

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/28/2013 through 11/8/2013**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ALLEGIANCY LLC	RICHMOND, VA	10/30/2013	00684620-02	Pending
CAREY WATERMARK INVESTORS INC FOLLOW ON	NEW YORK, NY	10/29/2013	00684616-01	Pending
Number of Registration Filings: 2				

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

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FIDELITY SUMMER STREET TR FIDELITY SHORT DURATION HIGH INCOME FUND FIDELITY ADVISOR SDHIF CLASS A	BOSTON, MA	11/4/2013	00684902-03	Registered
FIDELITY SUMMER STREET TR FIDELITY SHORT DURATION HIGH INCOME FUND FIDELITY ADVISOR SDHIF INSTITUTIONAL CLASS	BOSTON, MA	11/4/2013	00684901-03	Registered
FIDELITY SUMMER STREET TR FIDELITY SHORT DURATION HIGH INCOME FUND FIDELITY ADVISOR SDHIF CLASS T	BOSTON, MA	11/4/2013	00684903-03	Registered
FIDELITY SUMMER STREET TR FIDELITY SHORT DURATION HIGH INCOME FUND FIDELITY ADVISOR SDHIF CLASS C	BOSTON, MA	11/4/2013	00684900-03	Registered

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FIDELITY SUMMER STREET TR FIDELITY SHORT DURATION HIGH INCOME FUND FIDELITY SHORT DURATION HIGH INCOME FUND	BOSTON, MA	11/4/2013	00684899-03	Registered
ADVISORS INNER CIRCLE FUND 2 KOPERNIK GLOBAL ALL CAP FUND CLASS A SHARES	BOSTON, MA	11/1/2013	00684669-03	Registered
ADVISORS INNER CIRCLE FUND 2 KOPERNIK GLOBAL ALL CAP FUND CLASS I SHARES	BOSTON, MA	11/1/2013	00684670-03	Registered
ADVISORS INNER CIRCLE FUND CBRE CLARION GLOBAL INFRASTRUCTURE VALUE FUND INVESTOR CLASS SHARES	BOSTON, MA	11/1/2013	00684668-03	Registered
ADVISORS INNER CIRCLE FUND THOMSON HORSTMANN & BRYANT SMALL CAP VALUE FUND INSTITUTIONAL CLASS SHARES	BOSTON, MA	11/1/2013	00684662-03	Registered
ADVISORS INNER CIRCLE FUND THOMSON HORSTMANN & BRYANT SMALL CAP VALUE FUND INVESTOR CLASS SHARES	BOSTON, MA	11/1/2013	00684663-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS FRONTIER EQUITY FUND INSTITUTIONAL CLASS SHARES	LONDON, UK	11/1/2013	00684674-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS FRONTIER EQUITY FUND CLASS A SHARES	LONDON, UK	11/1/2013	00684672-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS FRONTIER EQUITY FUND CLASS C SHARES	LONDON, UK	11/1/2013	00684673-03	Registered
BLACKROCK LIQUIDITY FUNDS TREASURY TR FUND SELECT SHARES	WILMINGTON, DE	11/1/2013	00684671-03	Registered

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Firm Name	Location	Date Received	File Number	Status
EATON VANCE MUTUAL FUNDS TR EATON VANCE SHORT DURATION HIGH INCOME FUND CLASS A SHARES	BOSTON, MA	11/1/2013	00684648-03	Registered
EATON VANCE MUTUAL FUNDS TR EATON VANCE SHORT DURATION HIGH INCOME FUND CLASS I SHARES	BOSTON, MA	11/1/2013	00684649-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW GLOBAL HIGH YIELD FUND CLASS R	BALTIMORE, MD	11/1/2013	00684667-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW GLOBAL HIGH YIELD FUND CLASS FI	BALTIMORE, MD	11/1/2013	00684665-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW GLOBAL HIGH YIELD FUND CLASS C	BALTIMORE, MD	11/1/2013	00684664-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW GLOBAL HIGH YIELD FUND CLASS A	BALTIMORE, MD	11/1/2013	00684666-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA FLOATING RATE CLASS A	ST. PETERSBURG, FL	11/1/2013	00684657-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA FLOATING RATE CLASS C	ST. PETERSBURG, FL	11/1/2013	00684659-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA FLOATING RATE CLASS I	ST. PETERSBURG, FL	11/1/2013	00684661-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA MID CAP GROWTH CLASS A	ST. PETERSBURG, FL	11/1/2013	00684660-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA MID CAP GROWTH CLASS C	ST. PETERSBURG, FL	11/1/2013	00684654-03	Registered

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TRANSAMERICA FUNDS TRANSAMERICA MID CAP GROWTH CLASS I	ST. PETERSBURG, FL	11/1/2013	00684655-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA OPPORTUNISTIC ALLOCATION CLASS A	ST. PETERSBURG, FL	11/1/2013	00684653-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA OPPORTUNISTIC ALLOCATION CLASS I	ST. PETERSBURG, FL	11/1/2013	00684656-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA OPPORTUNISTIC ALLOCATION CLASS C	ST. PETERSBURG, FL	11/1/2013	00684658-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA SMALL CAP CORE CLASS A	ST. PETERSBURG, FL	11/1/2013	00684650-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA SMALL CAP CORE CLASS C	ST. PETERSBURG, FL	11/1/2013	00684651-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA SMALL CAP CORE CLASS I	ST. PETERSBURG, FL	11/1/2013	00684652-03	Registered
DMS FUNDS DMS BALTIC INDEX FUND CLASS I	LEESPORT, PA	10/30/2013	00684619-03	Registered
FIDELITY ADVISOR SERIES 2 FIDELITY ADVISOR LTD TERM BOND FUND FIDELITY LTD TERM BOND FUND	BOSTON, MA	10/30/2013	00684627-03	Registered
GUIDESTONE FUNDS EMERGING MARKETS EQUITY FUND GS2 CLASS	DALLAS, TX	10/30/2013	00684631-03	Registered
GUIDESTONE FUNDS EMERGING MARKETS EQUITY FUND GS4 CLASS	DALLAS, TX	10/30/2013	00684632-03	Registered

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Firm Name	Location	Date Received	File Number	Status
MERIDIAN FUND INC MERIDIAN SMALL CAP GROWTH FUND INSTITUTIONAL CLASS SHARES	LARKSPUR, CA	10/30/2013	00684629-03	Pending-Cleared
MERIDIAN FUND INC MERIDIAN SMALL CAP GROWTH FUND ADVISOR CLASS SHARES	LARKSPUR, CA	10/30/2013	00684628-03	Pending-Cleared
MERIDIAN FUND INC MERIDIAN SMALL CAP GROWTH FUND LEGACY CLASS SHARES	LARKSPUR, CA	10/30/2013	00684630-03	Pending-Cleared
AMERICAFIRST QUANTITATIVE TR AMERICAFIRST DEFENSIVE GROWTH & INCOME PORTFOLIO SERIES 3	WHEATON, IL	10/29/2013	00684617-05	Pending-Cleared
CALVERT IMPACT FUND INC CALVERT GREEN BOND FUND CGBF CLASS A	BETHESDA, MD	10/29/2013	00684580-03	Registered
CALVERT IMPACT FUND INC CALVERT GREEN BOND FUND CLASS I	BETHESDA, MD	10/29/2013	00684579-03	Registered
CALVERT IMPACT FUND INC CALVERT GREEN BOND FUND CLASS Y	BETHESDA, MD	10/29/2013	00684578-03	Registered
FT 4480 INCOME DIVIDEND EQUITY ALLOCATION IDEA PORTFOLIO SERIES 3	WHEATON, IL	10/29/2013	00684583-05	Pending-Cleared
FT 4481 BANKING OPPORTUNITY PORTFOLIO SERIES 12	WHEATON, IL	10/29/2013	00684585-05	Pending-Cleared
FT 4482 NATURAL GAS PORTFOLIO SERIES 19	WHEATON, IL	10/29/2013	00684582-05	Pending-Cleared
FT 4487 DIVERSIFIED INCOME & GROWTH PORTFOLIO WINTER 2013 SERIES	WHEATON, IL	10/29/2013	00684584-05	Pending-Cleared

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1100 US LOW VOLITILITY STRATEGY PORTFOLIO SERIES 5	LISLE, IL	10/29/2013	00684581-05	Pending-Cleared
ADVISORS SERIES TR DAVIDSON MULTI CAP EQUITY FUND CLASS I	MILWAUKEE, WI	10/28/2013	00684525-03	Registered
AMERICAFIRST QUANTITATIVE TR AMERICAFIRST SEASONAL TRENDS FUND CLASS A	HAUPPAUGE, NY	10/28/2013	00684526-03	Registered
AMERICAFIRST QUANTITATIVE TR AMERICAFIRST SEASONAL TRENDS FUND CLASS I	HAUPPAUGE, NY	10/28/2013	00684527-03	Registered
AMERICAFIRST QUANTITATIVE TR AMERICAFIRST SEASONAL TRENDS FUND CLASS U	HAUPPAUGE, NY	10/28/2013	00684528-03	Registered
AQR FUNDS AQR STYLE PREMIA ALTERNATIVE FUND CLASS I SHARES	GREENWICH, CT	10/28/2013	00684515-03	Registered
AQR FUNDS AQR STYLE PREMIA ALTERNATIVE FUND CLASS N SHARES	GREENWICH, CT	10/28/2013	00684516-03	Registered
BRIDGE BUILDER TR BRIDGE BUILDER BOND FUND	MILWAUKEE, WI	10/28/2013	00684524-03	Registered
DUNHAM FUNDS DUNHAM FLOATING RATE BOND FUND CLASS A SHARES	HAUPPAUGE, NY	10/28/2013	00684529-03	Registered
DUNHAM FUNDS DUNHAM FLOATING RATE BOND FUND CLASS N SHARES	HAUPPAUGE, NY	10/28/2013	00684531-03	Registered
DUNHAM FUNDS DUNHAM INTERNATIONAL OPPORTUNITY BOND FUND CLASS A SHARES	HAUPPAUGE, NY	10/28/2013	00684532-03	Registered

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DUNHAM FUNDS DUNHAM INTERNATIONAL OPPORTUNITY BOND FUND CLASS N SHARES	HAUPPAUGE, NY	10/28/2013	00684530-03	Registered
HARTFORD SERIES FUND INC HARTFORD ULTRASHORT BOND HLS FUND CLASS IA SHARES	BOSTON, MA	10/28/2013	00684542-03	Registered
HARTFORD SERIES FUND INC HARTFORD ULTRASHORT BOND HLS FUND CLASS IS SHARES	BOSTON, MA	10/28/2013	00684541-03	Registered
INVESTMENT MANAGERS SERIES TR SILVERPEPPER COMMODITY STRATEGIES GLOBAL MARCO FUND ADVISOR CLASS	MILWAUKEE, WI	10/28/2013	00684536-03	Registered
INVESTMENT MANAGERS SERIES TR SILVERPEPPER COMMODITY STRATEGIES GLOBAL MARCO FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	10/28/2013	00684535-03	Registered
INVESTMENT MANAGERS SERIES TR SILVERPEPPER MERGER ARBITRAGE FUND ADVISOR CLASS	MILWAUKEE, WI	10/28/2013	00684533-03	Registered
INVESTMENT MANAGERS SERIES TR SILVERPEPPER MERGER ARBITRAGE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	10/28/2013	00684534-03	Registered
JANUS INVESTMENT FUND JANUS GLOBAL BOND FUND CLASS N SHARES	DENVER, CO	10/28/2013	00684517-03	Registered
Number of Investment Company Filings: 66				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ALTAIR OH 13 LLC	LOS ANGELES, CA	10/30/2013	00684615-07	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
CROWN CLEVELAND 10 JOINT VENTURE	CARROLLTON, TX	10/30/2013	00684614-07	Filed
CYTODYN INC	VANCOUVER, WA	10/30/2013	00684618-07	Filed
LAKE GENEVA FUND LP	SAN FRANCISCO, CA	10/29/2013	00684548-07	Filed
SERIES 1 OF RMB PRIVATE EQUITY OPPORTUNITIES QP LLC	CHICAGO, IL	10/28/2013	00684519-07	Filed
Number of Regulation D Notice Filings: 5				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
5 Day Kitchens LLC / 5 Day Kitchens	Tempe, AZ	11/8/2013	606646	Registered
ReBath, LLC / Re-Bath	Tempe, AZ	11/8/2013	606645	Registered
Live Basil Franchising LLC / Live Basil	Denver, CO	11/7/2013	606642	Registered
LashDip Franchise International, LLC / LashDip	Las Vegas, NV	11/7/2013	606641	Registered
YoFresh Yogurts Franchising, Inc. / YoFresh Yogurt Cafe	Boston, MA	11/7/2013	606637	Registered
1-800-Junkpro, LLC	Valley Center, KS	11/7/2013	606640	Registered
Kona Ice, Inc. / Kona Ice	Florence, KY	11/6/2013	606630	Registered
JAZZERCISE INC	CARLSBAD, CA	11/6/2013	606639	Registered
Bimbo Bakeries Distribution Company, Ltd.	Horsham, PA	11/5/2013	606619	Registered
Earthgrains Distribution, LLC / Earthgrains	Horsham, PA	11/5/2013	606618	Registered
CPR-Cell Phone Repair Franchise Systems, Inc. / CPR - Cell Phone Repair	Independence, OH	11/4/2013	606622	Registered
DIRECTBUY INC	MERRILLVILLE, IN	11/4/2013	606621	Registered
Fresh Green Light Franchise Partners LLC	Cos Cob, CT	11/4/2013	606629	Registered
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

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Legal Name / Trade Name	Location	Date Received	File Number	Status
BB FRANCHISING LLC / Brain Balance Achievement Centers	Jersey City, NJ	11/1/2013	606607	Registered
Blow Dry Bar United States LLC / Cherry Blow Dry Bar Salon	New York, NY	10/31/2013	606627	Registered
Pie 5 Pizza Co., Inc. / Pie 5 Restaurant	The Colony, TX	10/31/2013	606636	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
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
Number of Franchise Filings: 28				

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