

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 4/7/2014 through 4/18/2014**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PROSPECT GLOBAL RESOURCES INC	DENVER, CO	4/14/2014	00701344-01	Pending
SOLOMON FOUNDATION	ENGLEWOOD, CO	4/14/2014	00701343-02	Registered
Number of Registration Filings: 2				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CADUS CORP	NEW YORK, NY	4/8/2014	00700817-08	Not Disallowed
Number of Exemption Filings: 1				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
1ST TR COMBINED SERIES 441 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO LONG TERM SERIES 11	WHEATON, IL	4/15/2014	00701345-05	Registered
FT 4752 DIVERSIFIED FIXED INCOME ETF PORTFOLIO SERIES 18	WHEATON, IL	4/15/2014	00701346-05	Registered
FT 4723 EQUITY INCOME PORTFOLIO SERIES 42	WHEATON, IL	4/11/2014	00701277-05	Pending-Cleared
FT 4726 TECHNOLOGY SELECT PORTFOLIO SERIES 52	WHEATON, IL	4/11/2014	00701279-05	Pending-Cleared
FT 4764 GLOBAL COMMODITIES PORTFOLIO SERIES 25	WHEATON, IL	4/11/2014	00701278-05	Pending-Cleared
FT 4790 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 42	WHEATON, IL	4/11/2014	00701280-05	Registered

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Firm Name	Location	Date Received	File Number	Status
SMART TR TAX ADVANTAGED GROWTH & INCOME TR SERIES 4	PARSIPPANY, NJ	4/11/2014	00701276-05	Registered
VIRTUS ALTERNATIVE SOLUTIONS TR VIRTUS ALTERNATIVE INCOME SOLUTION FUND CLASS I	GREENFIELD, MA	4/11/2014	00700950-03	Pending-Cleared
VIRTUS ALTERNATIVE SOLUTIONS TR VIRTUS ALTERNATIVE INCOME SOLUTION FUND CLASS A	GREENFIELD, MA	4/11/2014	00700947-03	Pending-Cleared
VIRTUS ALTERNATIVE SOLUTIONS TR VIRTUS ALTERNATIVE INCOME SOLUTION FUND CLASS C	GREENFIELD, MA	4/11/2014	00700948-03	Pending-Cleared
VIRTUS ALTERNATIVE SOLUTIONS TR VIRTUS ALTERNATIVE INFLATION SOLUTION FUND CLASS I	GREENFIELD, MA	4/11/2014	00700949-03	Pending-Cleared
VIRTUS ALTERNATIVE SOLUTIONS TR VIRTUS ALTERNATIVE INFLATION SOLUTION FUND CLASS C	GREENFIELD, MA	4/11/2014	00700952-03	Pending-Cleared
VIRTUS ALTERNATIVE SOLUTIONS TR VIRTUS ALTERNATIVE INFLATION SOLUTION FUND CLASS A	GREENFIELD, MA	4/11/2014	00700954-03	Pending-Cleared
VIRTUS ALTERNATIVE SOLUTIONS TR VIRTUS ALTERNATIVE TOTAL SOLUTION FUND CLASS I	GREENFIELD, MA	4/11/2014	00700955-03	Pending-Cleared
VIRTUS ALTERNATIVE SOLUTIONS TR VIRTUS ALTERNATIVE TOTAL SOLUTION FUND CLASS A	GREENFIELD, MA	4/11/2014	00700951-03	Pending-Cleared
VIRTUS ALTERNATIVE SOLUTIONS TR VIRTUS ALTERNATIVE TOTAL SOLUTION FUND CLASS C	GREENFIELD, MA	4/11/2014	00700953-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1198 GLOBAL GOLD INCOME PORTFOLIO SERIES 2014 2Q SMC PORTFOLIO	MONUMENT, CO	4/10/2014	00701131-05	Registered
ADVISORS DISCIPLINED TR 1199 DIVIDEND RULER COVERED CALL PORTFOLIO SERIES 2014 2Q	MONUMENT, CO	4/10/2014	00701132-05	Registered
ADVISORS DISCIPLINED TR 1200 ENHANCED EQUITY INCOME PORTFOLIO SERIES 2014 2Q	MONUMENT, CO	4/10/2014	00701133-05	Pending-Cleared
FT 4722 CLOUD COMPUTING PORTFOLIO SERIES 10	WHEATON, IL	4/10/2014	00701136-05	Registered
FT 4724 MARKET STRENGTH ALLOCATION SELECT PORTFOLIO SERIES 13	WHEATON, IL	4/10/2014	00701125-05	Registered
FT 4725 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES MERGER & ACQUISITION PORTFOLIO 2014 2	WHEATON, IL	4/10/2014	00701135-05	Registered
FT 4727 CAPITAL STRENGTH PORTFOLIO SERIES 24	WHEATON, IL	4/10/2014	00701134-05	Registered
FT 4729 SELECT DSIP PORTFOLIO 2ND QUARTER 2014 SERIES	WHEATON, IL	4/10/2014	00701126-05	Registered
FT 4730 DIVIDEND GROWTH PORTFOLIO SERIES 5	WHEATON, IL	4/10/2014	00701124-05	Pending-Cleared
FT 4731 SMID HIGH DIVIDEND PORTFOLIO SERIES 13	WHEATON, IL	4/10/2014	00701137-05	Pending-Cleared
FT 4751 60/40 STRATEGIC ALLOCATION PORT 2Q 14 TERM 7/15/15	WHEATON, IL	4/10/2014	00701128-05	Registered
FT 4751 75/25 STRATEGIC ALLOCATION PORT 2Q 14 TERM 7/15/15	WHEATON, IL	4/10/2014	00701127-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 4762 GLOBAL AGRICULTURE PORTFOLIO SERIES 28	WHEATON, IL	4/10/2014	00701129-05	Registered
FT 4763 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 40	WHEATON, IL	4/10/2014	00701138-05	Registered
FT 4766 BALANCED INCOME SELECT PORTFOLIO SERIES 44	WHEATON, IL	4/10/2014	00701130-05	Registered
FT 4767 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 50	WHEATON, IL	4/10/2014	00701139-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1161 GUGGENHEIM US HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 12	LISLE, IL	4/10/2014	00701141-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1161 GUGGENHEIM US SMID HIGH DIVIDEND PORTFOLIO SERIES 12	LISLE, IL	4/10/2014	00701140-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1162 GUGGENHEIM REIT PORTFOLIO SERIES 10	LISLE, IL	4/10/2014	00701143-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1173 GLOBAL GROWTH PORTFOLIO SERIES 1	LISLE, IL	4/10/2014	00701142-05	Registered
INCAPITAL UNIT TR SERIES 46 NUVEEN LARGE CAP DIVIDEND PORTFOLIO 2Q 2014	CHICAGO, IL	4/10/2014	00701144-05	Pending-Cleared
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2010 FUND CLASS R4	ENFIELD, CT	4/10/2014	00701167-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2010 FUND CLASS I	ENFIELD, CT	4/10/2014	00701166-03	Registered

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Firm Name	Location	Date Received	File Number	Status
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2010 FUND CLASS R5	ENFIELD, CT	4/10/2014	00701168-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2015 FUND CLASS R5	ENFIELD, CT	4/10/2014	00701172-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2015 FUND CLASS R3	ENFIELD, CT	4/10/2014	00701170-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2015 FUND CLASS R4	ENFIELD, CT	4/10/2014	00701171-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2015 FUND CLASS I	ENFIELD, CT	4/10/2014	00701169-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2020 FUND CLASS I	ENFIELD, CT	4/10/2014	00701173-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2020 FUND CLASS R5	ENFIELD, CT	4/10/2014	00701175-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2020 FUND CLASS R4	ENFIELD, CT	4/10/2014	00701174-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2025 FUND CLASS R4	ENFIELD, CT	4/10/2014	00701178-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2025 FUND CLASS I	ENFIELD, CT	4/10/2014	00701176-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2025 FUND CLASS R5	ENFIELD, CT	4/10/2014	00701179-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2025 FUND CLASS R3	ENFIELD, CT	4/10/2014	00701177-03	Registered

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Firm Name	Location	Date Received	File Number	Status
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2030 FUND CLASS R4	ENFIELD, CT	4/10/2014	00701181-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2030 FUND CLASS I	ENFIELD, CT	4/10/2014	00701180-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2030 FUND CLASS R5	ENFIELD, CT	4/10/2014	00701182-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2035 FUND CLASS R3	ENFIELD, CT	4/10/2014	00701184-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2035 FUND CLASS I	ENFIELD, CT	4/10/2014	00701183-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2035 FUND CLASS R4	ENFIELD, CT	4/10/2014	00701185-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2035 FUND CLASS R5	ENFIELD, CT	4/10/2014	00701186-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2040 FUND CLASS I	ENFIELD, CT	4/10/2014	00701187-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2040 FUND CLASS R5	ENFIELD, CT	4/10/2014	00701189-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2040 FUND CLASS R4	ENFIELD, CT	4/10/2014	00701188-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2045 FUND CLASS R4	ENFIELD, CT	4/10/2014	00701192-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2045 FUND CLASS R5	ENFIELD, CT	4/10/2014	00701193-03	Registered

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Firm Name	Location	Date Received	File Number	Status
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2045 FUND CLASS R3	ENFIELD, CT	4/10/2014	00701191-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2045 FUND CLASS I	ENFIELD, CT	4/10/2014	00701190-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2050 FUND CLASS I	ENFIELD, CT	4/10/2014	00701194-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2050 FUND CLASS R4	ENFIELD, CT	4/10/2014	00701195-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2050 FUND CLASS R5	ENFIELD, CT	4/10/2014	00701196-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2055 FUND CLASS R5	ENFIELD, CT	4/10/2014	00701200-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2055 FUND CLASS R4	ENFIELD, CT	4/10/2014	00701199-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2055 FUND CLASS R3	ENFIELD, CT	4/10/2014	00701198-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2055 FUND CLASS I	ENFIELD, CT	4/10/2014	00701197-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART CONSERVATIVE FUND CLASS R3	ENFIELD, CT	4/10/2014	00701152-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART CONSERVATIVE FUND CLASS I	ENFIELD, CT	4/10/2014	00701151-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART CONSERVATIVE FUND CLASS R4	ENFIELD, CT	4/10/2014	00701153-03	Registered

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Firm Name	Location	Date Received	File Number	Status
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART GROWTH FUND CLASS R3	ENFIELD, CT	4/10/2014	00701155-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART GROWTH FUND CLASS R4	ENFIELD, CT	4/10/2014	00701156-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART GROWTH FUND CLASS I	ENFIELD, CT	4/10/2014	00701154-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART IN RETIREMENT FUND CLASS R4	ENFIELD, CT	4/10/2014	00701164-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART IN RETIREMENT FUND CLASS R5	ENFIELD, CT	4/10/2014	00701165-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART IN RETIREMENT FUND CLASS I	ENFIELD, CT	4/10/2014	00701163-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART MODERATE GROWTH FUND CLASS R3	ENFIELD, CT	4/10/2014	00701161-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART MODERATE GROWTH FUND CLASS I	ENFIELD, CT	4/10/2014	00701160-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART MODERATE GROWTH FUND CLASS R4	ENFIELD, CT	4/10/2014	00701162-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART MODERATE FUND CLASS R3	ENFIELD, CT	4/10/2014	00701158-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART MODERATE FUND CLASS R4	ENFIELD, CT	4/10/2014	00701159-03	Registered

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Firm Name	Location	Date Received	File Number	Status
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART MODERATE FUND CLASS I	ENFIELD, CT	4/10/2014	00701157-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT BLACKROCK GLOBAL ALLOCATION FUND CLASS I	ENFIELD, CT	4/10/2014	00701201-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT BLACKROCK GLOBAL ALLOCATION FUND CLASS R3	ENFIELD, CT	4/10/2014	00701202-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT BLACKROCK GLOBAL ALLOCATION FUND CLASS R4	ENFIELD, CT	4/10/2014	00701203-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT BLUE CHIP GROWTH FUND CLASS R4	ENFIELD, CT	4/10/2014	00701205-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT BLUE CHIP GROWTH FUND CLASS I	ENFIELD, CT	4/10/2014	00701204-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT DIVERSIFIED INTERNATIONAL FUND CLASS R4	ENFIELD, CT	4/10/2014	00701208-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT DIVERSIFIED VALUE FUND CLASS I	ENFIELD, CT	4/10/2014	00701209-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT DIVERSIFIED INTERNATIONAL FUND CLASS R3	ENFIELD, CT	4/10/2014	00701207-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT DIVERSIFIED INTERNATIONAL FUND CLASS I	ENFIELD, CT	4/10/2014	00701206-03	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
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT DIVERSIFIED VALUE FUND CLASS R4	ENFIELD, CT	4/10/2014	00701210-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT FOCUSED VALUE FUND CLASS R4	ENFIELD, CT	4/10/2014	00701211-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT FUNDAMENTAL VALUE FUND CLASS R4	ENFIELD, CT	4/10/2014	00701214-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT FUNDAMENTAL GROWTH FUND CLASS R4	ENFIELD, CT	4/10/2014	00701213-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT FUNDAMENTAL GROWTH FUND CLASS I	ENFIELD, CT	4/10/2014	00701212-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT GROWTH OPPORTUNITIES FUND CLASS R4	ENFIELD, CT	4/10/2014	00701215-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT LARGE CAP VALUE FUND CLASS R4	ENFIELD, CT	4/10/2014	00701217-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT LARGE CAP VALUE FUND CLASS I	ENFIELD, CT	4/10/2014	00701216-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT MID CAP GROWTH EQUITY 2 FUND CLASS R4	ENFIELD, CT	4/10/2014	00701218-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT MID CAP VALUE FUND CLASS R4	ENFIELD, CT	4/10/2014	00701219-03	Registered

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Firm Name	Location	Date Received	File Number	Status
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT OVERSEAS FUND CLASS R4	ENFIELD, CT	4/10/2014	00701220-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PIMCO TOTAL RETURN FUND CLASS A	ENFIELD, CT	4/10/2014	00701221-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT SMALL CAP GROWTH EQUITY FUND CLASS R4	ENFIELD, CT	4/10/2014	00701222-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT SMALL CAP VALUE EQUITY FUND CLASS I	ENFIELD, CT	4/10/2014	00701223-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT SMALL CAP VALUE EQUITY FUND CLASS R4	ENFIELD, CT	4/10/2014	00701225-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT SMALL CAP VALUE EQUITY FUND CLASS R3	ENFIELD, CT	4/10/2014	00701224-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT SMALL CO GROWTH FUND CLASS R4	ENFIELD, CT	4/10/2014	00701228-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT SMALL CO GROWTH FUND CLASS R3	ENFIELD, CT	4/10/2014	00701227-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT SMALL CO GROWTH FUND CLASS I	ENFIELD, CT	4/10/2014	00701226-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT SMALL CO VALUE FUND CLASS R4	ENFIELD, CT	4/10/2014	00701229-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT STRATEGIC BOND FUND CLASS I	ENFIELD, CT	4/10/2014	00701230-03	Registered

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Firm Name	Location	Date Received	File Number	Status
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT STRATEGIC BOND FUND CLASS R4	ENFIELD, CT	4/10/2014	00701231-03	Registered
MASSMUTUAL SELECT FUNDS MM MSCI EAFE INTERNATIONAL INDEX FUND CLASS R4	ENFIELD, CT	4/10/2014	00701233-03	Registered
MASSMUTUAL SELECT FUNDS MM MSCI EAFE INTERNATIONAL INDEX FUND CLASS R3	ENFIELD, CT	4/10/2014	00701232-03	Registered
MASSMUTUAL SELECT FUNDS MM RUSSELL 2000 SMALL CAP INDEX FUND CLASS R4	ENFIELD, CT	4/10/2014	00701235-03	Registered
MASSMUTUAL SELECT FUNDS MM RUSSELL 2000 SMALL CAP INDEX FUND CLASS R3	ENFIELD, CT	4/10/2014	00701234-03	Registered
MASSMUTUAL SELECT FUNDS MM S&P 500 INDEX FUND CLASS A	ENFIELD, CT	4/10/2014	00701236-03	Registered
MASSMUTUAL SELECT FUNDS MM S&P MID CAP INDEX FUND CLASS R3	ENFIELD, CT	4/10/2014	00701237-03	Registered
MASSMUTUAL SELECT FUNDS MM S&P MID CAP INDEX FUND CLASS R4	ENFIELD, CT	4/10/2014	00701238-03	Registered
TR ADVISED PORTFOLIOS AMI LARGE CAP GROWTH FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	4/10/2014	00701145-03	Registered
MANAGED PORTFOLIO SERIES ATAC BETA ROTATION FUND INVESTOR CLASS	MILWAUKEE, WI	4/9/2014	00701112-03	Registered
NORTHERN LIGHTS FUND TR NAVIGATOR TACTICAL FIXED INCOME FUND CLASS I SHARES	HAUPPAUGE, NY	4/9/2014	00701113-03	Registered

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OUTLOOK FUNDS TR 3D PRINTING & TECHNOLOGY FUND INVESTOR SHARES	PORTLAND, ME	4/9/2014	00700922-03	Pending-Cleared
ASTON FUNDS ASTON GUARDIAN CAPITAL GLOBAL DIVIDEND FUND CLASS I SHARES	CHICAGO, IL	4/8/2014	00700697-03	Pending-Cleared
ASTON FUNDS ASTON GUARDIAN CAPITAL GLOBAL DIVIDEND FUND CLASS N SHARES	CHICAGO, IL	4/8/2014	00700699-03	Pending-Cleared
ASTON FUNDS ASTON PICTET INTERNATIONAL FUND CLASS I SHARES	CHICAGO, IL	4/8/2014	00700696-03	Pending-Cleared
ASTON FUNDS ASTON PICTET INTERNATIONAL FUND CLASS N SHARES	CHICAGO, IL	4/8/2014	00700698-03	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1193 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 51	DOWNERS GROVE, IL	4/8/2014	00701103-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1194 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 52	DOWNERS GROVE, IL	4/8/2014	00701104-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1195 INVESTMENT GRADE MUNICIPAL TR SERIES 175	DOWNERS GROVE, IL	4/8/2014	00701101-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1196 INVESTMENT GRADE MUNICIPAL TR SERIES 176	DOWNERS GROVE, IL	4/8/2014	00701102-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1199 INSURED MUNICIPALS INCOME TR SERIES 674	DOWNERS GROVE, IL	4/8/2014	00701099-05	Pending-Cleared

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INVESCO UNIT TR MUNICIPAL SERIES 1200 INSURED MUNICIPALS INCOME TR SERIES 675	DOWNERS GROVE, IL	4/8/2014	00701100-05	Pending-Cleared
INVESCO UNIT TR SERIES 1431 HIGH INCOME ALLOCATION PORTFOLIO SERIES 7	DOWNERS GROVE, IL	4/8/2014	00701096-05	Pending-Cleared
INVESCO UNIT TR SERIES 1432 ALTERNATIVES ALLOCATION PORTFOLIO 2014 2	DOWNERS GROVE, IL	4/8/2014	00701095-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 481 HIGH INCOME INVESTMENT GRADE TR SERIES 6	DOWNERS GROVE, IL	4/8/2014	00701097-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 482 HIGH INCOME INVESTMENT GRADE TR SERIES 7	DOWNERS GROVE, IL	4/8/2014	00701098-05	Pending-Cleared
DOUBLE LINE FUNDS TR DOUBLE LINE FLEXIBLE INCOME FUND CLASS I SHARES	WEST ALLIS, WI	4/7/2014	00700807-03	Registered
DOUBLE LINE FUNDS TR DOUBLE LINE FLEXIBLE INCOME FUND CLASS N SHARES	WEST ALLIS, WI	4/7/2014	00700808-03	Registered
DOUBLE LINE FUNDS TR DOUBLE LINE LOW DURATION EMERGING MARKETS FIXED INCOME FUND CLASS N SHARES	WEST ALLIS, WI	4/7/2014	00700810-03	Registered
DOUBLE LINE FUNDS TR DOUBLE LINE LOW DURATION EMERGING MARKETS FIXED INCOME FUND CLASS I SHARES	WEST ALLIS, WI	4/7/2014	00700809-03	Registered
Number of Investment Company Filings: 147				

**All Securities Law, Franchise Law, and Take-Over Law Filings
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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
ANTRIABIO INC	MENLO PARK, CA	4/15/2014	00701347-07	Filed
CARLYLE ECI COINVESTMENT LP	WASHINGTON, DC	4/15/2014	00701349-07	Filed
CERORA INC	BETHLEHEM, PA	4/15/2014	00701350-07	Filed
CHD BIOSCIENCE INC	FORT COLLINS, CO	4/15/2014	00701348-07	Filed
EXUMA QUALIFIED PARTNERS LP	NEW YORK, NY	4/15/2014	00701352-07	Filed
KAMINAK GOLD CORPS	VANCOUVER, BC	4/15/2014	00701354-07	Filed
TESSERA QP FUND LP	DENVER, CO	4/15/2014	00701353-07	Filed
VIR SEC INC	BELLEAIR BLUFFS, FL	4/15/2014	00701351-07	Filed
1ST SECURITY INC	OWENSBORO, KY	4/14/2014	00701299-07	Filed
AMEC PLC	CHESHIRE, AA	4/14/2014	00701293-07	Filed
BADGER MULTI WELL JOINT VENTURE STONE RANCH	PLANO, TX	4/14/2014	00701287-07	Filed
COLORCOM LTD	BROOMFIELD, CO	4/14/2014	00701297-07	Filed
DISCOVERY GLOBAL MACRO PARTNERSHIP LP	SOUTH NORWALK, CT	4/14/2014	00701292-07	Filed
ENCAP ENERGY CAPITAL FUND 8 CO INVESTORS LP	HOUSTON, TX	4/14/2014	00701296-07	Filed
HOPLITE PARTNERS LP	NEW YORK, NY	4/14/2014	00701294-07	Filed
MERIDIAN HORIZON FUND LP	ALBANY, NY	4/14/2014	00701298-07	Filed
MORGAN STANLEY HEDGEPREMIER IVORY FLAGSHIP LP	NEW YORK, NY	4/14/2014	00701290-07	Filed
PMF FUND LP	HOUSTON, TX	4/14/2014	00701289-07	Filed
PMF TEI FUND LP	HOUSTON, TX	4/14/2014	00701288-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
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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
PORTFOLIO ADVISORS REAL ESTATE FUND 5 LP	DARIEN, CT	4/14/2014	00701295-07	Filed
WEST HARTFORD GROCERY CENTER DST	OAK BROOK, IL	4/14/2014	00701291-07	Filed
ARROGENE INC	SANTA MONICA, CA	4/11/2014	00701283-07	Filed
CA ASV RENAISSANCE PREFERRED EQUITY LLC	CHICAGO, IL	4/11/2014	00701281-07	Filed
COSKATA INC	WARRENVILLE, IL	4/11/2014	00701286-07	Filed
OAKTREE VALUE EQUITY FUND CAYMAN LP	LOS ANGELES, CA	4/11/2014	00701285-07	Filed
OAKTREE VALUE EQUITY FUND DELEWARE LP	LOS ANGELES, CA	4/11/2014	00701284-07	Filed
VECO LP	BOERNE, TX	4/11/2014	00701282-07	Filed
ACADIAN GLOBAL LOW VOLATILITY EQUITY FUND LLC	BOSTON, MA	4/10/2014	00701150-07	Filed
GS&A CREDIT ARBITRAGE FUND	TORONTO, ON	4/10/2014	00701149-07	Filed
LANDMARK REAL ESTATE PARTNERS 7 LP	SIMSBURY, CT	4/10/2014	00701148-07	Filed
XOLVE INC	MIDDLETON, WI	4/10/2014	00701147-07	Filed
AT GLOBAL MULTI STRATEGY FUND LLC	ATLANTA, GA	4/9/2014	00701123-07	Filed
BNY MELLON PRIVATE EQUITY FUND 8 LP	PITTSBURGH, PA	4/9/2014	00701120-07	Filed
KBI DST WATER FUND INVESTMENT FUND OF KLEINWORT BENSON INVESTORS DE STATUTORY TR	DUBLIN, AA	4/9/2014	00701121-07	Filed
SPECIAL OPPORTUNITIES FUND 5 LP	NEW YORK, NY	4/9/2014	00701122-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
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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
EMG FUND 3 OFFSHORE LP	DALLAS, TX	4/8/2014	00700815-07	Filed
MATERIA INC	PASADENA, CA	4/8/2014	00700816-07	Filed
VISTA EQUITY PARTNERS FUND 5 LP	SAN FRANCISCO, CA	4/8/2014	00700814-07	Filed
CALPIAN INC	DALLAS, TX	4/7/2014	00700804-07	Filed
F&M BANK CORP	TIMBERVILLE, VA	4/7/2014	00700803-07	Filed
FDS ATK INVESTMENT LLC	ARLINGTON, VA	4/7/2014	00700801-07	Filed
FDS PARKWAY LLC	ARLINGTON, VA	4/7/2014	00700802-07	Filed
MAMMOTH VALLEY MINING LLC	AUSTIN, TX	4/7/2014	00700799-07	Filed
Number of Regulation D Notice Filings: 43				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
SHELFGENIE FRANCHISE SYSTEMS LLC / SHELFGENIE	Atlanta, GA	4/18/2014	607504	Registered
Next Step Franchising, Inc. / Lapels Dry Cleaning.	Hanover, MA	4/18/2014	607503	Registered
TINT WORLD LLC	Weston, FL	4/18/2014	607502	Registered
SH FRANCHISING LLC / Senior Helpers	Timonium, MD	4/18/2014	607500	Registered
GN Independents, Inc / Glass Nickel Pizza Co	Madison, WI	4/18/2014	607499	Registered
HandyPro International, LLC / HandyPro	Plymouth, MI	4/18/2014	607498	Registered
Big Frog Custom T-Shirts, Inc. / Big Frog	Dunedin, FL	4/18/2014	607497	Registered
Elements Therapeutic Massage, Inc. / Elements Massage (Area Director Franchise Program)	Highlands Ranch, CO	4/18/2014	607496	Registered
Sixt Franchise USA, LLC / Sixt Rent A Car	Fort Lauderdale, FL	4/18/2014	607494	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Kosama Franchising, LLC / Kosama, Kosama Complete Body Transformation	Chanhausen, MN	4/17/2014	607493	Registered
SandFree Systems, LLC	Ardmore, PA	4/17/2014	607491	Registered
PLA FIT FRANCHISE LLC / Planet Fitness; Pla-Fit Franchise, LLC	Newington, NH	4/17/2014	607492	Registered
EAST COAST WINGS CORPORATION / EAST COAST WINGS & GRILL	WINSTON-SALEM, NC	4/17/2014	607490	Registered
TROPICAL SMOOTHIE CAFE, LLC / Unit	Atlanta, GA	4/17/2014	607489	Registered
Ground Round Independent Owners Cooperative, LLC / Ground Round Grill & Bar Restaurants and Ground Round Sports Grille Restaurants	Freeport, ME	4/17/2014	607488	Registered
Zerorez Franchising Systems, Inc. / Zerorez	Draper, UT	4/16/2014	607474	Registered
ATL Franchises, Inc. / American Title Loans	Salt Lake City, UT	4/16/2014	607473	Registered
Simply HairFree Franchising, LLC / BodyBrite	Minneapolis, MN	4/15/2014	607472	Registered
ERC FRANCHISING, LLC / EXPENSE REDUCTION COACHING	SOUTHBURY, CT	4/15/2014	607471	Registered
Business Partner Franchising, LLC / Business Partner Marketing Coach	Southbury, CT	4/15/2014	607470	Registered
ADVICOACH FRANCHISING, LLC / ADVICOACH	SOUTHBURY, CT	4/15/2014	607469	Registered
AUTO DRIVEAWAY FRANCHISE SYSTEMS, LLC / Auto Driveaway	LOMBARD, IL	4/15/2014	607468	Registered
WINDOW WORLD, INC. / WINDOW WORLD	N. Wilkesboro, NC	4/15/2014	607467	Registered
The Cornwell Quality Tools Company / Cornwell	Wadsworth, OH	4/15/2014	607465	Registered
GWB ENTERPRISES INC / Fantastic Sams Hair Salons	EAU CLAIRE, WI	4/15/2014	607455	Registered
Medi-Weightloss Franchising USA, LLC / Medi-Weightloss Business	Tampa, FL	4/15/2014	607454	Registered
Pinkberry Ventures, Inc. / Pinkberry	Santa Monica, CA	4/15/2014	607453	Registered
Toppers Pizza, Inc. / Toppers Pizza	Whitewater, WI	4/15/2014	607452	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Management Recruiters International Inc.	Philadelphia, PA	4/15/2014	607450	Registered
PITA PIT INC. / PITA PIT	COEUR D'ALENE, ID	4/15/2014	607451	Registered
McDonald's USA, LLC / McDonald's	Oak Brook, IL	4/15/2014	607448	Registered
AGE ADVANTAGE HOME CARE FRANCHISING INC	El Cajon, CA	4/15/2014	607479	Registered
GOLDEN CORRAL FRANCHISING SYSTEMS INC / Golden Corral	RALEIGH, NC	4/15/2014	607487	Registered
HAND & STONE FRANCHISE CORP / Hand & Stone Massage, Facial Spa	Hamilton, NJ	4/15/2014	607481	Registered
New Uses LLC / New Uses	Wayzata, MN	4/15/2014	607485	Registered
NOBLE ROMANS INC / Noble Roman's Pizza	INDIANAPOLIS, IN	4/15/2014	607483	Registered
PACIUGO FRANCHISING LP / Paciugo	DALLAS, TX	4/15/2014	607484	Registered
Vive Bene Enterprises, Inc. / Papa Saverio's	Elgin, IL	4/15/2014	607480	Registered
Yogurtland Franchising, Inc. / YOGURTLAND	Irvine, CA	4/15/2014	607482	Registered
BizCard Xpress, LLC / BizCard Xpress	Flagler, FL	4/14/2014	607447	Registered
The Joint Corp. / The Joint...the chiropractic place	Scottsdale, AZ	4/14/2014	607446	Registered
CRESTCOM INTERNATIONAL LLC / Area Developer	GREENWOOD VILLAGE, CO	4/14/2014	607445	Registered
CRESTCOM INTERNATIONAL LLC / Executive Program	GREENWOOD VILLAGE, CO	4/14/2014	607444	Registered
Mosquito Joe Franchising, LLC / Mosquito Joe	Virginia Beach, VA	4/14/2014	607442	Registered
Designed Cookies, Inc. / Cookies By Design	Plano, TX	4/14/2014	607441	Registered
Chick-fil-A, Inc. / "Chick-fil-A" or "Chick-fil-A, Inc."	Atlanta, GA	4/14/2014	607440	Registered
Chick-fil-A, Inc. / "Chick-fil-A" or "Chick-fil-A, Inc."	Atlanta, GA	4/14/2014	607439	Registered
Sellstate Realty Systems Network, Inc. / Beth Beatty	Ft. Myers, FL	4/14/2014	607436	Registered
BIG MIKES SUPER SUBS FRANCHISING SYSTEMS INC / Milios	MADISON, WI	4/14/2014	607461	Registered
Blaze Pizza, LLC / Blaze FastFire'd Pizza	Pasadena, CA	4/14/2014	607458	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
INXPRESS LLC / InXpress	Sandy, UT	4/14/2014	607459	Registered
PFG VENTURES LP / Proforma	CLEVELAND, OH	4/14/2014	607464	Registered
The Bar Method Franchising, Inc.	San Francisco, CA	4/14/2014	607462	Registered
VALUE PLACE FRANCHISE SERVICES LLC	WICHITA, KS	4/14/2014	607460	Registered
Best In Class Education Center, LLC / Best In Class Education Center	Mercer Island, WA	4/11/2014	607422	Registered
Twin Restaurant Franchise, LLC / Twin Peaks	Dallas, TX	4/11/2014	607421	Registered
BurgerFi International, LLC	North Palm Beach, FL	4/11/2014	607420	Registered
Lillians Shoppes, LLC	Plymouth, MN	4/11/2014	607418	Registered
CELLAIRIS FRANCHISE INC / Cellairis	ALPHARETTA, GA	4/11/2014	607417	Registered
HUNTINGTON LEARNING CENTERS INC / Huntington Learning Center	ORADELL, NJ	4/11/2014	607415	Registered
DIPPIN' DOTS FRANCHISING, L.L.C. / DIPPIN' DOTS	Paducah, KY	4/11/2014	607414	Registered
Archadeck Franchising Corporation / Archadeck	Richmond, VA	4/11/2014	607431	Registered
BROTHERS FRANCHISING & DEVELOPMENT LLC / Brothers Bar & Grill	LA CROSSE, WI	4/11/2014	607457	Registered
CULLIGAN INTERNATIONAL CO	Rosemont, IL	4/11/2014	607456	Registered
DEALER SPECIALTIES INTERNATIONAL INC	MONROE, OH	4/11/2014	607429	Registered
H-1 AUTO CARE INC / Honest 1	Scottsdale, AZ	4/11/2014	607463	Registered
MAILCOUPS, INC. / SuperCoups	Norwell, MA	4/11/2014	607428	Registered
PIU HOLDINGS LLC / Pump It Up	Tempe, AZ	4/11/2014	607433	Registered
MASSAGE ENVY FRANCHISING, LLC / Massage Envy Spa	Scottsdale, AZ	4/10/2014	607412	Registered
Supporting Strategies Partners, LLC / Supporting Strategies	Beverly, MA	4/10/2014	607411	Registered
Aussie Pet Mobile, Inc. / Aussie Pet Mobile	Aliso Viejo, CA	4/10/2014	607409	Registered
CMIT Solutions, Inc. / CMIT Solutions	Austin, TX	4/10/2014	607408	Registered
AmeriCop Franchising, Inc.	Katy, TX	4/10/2014	607427	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
JC Franchising, LLC / Green Home Solutions	Suwanee, GA	4/10/2014	607424	Registered
Orange Leaf Holdings, LLC	Oklahoma City, OK	4/10/2014	607426	Registered
Security Franchisors, LLC / Security 101	West Palm Beach, FL	4/10/2014	607425	Registered
Bowl of Heaven Franchise Group LLC / Bowl of Heaven	Rancho Santa Margarita, CA	4/9/2014	607407	Registered
ZIPS Franchising, LLC / ZIPS Dry Cleaners	Greenbelt, MD	4/9/2014	607406	Registered
EAGLERIDER INC	HAWTHORNE, CA	4/9/2014	607423	Registered
Rebounderz Franchise and Development, Inc. / Rebounderz	Sanford, FL	4/8/2014	607405	Registered
Regal Nails, Salon & Spa, LLC / Regal Nails Salon & Spa	Baton Rouge, LA	4/8/2014	607404	Registered
Lil' Kickers LLC / Lil' Kickers	Redmond, WA	4/8/2014	607391	Registered
Planet Beach Franchising Corporation / Planet Beach	Marrero, LA	4/8/2014	607373	Registered
American Poolplayers Association, Inc. / American Poolplayers Association, Inc.	Lake St. Louis, MO	4/8/2014	607372	Registered
First Choice Business Brokers, Inc. / First Choice Business Brokers	Las Vegas, NV	4/8/2014	607371	Registered
Disaster Kleenup International, LLC / DKI	Wood Dale, IL	4/8/2014	607400	Registered
HEALTHSOURCE CHIROPRACTIC INC / REGIONAL DEVELOPER	Avon, OH	4/8/2014	607401	Registered
HEALTHSOURCE CHIROPRACTIC INC / Single-Unit	Avon, OH	4/8/2014	607402	Registered
ZOUP! Systems, LLC / Zoup Restaurants	Southfield, MI	4/8/2014	607403	Registered
Moms on the Run LLC / Moms on the Run	Columbus, MN	4/7/2014	607370	Registered
EXIT Realty Corp. International	Woburn, MA	4/7/2014	607369	Registered
EXIT Realty Corp. USA	Woburn, MA	4/7/2014	607368	Registered
Out-U-Go! Franchising LLC / Out-U-Go!	Chicago, IL	4/7/2014	607360	Registered
United States Seamless, Inc. / United States Seamless	Fargo, ND	4/7/2014	607365	Registered
CBC RESTAURANT CORP	DALLAS, TX	4/7/2014	607364	Registered
RONLEN ENTERPRISES, INC / The BrickKicker	NAPERVILLE, IL	4/7/2014	607363	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
SquareTwo Financial Corporation / SquareTwo Financial	Denver, CO	4/7/2014	607359	Registered
Fish Window Cleaning Services, Inc. / FISH WINDOW CLEANING	Manchester, MO	4/7/2014	607358	Registered
bottle & bottega, Inc. / Bottle & Bottega	Chicago, IL	4/7/2014	607397	Registered
HOSPITALITY INTERNATIONAL INC / Hospitality International, Inc.	TUCKER, GA	4/7/2014	607398	Registered
KFC CORP / Express	LOUISVILLE, KY	4/7/2014	607393	Registered
KFC CORP / Kentucky Fried Chicken	LOUISVILLE, KY	4/7/2014	607392	Registered
Red Roof Franchising, LLC / Red Roof Inn	Columbus, OH	4/7/2014	607396	Registered
Tiger-Rock MAI Systems, Inc. / Tiger-Rock Martial Arts and Kisado Fitness	Dakota Dunes, SD	4/7/2014	607394	Registered
TRIUNE, LLC / Baja Fresh	Irvine, CA	4/7/2014	607399	Registered
V'S BARBERSHOP FRANCHISE LLC	PHOENIX, AZ	4/7/2014	607395	Registered
Number of Franchise Filings: 106				

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