

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 10/21/2013 through 11/1/2013**

<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>
SUPERFUND GREEN LP SERIES A	GRANDE ANSE ST GEORGES,	10/24/2013	00684110-01	Pending
<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>
<b>Number of Exemption Filings: 0</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>
TOUCHSTONE STRATEGIC TR GROWTH OPPORTUNITIES FUND INSTITUTIONAL SHARES	CINCINNATI, OH	10/25/2013	00683980-03	Registered
1ST TR COMBINED SERIES 427 TX EX MUNICIPAL INCOME TR LONG INTERMEDIATE SERIES 8	WHEATON, IL	10/24/2013	00684122-05	Pending-Cleared
FT 4464 HIGH DIVIDEND EQUITY ALLOCATION PORTFOLIO SERIES 9	WHEATON, IL	10/24/2013	00684119-05	Pending-Cleared
FT 4465 MILTI SECTOR INCOME PORTFOLIO SERIES 18	WHEATON, IL	10/24/2013	00684120-05	Pending-Cleared
FT 4468 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 39	WHEATON, IL	10/24/2013	00684118-05	Pending-Cleared
FT 4479 DIVIDEND & INCOME SELECT CLOSED END PORTFOLIO SERIES 36	WHEATON, IL	10/24/2013	00684121-05	Pending-Cleared

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FT 4501 GLOBAL EQUITY INCOME CLOSED END PORTFOLIO SERIES 32	WHEATON, IL	10/24/2013	00684117-05	Pending-Cleared
INVESCO UNIT TR SERIES 1385 NEW WORLD LEADERS PORTFOLIO SERIES 12	DOWNERS GROVE, IL	10/24/2013	00684135-05	Pending-Cleared
INVESCO UNIT TR SERIES 1387 DEFENSIVE EQUITY & INCOME PORTFOLIO SERIES 10	DOWNERS GROVE, IL	10/24/2013	00684133-05	Pending-Cleared
INVESCO UNIT TR SERIES 1387 EMERGING MARKETS DIVIDEND PORTFOLIO 2013 4	DOWNERS GROVE, IL	10/24/2013	00684134-05	Pending-Cleared
INVESCO UNIT TR SERIES 1388 DOW JONES TOTAL MARKET PORTFOLIO ENHANCED INDEX STRATEGY 2014 1	DOWNERS GROVE, IL	10/24/2013	00684132-05	Pending-Cleared
INVESCO UNIT TR SERIES 1388 ENHANCED SECTOR STRATEGY SECTOR ROTATION PORTFOLIO 2014 1	DOWNERS GROVE, IL	10/24/2013	00684131-05	Pending-Cleared
INVESCO UNIT TR SERIES 1389 AMERICAN INNOVATION LEADERS PORTFOLIO SERIES 3	DOWNERS GROVE, IL	10/24/2013	00684130-05	Pending-Cleared
INVESCO UNIT TR SERIES 1390 TECHNOLOGY PORTFOLIO 2014 1	DOWNERS GROVE, IL	10/24/2013	00684129-05	Pending-Cleared
INVESCO UNIT TR SERIES 1391 CLOSED END DISCOUNT OPPORTUNITY PORTFOLIO 2013 4	DOWNERS GROVE, IL	10/24/2013	00684128-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 461 VARIABLE & FIXED RATE CORPORATE TR SERIES 3	DOWNERS GROVE, IL	10/24/2013	00684140-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 462 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 54	DOWNERS GROVE, IL	10/24/2013	00684139-05	Pending-Cleared

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INVESCO UNIT TR TAXABLE INCOME SERIES 463 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 55	DOWNERS GROVE, IL	10/24/2013	00684138-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 469 INVESTMENT GRADE INCOME TR 7 PLUS YEAR SERIES 36	DOWNERS GROVE, IL	10/24/2013	00684137-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 486 INVESTMENT GRADE INCOME TR 7 PLUS YEAR SERIES 35	DOWNERS GROVE, IL	10/24/2013	00684136-05	Pending-Cleared
LAZARD FUNDS INC LAZARD EMERGING MARKETS CORE EQUITY PORTFOLIO OPEN SHARES	NEW YORK, NY	10/24/2013	00684116-03	Pending-Cleared
LAZARD FUNDS INC LAZARD EMERGING MARKETS CORE EQUITY PORTFOLIO INSTITUTIONAL SHARES	NEW YORK, NY	10/24/2013	00684115-03	Pending-Cleared
PARADIGM FUNDS PARADIGM MICRO CAP FUND	ALBANY, NY	10/24/2013	00684124-03	Registered
TOUCHSTONE FUNDS GROUP TR TOUCHSTONE MERGER ARBITRAGE FUND CLASS C	CINCINNATI, OH	10/24/2013	00683949-03	Registered
1ST TR COMBINED SERIES 428 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO INTERMEDIATE SERIES 3	WHEATON, IL	10/22/2013	00684037-05	Pending-Cleared
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 INVESTOR SHARES	MILWAUKEE, WI	10/21/2013	00683912-03	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 INSTITUTIONAL SHARES	MILWAUKEE, WI	10/21/2013	00683911-03	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
<b>Number of Investment Company Filings: 34</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>
1st RESERVE ENERGY INFRASTRUCTURE FUND 2 LP	GREENWICH, CT	10/25/2013	00684126-07	Filed
SCHUYLER HOTEL GROUP LLC	SCHUYLER, NE	10/25/2013	00684123-07	Filed
TAILWIND CAPITAL PARTNERS 2 AI LP	NEW YORK, NY	10/25/2013	00684125-07	Filed

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TAILWIND CAPITAL PARTNERS 2 LP	NEW YORK, NY	10/25/2013	00684127-07	Filed
BC WOOD REAL ESTATE FUND LP	LEXINGTON, KY	10/24/2013	00684113-07	Filed
BROWN ADVISORY INVESTORS 2013 EIG EF 16 LLLP	BALTIMORE, MD	10/24/2013	00684114-07	Filed
GSO COMMUNITY DEVELOPMENT CAPITAL GROUP LP	NEW YORK, NY	10/24/2013	00684111-07	Filed
METROPOLITAN BANCGROUP INC	RIDGELAND, MS	10/24/2013	00684112-07	Filed
STARWOOD ENERGY INFRASTRUCTURE FUND 2 GLOBAL LP	GREENWICH, CT	10/24/2013	00684109-07	Filed
GENTRY AQUION ENERGY INVESTMENT 1 LLC	CHICAGO, IL	10/23/2013	00684064-07	Filed
NEUROVANCE INC	CAMBRIDGE, MA	10/23/2013	00684063-07	Filed
POINT CAPITAL INC	ENGLEWOOD, NJ	10/21/2013	00683901-07	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>
BIMBO FOODS BAKERIES DISTRIBUTION INC	HORSHAM, PA	11/1/2013	606603	Registered
The Senior's Choice, Inc.	Incline Village, NV	11/1/2013	606609	Registered
The Dentist's Choice, Inc.	Incline Village, NV	11/1/2013	606608	Registered
BB FRANCHISING LLC / Brain Balance Achievement Centers	Jersey City, NJ	11/1/2013	606607	Registered
1 800 FLOWERS.COM FRANCHISE CO INC / Conversion Program	CARLE PLACE, NY	10/30/2013	606601	Registered
Fannie May Franchise	North Canton, OH	10/30/2013	606599	Registered
Yogurt Lab Franchising LLC	Minneapolis, MN	10/30/2013	606612	Registered

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Supercuts, Inc. / SUPERCUTS	Minneapolis, MN	10/29/2013	606594	Registered
STONE MOUNTAIN CARPET MILLS INC / The Floor Trader	St. Louis, MO	10/29/2013	606605	Registered
AGILE PURSUITS FRANCHISING INC / Tide Dry Cleaners	CINCINNATI, OH	10/28/2013	606602	Registered
ARTHUR MURRAY INTERNATIONAL INC	CORAL GABLES, FL	10/28/2013	606604	Registered
ITEX CORP	BELLEVUE, WA	10/28/2013	606606	Registered
WINZER FRANCHISE CO INC / WINZER	Plano, TX	10/28/2013	606610	Registered
ATL Franchises, Inc. / American Title Loans	Salt Lake City, UT	10/25/2013	606589	Registered
Goliathtech Inc	Magog Quebec, ON	10/25/2013	606611	Registered
LGN Franchise System, LLC / Look Good Naked/The Naked Way	Stillwater, MN	10/25/2013	606600	Registered
RPC Acquisition Corp. / Pro-Cuts (Classic)	Minneapolis, MN	10/24/2013	606580	Registered
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
<b>Number of Franchise Filings: 23</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>	