

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/13/2014 through 1/24/2014**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CALVARY TABERNACLE INC	HEMPSTEAD, NY	1/16/2014	00695303-02	Pending
GWG HOLDINGS INC	MINNEAPOLIS, MN	1/13/2014	00694502-01	Registered
INLAND REAL ESTATE INCOME TR 2 INC	OAK BROOK, IL	1/13/2014	00694501-01	Pending
Number of Registration Filings: 3				

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
FORUM FUNDS 2 BAYWOOD SKBA VALUEPLUS FUND INSTITUTIONAL SHARES	PORTLAND, ME	1/17/2014	00694433-03	Registered
FORUM FUNDS 2 BAYWOOD SKBA VALUEPLUS FUND INVESTOR SHARES	PORTLAND, ME	1/17/2014	00694435-03	Registered
INVESTMENT MANAGERS SERIES TR 361 GLOBAL MANAGED FUTURES STRATEGY FUND CLASS A	MILWAUKEE, WI	1/17/2014	00695332-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR 361 GLOBAL MANAGED FUTURES STRATEGY FUND CLASS I	MILWAUKEE, WI	1/17/2014	00695333-03	Pending-Cleared
OUTLOOK FUNDS TR 3D PRINTING & TECHNOLOGY FUND INSTITUTIONAL SHARES	PORTLAND, MA	1/17/2014	00694434-03	Pending-Cleared

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THORNBURG INVESTMENT TR THORNBURG LTD TERM INCOME FUND CLASS R4	SANTA FE, NM	1/17/2014	00695331-03	Pending-Cleared
THORNBURG INVESTMENT TR THORNBURG LTD TERM US GOVERNMENT FUND CLASS R4	SANTA FE, NM	1/17/2014	00695330-03	Pending-Cleared
THORNBURG INVESTMENT TR THORNBURG STRATEGIC INCOME FUND CLASS R4	SANTA FE, NM	1/17/2014	00695329-03	Pending-Cleared
EQUINOX FUNDS TR EQUINOX BH DG STRATEGY FUND CLASS I	HAUPPAAUGE, NY	1/16/2014	00695311-03	Registered
FUNDVANTAGE TR WHV INTERNATIONAL EQUITY FUND CLASS C SHARES	WILMINGTON, DE	1/16/2014	00694338-03	Registered
HARBOR FUNDS HARBOR SMALL CAP GROWTH OPPORTUNITIES FUND INSTITUTIONAL CLASS	CHICAGO, IL	1/16/2014	00694430-03	Pending-Cleared
HARBOR FUNDS HARBOR SMALL CAP GROWTH OPPORTUNITIES FUND INVESTOR CLASS	CHICAGO, IL	1/16/2014	00694432-03	Pending-Cleared
HARBOR FUNDS HARBOR SMALL CAP GROWTH OPPORTUNITIES FUND ADMINISTRATIVE CLASS	CHICAGO, IL	1/16/2014	00694431-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR TOROSO NEWFOUND TACTICAL ALLOCATION FUND CLASS C SHARES	MILWAUKEE, WI	1/16/2014	00695306-03	Registered
INVESTMENT MANAGERS SERIES TR TOROSO NEWFOUND TACTICAL ALLOCATION FUND CLASS A SHARES	MILWAUKEE, WI	1/16/2014	00695305-03	Registered

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INVESTMENT MANAGERS SERIES TR TOROSO NEWFOUND TACTICAL ALLOCATION FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	1/16/2014	00695307-03	Registered
NEUBERGER BERMAN INCOME FUNDS NEUBERGER BERMAN UNCONSTRAINED BOND FUND CLASS R6	NEW YORK, NY	1/16/2014	00695326-03	Pending-Cleared
NEUBERGER BERMAN INCOME FUNDS NEUBERGER BERMAN UNCONSTRAINED BOND FUND CLASS C	NEW YORK, NY	1/16/2014	00695324-03	Pending-Cleared
NEUBERGER BERMAN INCOME FUNDS NEUBERGER BERMAN UNCONSTRAINED BOND FUND INSTITUTIONAL CLASS	NEW YORK, NY	1/16/2014	00695325-03	Pending-Cleared
NEUBERGER BERMAN INCOME FUNDS NEUBERGER BERMAN UNCONSTRAINED BOND FUND CLASS A	NEW YORK, NY	1/16/2014	00695323-03	Pending-Cleared
NORTHERN LIGHTS FUND TR 3 EVEN KEEL EXPLORER MANAGED RISK FUND CLASS A SHARES	HAUPPAAUGE, NY	1/16/2014	00695312-03	Registered
NORTHERN LIGHTS FUND TR 3 EVEN KEEL EXPLORER MANAGED RISK FUND CLASS I SHARES	HAUPPAAUGE, NY	1/16/2014	00695313-03	Registered
NORTHERN LIGHTS FUND TR 3 EVEN KEEL MANAGED RISK FUND CLASS I SHARES	HAUPPAAUGE, NY	1/16/2014	00695315-03	Registered
NORTHERN LIGHTS FUND TR 3 EVEN KEEL MANAGED RISK FUND CLASS A SHARES	HAUPPAAUGE, NY	1/16/2014	00695314-03	Registered
NORTHERN LIGHTS FUND TR 3 EVEN KEEL OPPORTUNITIES MANAGED RISK FUND CLASS A SHARES	HAUPPAAUGE, NY	1/16/2014	00695316-03	Registered

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NORTHERN LIGHTS FUND TR 3 EVEN KEEL OPPORTUNITIES MANAGED RISK FUND CLASS I SHARES	HAUPPAAUGE, NY	1/16/2014	00695317-03	Registered
NORTHERN LIGHTS FUND TR 3 EVEN KEEL TRAVELER MANAGED RISK FUND CLASS I SHARES	HAUPPAAUGE, NY	1/16/2014	00695319-03	Registered
NORTHERN LIGHTS FUND TR 3 EVEN KEEL TRAVELER MANAGED RISK FUND CLASS A SHARES	HAUPPAAUGE, NY	1/16/2014	00695318-03	Registered
NORTHERN LIGHTS FUND TR 3 RESQ ABSOLUTE EQUITY FUND CLASS A SHARES	HAUPPAAUGE, NY	1/16/2014	00695321-03	Registered
NORTHERN LIGHTS FUND TR 3 RESQ ABSOLUTE INCOME FUND CLASS A SHARES	HAUPPAAUGE, NY	1/16/2014	00695320-03	Registered
NORTHERN LIGHTS FUND TR ALTEGRIS AACA REAL ESTATE LONG SHORT FUND CLASS N	HAUPPAAUGE, NY	1/16/2014	00695308-03	Registered
1ST TR COMBINED SERIES 435 TX EXEMPT MUNICIPAL INCOME TR 10 20 YEAR SERIES 10	WHEATON, IL	1/15/2014	00695239-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1186 BLUE CHIP COVERED CALL PORTFOLIO SERIES 2014 1Q	MONUMENT, CO	1/15/2014	00695242-05	Pending-Cleared
ADVISORS INNER CIRCLE FUND SAROFIM EQUITY FUND	BOSTON, MA	1/15/2014	00694337-03	Registered
FT 4578 SELECT DSIP PORTFOLIO 1ST QUARTER 2014 SERIES	WHEATON, IL	1/15/2014	00695240-05	Pending-Cleared
FT 4606 WEDBUSH SELECT CHOICE 2014 TR	WHEATON, IL	1/15/2014	00695241-05	Pending-Cleared
ICON FUNDS ICON CONSUMER STAPLES FUND CLASS A SHARES	GREENWOOD VILLAGE, CO	1/15/2014	00695270-03	Registered

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Firm Name	Location	Date Received	File Number	Status
ICON FUNDS ICON HEALTHCARE FUND CLASS A SHARES	GREENWOOD VILLAGE, CO	1/15/2014	00695269-03	Registered
TSC UITS 3 TSC HERZFELD ENHANCED DIVIDEND INCOME CLOSED END PORTFOLIO 1Q 2014	BOSTON, MA	1/15/2014	00695244-05	Pending-Cleared
TSC UITS 3 TSC HERZFELD MUNICIPAL INCOME CLOSED END PORTFOLIO 1Q 2014	BOSTON, MA	1/15/2014	00695243-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1133 SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2014 1Q	MONUMENT, CO	1/13/2014	00694487-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1134 STRATEGIC HIGH 50/Q 50 DIVIDEND & GROWTH PORTFOLIO SERIES 2014 1Q	MONUMENT, CO	1/13/2014	00694488-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1135 DIVIDEND RULER PORTFOLIO SERIES 2014A	MONUMENT, CO	1/13/2014	00694489-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1136 ANGELS PORTFOLIO SERIES 2014 1Q	MONUMENT, CO	1/13/2014	00694490-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1137 BALANCED PORTFOLIO 15 MONTH SERIES 2014 1Q	MONUMENT, CO	1/13/2014	00694491-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1138 TACTICAL INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2014 1Q	MONUMENT, CO	1/13/2014	00694492-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1139 GLOBAL COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO 15 MONTH SERIES 2014 1Q	MONUMENT, CO	1/13/2014	00694493-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1140 GLOBAL DIVIDEND STRATEGY PORTFOLIO SERIES 1Q HIMCO PORTFOLIO	MONUMENT, CO	1/13/2014	00694494-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
API FUNDS API EFFICIENT FRONTIER GROWTH FUND INSTITUTIONAL CLASS SHARES	LYNCHBURG, VA	1/13/2014	00694151-03	Registered
API FUNDS API MASTER ALLOCATION FUND INSTITUTIONAL CLASS SHARES	LYNCHBURG, VA	1/13/2014	00694152-03	Registered
INVESTMENT MANAGERS SERIES TR ZACKS DIVIDEND STRATEGY FUND INVESTOR CLASS SHARES	MILWAUKEE, WI	1/13/2014	00694486-03	Pending-Cleared
LEGG MASON PARTNERS EQUITY TR PERMAL ALTERNATIVE SELECT FUND CLASS I	NEW YORK, NY	1/13/2014	00694155-03	Pending-Cleared
LEGG MASON PARTNERS EQUITY TR PERMAL ALTERNATIVE SELECT FUND CLASS IS	NEW YORK, NY	1/13/2014	00694156-03	Pending-Cleared
LEGG MASON PARTNERS EQUITY TR PERMAL ALTERNATIVE SELECT FUND CLASS A	NEW YORK, NY	1/13/2014	00694153-03	Pending-Cleared
LEGG MASON PARTNERS EQUITY TR PERMAL ALTERNATIVE SELECT FUND CLASS FI	NEW YORK, NY	1/13/2014	00694157-03	Pending-Cleared
LEGG MASON PARTNERS EQUITY TR PERMAL ALTERNATIVE SELECT FUND CLASS C	NEW YORK, NY	1/13/2014	00694154-03	Pending-Cleared
SCHRODER GLOBAL SERIES TR SCHRODER GLOBAL MULTI CAP EQUITY FUND INSTITUTIONAL SHARES	NEW YORK, NY	1/13/2014	00694158-03	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
WILMINGTON FUNDS TR WILMINGTON MULTI MANAGER ALTERNATIVES FUND CLASS I	BALTIMORE, MD	1/13/2014	00694159-03	Registered
Number of Investment Company Filings: 58				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
9 POWER CLEAN WATER INC	ALBUQUERQUE, NM	1/17/2014	00695345-07	Filed
SWAN GROUP HOLDINGS LTD	HAMILTON, AA	1/17/2014	00695344-07	Filed
SHELLBACK FUND LP	BOSTON, MA	1/16/2014	00695328-07	Filed
SYMPHONY SENIOR LOAN FUND LP	SAN FRANCISCO, CA	1/16/2014	00695327-07	Filed
HBK MULTI STRATEGY FUND LP	DALLAS, TX	1/15/2014	00695274-07	Filed
HBK MULTI STRATEGY OFFSHORE FUND LTD	DALLAS, TX	1/15/2014	00695273-07	Filed
LAS VEGAS MOB DST	CHICAGO, IL	1/15/2014	00695271-07	Filed
NAVIGATOR INVESTORS LP	MINNEAPOLIS, MN	1/15/2014	00695275-07	Filed
NY LIFE INSURANCE CO	NEW YORK, NY	1/15/2014	00695272-07	Filed
AVENUE EUROPE CAPITAL SOLUTIONS FUND LP	NEW YORK, NY	1/14/2014	00695238-07	Filed
ENERGY CAPITAL PARTNERS 3 A LP	SHORT HILLS, NJ	1/14/2014	00695235-07	Filed
METLIFE CORE PROPERTY FUND LP	MORRISTOWN, NJ	1/14/2014	00695236-07	Filed
SNUPI TECHNOLOGIES INC	SEATTLE, WA	1/14/2014	00695237-07	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
ATLAS GROWTH PARTNERS LP	PITTSBURGH, PA	1/13/2014	00694496-07	Filed
BRANDBUMPS MARKETING GROUP INC	MADISON, WI	1/13/2014	00694498-07	Filed
LONE SAVIN LTD	GRAND CAYMAN, AA	1/13/2014	00694495-07	Filed
WAVELAND DRILLING PARTNERS 3 B LP	IRVINE, CA	1/13/2014	00694499-07	Filed
Number of Regulation D Notice Filings: 17				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Happy Joe's Franchising, Inc. / Happy Joes Pizza and Ice Cream Parlor	Bettendorf, IA	1/23/2014	606815	Registered
InFrasys, Inc. / SealMaster	Sandusky, OH	1/22/2014	606816	Registered
MTI Franchising, LLC / Betsy's Bricks	Enfield, CT	1/22/2014	606817	Registered
Holiday Hospitality Franchising, LLC / EVEN Hotels	Atlanta, GA	1/21/2014	606819	Registered
Look Inside Franchise, LLC / Look Inside Realty, LLC	Mesa, AZ	1/17/2014	606802	Registered
TOWN PLANNER FRANCHISING INC	CLEVELAND, OH	1/17/2014	606818	Registered
INSPECT IT 1ST LLC	INDEPENDENCE, OH	1/16/2014	606814	Registered
Cleaners Depot Franchise, LLC / CD One Price Cleans	Westchester, IL	1/15/2014	606795	Registered
Just Falafel Franchising U.S., LLC / Just Falafel	Philadelphia, PA	1/15/2014	606794	Registered
Fyzical, LLC / Fyzical	Sarasota, FL	1/14/2014	606791	Registered
DALE CARNEGIE & ASSOC INC / Dale Carnegie Training	HAUPPAUGE, NY	1/14/2014	606799	Registered
Evans Garment Restoration II, LLC / Evans Garment Restoration	Springfield, IL	1/14/2014	606797	Registered
KALEIDOSCOOPS INC / Kaleidoscoops	Amarillo, TX	1/14/2014	606800	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Perfection Bakeries, Inc. / Aunt Millie's Bakeries	Fort Wayne, IN	1/14/2014	606801	Registered
Number of Franchise Filings: 14				

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