00682227-03	Registered
NORTHERN LIGHTS FUND TR 2 INNEALTA CAPITAL COUNTRY ROTATION FUND CLASS A SHARES	HAUPPAUGE, NY	10/9/2013	00682219-03	Registered
NORTHERN LIGHTS FUND TR 2 INNEALTA CAPITAL SECTOR ROTATION FUND CLASS A SHARES	HAUPPAUGE, NY	10/9/2013	00682220-03	Registered
NORTHERN LIGHTS FUND TR 3 GOOD HARBOR TACTICAL CORE INTERNATIONAL DEVELOPED MARKETS FUND CLASS A SHARES	HAUPPAUGE, NY	10/9/2013	00682223-03	Registered
NORTHERN LIGHTS FUND TR 3 GOOD HARBOR TACTICAL CORE INTERNATIONAL DEVELOPED MARKETS FUND CLASS I SHARES	HAUPPAUGE, NY	10/9/2013	00682222-03	Registered
NORTHERN LIGHTS FUND TR 3 GOOD HARBOR TACTICAL CORE INTERNATIONAL DEVELOPED MARKETS FUND CLASS C SHARES	HAUPPAUGE, NY	10/9/2013	00682221-03	Registered
NORTHERN LIGHTS FUND TR 3 GOOD HARBOR TACTICAL EQUITY INCOME FUND CLASS C SHARES	HAUPPAUGE, NY	10/9/2013	00682225-03	Registered

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NORTHERN LIGHTS FUND TR 3 GOOD HARBOR TACTICAL EQUITY INCOME FUND CLASS A SHARES	HAUPPAUGE, NY	10/9/2013	00682226-03	Registered
NORTHERN LIGHTS FUND TR 3 GOOD HARBOR TACTICAL EQUITY INCOME FUND CLASS I SHARES	HAUPPAUGE, NY	10/9/2013	00682224-03	Registered
NORTHERN LIGHTS FUND TR ALTERGRIS EQUITY LONG SHORET FUND CLASS C	HAUPPAUGE, NY	10/9/2013	00682228-03	Registered
NORTHERN LIGHTS FUND TR BTS TACTICAL FIXED INCOME FUND CLASS C SHARES	HAUPPAUGE, NY	10/9/2013	00682139-03	Registered
NORTHERN LIGHTS FUND TR BTS TACTICAL FIXED INCOME FUND CLASS A SHARES	HAUPPAUGE, NY	10/9/2013	00682138-03	Registered
NORTHERN LIGHTS FUND TR NAVIGATOR DURATION NEUTRAL BOND FUND CLASS I SHARES	HAUPPAUGE, NY	10/9/2013	00682137-03	Registered
ADVISORS DISCIPLINED TR 1059 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 76	MONUMENT, CO	10/8/2013	00682077-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1091 ADVISORS CORPORATE TR HIGH YIELD BOND PORTFOLIO SERIES 2013 OCTOBER HIMCO PORTFOLIO	MONUMENT, CO	10/8/2013	00682162-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1094 GLOBAL STRATEGY PORTFOLIO SERIES 2013 4Q HIMCO PORTFOLIO	MONUMENT, CO	10/8/2013	00682086-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1095 DIVIDE RULER PORTFOLIO SERIES 2013D	MONUMENT, CO	10/8/2013	00682079-05	Pending-Cleared

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ADVISORS DISCIPLINED TR 1096 ANGELS PORTFOLIO SERIES 2013 4Q	MONUMENT, CO	10/8/2013	00682080-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1097 BALANCED PORTFOLIO 15 MONTH SERIES 2013 4Q	MONUMENT, CO	10/8/2013	00682085-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1098 TACTICAL INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2013 4Q	MONUMENT, CO	10/8/2013	00682084-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1100 GLOBAL COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO 15 MONTH SERIES 2013 4Q	MONUMENT, CO	10/8/2013	00682081-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1101 BRAND FAVORITES FOCUS PORTFOLIO SERIES 2013 4Q	MONUMENT, CO	10/8/2013	00682082-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1102 GLOBAL GOLD INCOME PORTFOLIO SERIES 2013 4Q SMC PORTFOLIO	MONUMENT, CO	10/8/2013	00682170-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1103 DIVIDEND RULER COVERED CALL PORTFOLIO SERIES 2013 4Q	MONUMENT, CO	10/8/2013	00682163-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1104 ENHANCED EQUITY INCOME PORTFOLIO SERIES 2013 4Q	MONUMENT, CO	10/8/2013	00682161-05	Pending-Cleared
ADVISORS VARIABLE RATE & INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2013 4Q	MONUMENT, CO	10/8/2013	00682083-05	Pending-Cleared
FT 4431 DIVERSIFIED EQUITY STRATEGIC ALLOCATION PORT 4Q 13 TERM 1/15/15	WHEATON, IL	10/8/2013	00682090-05	Pending-Cleared
FT 4433 DIVERSIFIED FIXED INCOME ETF PORTFOLIO SERIES 15	WHEATON, IL	10/8/2013	00682076-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FT 4483 EQUITY CLOSED END PORTFOLIO SERIES 28	WHEATON, IL	10/8/2013	00682166-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1073 ALTERNATIVE INCOME PORTFOLIO SERIES 1	LISLE, IL	10/8/2013	00682167-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1093 CONVERTIBLE & INCOME PORTFOLIO OF FUNDS SERIES 18	LISLE, IL	10/8/2013	00682087-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1094 MULTIPLE ASSET PORTFOLIO PLUS SERIES 47	LISLE, IL	10/8/2013	00682089-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1094 STRATEGIC INCOME PORTFOLIO SERIES 79	LISLE, IL	10/8/2013	00682088-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1095 GUGGENHEIM US HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 10	LISLE, IL	10/8/2013	00682168-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1095 GUGGENHEIM US SMID HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 10	LISLE, IL	10/8/2013	00682169-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1096 GUGGENHEIM REIT PORTFOLIO SERIES 9	LISLE, IL	10/8/2013	00682164-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1108 SECULAR GROWTH PORTFOLIO 2013 SERIES	LISLE, IL	10/8/2013	00682165-05	Pending-Cleared
INCAPITAL UNIT TR SERIES 35 INCAPITAL MORNINGSTAR WIDE MOAT PORTFOLIO 4Q 2013	CHICAGO, IL	10/8/2013	00682078-05	Pending-Cleared
Number of Investment Company Filings: 58				

**All Securities Law, Franchise Law, and Take-Over Law Filings
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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
COMMUNITY FINANCIAL SHARES INC	GLEN ELLYN, IL	10/15/2013	00682338-07	Filed
CYMABAY THERAPEUTICS INC	HAYWARD, CA	10/15/2013	00682340-07	Filed
EMERGING TRADERS FUND LP	NORTH SALEM, NY	10/15/2013	00682343-07	Filed
IOTA FIELD DEVELOPMENT JOIT VENTURE	SAN ANTONIO, TX	10/15/2013	00682345-07	Filed
MERCER ACTIVE LONG CORPORATE INVESTMENT PORTFOLIO A SERIES OF MERCER GROUP TR	NORWOOD, MA	10/15/2013	00682342-07	Filed
MERCER GLOBAL LOW VOLATILITY EQUITY PORTFOLIO A SERIES OF MERCER COLLECTIVE TR	NORWOOD, MA	10/15/2013	00682339-07	Filed
PAMLICO CAPITAL 3 LP	CHARLOTTE, NC	10/15/2013	00682341-07	Filed
WEST LUCIEN FIELD DEVELOPMENT JOINT VENTURE	SAN ANTONIO, TX	10/15/2013	00682344-07	Filed
CENTRAL PARK GROUP ACTIVIST FUND LLC	NEW YORK, NY	10/14/2013	00682320-07	Filed
CRYOPORT INC	LAKE FOREST, CA	10/14/2013	00682318-07	Filed
REIGN DEVELOPMENT GROUP LLC	SELMA, TX	10/14/2013	00682323-07	Filed
SEMPER VIC PARTNERS LP	LANCASTER, PA	10/14/2013	00682319-07	Filed
CHANGE GLOBAL EMERGING OPPORTUNITIES LP	CAMAS, WA	10/11/2013	00682317-07	Filed
JANA PARTNERS QUALIFIED LP	NEW YORK, NY	10/11/2013	00682316-07	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
CSSAF PRIVATE INVESTORS LLC	NEW YORK, NY	10/10/2013	00682210-07	Filed
JOBHIVE INC	RALEIGH, NC	10/10/2013	00682211-07	Filed
TITANIUM GSA FUND LP	CHICAGO, IL	10/10/2013	00682208-07	Filed
BRIDGELINE DIGITAL INC	BURLINGTON, MA	10/9/2013	00682134-07	Filed
CCMP 3 PRIVATE INVESTORS LLC	NEW YORK, NY	10/9/2013	00682135-07	Filed
SAVILE ROW PORTFOLIO TAIL HEDGE LLC	CARMEL, IN	10/9/2013	00682136-07	Filed
TRAXO INC	DALLAS, TX	10/9/2013	00682133-07	Filed
DEL MAR ENERGY INC	FRISCO, TX	10/8/2013	00682132-07	Filed
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
Number of Regulation D Notice Filings: 26				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Teriyaki Madness LLC	Greenwood Village, CO	10/18/2013	606573	Registered
Budget Blinds, Inc. / Budget Blinds Veterans Program	Orange, CA	10/17/2013	606561	Registered
INFINIUM REALTY GROUP INC / HELP-U-SELL REAL ESTATE	SARASOTA, FL	10/17/2013	606560	Registered
GLORIA JEANS GOURMET COFFEES FRANCHISING CORP	Santa Fe Springs, CA	10/17/2013	606572	Registered
Mazzio's, LLC	Tulsa, OK	10/17/2013	606570	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
MMI BUSINESS BROKERS LLC	INDEPENDENCE, OH	10/17/2013	606571	Registered
MMI-GOC, LLC / Geeks On Call	Independence, OH	10/17/2013	606567	Registered
INTERIM HEALTHCARE INC	SUNRISE, FL	10/16/2013	606566	Registered
Kahala Franchising, L.L.C. / Taco Time	Scottsdale, AZ	10/15/2013	606559	Registered
BFK Franchise Company, LLC / Bricks 4 Kidz	St.Augustine, FL	10/15/2013	606558	Registered
Hissho International LLC / Hissho Sushi	Charlotte, NC	10/15/2013	606563	Registered
MATTRESS VENTURE LLC	HOUSTON, TX	10/15/2013	606564	Registered
Shula Burger, LLC	Ft. Lauderdale, FL	10/14/2013	606557	Registered
SUPERVALU INC	EDEN PRAIRIED, MN	10/14/2013	606562	Registered
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
Number of Franchise Filings: 22				

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