

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/20/2014 through 1/31/2014**

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
DREYFUS BNY MELLON FUNDS INC DREYFUS GLOBAL EMERGING MARKETS FUND CLASS C	NEW YORK, NY	1/29/2014	00696005-03	Registered
DREYFUS BNY MELLON FUNDS INC DREYFUS GLOBAL EMERGING MARKETS FUND CLASS I	NEW YORK, NY	1/29/2014	00696004-03	Registered
DREYFUS BNY MELLON FUNDS INC DREYFUS GLOBAL EMERGING MARKETS FUND CLASS Y	NEW YORK, NY	1/29/2014	00696006-03	Registered
DREYFUS BNY MELLON FUNDS INC DREYFUS GLOBAL EMERGING MARKETS FUND CLASS A	NEW YORK, NY	1/29/2014	00696003-03	Registered
CAVANAL HILL FUNDS WORLD ENERGY FUND CLASS A SHARES	COLUMBUS, OH	1/28/2014	00695990-03	Pending-Cleared
CAVANAL HILL FUNDS WORLD ENERGY FUND CLASS C SHARES	COLUMBUS, OH	1/28/2014	00695992-03	Pending-Cleared
CAVANAL HILL FUNDS WORLD ENERGY FUND INSTITUTIONAL SHARES	COLUMBUS, OH	1/28/2014	00695991-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
CAVANAL HILL FUNDS WORLD ENERGY FUND INVESTOR SHARES	COLUMBUS, OH	1/28/2014	00695993-03	Pending-Cleared
JAMES ADVANTAGE FUNDS JAMES MID CAP FUND	BEAVERCREEK, OH	1/28/2014	00695989-03	Registered
LEGG MASON PARTNERS INCOME TR WESTERN ASSET ADJUSTABLE RATE INCOME FUND CLASS IS	NEW YORK, NY	1/28/2014	00695995-03	Registered
LEGG MASON PARTNERS INCOME TR WESTERN ASSET SHORT DURATION HIGH INCOME FUND CLASS R	NEW YORK, NY	1/28/2014	00695994-03	Registered
LEGG MASON PARTNERS INCOME TR WESTERN ASSET SHORT TERM BOND FUND CLASS R	NEW YORK, NY	1/28/2014	00695996-03	Registered
CENTRE FUNDS CENTRE ACTIVE US TREASURY FUND INVESTOR CLASS	NEW YORK, NY	1/27/2014	00695984-03	Registered
CENTRE FUNDS CENTRE GLOBAL SELECT EQUITY FUND INVESTOR CLASS	NEW YORK, NY	1/27/2014	00695983-03	Registered
CENTRE FUNDS CENTRE MULTI ASSET REAL RETURN FUND INVESTOR CLASS	NEW YORK, NY	1/27/2014	00695985-03	Registered
LEGG MASON PARTNERS EQUITY TR LEGG MASON DYNAMIC MULTI STRATEGY FUND CLASS I	NEW YORK, NY	1/27/2014	00695987-03	Registered
LEGG MASON PARTNERS EQUITY TR LEGG MASON DYNAMIC MULTI STRATEGY FUND CLASS C	NEW YORK, NY	1/27/2014	00695986-03	Registered
BLACKROCK CORI FUNDS BLACKROCK CORI 2015 FUND INSTITUTIONAL SHARES	WILMINGTON, DE	1/24/2014	00695756-03	Registered

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BLACKROCK CORI FUNDS BLACKROCK CORI 2015 FUND INVESTOR A SHARES	WILMINGTON, DE	1/24/2014	00695755-03	Registered
BLACKROCK CORI FUNDS BLACKROCK CORI 2017 FUND INSTITUTIONAL SHARES	WILMINGTON, DE	1/24/2014	00695759-03	Registered
BLACKROCK CORI FUNDS BLACKROCK CORI 2017 FUND INVESTOR A SHARES	WILMINGTON, DE	1/24/2014	00695761-03	Registered
BLACKROCK CORI FUNDS BLACKROCK CORI 2019 FUND INSTITUTIONAL SHARES	WILMINGTON, DE	1/24/2014	00695757-03	Registered
BLACKROCK CORI FUNDS BLACKROCK CORI 2019 FUND INVESTOR A SHARES	WILMINGTON, DE	1/24/2014	00695763-03	Registered
BLACKROCK CORI FUNDS BLACKROCK CORI 2021 FUND INSTITUTIONAL SHARES	WILMINGTON, DE	1/24/2014	00695760-03	Registered
BLACKROCK CORI FUNDS BLACKROCK CORI 2021 FUND INVESTOR A SHARES	WILMINGTON, DE	1/24/2014	00695758-03	Registered
BLACKROCK CORI FUNDS BLACKROCK CORI 2023 FUND INSTITUTIONAL SHARES	WILMINGTON, DE	1/24/2014	00695764-03	Registered
BLACKROCK CORI FUNDS BLACKROCK CORI 2023 FUND INVESTOR A SHARES	WILMINGTON, DE	1/24/2014	00695762-03	Registered
RIVERPARK FUNDS TR RIVERPARK LARGE GROWTH FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	1/24/2014	00695754-03	Registered
ADVISORS DISCIPLINED TR 1169 TAX EX SECURITIES TR INTERMEDIATE DURATION NATIONAL TR 470	MONUMENT, CO	1/23/2014	00695934-05	Pending-Cleared
FEDERATED INSTITUTIONAL TR FEDERATED SHORT INTERMEDIATE TOTAL RETURN BOND FUND CLASS R SHARES	WARRENDALE, PA	1/23/2014	00695712-03	Pending-Cleared

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FEDERATED INSTITUTIONAL TR FEDERATED SHORT INTERMEDIATE TOTAL RETURN BOND FUND CLASS A SHARES	WARRENDALE, PA	1/23/2014	00695711-03	Pending-Cleared
1st TR COMBINED SERIES 433 TX EX MUNICIPAL INCOME TR INTERMEDIATE SERIES 8	WHEATON, IL	1/22/2014	00695793-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1129 ADVISORS CORPORATE TR HIGH YIELD BOND PORTFOLIO SERIES 9 HIMCO PORTFOLIO	MONUMENT, CO	1/22/2014	00695799-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1147 BRIC ADVANTAGE PORTFOLIO SERIES 2014 1	MONUMENT, CO	1/22/2014	00695798-05	Pending-Cleared
FT 4591 HIGH DIVIDEND EQUITY ALLOCATION PORTFOLIO SERIES 10	WHEATON, IL	1/22/2014	00695794-05	Pending-Cleared
FT 4618 TAX ADVANTAGED MUNICIPAL CLOSED END PORTFOLIO SERIES 39	WHEATON, IL	1/22/2014	00695797-05	Pending-Cleared
FT 4619 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 57	WHEATON, IL	1/22/2014	00695795-05	Pending-Cleared
FT 4621 INTEREST RATE HEDGE PORTFOLIO SERIES 80	WHEATON, IL	1/22/2014	00695796-05	Pending-Cleared
KP FUNDS KP RETIREMENT PATH 2015 FUND INSTITUTIONAL SHARES	OAKS, PA	1/22/2014	00695561-03	Registered
KP FUNDS KP RETIREMENT PATH 2020 FUND INSTITUTIONAL SHARES	OAKS, PA	1/22/2014	00695562-03	Registered
KP FUNDS KP RETIREMENT PATH 2025 FUND INSTITUTIONAL SHARES	OAKS, PA	1/22/2014	00695563-03	Registered
KP FUNDS KP RETIREMENT PATH 2030 FUND INSTITUTIONAL SHARES	OAKS, PA	1/22/2014	00695565-03	Registered

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Firm Name	Location	Date Received	File Number	Status
KP FUNDS KP RETIREMENT PATH 2035 FUND INSTITUTIONAL SHARES	OAKS, PA	1/22/2014	00695569-03	Registered
KP FUNDS KP RETIREMENT PATH 2040 FUND INSTITUTIONAL SHARES	OAKS, PA	1/22/2014	00695567-03	Registered
KP FUNDS KP RETIREMENT PATH 2045 FUND INSTITUTIONAL SHARES	OAKS, PA	1/22/2014	00695564-03	Registered
KP FUNDS KP RETIREMENT PATH 2050 FUND INSTITUTIONAL SHARES	OAKS, PA	1/22/2014	00695566-03	Registered
KP FUNDS KP RETIREMENT PATH 2055 FUND INSTITUTIONAL SHARES	OAKS, PA	1/22/2014	00695568-03	Registered
KP FUNDS KP RETIRMEENT PATH 2060 FUND INSTITUTIONAL SHARES	OAKS, PA	1/22/2014	00695570-03	Registered
FT 4584 CAPITAL STRENGTH PORTFOLIO SERIES 23	WHEATON, IL	1/21/2014	00695782-05	Pending-Cleared
FT 4585 SMID HIGH DIVIDEND PORTFOLIO SERIES 12	WHEATON, IL	1/21/2014	00695780-05	Pending-Cleared
FT 4586 DIVIDEND GROWTH PORTFOLIO SERIES 4	WHEATON, IL	1/21/2014	00695777-05	Pending-Cleared
FT 4587 HIGH DIVIDEND EQUITY PORTFOLIO SERIES 17	WHEATON, IL	1/21/2014	00695783-05	Pending-Cleared
FT 4589 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 40	WHEATON, IL	1/21/2014	00695781-05	Pending-Cleared
FT 4590 DIVERSIFIED HIGH INCOME CLOSED END PORTFOLIO SERIES 13	WHEATON, IL	1/21/2014	00695778-05	Pending-Cleared
FT 4617 MUNICIPAL INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 23	WHEATON, IL	1/21/2014	00695779-05	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
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1090 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 32	LISLE, IL	1/21/2014	00695785-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1125 HEALTH CARE PORTFOLIO SERIES 16	LISLE, IL	1/21/2014	00695786-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1125 UTILITIES PORTFOLIO SERIES 19	LISLE, IL	1/21/2014	00695787-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1126 GUGGENHEIM BALANCED INCOME BUILDER PORTFOLIO SERIES 6	LISLE, IL	1/21/2014	00695784-05	Pending-Cleared
TR FOR PROFESSIONAL MANAGERS SMEAD VALUE FUND CLASS A SHARES	MILWAUKEE, WI	1/21/2014	00695771-03	Registered
Number of Investment Company Filings: 60				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
WELLS FARGO EMERGING MARKETS EQUITY FUND	SAN FRANCISCO, CA	1/23/2014	00695935-07	Filed
OAK TREE REAL ESTATE DEBT ASP FUND SERIES OF ALTERNATIVE STRATEGIES PRIVATE EQUITY PLATFORM LLC	CHARLOTTE, NC	1/22/2014	00695792-07	Filed
DOCK TECHNOLOGIES INC	MADISON, WI	1/21/2014	00695789-07	Filed
DRIVINGSALES LLC	SANDY, UT	1/21/2014	00695788-07	Filed
HAMPDEN AGENCIES LTD	LONDON, AA	1/21/2014	00695791-07	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
PERSISTENCE MINING INC	LA JOLLA, CA	1/21/2014	00695790-07	Filed
Number of Regulation D Notice Filings: 6				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
ABM Franchising Group, LLC / CurrentSAFE	Canonsburg, PA	1/30/2014	606842	Registered
ABM Franchising Group, LLC / GreenHomes America	Canonsburg, PA	1/30/2014	606843	Registered
ABM Franchising Group, LLC / Linc Service	Canonsburg, PA	1/30/2014	606844	Registered
ABM Franchising Group, LLC / TEGG	Canonsburg, PA	1/30/2014	606845	Registered
TDM Franchising, LLC / Taco Del mar	Milford, CT	1/30/2014	606841	Registered
Compatible Home Care, Inc. / Compatible Home Care	Irvine, CA	1/29/2014	606838	Registered
Little Sunshine's Enterprises, Inc. / Little Sunshine's Playhouse & Preschool	Springfield, MO	1/29/2014	606836	Registered
METAL SUPERMARKETS CORP	Mississauga ON L6T 4Z5, ON	1/29/2014	606837	Registered
MATCAL INC / Wings Over	Hadley, MA	1/28/2014	606829	Registered
FRESHWAY FOOD SYSTEMS INC	SIOUX FALLS, SD	1/27/2014	606834	Registered
Happy Joe's Franchising, Inc. / Bolt-On	Bettendorf, IA	1/27/2014	606826	Registered
HBH FRANCHISE CO LLC / Honey Baked Ham Co., & Cafe	Alphretta, GA	1/27/2014	606840	Registered
HOULIHANS RESTAURANTS INC	LEAWOOD, KS	1/27/2014	606828	Registered
OTA FRANCHISE CORP / Online Trading Academy	IRVINE, CA	1/27/2014	606827	Registered
JUST A BUCK LICENSING INC / Just A Buck	NEW WINDSOR, NY	1/24/2014	606825	Registered
COLOR ME MINE FRANCHISING INC / Color Me Mine	glendale, CA	1/23/2014	606824	Registered
Happy Joe's Franchising, Inc. / Happy Joes Pizza and Ice Cream Parlor	Bettendorf, IA	1/23/2014	606815	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
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
Number of Franchise Filings: 20				

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