

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/11/2013 through 11/22/2013**

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
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
FRANKLIN ALTERNATIVE STRATEGIES TR FRANKLIN K2 ALTERNATIVE STRATEGIES FUND CLASS R6	SAN MATEO, CA	11/18/2013	00685369-03	Registered
FRANKLIN ALTERNATIVE STRATEGIES TR FRANKLIN K2 ALTERNATIVE STRATEGIES FUND CLASS A	SAN MATEO, CA	11/18/2013	00685368-03	Registered
FRANKLIN ALTERNATIVE STRATEGIES TR FRANKLIN K2 ALTERNATIVE STRATEGIES FUND ADVISOR CLASS	SAN MATEO, CA	11/18/2013	00685370-03	Registered
FRANKLIN ALTERNATIVE STRATEGIES TR FRANKLIN K2 ALTERNATIVE STRATEGIES FUND CLASS R	SAN MATEO, CA	11/18/2013	00685367-03	Registered
FRANKLIN ALTERNATIVE STRATEGIES TR FRANKLIN K2 ALTERNATIVE STRATEGIES FUND CLASS C	SAN MATEO, CA	11/18/2013	00685366-03	Registered
DRIEHAUS MUTUAL FUNDS DRIEHAUS MICRO CAP GROWTH FUND	CHICAGO, IL	11/15/2013	00685352-03	Registered
DREYFUS SHORT DURATION BOND FUND CLASS D	NEW YORK, NY	11/14/2013	00685349-03	Registered

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
DREYFUS SHORT DURATION BOND FUND CLASS I	NEW YORK, NY	11/14/2013	00685348-03	Registered
DREYFUS SHORT DURATION BOND FUND CLASS Y	NEW YORK, NY	11/14/2013	00685350-03	Registered
MAINSTAY FUNDS TR MAINSTAY EMERGING MARKETS OPPORTUNITIES FUND CLASS C	NEW YORK, NY	11/14/2013	00685346-03	Registered
MAINSTAY FUNDS TR MAINSTAY EMERGING MARKETS OPPORTUNITIES FUND CLASS A	NEW YORK, NY	11/14/2013	00685344-03	Registered
MAINSTAY FUNDS TR MAINSTAY EMERGING MARKETS OPPORTUNITIES FUND CLASS I	NEW YORK, NY	11/14/2013	00685345-03	Registered
MAINSTAY FUNDS TR MAINSTAY EMERGING MARKETS OPPORTUNITIES FUND INVESTOR CLASS	NEW YORK, NY	11/14/2013	00685347-03	Registered
MERIDIAN FUND INC MERIDIAN CONTRARIAN FUND ADVISOR CLASS SHARES	DENVER, CO	11/14/2013	00685343-03	Registered
MERIDIAN FUND INC MERIDIAN CONTRARIAN FUND INSTITUTIONAL CLASS SHARES	DENVER, CO	11/14/2013	00685338-03	Registered
MERIDIAN FUND INC MERIDIAN EQUITY INCOME FUND ADVISOR CLASS SHARES	DENVER, CO	11/14/2013	00685340-03	Registered
MERIDIAN FUND INC MERIDIAN EQUITY INCOME FUND INSTITUTIONAL CLASS SHARES	DENVER, CO	11/14/2013	00685342-03	Registered
MERIDIAN FUND INC MERIDIAN GROWTH FUND ADVISOR CLASS SHARES	DENVER, CO	11/14/2013	00685339-03	Registered

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MERIDIAN FUND INC MERIDIAN GROWTH FUND INSTITUTIONAL CLASS SHARES	DENVER, CO	11/14/2013	00685341-03	Registered
RIVERPARK FUNDS TR RIVERPARK STRATEGIC INCOME FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	11/14/2013	00685351-03	Registered
ADVISERS INVESTMENT TR JOHCM GLOBAL EQUITY FUND CLASS I SHARES	COLUMBUS, OH	11/13/2013	00685336-03	Pending-Cleared
ADVISORS DISCIPLINED TR 1120 COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO 2 YR SERIES 2013 2	MONUMENT, CO	11/12/2013	00685584-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1159 TX EX SECURITIES TR INTERMEDIATE DURATION NATIONAL TR 469	MONUMENT, CO	11/12/2013	00685586-05	Pending-Cleared
FT 4473 IPOX GLOBAL 40 PORTFOLIO SERIES	WHEATON, IL	11/12/2013	00685583-05	Pending-Cleared
FT 4475 CORE 3 QUALIFIED CLOSED END ALLOCTION PORTFOLIO SERIES 5	WHEATON, IL	11/12/2013	00685582-05	Pending-Cleared
FT 4477 REIT GROWTH & INCOME SELECT PORTFOLIO SERIES 26	WHEATON, IL	11/12/2013	00685581-05	Pending-Cleared
FT 4510 INTEREST RAETE HEDGE PORTFOLIO SERIES 78	WHEATON, IL	11/12/2013	00685585-05	Pending-Cleared
FT 4512 DISCOUNT OPPORTUNITY CLOSED END PORTFOLIO SERIES 2	WHEATON, IL	11/12/2013	00685587-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1102 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO SERIES 23	LISLE, IL	11/12/2013	00685579-05	Pending-Cleared

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1102 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO 2 YR SERIES 6	LISLE, IL	11/12/2013	00685580-05	Pending-Cleared
VAN ECK FUNDS LONG SHORT EQUITY FUND CLASS A	NEW YORK, NY	11/12/2013	00685575-03	Pending-Cleared
VAN ECK FUNDS LONG SHORT EQUITY FUND CLASS I	NEW YORK, NY	11/12/2013	00685574-03	Pending-Cleared
VAN ECK FUNDS LONG SHORT EQUITY FUND CLASS Y	NEW YORK, NY	11/12/2013	00685573-03	Pending-Cleared
ADVISORS DISCIPLINED TR 1114 STRATEGIC HIGH 80 DIVIDEND PORTFOLIO SERIES 2013 4Q	MONUMENT, CO	11/11/2013	00685402-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1115 TACTICAL INCOME CLOSED END PORTFOLIO SERIES 2013 4	MONUMENT, CO	11/11/2013	00685404-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1116 DOW VALUE 10 PORTFOLIO SERIES 2013 4Q	MONUMENT, CO	11/11/2013	00685405-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1117 INTERNATIONAL HIGH 30 DIVIDEND PORTFOLIO SERIES 2013 4Q	MONUMENT, CO	11/11/2013	00685406-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1118 MULTI SOURCE INCOME PORTFOLIO SERIES 2013 4Q	MONUMENT, CO	11/11/2013	00685407-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1119 ADVISORS CORE EQUITY STRATEGY PORTFOLIO SERIES 2013 4Q	MONUMENT, CO	11/11/2013	00685408-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1121 STRATEGIC FOUNDATIONS OF GROWTH PORTFOLIO SERIES 2013 2	MONUMENT, CO	11/11/2013	00685409-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS INTERNATIONAL MULTI MANAGER FUND CLASS N	BOSTON, MA	11/11/2013	00685317-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS INTERNATIONAL MULTI MANAGER FUND CLASS L	BOSTON, MA	11/11/2013	00685325-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS CORE INCOME MULTI MANAGER FUND CLASS N	BOSTON, MA	11/11/2013	00685328-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS CORE INCOME MULTI MANAGER FUND CLASS L	BOSTON, MA	11/11/2013	00685326-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS CORE MULTI MANAGER FUND CLASS L	BOSTON, MA	11/11/2013	00685313-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS CORE MULTI MANAGER FUND CLASS N	BOSTON, MA	11/11/2013	00685314-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS EMERGING MARKETS FUND OF FUNDS CLASS L	BOSTON, MA	11/11/2013	00685318-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS EMERGING MARKETS FUND OF FUNDS CLASS N	BOSTON, MA	11/11/2013	00685320-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS GROWTH MULTI MANAGER FUND CLASS N	BOSTON, MA	11/11/2013	00685316-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS GROWTH MULTI MANAGER FUND CLASS L	BOSTON, MA	11/11/2013	00685315-03	Registered

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS INCOME OPPORTUNITIES FUND OF FUNDS CLASS N	BOSTON, MA	11/11/2013	00685324-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS INCOME OPPORTUNITIES FUND OF FUNDS CLASS L	BOSTON, MA	11/11/2013	00685322-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS SMALL MID CAP MULTI MANAGER FUND CLASS N	BOSTON, MA	11/11/2013	00685321-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS SMALL MID CAP MULTI MANAGER FUND CLASS L	BOSTON, MA	11/11/2013	00685327-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS VALUE MULTI MANAGER FUND CLASS N	BOSTON, MA	11/11/2013	00685319-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS VALUE MULTI MANAGER FUND CLASS L	BOSTON, MA	11/11/2013	00685323-03	Registered
FT 4476 BIOTECHNOLOGY PORTFOLIO SERIES 22	WHEATON, IL	11/11/2013	00685274-05	Pending-Cleared
FT 4491 1ST TR EFT ALLOCATION PORTFOLIO SERIES 7	WHEATON, IL	11/11/2013	00685403-05	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 4509 SENIOR LOAN & LTD DURATIO CLOSED END PORTFOLIO SERIES 47	WHEATON, IL	11/11/2013	00685400-05	Pending-Cleared

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 4511 CYCLICAL STRENGTH PORTFOLIO SERIES 3	WHEATON, IL	11/11/2013	00685272-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1101 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 45	LISLE, IL	11/11/2013	00685397-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1101 INFRASTRUCTURE & MLP PORTFOLIO OF CEFS SERIES 16	LISLE, IL	11/11/2013	00685401-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1101 NATIONAL MUNICIPAL PORTFOLIO OF CEFS SERIES 25	LISLE, IL	11/11/2013	00685398-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1101 SENIOR LOAN & INCOME PORTFOLIO OF CEFS SERIES 24	LISLE, IL	11/11/2013	00685399-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1179 INVESTMENT GRADE MUNICIPAL TR SERIES 171	DOWNERS GROVE, IL	11/11/2013	00685504-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1180 INVESTMENT GRADE MUNICIPAL TR SERIES 172	DOWNERS GROVE, IL	11/11/2013	00685505-05	Pending-Cleared
INVESCO UNIT TR SERIES 1386 ETF ALLOCATION PORTFOLIO SERIES 17	DOWNERS GROVE, IL	11/11/2013	00685498-05	Pending-Cleared
INVESCO UNIT TR SERIES 1386 ETF DIVERSIFIED INCOME PORTFOLIO SERIES 15	DOWNERS GROVE, IL	11/11/2013	00685499-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 464 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 45	DOWNERS GROVE, IL	11/11/2013	00685502-05	Pending-Cleared

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
INVESCO UNIT TR TAXABLE INCOME SERIES 465 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 46	DOWNERS GROVE, IL	11/11/2013	00685503-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 470 HIGH INCOME INVESTMENT GRADE TR SERIES 4	DOWNERS GROVE, IL	11/11/2013	00685500-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 471 HIGH INCOME INVESTMENT GRADE TR SERIES 5	DOWNERS GROVE, IL	11/11/2013	00685501-05	Pending-Cleared
Number of Investment Company Filings: 74				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ACCLIVITY CAPITAL PARTNERS LP	NEW YORK, NY	11/12/2013	00685577-07	Filed
COMCAPP FISHERMANS WHARF LLC	SAN ANTONIO, TX	11/12/2013	00685578-07	Filed
GARRETT FIELD 3 D JOINT VENTURE	SAN ANTONIO, TX	11/12/2013	00685572-07	Filed
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
METROPOLITAN MEDICAL PROPERTIES LP	MIDDLEBRG HTS, OH	11/12/2013	00685576-07	Filed
COMPAGNIE DE STAINTE GOBAIN	LA DEFENSE CEDEX, AA	11/11/2013	00685506-07	Filed
PARTNERS GROUP PRIVATE EQUITY INSTITUTIONAL LLC	NEW YORK, NY	11/11/2013	00685507-07	Filed
Number of Regulation D Notice Filings: 8				

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Cupcake Charlie's Franchising, LLC	Pocasset, MA	11/19/2013	606669	Registered
CBD FRANCHISING, INC. / CLOSETS BY DESIGN	CYPRESS, CA	11/18/2013	606666	Registered
DIET CENTER WORLDWIDE INC	AKRON, OH	11/15/2013	606665	Registered
PAYLESS CAR RENTAL SYSTEMS INC / Payless Car Rental Systems Inc	ST PETERSBURG, FL	11/15/2013	606664	Registered
ChemStation International, Inc.	Dayton, OH	11/14/2013	606668	Registered
COMPUTER TROUBLESHOOTERS USA INC	Independence, OH	11/14/2013	606662	Registered
SPHERION STAFFING LLC	Atlanta, GA	11/14/2013	606667	Registered
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
Number of Franchise Filings: 9				

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