

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/26/2014 through 6/6/2014**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AMERICAN REALTY CAPITAL HEALTHCARE TR 3 INC	NEW YORK, NY	5/30/2014	00705285-01	Pending
CNL HEALTHCARE PROPERTIES INC	ORLANDO, FL	5/27/2014	00705266-01	Pending
Number of Registration Filings: 2				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GENERAL CABLE CORP	HIGHLAND HEIGHTS, KY	5/27/2014	00705284-08	Pending
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
FUNDVANTAGE TR SKYBRIDGE DIVIDEND VALUE FUND CLASS A SHARES	WILMINGTON, DE	6/4/2014	00705339-03	Registered
GUIDESTONE FUNDS FLEXIBLE INCOME FUND INVESTOR CLASS	DALLAS, TX	6/4/2014	00705340-03	Registered
GUIDESTONE FUNDS GLOBAL NATURAL RESOURCES EQUITY FUND INVESTOR CLASS	DALLAS, TX	6/4/2014	00705341-03	Registered
FUNDVANTAGE TR WHV EAM EMERGING MARKETS SMALL CAP EQUITY FUND CLASS I SHARES	WILMINGTON, DE	5/30/2014	00705305-03	Pending-Cleared
FUNDVANTAGE TR WHV EAM EMERGING MARKETS SMALL CAP EQUITY FUND CLASS A SHARES	WILMINGTON, DE	5/30/2014	00705303-03	Pending-Cleared

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FUNDVANTAGE TR WHV EAM INTERNATIONAL SMALL CAP EQUITY FUND CLASS I SHARES	WILMINGTON, DE	5/30/2014	00705304-03	Pending-Cleared
FUNDVANTAGE TR WHV EAM INTERNATIONAL SMALL CAP EQUITY FUND CLASS A SHARES	WILMINGTON, DE	5/30/2014	00705302-03	Pending-Cleared
NUVEEN INVESTMENT TR NUVEEN US INFRASTRUCTURE INCOME FUND CLASS I	CHIGACO, IL	5/30/2014	00705301-03	Registered
NUVEEN INVESTMENT TR NUVEEN US INFRASTRUCTURE INCOME FUND CLASS C	CHIGACO, IL	5/30/2014	00705300-03	Registered
NUVEEN INVESTMENT TR NUVEEN US INFRASTRUCTURE INCOME FUND CLASS A	CHIGACO, IL	5/30/2014	00705299-03	Registered
PAX WORLD FUNDS SERIES TR I PAX WORLD SMALL CAP FUND R CLASS	PORTSMOUTH, NH	5/30/2014	00705298-03	Registered
ALLIANCEBERNSTEIN DISCOVERY GROWTH FUND INC CLASS Z	NEW YORK, NY	5/28/2014	00705216-03	Pending-Cleared
FT 4828 STRATEGIC DIVIDEND SELECT PORTFOLIO SERIES 14	WHEATON, IL	5/28/2014	00705282-05	Registered
FT 4865 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 92	WHEATON, IL	5/28/2014	00705271-05	Registered
FT 4866 TACTICAL INCOME PORTFOLIO SERIES 29	WHEATON, IL	5/28/2014	00705272-05	Registered
FT 4869 MUNICIPAL INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 25	WHEATON, IL	5/28/2014	00705281-05	Registered

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Firm Name	Location	Date Received	File Number	Status
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1142 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 35	LISLE, IL	5/28/2014	00705274-05	Registered
INCAPITAL UNIT TR SERIES 47 PROSPECT INCOME FINANCE PORTFOLIO SERIES 1	CHICAGO, IL	5/28/2014	00705273-05	Registered
LEGG MASON PARTNERS EQUITY TR LEGG MASON DYNAMIC MULTI STRATEGY FUND CLASS R	NEW YORK, NY	5/28/2014	00705221-03	Registered
LEGG MASON PARTNERS EQUITY TR LEGG MASON LIFESTYLE ALLOCATION 70PERCENT CLASS R	NEW YORK, NY	5/28/2014	00705217-03	Registered
LEGG MASON PARTNERS EQUITY TR LEGG MASON LIFESTYLE ALLOCATION 85PERCENT CLASS R	NEW YORK, NY	5/28/2014	00705219-03	Registered
LEGG MASON PARTNERS EQUITY TR LEGG MASON LIFESTYLE ALLOCATION 30PERCENT CLASS R	NEW YORK, NY	5/28/2014	00705218-03	Registered
LEGG MASON PARTNERS EQUITY TR LEGG MASON LIFESTYLE ALLOCATION 50PERCENT CLASS R	NEW YORK, NY	5/28/2014	00705220-03	Registered
REALTY CAPITAL INCOME FUNDS TR AR CAPITAL BDC INCOME FUND CLASS A SHARES	HAUPPAUGE, NY	5/28/2014	00705278-03	Registered
REALTY CAPITAL INCOME FUNDS TR AR CAPITAL DIVIDEND & VALUE FUND CLASS C SHARES	HAUPPAUGE, NY	5/28/2014	00705275-03	Registered
REALTY CAPITAL INCOME FUNDS TR AR CAPITAL DIVIDEND & VALUE FUND CLASS A SHARES	HAUPPAUGE, NY	5/28/2014	00705279-03	Registered

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STARBOARD INVESTMENT TR RX FUNDAMENTAL GROWTH FUND INSTITUTIONAL CLASS SHARES	ROCKY MOUNT, NC	5/28/2014	00705280-03	Registered
CM ADVISORS FAMILY OF FUNDS CM ADVISORS DEFENSIVE FUND CLASS I SHARES	CINCINNATI, OH	5/27/2014	00705246-03	Registered
FT 4821 BALANCED INCOME PORTFOLIO SERIES 44	WHEATON, IL	5/27/2014	00705255-05	Registered
FT 4825 DIVIDEND INCOME PLUS PORTFOLIO SERIES 14	WHEATON, IL	5/27/2014	00705262-05	Registered
FT 4826 NORTH AMERICAN SHAPE PORTFOLIO SERIES 6	WHEATON, IL	5/27/2014	00705264-05	Registered
FT 4829 STRATEGIC INCOME CLOSED END PORTFOLIO SERIES 52	WHEATON, IL	5/27/2014	00705265-05	Registered
FT 4863 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 30	WHEATON, IL	5/27/2014	00705263-05	Registered
FT 4864 DIVERSIFIED HIGH INCOME CLOSED END PORTFOLIO SERIES 15	WHEATON, IL	5/27/2014	00705257-05	Registered
FT 4867 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 52	WHEATON, IL	5/27/2014	00705261-05	Registered
FT 4870 MLP CLOSED END PORTFOLIO SERIES	WHEATON, IL	5/27/2014	00705260-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1180 DIVIDEND GROWTH PORTFOLIO SERIES 5	LISLE, IL	5/27/2014	00705258-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1180 DIVIDEND STRENGTH PORTFOLIO SERIES 13	LISLE, IL	5/27/2014	00705253-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1180 MERGERS & ACQUISITIONS PORTFOLIO SERIES 3	LISLE, IL	5/27/2014	00705250-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1181 FLOATING RATE & DIVIDEND GROWTH PORTFOLIO SERIES 5	LISLE, IL	5/27/2014	00705259-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1183 ALL CAP GROWTH STRATEGY PORTFOLIO SERIES 6	LISLE, IL	5/27/2014	00705256-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1183 DOW 10 PORTFOLIO SERIES 18	LISLE, IL	5/27/2014	00705251-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1183 GLOBAL DOW 30 PORTFOLIO SERIES 6	LISLE, IL	5/27/2014	00705249-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1183 GUGGENHEIM INTERNATIONAL DIVIDEND STRATEGY PORTFOLIO SERIES 24	LISLE, IL	5/27/2014	00705248-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1183 QUALITY DIVIDEND STRATEGY PORTFOLIO SERIES 9	LISLE, IL	5/27/2014	00705252-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1192 BOFA MERRILL LYNCH CAP X FACTOR FOR 2014	LISLE, IL	5/27/2014	00705254-05	Registered
JPMORGAN TR I JPMORGAN HEDGED EQUITY FUND CLASS A SHARES	BOSTON, MA	5/27/2014	00705192-03	Registered
JPMORGAN TR I JPMORGAN HEDGED EQUITY FUND CLASS C SHARES	BOSTON, MA	5/27/2014	00705193-03	Registered

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Firm Name	Location	Date Received	File Number	Status
JPMORGAN TR I JPMORGAN HEDGED EQUITY FUND CLASS R5 SHARES	BOSTON, MA	5/27/2014	00705194-03	Registered
JPMORGAN TR I JPMORGAN HEDGED EQUITY FUND CLASS R6 SHARES	BOSTON, MA	5/27/2014	00705195-03	Registered
JPMORGAN TR I JPMORGAN HEDGED EQUITY FUND SELECT CLASS SHARES	BOSTON, MA	5/27/2014	00705196-03	Registered
PAYDEN & RYGEL INVESTMENT GROUP PAYDEN STRATEGIC INCOME FUND INVESTOR CLASS	LOS ANGELES, CA	5/27/2014	00705245-05	Registered
PAYDEN & RYGEL INVESTMENT GROUP PAYDEN STRATEGIC INCOME FUND ADVISOR CLASS	LOS ANGELES, CA	5/27/2014	00705244-05	Registered
PIMCO FUNDS PIMCO INTERNATIONAL FUNDAMENTAL INDEXPLUS AR STRATEGY FUND CLASS P	NEWPORT BEACH, CA	5/27/2014	00705191-03	Registered
PIMCO FUNDS PIMCO SMALL CO FUNDAMENTAL INDEXPLUS AR STRATEGY FUND CLASS P	NEWPORT BEACH, CA	5/27/2014	00705190-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 12 PRUDENTIAL LONG SHORT EQUITY FUND CLASS C	NEWARK, NJ	5/27/2014	00705186-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 12 PRUDENTIAL LONG SHORT EQUITY FUND CLASS A	NEWARK, NJ	5/27/2014	00705184-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 12 PRUDENTIAL LONG SHORT EQUITY FUND CLASS Z	NEWARK, NJ	5/27/2014	00705188-03	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
PRUDENTIAL INVESTMENT PORTFOLIOS 12 PRUDENTIAL SHORT DURATION MUNI HIGH INCOME FUND CLASS C	NEWARK, NJ	5/27/2014	00705187-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 12 PRUDENTIAL SHORT DURATION MUNI HIGH INCOME FUND CLASS A	NEWARK, NJ	5/27/2014	00705185-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 12 PRUDENTIAL SHORT DURATION MUNI HIGH INCOME FUND CLASS Z	NEWARK, NJ	5/27/2014	00705189-03	Registered
Number of Investment Company Filings: 61				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PENUMBRA INC	ALAMEDA, CA	5/29/2014	00705297-07	Filed
STRATHSPEY CROWN HOLDINGS LLC	NEWPORT BEACH, CA	5/29/2014	00705296-07	Filed
ALTAIR TAO LLC	LOS ANGELES, CA	5/28/2014	00705270-07	Filed
FS EQUITY PARTNERS 7 LP	LOS ANGELES, CA	5/27/2014	00705269-07	Filed
PANTERA GLOBAL TECHNOLOGY INC	SCOTTSDALE, AZ	5/27/2014	00705268-07	Filed
UPSTART NETWORK TR	PALO ALTO, CA	5/27/2014	00705267-07	Filed
Number of Regulation D Notice Filings: 6				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
UBuildIt Holdings, LLC / UBuildIt	Edmond, OK	6/6/2014	607945	Registered
ZO Skin Health Group, LLC / ZO Skin Centre	Laguna Hills, CA	6/6/2014	607944	Registered

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Seniors Helping Seniors, LLC / Seniors Helping Seniors	Wyomissing Hills, PA	6/5/2014	607942	Registered
YogaFit Franchising, LLC / YogaFit Studio	Chanhassen, MN	6/5/2014	607943	Registered
Houlihan's Restaurants, Inc. / J. Gilbert's Wood-Fired Steaks & Seafood	Leawood, KS	6/5/2014	607941	Registered
HEALTH MART SYSTEMS INC	SAN FRANCISCO, CA	6/4/2014	607940	Registered
THE BARBERSHOP A HAIR SALON FOR MEN	DEPERE, WI	6/4/2014	607939	Registered
SIT MEANS SIT FRANCHISE INC / SIT MEANS SIT	LAS VEGAS, NV	6/3/2014	607938	Registered
STEAMATIC INC	FORT WORTH, TX	6/3/2014	607936	Registered
Quaker Steak & Lube Franchising Corporation / Quaker Steak & Lube Restaurant	Sharon, PA	6/3/2014	607935	Registered
Mongolian Management and Investment Company, L.L.C. / bd's Mongolian Grill®	Burnsville, MN	6/2/2014	607934	Registered
GYMBOREE PLAY PROGRAMS INC / GYMBOREE PLAY PROGRAMS, INC.; GYMBOREE	SAN FRANCISCO, CA	6/2/2014	607933	Registered
COVERALL NORTH AMERICA, INC.	DEERFIELD BEACH, FL	6/2/2014	607926	Registered
Anago Franchising, Inc.	Pompano Beach, FL	5/30/2014	607925	Registered
1 800 FLOWERS.COM FRANCHISE CO INC / Fruit Bouquets by 1-800-Flowers.com	CARLE PLACE, NY	5/30/2014	607931	Registered
EI FRANCHISE CO LLC / Extra Innings	MIDDLETON, MA	5/30/2014	607930	Registered
FocalPoint Coaching, Inc. / FocalPoint unit business franchise	Henderson, NV	5/30/2014	607932	Registered
Curves International, Inc. / Curves and Curves for Women	Woodway, TX	5/29/2014	607924	Registered
Buji, LLC	Pickerington, OH	5/29/2014	607917	Registered
800 DC, LLC / Bizzie	Berkley, MI	5/29/2014	607920	Registered
US Tax Recovery Partners, LLC	Kerrville, TX	5/29/2014	607918	Registered
ChemStation International Inc. / ChemStation International Inc.; ChemStation International; ChemStation	Dayton, OH	5/29/2014	607916	Registered

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AEFC INC / Adam & Eve	HILLSBOROUGH, NC	5/29/2014	607929	Registered
Bin There USA, LLC / Bin There...Dump That	Mississauga Ontario, ON	5/29/2014	607927	Registered
CHHJ Franchising LLC / College Hunks Hauling Junk and College Hunks Moving	Tampa, FL	5/28/2014	607913	Registered
Simply Slices Franchising Corporation / SIMPLY SLICES	Crestwood, IL	5/27/2014	607907	Registered
ROYAL FRANCHISING INC / JANI KING OF MILWAUKEE	BROOKFIELD, WI	5/27/2014	607906	Registered
Tots Franchise Group, LLC / Orange Head Sports Academy	Spokane, WA	5/27/2014	607905	Registered
Skyhawks Franchise Group, Inc. / Skyhawks	Spokane, WA	5/27/2014	607904	Registered
Number of Franchise Filings: 29				

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