

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/27/2014 through 2/7/2014**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
STRATEGIC STORAGE GROWTH TR INC	LADERA RANCH, CA	1/27/2014	00696274-01	Pending-Cleared
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
LITHIUM AMERICAS CORP	NEW YORK, NY	1/30/2014	00696217-08	Not Disallowed
FNBH BANCORP INC	HOWELL, MI	1/27/2014	00696273-08	Not Disallowed
NEPHROS INC	WASHINGTON, DC	1/27/2014	00696272-08	Not Disallowed
Number of Exemption Filings: 3				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1183 INFLATION INCOME STRATEGY PORTFOLIO SERIES 2014 1	MONUMENT, CO	1/31/2014	00696302-05	Pending-Cleared
ALLIANCEBERNSTEIN BOND FUND INC ALLIANCEBERNSTEIN REAL ASSET STRATEGY CLASS Z	NEW YORK, NY	1/31/2014	00696081-03	Registered
BPV FAMILY OF FUNDS BPV LOW VOLATILITY FUND	DENVER, CO	1/31/2014	00696079-03	Registered
FT 4626 ALTERNATIVE INCOME PORTFOLIO SERIES 4	WHEATON, IL	1/31/2014	00696300-05	Pending-Cleared
FT 4627 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 28	WHEATON, IL	1/31/2014	00696303-05	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 4630 CONFLUENCE REIT INCOME & GROWTH PORTFOLIO SERIES 3	WHEATON, IL	1/31/2014	00696299-05	Pending-Cleared
FT 4632 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 89	WHEATON, IL	1/31/2014	00696295-05	Pending-Cleared
FT 4633 DORSEY WRIGHT RELATIVE STRENGTH TOP 50 SERIES 13	WHEATON, IL	1/31/2014	00696298-05	Pending-Cleared
FT 4643 SENIOR LOAN CLOSED END & ETF PORTFOLIO SERIES 3	WHEATON, IL	1/31/2014	00696297-05	Pending-Cleared
FT 4645 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 32	WHEATON, IL	1/31/2014	00696304-05	Pending-Cleared
FT 4668 INCOME ALLOCATION CLOSED END FEB 14	WHEATON, IL	1/31/2014	00696301-05	Pending-Cleared
FT 4669 DOW TARGET 10 FEB 14 TERM 3/9/15	WHEATON, IL	1/31/2014	00696296-05	Pending-Cleared
INVESTMENT MANAGERS SERIES TR ZACKS SMALL CAP CORE FUND CLASS I	MILWAUKEE, WI	1/31/2014	00696314-03	Pending-Cleared
LEGG MASON PARTNERS EQUITY TR CLEARBRIDGE INTERNATIONAL VALUE FUND CLASS R	NEW YORK, NY	1/31/2014	00696080-03	Registered
DREYFUS INVESTMENT FUNDS DREYFUS DIVERSIFIED EMERGING MARKETS FUND CLASS Y	NEW YORK, NY	1/30/2014	00696028-03	Pending-Cleared
GOLDMAN SACHS TR GOLDMAN SACHS SMALL MID CAP VALUE FUND CLASS R SHARES	CHICAGO, IL	1/30/2014	00696027-03	Pending-Cleared
GOLDMAN SACHS TR GOLDMAN SACHS SMALL MID CAP VALUE FUND CLASS C SHARES	CHICAGO, IL	1/30/2014	00696026-03	Pending-Cleared

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GOLDMAN SACHS TR GOLDMAN SACHS SMALL MID CAP VALUE FUND CLASS A SHARES	CHICAGO, IL	1/30/2014	00696024-03	Pending-Cleared
GOLDMAN SACHS TR GOLDMAN SACHS SMALL MID CAP VALUE FUND INSTITUTIONAL SHARES	CHICAGO, IL	1/30/2014	00696023-03	Pending-Cleared
GOLDMAN SACHS TR GOLDMAN SACHS SMALL MID CAP VALUE FUND CLASS IR SHARES	CHICAGO, IL	1/30/2014	00696025-03	Pending-Cleared
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW DIVERSIFIED LARGE CAP VALUE FUND CLASS R	BALTIMORE, MD	1/30/2014	00696022-03	Registered
NORTHERN LIGHTS FUND TR ANCHOR ALTERNATIVE INCOME FUND INVESTOR CLASS SHARES	HAUPPAUGE, NY	1/30/2014	00696293-03	Registered
RS INVESTMENT TR RS EMERGING MARKETS SMALL CAP FUND CLASS A SHARES	SAN FRANCISCO, CA	1/30/2014	00696216-03	Pending-Cleared
RS INVESTMENT TR RS EMERGING MARKETS SMALL CAP FUND CLASS C SHARES	SAN FRANCISCO, CA	1/30/2014	00696215-03	Pending-Cleared
RS INVESTMENT TR RS EMERGING MARKETS SMALL CAP FUND CLASS Y SHARES	SAN FRANCISCO, CA	1/30/2014	00696214-03	Pending-Cleared
SENTINEL GROUP FUNDS INC SENTINEL LOW DURATION BOND FUND CLASS I	MONTPELIER, VT	1/30/2014	00696073-03	Registered
ARDEN INVESTMENT SERIES TR ARDEN ALTERNATIVE STRATEGIES 2 FUND CLASS I SHARES	BOSTON, MA	1/29/2014	00696018-03	Registered

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Firm Name	Location	Date Received	File Number	Status
ARDEN INVESTMENT SERIES TR ARDEN ALTERNATIVE STRATEGIES 2 FUND CLASS W SHARES	BOSTON, MA	1/29/2014	00696017-03	Registered
DREYFUS BNY MELLON FUNDS INC DREYFUS GLOBAL EMERGING MARKETS FUND CLASS A	NEW YORK, NY	1/29/2014	00696003-03	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 I	NEW YORK, NY	1/29/2014	00696004-03	Registered
DREYFUS BNY MELLON FUNDS INC DREYFUS GLOBAL EMERGING MARKETS FUND CLASS C	NEW YORK, NY	1/29/2014	00696005-03	Registered
ICON FUNDS ICON MATERIALS FUND CLASS A SHARES	GREENWOOD VILLAGE, CO	1/29/2014	00696207-03	Registered
1ST TR COMBINED SERIES 436 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO 10 20 YEAR SERIES 9	WHEATON, IL	1/28/2014	00696147-05	Registered
ADVISORS SERIES TR SHENKMAN SHORT DURATION HIGH INCOME FUND CLASS C	MILWAUKEE, WI	1/28/2014	00696148-03	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

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CAVANAL HILL FUNDS WORLD ENERGY FUND INSTITUTIONAL SHARES	COLUMBUS, OH	1/28/2014	00695991-03	Pending-Cleared
CAVANAL HILL FUNDS WORLD ENERGY FUND INVESTOR SHARES	COLUMBUS, OH	1/28/2014	00695993-03	Pending-Cleared
FT 4631 CORE 3 CLOSED END ALLOCATION PORTFOLIO SERIES 13	WHEATON, IL	1/28/2014	00696145-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1129 GUGGENHEIM US LOW VOLATILITY STRATEGY PORTFOLIO SERIES 6	LISLE, IL	1/28/2014	00696146-05	Registered
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
ADVISORS DISCIPLINED TR 1205 COMPELLING VALUES PORTFOLIO SERIES 2014 1Q	MONUMENT, CO	1/27/2014	00696270-05	Registered
CALVERT FUND CALVERT ULTRA SHORT INCOME FUND CLASS I	BETHESDA, MD	1/27/2014	00696131-03	Pending-Cleared
CALVERT IMPACT FUND INC CALVERT GLOBAL WATER FUND CLASS I	BETHESDA, MD	1/27/2014	00696132-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
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
COMPASS EMP FUND TR COMPASS EMP US 500 VOLATILITY WEIGHTED FUND CLASS I	HAUPPAUGE, NY	1/27/2014	00696115-03	Registered
FT 4592 MUNICIPAL ADVANTAGE CLOSED END & ETF PORTFOLIO SERIES 22	WHEATON, IL	1/27/2014	00696136-05	Registered
FT 4602 TACTICAL INCOME PORTFOLIO SERIES 25	WHEATON, IL	1/27/2014	00696271-05	Registered
FT 4612 BANKING OPPORTUNITY PORTFOLIO SERIES 13	WHEATON, IL	1/27/2014	00696140-05	Registered
FT 4613 NATURAL GAS PORTFOLIO SERIES 20	WHEATON, IL	1/27/2014	00696134-05	Registered
FT 4614 LTD DURATION FIXED INCOME ETF PORTFOLIO SERIES 5	WHEATON, IL	1/27/2014	00696139-05	Registered
FT 4622 US EQUITY CLOSED END PORTFOLIO SERIES 10	WHEATON, IL	1/27/2014	00696141-05	Registered
FT 4629 PRECIOUS METALS SELECT PORTFOLIO SERIES 34	WHEATON, IL	1/27/2014	00696137-05	Registered
FT 4659 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES EUROPE OPPORTUNITIES PORTFOLIO 2014 1	WHEATON, IL	1/27/2014	00696138-05	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
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
MUTUAL FUND SERIES TR CATALYST EQUITY COMPASS BUYBACK STRATEGY FUND CLASS A	HAUPPAUGE, NY	1/27/2014	00696114-03	Registered
MUTUAL FUND SERIES TR CATALYST LYONS TACTICAL ALLOCATION CLASS A	HAUPPAUGE, NY	1/27/2014	00696118-03	Registered
NORTHERN LIGHTS FUND TR ALTEGRIS AACA REAL ESTATE LONG SHORT FUND CLASS A	HAUPPAUGE, NY	1/27/2014	00696119-03	Registered
NORTHERN LIGHTS FUND TR ALTEGRIS AACA REAL ESTATE LONG SHORT FUND CLASS I	HAUPPAUGE, NY	1/27/2014	00696120-03	Registered
NORTHERN LIGHTS FUND TR PROBABILITIES FUND CLASS C SHARES	HAUPPAUGE, NY	1/27/2014	00696112-03	Registered
NORTHERN LIGHTS FUND TR PROBABILITIES FUND CLASS A SHARES	HAUPPAUGE, NY	1/27/2014	00696116-03	Registered
NORTHERN LIGHTS FUND TR PROBABILITIES FUND CLASS I SHARES	HAUPPAUGE, NY	1/27/2014	00696117-03	Registered
NORTHERN LIGHTS FUND TR ZEO STRATEGIC INCOME FUND CLASS I	HAUPPAUGE, NY	1/27/2014	00696113-03	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
SMART TR DIVERSIFIED INCOME & GROWTH TR SERIES 4	PARSIPPANY, NJ	1/27/2014	00696135-05	Registered
Number of Investment Company Filings: 71				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GI PARTNERS 4 MID MARKET TR	NEW YORK, NY	1/31/2014	00696294-07	Filed
EMG AE WOODFORD CO INVESTMENT LP	DALLAS, TX	1/30/2014	00696213-07	Filed
ANTRIABIO INC	MENLO PARK, CA	1/29/2014	00696175-07	Filed
CLEAN CHEMISTRY LLC	BOULDER, CO	1/29/2014	00696174-07	Filed
DILON TECHNOLOGIES INC	NEWPORT NEWS, VA	1/29/2014	00696176-07	Filed
CENTROSE LLC	MADISON, WI	1/28/2014	00696171-07	Filed
LOOMIS SAYLES SENIOR FLOATING RATE & FIXED INCOME TR	BOSTON, MA	1/28/2014	00696173-07	Filed
MERCEDES BENZ FINANCIAL SERVICES USA LLC	FARMINGTN HLS, MI	1/28/2014	00696172-07	Filed
1 LIVE OAK PARENT LLC	NEW YORK, NY	1/27/2014	00696144-07	Filed
1944 SPAULDING LLC	CHICAGO, IL	1/27/2014	00696275-07	Filed
AMERICAN REALTY PARTNERS LLC	PHOENIX, AZ	1/27/2014	00696278-07	Filed
FALCON EDGE GLOBAL LP	GRAND CAYMAN, AA	1/27/2014	00696276-07	Filed
OAKTREE EMERGING MARKETS ABSOLUTE RETURN FEEDER FUND LP	LOS ANGELES, CA	1/27/2014	00696277-07	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
STEELE HOTEL GROUP LLC	STEELE, ND	1/27/2014	00696143-07	Filed
SUSTAINABLE POWER SOLUTIONS LLC	PHOENIX, AZ	1/27/2014	00696279-07	Filed
Number of Regulation D Notice Filings: 15				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Ski's Meat Market Franchising, Inc.	Stevens Point, WI	2/7/2014	606857	Registered
Pizzeria Uno Corporation / Uno Pizzeria & Grill and Uno Due Go	West Roxbury, MA	2/4/2014	606851	Registered
Certa ProPainters, Ltd. / CertaPro Painters	Oaks, PA	2/3/2014	606850	Registered
Zounds Hearing Franchising, LLC / Zounds Hearing Center	Tempe, AZ	2/2/2014	606848	Registered
Drama Kids International, Inc. / Drama Kids	Leesburg, VA	2/1/2014	606847	Registered
GREAT HARVEST FRANCHISING INC / Great Harvest Bread Co.	DILLON, MT	1/31/2014	606854	Registered
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

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