

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/17/2014 through 2/28/2014**

<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>
NEXPOINT CAPITAL LLC	DALLAS, TX	2/20/2014	00698631-01	Pending
HIGHLAND CAPITAL REALTY TR INC	DALLAS, TX	2/18/2014	00696813-01	Pending
<b>Number of Registration Filings: 2</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>
ALION SCIENCE & TECHNOLOGY CORP	MCLEAN, VA	2/21/2014	00698853-08	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>
ADVISORS INNER CIRCLE FUND CITI MARKET PILOT 2030 FUND I SHARES	BOSTON, MA	2/26/2014	00698822-03	Registered
ADVISORS INNER CIRCLE FUND CITI MARKET PILOT 2040 FUND I SHARES	BOSTON, MA	2/26/2014	00698823-03	Registered
DREYFUS BNY MELLON FUNDS INC DREYFUS YIELD ENHANCEMENT STRATEGY FUND CLASS C	NEW YORK, NY	2/26/2014	00698827-03	Registered
DREYFUS BNY MELLON FUNDS INC DREYFUS YIELD ENHANCEMENT STRATEGY FUND CLASS A	NEW YORK, NY	2/26/2014	00698829-03	Registered
DREYFUS BNY MELLON FUNDS INC DREYFUS YIELD ENHANCEMENT STRATEGY FUND CLASS Y	NEW YORK, NY	2/26/2014	00698828-03	Registered

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DREYFUS BNY MELLON FUNDS INC DREYFUS YIELD ENHANCEMENT STRATEGY FUND CLASS I	NEW YORK, NY	2/26/2014	00698826-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS ASIA EQUITY FUND CLASS IR SHARES	CHICAGO, IL	2/26/2014	00698814-03	Pending-Cleared
GOLDMAN SACHS TR GOLDMAN SACHS EMERGING MARKETS EQUITY INSIGHTS FUND CLASS R SHARES	CHICAGO, IL	2/26/2014	00698815-03	Pending-Cleared
MAINSTAY FUNDS MAINSTAY UNCONSTRAINED BOND FUND CLASS R2	NEW YORK, NY	2/26/2014	00698825-03	Pending-Cleared
MAINSTAY FUNDS TR MAINSTAY EPOCH GLOBAL EQUITY YIELD FUND CLASS R2	NEW YORK, NY	2/26/2014	00698824-03	Pending-Cleared
PIMCO FUNDS PIMCO INTERNATIONAL FUNDAMENTAL INDEXPLUS AR STRATEGY FUND CLASS C	NEWPORT BEACH, CA	2/26/2014	00698818-03	Registered
PIMCO FUNDS PIMCO INTERNATIONAL FUNDAMENTAL INDEXPLUS AR STRATEGY FUND CLASS D	NEWPORT BEACH, CA	2/26/2014	00698821-03	Registered
PIMCO FUNDS PIMCO INTERNATIONAL FUNDAMENTAL INDEXPLUS AR STRATEGY FUND CLASS A	NEWPORT BEACH, CA	2/26/2014	00698816-03	Registered
PIMCO FUNDS PIMCO SMALL CO FUNDAMENTAL INDEXPLUS AR STRATEGY FUND CLASS D	NEWPORT BEACH, CA	2/26/2014	00698820-03	Registered
PIMCO FUNDS PIMCO SMALL CO FUNDAMENTAL INDEXPLUS AR STRATEGY FUND CLASS C	NEWPORT BEACH, CA	2/26/2014	00698817-03	Registered

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PIMCO FUNDS PIMCO SMALL CO FUNDAMENTAL INDEXPLUS AR STRATEGY FUND CLASS A	NEWPORT BEACH, CA	2/26/2014	00698819-03	Registered
BLACKROCK LIQUIDITY FUNDS FEDERAL TR FUND ADMINISTRATION SHARES	WILMINGTON, DE	2/24/2014	00698761-03	Registered
BLACKROCK LIQUIDITY FUNDS FEDFUND ADMINISTRATION SHARES	WILMINGTON, DE	2/24/2014	00698759-03	Registered
BLACKROCK LIQUIDITY FUNDS MUNICASH ADMINISTRATION SHARES	WILMINGTON, DE	2/24/2014	00698762-03	Registered
BLACKROCK LIQUIDITY FUNDS TEMPCASH ADMINISTRATION SHARES	WILMINGTON, DE	2/24/2014	00698758-03	Registered
BLACKROCK LIQUIDITY FUNDS TREASURY TR FUND ADMINISTRATION SHARES	WILMINGTON, DE	2/24/2014	00698760-03	Registered
ADVISORS SERIES TR COLDSTREAM DIVIDEND GROWTH FUND	MILWAUKEE, WI	2/21/2014	00698851-03	Registered
ALGER FUNDS 2 ALGER EMERGING MARKETS FUND CLASS Z	NEW YORK, NY	2/21/2014	00698745-03	Pending-Cleared
STERLING CAPITAL FUNDS STERLING CAPITAL LONG SHORT EQUITY FUND INSTITUTIONAL SHARES	RALEIGH, NC	2/21/2014	00698746-03	Registered
AQR FUNDS AQR GLOBAL EQUITY FUND CLASS R6 SHARES	GREENWICH, CT	2/20/2014	00696891-03	Registered
AQR FUNDS AQR INTERNATIONAL EQUITY FUND CLASS R6 SHARES	GREENWICH, CT	2/20/2014	00696892-03	Registered

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COMMUNITY CAPITAL TR CCM ALTERNATIVE INCOME FUND INSTITUTIONAL SHARES	WESTON, FL	2/20/2014	00696893-03	Registered
FT 4663 BALANCED INCOME EQUITY & ETF PORTFOLIO SERIES 8	WHEATON, IL	2/20/2014	00698833-05	Pending-Cleared
FT 4666 ETF GRPWTB & INCOME MAR 14	WHEATON, IL	2/20/2014	00698834-05	Pending-Cleared
FT 4691 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 58	WHEATON, IL	2/20/2014	00698835-05	Pending-Cleared
FT 4696 MULTI SECTOR INCOME PORTFOLIO SERIES 20	WHEATON, IL	2/20/2014	00698832-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1135 GUGGENHEIM EMERGING MARKETS DIVIDEND STRATEGY PORTFOLIO SERIES 9	LISLE, IL	2/20/2014	00698831-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1136 ENERGY PORTFOLIO SERIES 16	LISLE, IL	2/20/2014	00698838-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1136 GUGGENHEIM DIVIDEND STRENGTH PORTFOLIO SERIES 12	LISLE, IL	2/20/2014	00698839-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1136 LARGE CAP CORE PORTFOLIO SERIES 21	LISLE, IL	2/20/2014	00698840-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1137 TOTAL INCOME PORTFOLIO SERIES 2	LISLE, IL	2/20/2014	00698830-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1138 FLOATING RATE & DIVIDEND GROWTH PORTFOLIO SERIES 4	LISLE, IL	2/20/2014	00698837-05	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
INVESTMENT MANAGERS SERIES TR ARISTOTLE INTERNATIONAL EQUITY FUND CLASS I SHARES	MILWAUKEE, WI	2/20/2014	00698841-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR LIQUID 8 FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	2/20/2014	00698845-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR LIQUID 8 FUND INVESTOR CLASS	MILWAUKEE, WI	2/20/2014	00698846-03	Pending-Cleared
SMART TR DYNAMIC SECTOR INCOME TR SERIES 8	PARSIPPANY, NJ	2/20/2014	00698836-05	Pending-Cleared
JPMORGAN TR I JPMORGAN INTERNATIONAL OPPORTUNITIES FUND CLASS R6 SHARES	BOSTON, MA	2/19/2014	00696690-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO MANAGED ACCOUNT COREBUILDER SHARES SERIES M	SAN FRANCISCO, CA	2/19/2014	00698442-03	Registered
FT 4620 CONVERTIBLE & INCOME SELECT CLOSED END & ETF PORTFOLIO	WHEATON, IL	2/17/2014	00696770-05	Registered
FT 4624 SABRIENT SMALL CAP GROWTH PORTFOLIO SERIES	WHEATON, IL	2/17/2014	00696767-05	Registered
FT 4628 INFLATION HEDGE OPPORTUNITY PORTFOLIO SERIES 20	WHEATON, IL	2/17/2014	00696779-05	Registered
FT 4642 US ENERGY INDEPENDENCE PORTFOLIO SERIES 3	WHEATON, IL	2/17/2014	00696777-05	Registered
FT 4644 EQUITY CLOSED END PORTFOLIO SERIES 30	WHEATON, IL	2/17/2014	00696778-05	Registered
FT 4648 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 41	WHEATON, IL	2/17/2014	00696771-05	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
FT 4651 EMERGING MARKETS PORTFOLIO SERIES 11	WHEATON, IL	2/17/2014	00696769-05	Registered
FT 4658 CORE HOLDINGS GROWTH TR 2014 SPRING SERIES	WHEATON, IL	2/17/2014	00696773-05	Registered
FT 4667 DIVIDEND & INCOME SELECT CLOSED END PORTFOLIO SERIES 39	WHEATON, IL	2/17/2014	00696772-05	Registered
FT 4670 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 49	WHEATON, IL	2/17/2014	00696776-05	Registered
FT 4678 CAPITAL STRENGTH BUY WRITE PORTFOLIO SERIES 14	WHEATON, IL	2/17/2014	00696768-05	Registered
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	Registered
SMART TR RISING INTEREST RATES HEDGE TR SERIES 2	PARSIPPANY, NJ	2/17/2014	00696775-05	Registered
<b>Number of Investment Company Filings: 57</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>
BAIRD VENTURE PARTNERS 4 LIMIED PARTNERSHIP	MILWAUKEE, WI	2/21/2014	00698849-07	Filed
BVP 4 AFFILIATES FUND LP	MILWAUKEE, WI	2/21/2014	00698850-07	Filed
BVP 4 SPECIAL AFFILIATES LP	MILWAUKEE, WI	2/21/2014	00698852-07	Filed

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<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>
MGWGG INVESTMENTS LLC	LOVELAND, CO	2/21/2014	00698848-07	Filed
SANTA ROSA CONSULTING INC	BLOOMFIELD HILLS, MI	2/21/2014	00698847-07	Filed
SOLAR MOSAIC INC	OAKLAND, CA	2/21/2014	00698854-07	Filed
SOLAR MOSAIC INC	OAKLAND, CA	2/21/2014	00698855-07	Filed
SOLAR MOSAIC INC	OAKLAND, CA	2/21/2014	00698856-07	Filed
SOLAR MOSAIC INC	OAKLAND, CA	2/21/2014	00698857-07	Filed
COMMERCE VENTURES LP	SAN FRANCISCO, CA	2/20/2014	00698619-07	Filed
GLOBAL MINERALS LTD	VANCOUVER, BC	2/19/2014	00698612-07	Filed
RP CAMPUS EDGE LP	DALLAS, TX	2/19/2014	00698613-07	Filed
TOTAL JOINT ORTHOPEDICS INC	SALT LAKE CITY, UT	2/19/2014	00698614-07	Filed
ETHIO AMERICAN DOCTORS GROUP INC	REIDSVILLE, NC	2/18/2014	00696812-07	Filed
RAMA FUND LLC	AGOURA, CA	2/18/2014	00696810-07	Filed
VANTAGESOUTH BANCSHARES INC	RALEIGH, NC	2/18/2014	00696809-07	Filed
VILAS FUND LP	CHICAGO, IL	2/18/2014	00698608-07	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
<b>Number of Regulation D Notice Filings: 21</b>				

**All Securities Law, Franchise Law, and Take-Over Law Filings  
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<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>
LEADING EDGE MARKETING INC / ProSource Wholesale Floorcoverings	St. Louis, MO	2/28/2014	606912	Registered
Ultimate Fitness Group LLC / Orange Theory Area Representative Franchise	Fort Lauderdale, FL	2/27/2014	606910	Registered
Ultimate Fitness Group LLC / Orange Theory Unit Franchise	Fort Lauderdale, FL	2/27/2014	606909	Registered
MooYah Franchise LLC / MooYah	Plano, TX	2/27/2014	606908	Registered
WILD BIRDS UNLIMITED INC	Carmel, IN	2/27/2014	606907	Registered
AMERICINN INTERNATIONAL LLC / AmericInn, AmericInn Lodge & Suites, AmericInn Hotel & Suites, AmericInn Motel & Suites, AmericInn Motel	CHANHASSEN, MN	2/26/2014	606903	Registered
PIRTEK USA LLC	ROCKLEDGE, FL	2/26/2014	606905	Registered
Mosquito Shield Franchise Corporation / Mosquito Shield	North Attleboro, MA	2/25/2014	606897	Registered
Mac Tools	Westerville, OH	2/25/2014	606901	Registered
Stemtech Kids Franchise, Inc. / Stemtech Kids	Naperville, IL	2/24/2014	606899	Registered
TT&B INC / Brilliant Sky Toys & Books	Brentwood, TN	2/24/2014	606898	Registered
US Ventures / Express Convenience Centers	Appleton, WI	2/23/2014	606892	Registered
BAB SYSTEMS INC / Sweetduet Frozen Yogurt & Gourmet Muffins	DEERFIELD, IL	2/21/2014	606895	Registered
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
Patrice & Associates Franchising, Inc. / Patrice & Associates	Dunkirk, MD	2/19/2014	606893	Registered

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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
<b>Number of Franchise Filings: 24</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>	