

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/4/2013 through 11/15/2013**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
INVESCO SENIOR LOAN FUND CLASS Y SHARES	ATLANTA, GA	11/7/2013	00684963-01	Registered
LIPOCINE INC	SALT LAKE CITY, UT	11/6/2013	00685156-01	Pending
Number of Registration Filings: 2				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
UNION BETHEL AFRICAN METHODIST EPISCOPAL CHURCH INC	BRANDYWINE, MD	11/6/2013	00685223-08	Not Disallowed
GRAYBAR ELECTRIC CO INC	ST LOUIS, MO	11/4/2013	00685151-06	Exempt
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
FT 4476 BIOTECHNOLOGY PORTFOLIO SERIES 22	WHEATON, IL	11/11/2013	00685274-05	Pending-Cleared
FT 4492 GLOBAL HARD ASSETS PORTFOLIO SERIES 16	WHEATON, IL	11/11/2013	00685271-05	Pending-Cleared
FT 4493 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 46	WHEATON, IL	11/11/2013	00685273-05	Pending-Cleared
FT 4511 CYCLICAL STRENGTH PORTFOLIO SERIES 3	WHEATON, IL	11/11/2013	00685272-05	Pending-Cleared
NORTHERN LIGHTS FUND TR ASCENDANT DIVERSIFIED INCOME & GROWTH FUND CLASS A	SMITHTOWN, NY	11/8/2013	00685267-03	Registered

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NORTHERN LIGHTS FUND TR POWER DIVIDEND INDEX FUND CLASS A SHARES	SMITHTOWN, NY	11/8/2013	00685263-03	Registered
NORTHERN LIGHTS FUND TR POWER DIVIDEND INDEX FUND CLASS I SHARES	SMITHTOWN, NY	11/8/2013	00685262-03	Registered
TOUCHSTONE STRATEGIC TR TOUCHSTONE FOCUSED FUND CLASS C	CINCINNATI, OH	11/8/2013	00685280-03	Registered
FT 4474 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END SERIES 38	WHEATON, IL	11/7/2013	00685234-05	Pending-Cleared
FT 4490 INFLATION HEDGE OPPORTUNITY PORTFOLIO SERIES 19	WHEATON, IL	11/7/2013	00685235-05	Pending-Cleared
FT 4504 TACTICAL INCOME PORTFOLIO SERIES 24	WHEATON, IL	11/7/2013	00685233-05	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2015 PORTFOLIO CLASS R4	BOSTON, MA	11/7/2013	00684967-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2030 PORTFOLIO CLASS R6	BOSTON, MA	11/7/2013	00684979-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2045 PORTFOLIO CLASS R6	BOSTON, MA	11/7/2013	00684984-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2010 PORTFOLIO CLASS R4	BOSTON, MA	11/7/2013	00684965-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2045 PORTFOLIO CLASS R4	BOSTON, MA	11/7/2013	00684982-03	Registered

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HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2040 PORTFOLIO CLASS R2	BOSTON, MA	11/7/2013	00684974-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2030 PORTFOLIO CLASS R2	BOSTON, MA	11/7/2013	00684977-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2020 PORTFOLIO CLASS R4	BOSTON, MA	11/7/2013	00684971-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2020 PORTFOLIO CLASS R6	BOSTON, MA	11/7/2013	00684973-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2030 PORTFOLIO CLASS R4	BOSTON, MA	11/7/2013	00684987-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2020 PORTFOLIO CLASS R2	BOSTON, MA	11/7/2013	00684970-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2010 PORTFOLIO CLASS R2	BOSTON, MA	11/7/2013	00684964-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2040 PORTFOLIO CLASS R6	BOSTON, MA	11/7/2013	00684978-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2025 PORTFOLIO CLASS R6	BOSTON, MA	11/7/2013	00684983-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2025 PORTFOLIO CLASS R2	BOSTON, MA	11/7/2013	00684989-03	Registered

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HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2040 PORTFOLIO CLASS R4	BOSTON, MA	11/7/2013	00684976-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2035 PORTFOLIO CLASS R4	BOSTON, MA	11/7/2013	00684981-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2050 PORTFOLIO CLASS R4	BOSTON, MA	11/7/2013	00684988-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2035 PORTFOLIO CLASS R6	BOSTON, MA	11/7/2013	00684972-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2050 PORTFOLIO CLASS R2	BOSTON, MA	11/7/2013	00684986-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2015 PORTFOLIO CLASS R2	BOSTON, MA	11/7/2013	00684969-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2025 PORTFOLIO CLASS R4	BOSTON, MA	11/7/2013	00684975-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2050 PORTFOLIO CLASS R6	BOSTON, MA	11/7/2013	00684990-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2015 PORTFOLIO CLASS R6	BOSTON, MA	11/7/2013	00684968-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2045 PORTFOLIO CLASS R2	BOSTON, MA	11/7/2013	00684980-03	Registered

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HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2035 PORTFOLIO CLASS R2	BOSTON, MA	11/7/2013	00684985-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2 2010 PORTFOLIO CLASS R6	BOSTON, MA	11/7/2013	00684966-03	Registered
PUTNAM DIVERSIFIED INCOME TR CLASS R5	BOSTON, MA	11/7/2013	00684993-03	Registered
PUTNAM DIVERSIFIED INCOME TR CLASS R6	BOSTON, MA	11/7/2013	00684991-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM SMALL CAP VALUE FUND CLASS R5	BOSTON, MA	11/7/2013	00684992-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM SMALL CAP VALUE FUND CLASS R6	BOSTON, MA	11/7/2013	00684994-03	Registered
LEGG MASON PARTNERS EQUITY TR CLEARBRIDGE ENERGY MLP & INFRASTRUCTURE FUND CLASS A	NEW YORK, NY	11/5/2013	00684948-03	Registered
LEGG MASON PARTNERS EQUITY TR CLEARBRIDGE ENERGY MLP & INFRASTRUCTURE FUND CLASS FI	NEW YORK, NY	11/5/2013	00684947-03	Registered
LEGG MASON PARTNERS EQUITY TR CLEARBRIDGE ENERGY MLP & INFRASTRUCTURE FUND CLASS C	NEW YORK, NY	11/5/2013	00684946-03	Registered
FIDELITY SUMMER STREET TR FIDELITY SHORT DURATION HIGH INCOME FUND FIDELITY SHORT DURATION HIGH INCOME FUND	BOSTON, MA	11/4/2013	00684899-03	Registered
FIDELITY SUMMER STREET TR FIDELITY SHORT DURATION HIGH INCOME FUND FIDELITY ADVISOR SDHIF CLASS A	BOSTON, MA	11/4/2013	00684902-03	Registered

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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
FIDELITY SUMMER STREET TR FIDELITY SHORT DURATION HIGH INCOME FUND FIDELITY ADVISOR SDHIF INSTITUTIONAL CLASS	BOSTON, MA	11/4/2013	00684901-03	Registered
HARTFORD SERIES FUND INC HARTFORD INDEX HLS FUND CLASS IB SHARES	BOSTON, MA	11/4/2013	00685138-03	Registered
Number of Investment Company Filings: 51				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MARE ISLAND DRY DOC INVESTMENT LLC	VALLEJO, CA	11/12/2013	00685275-07	Filed
MERCURY FUND VENTURES 3 LP	HOUSTON, TX	11/12/2013	00685276-07	Filed
MLG PRIVATE FUND LLC	BROOKFIELD, WI	11/8/2013	00685270-07	Filed
VISTA FOUNDATION FUND 2 EXECUTIVE LP	SAN FRANCISCO, CA	11/8/2013	00685268-07	Filed
VISTA FOUNDATION FUND 2 LP	SAN FRANCISCO, CA	11/8/2013	00685269-07	Filed
ALEPH ALEPH LP	TEL AVIV, AA	11/7/2013	00685231-07	Filed
CRESTVIEW PARTNERS 3 LP	NEW YORK, NY	11/7/2013	00685232-07	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
CAPITAL GROUP ALTERNATIVE STRATEGIES FUND LP	LOS ANGELES, CA	11/6/2013	00685154-07	Filed
zero COUPON PHARMACY 2 DST	OAK BROOK, IL	11/6/2013	00685153-07	Filed
2013 BAYOU CITY MSAN DEVELOPMENT PROGRAM LP	BOWLING GREEN, KY	11/5/2013	00685152-07	Filed
AURORA RESURGENCE FUND 2 LP	LOS ANGELES, CA	11/5/2013	00685150-07	Filed
HKW CAPITAL PARTNERS 4 A LP	NEW YORK, NY	11/5/2013	00685148-07	Filed
VR ACQUISITIONS INVESTORS LLC	CHICAGO, IL	11/5/2013	00685149-07	Filed
BAYLOR SOLAR ENERGY INC	SAN DIEGO, CA	11/4/2013	00685120-07	Filed
PHARMACO KINESIS CORP	LOS ANGELES, CA	11/4/2013	00685139-07	Filed
REALTA ENTERTAINMENT GROUP INC	CAMPBELL, CA	11/4/2013	00685140-07	Filed
Number of Regulation D Notice Filings: 16				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Vein Clinics of America, Inc. / Vein Clinics of America	Downers Grove, IL	11/13/2013	606657	Registered
Fava World Franchising, LLC.	Appleton, WI	11/12/2013	606655	Registered
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
Sub Zero Franchising, Inc. / Sub Zero Ice Cream & Yogurt	American Fork, UT	11/8/2013	606656	Registered
Live Basil Franchising LLC / Live Basil	Denver, CO	11/7/2013	606642	Registered

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Legal Name / Trade Name	Location	Date Received	File Number	Status
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
Number of Franchise Filings: 16				

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