

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/3/2014 through 2/14/2014**

<b>Securities Law Registration Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
<b>Number of Registration Filings: 0</b>				

<b>Securities Law Exemption Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
MILE HI CHURCH OF RELIGIOUS SCIENCE	LAKEWOOD, CO	2/3/2014	00696423-08	Not Disallowed
<b>Number of Exemption Filings: 1</b>				

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
NUVEEN INVESTMENT FUNDS INC NUVEEN SHORT TERM MUNICIPAL BOND FUND CLASS C	CHIGACO, IL	2/11/2014	00696570-03	Registered
NUVEEN MULTISTATE TR 2 NUVEEN CA HIGH YIELD MUNICIPAL BOND FUND CLASS C	CHIGACO, IL	2/11/2014	00696574-03	Registered
NUVEEN MULTISTATE TR 4 NUVEEN WI MUNICIPAL BOND FUND CLASS C	CHIGACO, IL	2/11/2014	00696578-03	Registered
NUVEEN MUNICIPAL TR NUVEEN ALL AMERICAN MUNICIPAL BOND FUND CLASS C	CHIGACO, IL	2/11/2014	00696575-03	Registered
NUVEEN MUNICIPAL TR NUVEEN HIGH YIELD MUNICIPAL BOND FUND CLASS C	CHIGACO, IL	2/11/2014	00696572-03	Registered
NUVEEN MUNICIPAL TR NUVEEN INFLATION PROTECTED MUNICIPAL BOND FUND CLASS C	CHIGACO, IL	2/11/2014	00696576-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/3/2014 through 2/14/2014**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
NUVEEN MUNICIPAL TR NUVEEN INTERMEDIATE DURATION MUNICIPAL BOND FUND CLASS C	CHIGACO, IL	2/11/2014	00696577-03	Registered
NUVEEN MUNICIPAL TR NUVEEN LTD TERM MUNICIPAL BOND FUND CLASS C	CHIGACO, IL	2/11/2014	00696571-03	Registered
NUVEEN MUNICIPAL TR NUVEEN SHORT DURATION HIGH YIELD MUNICIPAL BOND FUND CLASS C	CHIGACO, IL	2/11/2014	00696573-03	Registered
TARGET PORTFOLIO TR SMALL CAPITALIZATION VALUE PORTFOLIO CLASS A	NEWARK, NJ	2/11/2014	00696569-03	Pending-Cleared
ADVISORS DISCIPLINED TR 1152 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 81	MONUMENT, CO	2/7/2014	00696465-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1160 DIVIDEND ADVANTAGE PORTFOLIO SERIES 2014 1Q	MONUMENT, CO	2/7/2014	00696488-05	Registered
ADVISORS DISCIPLINED TR 1161 STRATEGIC HIGH 80 DIVIDEND PORTFOLIO SERIES 2014 1Q	MONUMENT, CO	2/7/2014	00696487-05	Registered
ADVISORS DISCIPLINED TR 1162 DOW VALUE 10 PORTFOLIO SERIES 2014 1Q	MONUMENT, CO	2/7/2014	00696485-05	Registered
ADVISORS DISCIPLINED TR 1163 INTERNATIONAL HIGH 30 DIVIDEND PORTFOLIO SERIES 2014 1Q	MONUMENT, CO	2/7/2014	00696493-05	Registered
ADVISORS DISCIPLINED TR 1164 ADVISORS CORE EQUITY STRATEGY PORTFOLIO SERIES 2014 1Q	MONUMENT, CO	2/7/2014	00696484-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/3/2014 through 2/14/2014**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ADVISORS DISCIPLINED TR 1165 ENERGY OPPORTUNITIES PORTFOLIO SERIES 2014 1	MONUMENT, CO	2/7/2014	00696466-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1166 BLUE CHIP PORTFOLIO 2014 1	MONUMENT, CO	2/7/2014	00696467-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1167 TACTICAL INCOME CLOSED END PORTFOLIO SERIES 2014 1	MONUMENT, CO	2/7/2014	00696468-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1184 VALUE ARCHITECTS NEW MEDIA SCORE PORTFOLIO SERIES 2014 1Q	MONUMENT, CO	2/7/2014	00696489-05	Registered
ADVISORS DISCIPLINED TR 1204 MULTI SOURCE INCOME PORTFOLIO SERIES 2014 1Q	MONUMENT, CO	2/7/2014	00696486-05	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2010 TARGET DATE RETIREMENT FUND CLASS F 2	LOS ANGELES, CA	2/7/2014	00696529-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2045 TARGET DATE RETIREMENT FUND CLASS C	LOS ANGELES, CA	2/7/2014	00696544-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FUND CLASS F 2	LOS ANGELES, CA	2/7/2014	00696556-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2030 TARGET DATE RETIREMENT FUND CLASS C	LOS ANGELES, CA	2/7/2014	00696543-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2015 TARGET DATE RETIREMENT FUND CLASS B	LOS ANGELES, CA	2/7/2014	00696547-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/3/2014 through 2/14/2014**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2040 TARGET DATE RETIREMENT FUND CLASS B	LOS ANGELES, CA	2/7/2014	00696534-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2045 TARGET DATE RETIREMENT FUND CLASS F 2	LOS ANGELES, CA	2/7/2014	00696548-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FUND CLASS C	LOS ANGELES, CA	2/7/2014	00696560-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2025 TARGET DATE RETIREMENT FUND CLASS F 2	LOS ANGELES, CA	2/7/2014	00696541-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2010 TARGET DATE RETIREMENT FUND CLASS B	LOS ANGELES, CA	2/7/2014	00696545-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2040 TARGET DATE RETIREMENT FUND CLASS F 1	LOS ANGELES, CA	2/7/2014	00696538-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2045 TARGET DATE RETIREMENT FUND CLASS B	LOS ANGELES, CA	2/7/2014	00696542-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2045 TARGET DATE RETIREMENT FUND CLASS F 1	LOS ANGELES, CA	2/7/2014	00696546-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2035 TARGET DATE RETIREMENT FUND CLASS C	LOS ANGELES, CA	2/7/2014	00696528-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2035 TARGET DATE RETIREMENT FUND CLASS B	LOS ANGELES, CA	2/7/2014	00696526-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/3/2014 through 2/14/2014**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2025 TARGET DATE RETIREMENT FUND CLASS C	LOS ANGELES, CA	2/7/2014	00696539-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FUND CLASS C	LOS ANGELES, CA	2/7/2014	00696552-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2030 TARGET DATE RETIREMENT FUND CLASS F 1	LOS ANGELES, CA	2/7/2014	00696559-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2020 TARGET DATE RETIREMENT FUND CLASS C	LOS ANGELES, CA	2/7/2014	00696535-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2025 TARGET DATE RETIREMENT FUND CLASS B	LOS ANGELES, CA	2/7/2014	00696551-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2025 TARGET DATE RETIREMENT FUND CLASS F 1	LOS ANGELES, CA	2/7/2014	00696561-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2040 TARGET DATE RETIREMENT FUND CLASS F 2	LOS ANGELES, CA	2/7/2014	00696540-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2035 TARGET DATE RETIREMENT FUND CLASS F 2	LOS ANGELES, CA	2/7/2014	00696532-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FUND CLASS F 1	LOS ANGELES, CA	2/7/2014	00696554-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2020 TARGET DATE RETIREMENT FUND CLASS B	LOS ANGELES, CA	2/7/2014	00696549-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/3/2014 through 2/14/2014**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2030 TARGET DATE RETIREMENT FUND CLASS F 2	LOS ANGELES, CA	2/7/2014	00696525-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FUND CLASS F 1	LOS ANGELES, CA	2/7/2014	00696562-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2015 TARGET DATE RETIREMENT FUND CLASS F 1	LOS ANGELES, CA	2/7/2014	00696563-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2035 TARGET DATE RETIREMENT FUND CLASS F 1	LOS ANGELES, CA	2/7/2014	00696530-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2040 TARGET DATE RETIREMENT FUND CLASS C	LOS ANGELES, CA	2/7/2014	00696536-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2020 TARGET DATE RETIREMENT FUND CLASS F 1	LOS ANGELES, CA	2/7/2014	00696557-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FUND CLASS B	LOS ANGELES, CA	2/7/2014	00696550-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2010 TARGET DATE RETIREMENT FUND CLASS C	LOS ANGELES, CA	2/7/2014	00696527-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2015 TARGET DATE RETIREMENT FUND CLASS F 2	LOS ANGELES, CA	2/7/2014	00696533-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2010 TARGET DATE RETIREMENT FUND CLASS F 1	LOS ANGELES, CA	2/7/2014	00696555-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/3/2014 through 2/14/2014**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FUND CLASS F 2	LOS ANGELES, CA	2/7/2014	00696564-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2015 TARGET DATE RETIREMENT FUND CLASS C	LOS ANGELES, CA	2/7/2014	00696531-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2020 TARGET DATE RETIREMENT FUND CLASS F 2	LOS ANGELES, CA	2/7/2014	00696537-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2030 TARGET DATE RETIREMENT FUND CLASS B	LOS ANGELES, CA	2/7/2014	00696553-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FUND CLASS B	LOS ANGELES, CA	2/7/2014	00696558-03	Registered
FT 4634 1ST TR ETF ALLOCATION PORTFOLIO SERIES 8	WHEATON, IL	2/7/2014	00696462-05	Registered
FT 4635 CYCLICAL STRENGTH PORTFOLIO SERIES 4	WHEATON, IL	2/7/2014	00696470-05	Registered
FT 4637 TECHNOLOGY DIVIDEND PORTFOLIO SERIES 7	WHEATON, IL	2/7/2014	00696469-05	Pending-Cleared
FT 4639 BIOTECHNOLOGY PORTFOLIO SERIES 23	WHEATON, IL	2/7/2014	00696461-05	Pending-Cleared
FT 4640 EMERGING MARKETS STRENGTH PORTFOLIO SERIES 21	WHEATON, IL	2/7/2014	00696472-05	Pending-Cleared
FT 4646 PREFERRED INCOME PORTFOLIO SERIES 66	WHEATON, IL	2/7/2014	00696471-05	Registered
FT 4660 AUTOMATED QUANTITATIVE ANALYSIS AQA PORTFOLIO SERIES 8	WHEATON, IL	2/7/2014	00696463-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/3/2014 through 2/14/2014**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1119 SPIN OFF PORTFOLIO SERIES 1	LISLE, IL	2/7/2014	00696464-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1131 CORPORATE HIGH YIELD & INCOME PORTFOLIO OF CEFS SERIES 25	LISLE, IL	2/7/2014	00696491-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1131 INFRASTRUCTURE & MLP PORTFOLIO OF CEFS SERIES 17	LISLE, IL	2/7/2014	00696490-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1131 STRATEGIC INCOME PORTFOLIO SERIES 83	LISLE, IL	2/7/2014	00696492-05	Registered
NATIXIS FUNDS TR 2 LOOMIS SAYLES EMERGING MARKETS OPPORTUNITIES FUND CLASS C	BOSTON, MA	2/7/2014	00696523-03	Registered
NATIXIS FUNDS TR 2 LOOMIS SAYLES EMERGING MARKETS OPPORTUNITIES FUND CLASS A	BOSTON, MA	2/7/2014	00696521-03	Registered
NATIXIS FUNDS TR 2 LOOMIS SAYLES EMERGING MARKETS OPPORTUNITIES FUND CLASS Y	BOSTON, MA	2/7/2014	00696524-03	Registered
NATIXIS FUNDS TR 2 LOOMIS SAYLES EMERGING MARKETS OPPORTUNITIES FUND CLASS N	BOSTON, MA	2/7/2014	00696522-03	Registered
NORTHERN LIGHTS FUND TR 3 TEBERG FUND	HAUPPAUGE, NY	2/7/2014	00696473-03	Registered
NORTHERN LIGHTS FUND TR ALTEGRIS FIXED INCOME LONG SHORT FUND	HAUPPAUGE, NY	2/7/2014	00696495-03	Registered
RIVERPARK FUNDS TR RIVERPARK LONG SHORT OPPORTUNITY FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	2/7/2014	00696520-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/3/2014 through 2/14/2014**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
1ST TR COMBINED SERIES 434 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO LONG TERM SERIES 10	WHEATON, IL	2/6/2014	00696445-05	Registered
FT 4657 DIVERSIFIED INCOME & GROWTH PORTFOLIO SPRING 2014 SERIES	WHEATON, IL	2/6/2014	00696449-05	Registered
FT 4661 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 39	WHEATON, IL	2/6/2014	00696447-05	Registered
INCAPITAL UNIT TR SERIES 42 ZACKS SELECT EQUITIES BLEND PORTFOLIO 1Q 2014	CHICAGO, IL	2/6/2014	00696448-05	Registered
INCAPITAL UNIT TR SERIES 42 ZACKS SELECT EQUITY INCOME PORTFOLIO 1Q 2014	CHICAGO, IL	2/6/2014	00696446-05	Registered
DIREXION FUNDS DIREXION INDEXED SYNTHETIC CONVERTIBLE STRATEGY FUND INVESTOR CLASS	MILWAUKEE, WI	2/5/2014	00696438-03	Registered
DIREXION FUNDS DIREXION INDEXED SYNTHETIC CONVERTIBLE STRATEGY BEAR FUND INVESTOR CLASS	MILWAUKEE, WI	2/5/2014	00696437-03	Registered
INVESTMENT MANAGERS SERIES TR PALMER SQUARE INCOME PLUS FUND	MILWAUKEE, WI	2/5/2014	00696444-03	Registered
TOUCHSTONE STRATEGIC TR TOUCHSTONE VALUE FUND CLASS C	CINCINNATI, OH	2/5/2014	00696507-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON GLOBAL EVOLUTION FRONTIER MARKETS INCOME FUND Y CLASS	FORT WORTH, TX	2/3/2014	00696408-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON GLOBAL EVOLUTION FRONTIER MARKETS INCOME FUND INSTITUTIONAL CLASS	FORT WORTH, TX	2/3/2014	00696412-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/3/2014 through 2/14/2014**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AMERICAN BEACON FUNDS AMERICAN BEACON GLOBAL EVOLUTION FRONTIER MARKETS INCOME FUND A CLASS	FORT WORTH, TX	2/3/2014	00696411-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON GLOBAL EVOLUTION FRONTIER MARKETS INCOME FUND INVESTOR CLASS	FORT WORTH, TX	2/3/2014	00696409-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON GLOBAL EVOLUTION FRONTIER MARKETS INCOME FUND C CLASS	FORT WORTH, TX	2/3/2014	00696410-03	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1183 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 49	DOWNERS GROVE, IL	2/3/2014	00696413-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1184 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 50	DOWNERS GROVE, IL	2/3/2014	00696414-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1185 INVESTMENT GRADE MUNICIPAL TR SERIES 173	DOWNERS GROVE, IL	2/3/2014	00696415-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1186 INVESTMENT GRADE MUNICIPAL TR SERIES 174	DOWNERS GROVE, IL	2/3/2014	00696416-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1187 INSURED MUNICIPALS INCOME TR SERIES 672	DOWNERS GROVE, IL	2/3/2014	00696417-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1188 INSURED MUNICIPALS INCOME TR SERIES 673	DOWNERS GROVE, IL	2/3/2014	00696418-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1189 INVESTORS QUALITY MUNICIPAL TR SERIES 185	DOWNERS GROVE, IL	2/3/2014	00696419-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/3/2014 through 2/14/2014**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
INVESCO UNIT TR MUNICIPAL SERIES 1190 INVESTORS QUALITY MUNICIPAL TR SERIES 186	DOWNERS GROVE, IL	2/3/2014	00696420-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 472 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 56	DOWNERS GROVE, IL	2/3/2014	00696421-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 473 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 57	DOWNERS GROVE, IL	2/3/2014	00696422-05	Pending-Cleared
REALTY CAPITAL INCOME FUNDS TR AR CAPITAL REAL ESTATE INCOME FUND CLASS I	HAUPPAUGE, NY	2/3/2014	00696406-03	Registered
<b>Number of Investment Company Filings: 104</b>				

<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
BIOVENTRIX INC	SAN RAMON, CA	2/10/2014	00696503-07	Filed
CONGRUENT CREDIT OPPORTUNITIES FUND 3 LP	DALLAS, TX	2/10/2014	00696502-07	Filed
UPTO INC	DETROIT, MI	2/10/2014	00696501-07	Filed
UWW HOLDINGS LLC	BOSTON, MA	2/10/2014	00696504-07	Filed
CHARLESTOWN HOTEL GROUP LLC	CHARLESTOWN, IN	2/7/2014	00696453-07	Filed
FANTEX HOLDINGS INC	SAN FRANCISCO, CA	2/6/2014	00696452-07	Filed
FRED WOODLANDS LLC	MILWAUKEE, WI	2/6/2014	00696450-07	Filed
SUN BIOPHARMA INC	PONTE VEDRA, FL	2/6/2014	00696451-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/3/2014 through 2/14/2014**

<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
2014 BAYOU CITY IL BASIN DRILLING PROGRAM LP	BOWLING GREEN, KY	2/5/2014	00696436-07	Filed
AMPERSAND 2014 LP	WELLESLEY, MA	2/4/2014	00696426-07	Filed
HEDWIG BROADWAY CO LLC	NEW YORK, NY	2/4/2014	00696427-07	Filed
OAK STREET HEALTH LLC	CHICAGO, IL	2/4/2014	00696425-07	Filed
AGRICULTURE GAS CO	HUDSON, WI	2/3/2014	00696404-07	Filed
GREEN STANDARD RESOURCES LLC	SCHAUMBURG, IL	2/3/2014	00696403-07	Filed
MORGAN STANLEY HEDGEPREMIER TRICADIA CREDIT STRATEGIES FUND 2 LP	NEW YORK, NY	2/3/2014	00696405-07	Filed
SII INVESTMENTS INC WI	APPLETON, WI	2/3/2014	00696402-07	Filed
<b>Number of Regulation D Notice Filings: 16</b>				

<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Snap-on Tools Company LLC / Snap-on Tools	Kenosha, WI	2/14/2014	606872	Registered
First Choice Business Brokers, Inc. / First Choice Business Brokers	Las Vegas, NV	2/13/2014	606863	Registered
BAB SYSTEMS INC / BIG APPLE BAGELS, MY FAVORITE MUFFIN	DEERFIELD, IL	2/13/2014	606870	Registered
OWENS CORNING REMODELING SYSTEMS, LLC	TOLEDO, OH	2/13/2014	606871	Registered
Kids Fun Franchising, Inc. / Jump & Jack's	Brookville, OH	2/12/2014	606862	Registered
Home-Grown Industries of Georgia, Inc. / Mellow Mushroom Pizza	Atlanta, GA	2/12/2014	606869	Registered
National Property Inspections, Inc.	Omaha, NE	2/11/2014	606861	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/3/2014 through 2/14/2014**

<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Oasis Senior Advisors Franchise Systems, LLC / Oasis Senior Advisors	Columbia, MD	2/11/2014	606860	Registered
INTERFACE FINANCIAL CORP	Bethesda, MD	2/10/2014	606867	Registered
Ski's Meat Market Franchising, Inc.	Stevens Point, WI	2/7/2014	606857	Registered
Zoom Franchise Company, LLC / Zoom Sewer and Drain Cleaning	Norristown, PA	2/6/2014	606866	Registered
koala Associates, LLC / Koala Center for Sleep Disorders	Dunlap, IL	2/5/2014	606865	Registered
Pizzeria Uno Corporation / Uno Pizzeria & Grill and Uno Due Go	West Roxbury, MA	2/4/2014	606851	Registered
Trident Investment Partners, Inc. / Handyman Connection	Blue Ash, OH	2/4/2014	606858	Registered
Certa ProPainters, Ltd. / CertaPro Painters	Oaks, PA	2/3/2014	606850	Registered
<b>Number of Franchise Filings: 15</b>				

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