

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 10/14/2013 through 10/25/2013**

<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>
HIS TABERNACLE FAMILY CHURCH INC	HORSEHEADS, NY	10/18/2013	00683888-02	Pending-Cleared
FANTEX INC	SAN FRANCISCO, CA	10/17/2013	00682469-01	Pending-Cleared
CARTER VALIDUS MISSION CRITICAL REIT INC FOLLOW ON	TAMPA, FL	10/16/2013	00682445-01	Pending
<b>Number of Registration Filings: 3</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>
BAYSIDE COMMUNITY CHURCH OF SARASOTA INC	BRADENTON, FL	10/17/2013	00682468-08	Not Disallowed
CALVARY CHAPEL SURPRISE INC	SURPRISE, AZ	10/15/2013	00682377-10	Not Disallowed
CARMANAH TECHNOLOGIES CORP	VICTORIA, BC	10/14/2013	00682321-08	Not Disallowed
<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>
ADVISORS DISCIPLINED TR 1061 ADVISORS CORPORATE TR HIGH NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 77	MONUMENT, CO	10/21/2013	00683905-05	Pending-Cleared
BROWN ADVISORY FUNDS BROWN ADVISORY STRATEGIC EUROPEAN EQUITY FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	10/21/2013	00683911-03	Registered

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BROWN ADVISORY FUNDS BROWN ADVISORY STRATEGIC EUROPEAN EQUITY FUND ADVISOR SHARES	MILWAUKEE, WI	10/21/2013	00683910-03	Registered
BROWN ADVISORY FUNDS BROWN ADVISORY STRATEGIC EUROPEAN EQUITY FUND INVESTOR SHARES	MILWAUKEE, WI	10/21/2013	00683912-03	Registered
FT 4453 SMID HIGH DIVIDEND PORTFOLIO SERIES 11	WHEATON, IL	10/21/2013	00683902-05	Pending-Cleared
FT 4455 HIGH DIVIDEND EQUITY PORTFOLIO SERIES 16	WHEATON, IL	10/21/2013	00683904-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1087 GUGGENHEIM SHORT DURATION HIGH YUIELD TR SERIES 29	LISLE, IL	10/21/2013	00683903-05	Pending-Cleared
OPPENHEIMER GLOBAL HIGH YIELD FUND CLASS I SHARES	DENVER, CO	10/21/2013	00683914-03	Pending-Cleared
OPPENHEIMER GLOBAL HIGH YIELD FUND CLASS N SHARES	DENVER, CO	10/21/2013	00683915-03	Pending-Cleared
ADVISERS INVESTMENT TR JOHCM INTERNATIONAL SMALL CAP EQUITY FUND INSTITUTIONAL SHARES	COLUMBUS, OH	10/18/2013	00682523-03	Registered
ADVISERS INVESTMENT TR JOHCM INTERNATIONAL SMALL CAP EQUITY FUND CLASS I SHARES	COLUMBUS, OH	10/18/2013	00682524-03	Registered
ADVISORS DISCIPLINED TR 1108 GLOBAL INFLATION GROWTH PORTFOLIO SERIES 2013 2	MONUMENT, CO	10/18/2013	00683882-05	Pending-Cleared
FT 4451 GLOBAL COMMODITIES PORTFOLIO SERIES 24	WHEATON, IL	10/18/2013	00683893-05	Pending-Cleared

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FT 4461 NASDAQ DIVIDEND ACHIEVERS 25 PORTFOLIO SERIES	WHEATON, IL	10/18/2013	00683894-05	Pending-Cleared
FT 4471 CAPITAL STRENGTH BUY WRITE PORTFOLIO SERIES 11	WHEATON, IL	10/18/2013	00683895-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1097 MULTINATIONAL TITANS PORTFOLIO SERIES 5	LISLE, IL	10/18/2013	00683879-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1097 PRECIOUS METALS & MINERS PORTFOLIO SERIES 5	LISLE, IL	10/18/2013	00683880-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1097 TECHNOLOGY PORTFOLIO SERIES 13	LISLE, IL	10/18/2013	00683881-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1097 US HOUSING RECOVERY PORTFOLIO SERIES 2	LISLE, IL	10/18/2013	00683883-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1098 GUGGENHEIM BALANCED INCOME BUILDER PORTFOLIO SERIES 5	LISLE, IL	10/18/2013	00683878-05	Pending-Cleared
MANNING & NAPIER FUND INC DYNAMIC OPPORTUNITIES SERIES CLASS S	FAIRPORT, NY	10/18/2013	00682518-03	Pending-Cleared
MANNING & NAPIER FUND INC DYNAMIC OPPORTUNITIES SERIES CLASS I	FAIRPORT, NY	10/18/2013	00682521-03	Pending-Cleared
MANNING & NAPIER FUND INC EQUITY INCOME SERIES CLASS I	FAIRPORT, NY	10/18/2013	00682517-03	Pending-Cleared
MANNING & NAPIER FUND INC EQUITY INCOME SERIES CLASS S	FAIRPORT, NY	10/18/2013	00682519-03	Pending-Cleared

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MANNING & NAPIER FUND INC FOCUSED OPPORTUNITIES SERIES CLASS S	FAIRPORT, NY	10/18/2013	00682522-03	Pending-Cleared
MANNING & NAPIER FUND INC FOCUSED OPPORTUNITIES SERIES CLASS I	FAIRPORT, NY	10/18/2013	00682520-03	Pending-Cleared
ADVISORS DISCIPLINED TR 1105 UBIQUITOUS PORTFOLIO SERIES 2013 2	MONUMENT, CO	10/17/2013	00682465-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1106 STEELPATH MLP & INCOME PORTFOLIO SERIES 2013 4 OFI STEELPATH PORTFOLIO	MONUMENT, CO	10/17/2013	00682466-05	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AMERICAN CENTURY EMERGING MARKETS VALUE FUND R CLASS	KANSAS CITY, MO	10/17/2013	00682514-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AMERICAN CENTURY EMERGING MARKETS VALUE FUND INSTITUTIONAL CLASS	KANSAS CITY, MO	10/17/2013	00682516-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AMERICAN CENTURY EMERGING MARKETS VALUE FUND A CLASS	KANSAS CITY, MO	10/17/2013	00682512-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AMERICAN CENTURY EMERGING MARKETS VALUE FUND C CLASS	KANSAS CITY, MO	10/17/2013	00682513-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AMERICAN CENTURY EMERGING MARKETS VALUE FUND INVESTOR CLASS	KANSAS CITY, MO	10/17/2013	00682515-03	Pending-Cleared

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FIDELITY MUNICIPAL TR FIDELITY CONSERVATIVE INCOME MUNICIPAL BOND FUND FCIMBF	BOSTON, MA	10/17/2013	00682499-03	Registered
FIDELITY MUNICIPAL TR FIDELITY CONSERVATIVE INCOME MUNICIPAL BOND FUND INSTITUTIONAL CLASS	BOSTON, MA	10/17/2013	00682500-03	Registered
FINANCIAL INVESTORS TR EMERALD GROWTH FUND INSTITUTIONAL CLASS	DENVER, CO	10/17/2013	00682501-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1085 FINANCIALS PORTFOLIO SERIES 1	LISLE, IL	10/17/2013	00682463-05	Registered
INCAPITAL UNIT TR SERIES 36 ARGUS MODERN INNOVATORS SERIES 1	CHICAGO, IL	10/17/2013	00682464-05	Pending-Cleared
NORTHERN LIGHTS FUND TR 3 COVERED BRIDGE FUND CLASS A	HAUPPAUGE, NY	10/17/2013	00682449-03	Registered
NORTHERN LIGHTS FUND TR 3 TACTICAL ASSET ALLOCATION FUND CLASS A	HAUPPAUGE, NY	10/17/2013	00682447-03	Registered
NORTHERN LIGHTS FUND TR 3 TACTICAL ASSET ALLOCATION FUND CLASS I	HAUPPAUGE, NY	10/17/2013	00682448-03	Registered
1ST TR COMBINED SERIES 426 TX EX MUNICIPAL INCOME TR INTERMEDIATE SERIES 7	WHEATON, IL	10/16/2013	00682438-05	Pending-Cleared
FT 4447 EQUITY INCOME PORTFOLIO SERIES 40	WHEATON, IL	10/16/2013	00682443-05	Pending-Cleared
FT 4450 MARKET STRENGTH ALLOCATION SELECT PORTFOLIO SERIES 11	WHEATON, IL	10/16/2013	00682442-05	Pending-Cleared
FT 4452 CAPITAL STRENGTH PORTFOLIO SERIES 22	WHEATON, IL	10/16/2013	00682441-05	Pending-Cleared

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FT 4454 DIVIDEND GROWTH PORTFOLIO SERIES 3	WHEATON, IL	10/16/2013	00682440-05	Pending-Cleared
FT 4463 BALANCED INCOME EQUITY & ETF PORTFOLIO SERIES 6	WHEATON, IL	10/16/2013	00682444-05	Pending-Cleared
FT 4470 INTEREST RATE HEDGE & ETF PORTFOLIO SERIES	WHEATON, IL	10/16/2013	00682439-05	Pending-Cleared
JPMORGAN TR 1 JPMORGAN FLOATING RATE INCOME FUND CLASS R6 SHARES	BOSTON, MA	10/16/2013	00682498-03	Registered
ALLIANCEBERNSTEIN CORE OPPORTUNITIES FUND INC CLASS Z	NEW YORK, NY	10/15/2013	00682495-03	Registered
ALLIANCEBERNSTEIN EQUITY INCOME FUND INC CLASS Z	NEW YORK, NY	10/15/2013	00682497-03	Registered
ALLIANCEBERNSTEIN GLOBAL BOND FUND INC CLASS Z	NEW YORK, NY	10/15/2013	00682494-03	Registered
ALLIANCEBERNSTEIN GROWTH & INCOME FUND INC CLASS Z	NEW YORK, NY	10/15/2013	00682496-03	Registered
ALLIANCEBERNSTEIN HIGH INCOME FUND INC CLASS Z	NEW YORK, NY	10/15/2013	00682493-03	Registered
ALLIANCEBERNSTEIN TR ALLIANCEBERNSTEIN DISCOVERY VALUE FUND CLASS Z	NEW YORK, NY	10/15/2013	00682492-03	Registered
TOUCHSTONE FUNDS GROUP TR MID CAP FUND CLASS Y	CINCINNATI, OH	10/15/2013	00682490-03	Registered
TOUCHSTONE FUNDS GROUP TR MID CAP FUND INSTITUTIONAL CLASS	CINCINNATI, OH	10/15/2013	00682491-03	Registered

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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
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

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
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
<b>Number of Investment Company Filings: 71</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>
POINT CAPITAL INC	ENGLEWOOD, NJ	10/21/2013	00683901-07	Filed
ANCHOR BANCORP WI INC	MADISON, WI	10/18/2013	00683884-07	Filed
BRIDGES ON BROADWAY LTD LIABILITY CO	NEW YORK, NY	10/18/2013	00683885-07	Filed
POCONOS EQUITY INVESTORS LLC	WISC DELLS, WI	10/18/2013	00683891-07	Filed
SE ATLANTA CBP INVESTORS LLC	CHICAGO, IL	10/18/2013	00683889-07	Filed
VCHARGE INC	PROVIDENCE, RI	10/18/2013	00683892-07	Filed
YAPP MEDIA LLC	N CALDWELL, NJ	10/18/2013	00683890-07	Filed
HIGHLAND REGENCY HOUSE LLC	MANITOWOC, WI	10/17/2013	00682446-07	Filed
ALWAYSONVACATION INC	SAN RAMON, CA	10/16/2013	00682400-07	Filed
JUNIPER WACO HOLDINGS LTD	HOUSTON, TX	10/16/2013	00682402-07	Filed
ZEPPELINN ENERGY LP	SAN ANTONIO, TX	10/16/2013	00682401-07	Filed
COMMUNITY FINANCIAL SHARES INC	GLEN ELLYN, IL	10/15/2013	00682338-07	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>
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
<b>Number of Regulation D Notice Filings: 23</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>
ATL Franchises, Inc. / American Title Loans	Salt Lake City, UT	10/25/2013	606589	Registered
RPC Acquisition Corp. / Pro-Cuts (Classic)	Minneapolis, MN	10/24/2013	606580	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>
VALBRIDGE PROPERTY ADVISORS FRANCHISING SYSTEMS, LLC / VALBRIDGE PROPERTY ADVISORS	NAPLES, FL	10/24/2013	606579	Registered
MMI-PEC / Pro Energy Consultants	Independence, OH	10/23/2013	606587	Registered
MOSSY OAK PROPERTIES INC	WEST POINT, MS	10/23/2013	606588	Registered
Endurance House International, LLC / Endurance House	Middleton, WI	10/22/2013	606578	Registered
Champs Chicken Franchising LLC	Holts Summit, MO	10/22/2013	606586	Registered
CGI INTERNATIONAL, INC. / COLOR GLO INTERNATIONAL	EDINA, MN	10/21/2013	606575	Registered
Teriyaki Madness LLC	Greenwood Village, CO	10/18/2013	606573	Registered
5 STAR PAINTING INC	Spanish Fork, UT	10/18/2013	606584	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
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
<b>Number of Franchise Filings: 23</b>				

**Corporate Take-Over Law Filings Made with DFI's Securities Division**

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Takeover Filing Reference	Date Received
<b>Number of Takeover Filings: 0</b>	