

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/10/2014 through 2/21/2014**

| Securities Law Registration Filings Made with DFI's Securities Division | | | | |
|--|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| HIGHLAND CAPITAL REALTY TR INC | DALLAS, TX | 2/18/2014 | 00696813-01 | Pending |
| Number of Registration Filings: 1 | | | | |

| 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 |
| JPMORGAN TR I JPMORGAN INTERNATIONAL OPPORTUNITIES FUND CLASS R6 SHARES | BOSTON, MA | 2/19/2014 | 00696690-03 | Registered |
| FT 4620 CONVERTIBLE & INCOME SELECT CLOSED END & ETF PORTFOLIO | WHEATON, IL | 2/17/2014 | 00696770-05 | Pending-Cleared |
| FT 4624 SABRIENT SMALL CAP GROWTH PORTFOLIO SERIES | WHEATON, IL | 2/17/2014 | 00696767-05 | Pending-Cleared |
| FT 4628 INFLATION HEDGE OPPORTUNITY PORTFOLIO SERIES 20 | WHEATON, IL | 2/17/2014 | 00696779-05 | Pending-Cleared |
| FT 4642 US ENERGY INDEPENDENCE PORTFOLIO SERIES 3 | WHEATON, IL | 2/17/2014 | 00696777-05 | Pending-Cleared |
| FT 4644 EQUITY CLOSED END PORTFOLIO SERIES 30 | WHEATON, IL | 2/17/2014 | 00696778-05 | Pending-Cleared |
| FT 4648 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 41 | WHEATON, IL | 2/17/2014 | 00696771-05 | Pending-Cleared |

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|---|-----------------|----------------------|--------------------|-----------------|
| Firm Name | Location | Date Received | File Number | Status |
| FT 4651 EMERGING MARKETS PORTFOLIO SERIES 11 | WHEATON, IL | 2/17/2014 | 00696769-05 | Pending-Cleared |
| FT 4658 CORE HOLDINGS GROWTH TR 2014 SPRING SERIES | WHEATON, IL | 2/17/2014 | 00696773-05 | Pending-Cleared |
| FT 4667 DIVIDEND & INCOME SELECT CLOSED END PORTFOLIO SERIES 39 | WHEATON, IL | 2/17/2014 | 00696772-05 | Pending-Cleared |
| FT 4670 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 49 | WHEATON, IL | 2/17/2014 | 00696776-05 | Pending-Cleared |
| FT 4678 CAPITAL STRENGTH BUY WRITE PORTFOLIO SERIES 14 | WHEATON, IL | 2/17/2014 | 00696768-05 | Pending-Cleared |
| OBERWEIS FUNDS OBERWEIS INTERNATIONAL OPPORTUNITIES INSTITUTIONAL FUND | LISLE, IL | 2/17/2014 | 00696780-03 | Pending-Cleared |
| SMART TR CAPITAL INNOVATIONS GLOBAL INFRASTRUCTURE & MLP TR SERIES 5 | PARSIPPANY, NJ | 2/17/2014 | 00696774-05 | Pending-Cleared |
| SMART TR RISING INTEREST RATES HEDGE TR SERIES 2 | PARSIPPANY, NJ | 2/17/2014 | 00696775-05 | Pending-Cleared |
| STERLING CAPITAL FUNDS STERLING CAPITAL MID VALUE FUND CLASS C SHARES | RALEIGH, NC | 2/13/2014 | 00696599-03 | Registered |
| 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 |

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| 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 |
| 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 | Registered |
| Number of Investment Company Filings: 26 | | | | |

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| ETHIO AMERICAN DOCTORS GROUP INC | REIDSVILLE, NC | 2/18/2014 | 00696812-07 | 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 |
| RAMA FUND LLC | AGOURA, CA | 2/18/2014 | 00696810-07 | Filed |
| VANTAGESOUTH BANCSHARES INC | RALEIGH, NC | 2/18/2014 | 00696809-07 | Filed |
| ZERO COUPON PHARMACY 2 DST | OAK BROOK, IL | 2/18/2014 | 00696811-07 | Filed |
| CLIFTON DEFENSIVE EQUITY FUND LLC | MINNEAPOLIS, MN | 2/17/2014 | 00696781-07 | Filed |
| MERCEDES SOUTH 3D JOINT VENTURE | SAN ANTONIO, TX | 2/17/2014 | 00696782-07 | Filed |
| RCP FUND IX LP | CHICAGO, IL | 2/17/2014 | 00696783-07 | Filed |
| BENEFIT STREET CREDIT ALPHA PARTNERS LP | NEW YORK, NY | 2/14/2014 | 00696676-07 | Filed |
| GLOBEIMMUNE INC | LOUISVILLE, CO | 2/14/2014 | 00696678-07 | Filed |
| JMB CAPITAL PARTNERS OFFSHORE LTD | GEORGE TOWN, GRAND CAYMAN, AA | 2/14/2014 | 00696675-07 | Filed |
| KEYSTONE INSIGHTS LLC | MENOMONEE FLS, WI | 2/14/2014 | 00696702-07 | Filed |
| KULTEVAT INC | CREVE COEUR, MO | 2/14/2014 | 00696674-07 | Filed |
| VIVACELLE BIO INC | SHREVEPORT, LA | 2/14/2014 | 00696677-07 | Filed |
| KCM GLOBAL ALPHA FUND LP | CHICAGO, IL | 2/13/2014 | 00696624-07 | Filed |
| ROSE GROVE PARTNERS 1 LP | WELLESLEY, MA | 2/13/2014 | 00696623-07 | Filed |
| 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 |
| Number of Regulation D Notice Filings: 19 | | | | |

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| Franchise Law Filings Made with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|---------------|
| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| Mister Sparky Franchising, L.L.C. / Mister Sparky | Sarasota, FL | 2/20/2014 | 606891 | Registered |
| Benjamin Franklin Franchising, LLC / d/b/a Benjamin Franklin Plumbing | Sarasota, FL | 2/20/2014 | 606890 | Registered |
| One Hour Air Conditioning Franchising, L.L.C. / One Hour Heating & Air Conditioning | Sarasota, FL | 2/20/2014 | 606889 | Registered |
| A&Z DRAGON PROPERTIES, LLC | Oneida, WI | 2/19/2014 | 606888 | Refunded |
| Cobblestone Hotels, LLC / Boarders Inn and Suites by Cobblestone | Neenah, WI | 2/19/2014 | 606876 | Registered |
| Cobblestone Hotels, LLC / Cobblestone Inn and Suites; Cobblestone Hotel and Suites | Neenah, WI | 2/19/2014 | 606875 | Registered |
| Profile Franchising LLC / Profile Sanford | Sioux Falls, SD | 2/18/2014 | 606874 | Registered |
| NATIONAL HUNTING LEASE NETWORK LLC / Hunting Lease Network | OMAHA, NE | 2/17/2014 | 606885 | Registered |
| TONI&GUY Salon Franchising Company, LLC / TONI&GUY Hairdressing Salon | Carrollton, TX | 2/17/2014 | 606884 | Registered |
| YOUNG REMBRANDTS FRANCHISE INC / YOUNG REMBRANDTS | ELGIN, IL | 2/17/2014 | 606886 | Registered |
| 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 |
| Oasis Senior Advisors Franchise Systems, LLC / Oasis Senior Advisors | Columbia, MD | 2/11/2014 | 606860 | Registered |

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|--|-----------------|----------------------|--------------------|---------------|
| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| INTERFACE FINANCIAL CORP | Bethesda, MD | 2/10/2014 | 606867 | Registered |
| Number of Franchise Filings: 19 | | | | |

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