

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/21/2014 through 8/1/2014**

<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>
<b>Number of Exemption Filings: 0</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>
JPMORGAN TR I JPMORGAN SYSTEMATIC ALPHA FUND CLASS A SHARES	BOSTON, MA	7/29/2014	00708926-03	Registered
JPMORGAN TR I JPMORGAN SYSTEMATIC ALPHA FUND CLASS C SHARES	BOSTON, MA	7/29/2014	00708927-03	Registered
JPMORGAN TR I JPMORGAN SYSTEMATIC ALPHA FUND CLASS R6 SHARES	BOSTON, MA	7/29/2014	00708928-03	Registered
JPMORGAN TR I JPMORGAN SYSTEMATIC ALPHA FUND SELECT CLASS SHARES	BOSTON, MA	7/29/2014	00708929-03	Registered
ADVISORS INNER CIRCLE FUND 3 ROTHSCHILD LARCH LANE ALTERNATIVES FUND INVESTOR CLASS SHARES	OAKS, PA	7/25/2014	00708529-03	Registered
ADVISORS INNER CIRCLE FUND 3 ROTHSCHILD LARCH LANE ALTERNATIVES FUND INSTITUTIONAL CLASS SHARES	OAKS, PA	7/25/2014	00708530-03	Registered
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY SHORT DURATION STRATEGIC INCOME FUND INSTITUTIONAL CLASS	KANSAS CITY, MO	7/25/2014	00708828-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY SHORT DURATION STRATEGIC INCOME FUND INVESTOR CLASS	KANSAS CITY, MO	7/25/2014	00708829-03	Registered
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY SHORT DURATION STRATEGIC INCOME FUND R CLASS	KANSAS CITY, MO	7/25/2014	00708830-03	Registered
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY SHORT DURATION STRATEGIC INCOME FUND A CLASS	KANSAS CITY, MO	7/25/2014	00708826-03	Registered
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY SHORT DURATION STRATEGIC INCOME FUND C CLASS	KANSAS CITY, MO	7/25/2014	00708827-03	Registered
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY SHORT DURATION STRATEGIC INCOME FUND R6 CLASS	KANSAS CITY, MO	7/25/2014	00708831-03	Registered
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY STRATEGIC INCOME FUND C CLASS	KANSAS CITY, MO	7/25/2014	00708821-03	Registered
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY STRATEGIC INCOME FUND INSTITUTIONAL CLASS	KANSAS CITY, MO	7/25/2014	00708822-03	Registered
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY STRATEGIC INCOME FUND INVESTOR CLASS	KANSAS CITY, MO	7/25/2014	00708823-03	Registered
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY STRATEGIC INCOME FUND R CLASS	KANSAS CITY, MO	7/25/2014	00708824-03	Registered
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY STRATEGIC INCOME FUND A CLASS	KANSAS CITY, MO	7/25/2014	00708820-03	Registered

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AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY STRATEGIC INCOME FUND R6 CLASS	KANSAS CITY, MO	7/25/2014	00708825-03	Registered
BLACKROCK ALLOCATION TARGET SHARES BATS SERIES E PORTFOLIO	WILMINGTON, DE	7/25/2014	00708528-03	Pending-Cleared
IVY FUNDS IVY ASSET STRATEGY FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708832-03	Pending-Cleared
IVY FUNDS IVY BALANCED FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708833-03	Pending-Cleared
IVY FUNDS IVY BOND FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708834-03	Pending-Cleared
IVY FUNDS IVY CORE EQUITY FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708835-03	Pending-Cleared
IVY FUNDS IVY CUNDILL GLOBAL VALUE FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708836-03	Pending-Cleared
IVY FUNDS IVY DIVIDEND OPPORTUNITIES FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708837-03	Pending-Cleared
IVY FUNDS IVY EMERGING MARKETS EQUITY FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708838-03	Pending-Cleared
IVY FUNDS IVY ENERGY FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708839-03	Pending-Cleared
IVY FUNDS IVY EUROPEAN OPPORTUNITIES FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708840-03	Pending-Cleared
IVY FUNDS IVY GLOBAL BOND FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708841-03	Pending-Cleared
IVY FUNDS IVY GLOBAL EQUITY INCOME FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708842-03	Pending-Cleared

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IVY FUNDS IVY GLOBAL INCOME ALLOCATION FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708843-03	Pending-Cleared
IVY FUNDS IVY GLOBAL NATURAL RESOURCES FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708844-03	Pending-Cleared
IVY FUNDS IVY HIGH INCOME FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708845-03	Pending-Cleared
IVY FUNDS IVY INTERNATIONAL CORE EQUITY FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708846-03	Pending-Cleared
IVY FUNDS IVY INTERNATIONAL GROWTH FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708847-03	Pending-Cleared
IVY FUNDS IVY LARGE CAP GROWTH FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708848-03	Pending-Cleared
IVY FUNDS IVY LTD TERM BOND FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708849-03	Pending-Cleared
IVY FUNDS IVY MICRO CAP GROWTH FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708850-03	Pending-Cleared
IVY FUNDS IVY MID CAP GROWTH FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708851-03	Pending-Cleared
IVY FUNDS IVY REAL ESTATE SECURITIES FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708852-03	Pending-Cleared
IVY FUNDS IVY SCIENCE & TECHNOLOGY FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708853-03	Pending-Cleared
IVY FUNDS IVY SMALL CAP GROWTH FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708854-03	Pending-Cleared

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IVY FUNDS IVY SMALL CAP VALUE FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708855-03	Pending-Cleared
IVY FUNDS IVY VALUE FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	7/25/2014	00708856-03	Pending-Cleared
AQR FUNDS AQR CORE EQUITY FUND CLASS R6 SHARES	GREENWICH, CT	7/24/2014	00707844-03	Registered
AQR FUNDS AQR EMERGING CORE EQUITY FUND CLASS R6 SHARES	GREENWICH, CT	7/24/2014	00707845-03	Registered
AQR FUNDS AQR EMERGING MOMENTUM FUND CLASS R6 SHARES	GREENWICH, CT	7/24/2014	00707847-03	Registered
AQR FUNDS AQR INTERNATIONAL CORE EQUITY FUND CLASS R6 SHARES	GREENWICH, CT	7/24/2014	00707843-03	Registered
AQR FUNDS AQR INTERNATIONAL MOMENTUM FUND CLASS R6 SHARES	GREENWICH, CT	7/24/2014	00707839-03	Registered
AQR FUNDS AQR MOMENTUM FUND CLASS R6 SHARES	GREENWICH, CT	7/24/2014	00707837-03	Registered
AQR FUNDS AQR SMALL CAP CORE EQUITY FUND CLASS R6 SHARES	GREENWICH, CT	7/24/2014	00707842-03	Registered
AQR FUNDS AQR SMALL CAP MOMENTUM FUND CLASS R6 SHARES	GREENWICH, CT	7/24/2014	00707838-03	Registered
AQR FUNDS AQR TAX MANAGED INTERNATIONAL MOMENTUM FUND CLASS R6 SHARES	GREENWICH, CT	7/24/2014	00707846-03	Registered
AQR FUNDS AQR TAX MANAGED MOMENTUM FUND CLASS R6 SHARES	GREENWICH, CT	7/24/2014	00707840-03	Registered

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AQR FUNDS AQR TAX MANAGED SMALL CAP MOMENTUM FUND CLASS R6 SHARES	GREENWICH, CT	7/24/2014	00707841-03	Registered
RUSSELL INVESTMENT CO SELECT INTERNATIONAL EQUITY FUND CLASS Y	SEATTLE, WA	7/24/2014	00707835-03	Registered
RUSSELL INVESTMENT CO SELECT US EQUITY FUND CLASS Y	SEATTLE, WA	7/24/2014	00707836-03	Registered
1ST TR COMBINED SERIES 451 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO 10 20 YEAR SERIES 13	WHEATON, IL	7/22/2014	00707742-05	Registered
ADVISORS DISCIPLINED TR 1212 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 86	MONUMENT, CO	7/22/2014	00707743-05	Registered
CITY NATIONAL ROCHDALE FUNDS CNR SOCIALLY RESPONSIBLE EQUITY FUND I SHARES	BEVERLY HILLS, CA	7/22/2014	00707827-03	Registered
FT 4916 DORSEY WRIGHT RELATIVE STRENGTH TOP 50 SERIES 15	WHEATON, IL	7/22/2014	00707744-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1196 HEALTH CARE PORTFOLIO SERIES 17	LISLE, IL	7/22/2014	00707737-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1196 UTILITIES PORTFOLIO SERIES 20	LISLE, IL	7/22/2014	00707736-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1197 GLOBAL BALANCED INCOME BUILDER PORTFOLIO SERIES 4	LISLE, IL	7/22/2014	00707738-05	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1198 GUGGENHEIM BALANCED INCOME BUILDER PORTFOLIO SERIES 8	LISLE, IL	7/22/2014	00707739-05	Registered
PIMCO EQUITY SERIES PIMCO EQS DIVIDEND FUND ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	7/22/2014	00707826-03	Registered
PIMCO FUNDS PIMCO COMMODITIESPLUS STRATEGY FUND ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	7/22/2014	00707825-03	Registered
PIMCO FUNDS PIMCO CREDIT ABSOLUTE RETURN FUND ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	7/22/2014	00707824-03	Registered
STERLING CAPITAL FUNDS STERLING CAPITAL TOTAL RETURN BOND FUND INSTITUTIONAL SHARES	RALEIGH, NC	7/22/2014	00707823-03	Registered
ADVISORS INNER CIRCLE FUND 2 HANCOCK HORIZON DIVERSIFIED INCOME FUND INSTITUTIONAL CLASS SHARES	BOSTON, MA	7/21/2014	00708523-03	Registered
CONESTOGA FUNDS CONESTOGA SMALL CAP FUND INSTITUTIONAL CLASS	RADNOR, PA	7/21/2014	00707721-03	Registered
PRICE T ROWE INTERNATIONAL FUNDS INC PTRI CONCENTRATED EQUITY FUND ADVISOR CLASS	BALTIMORE, MD	7/21/2014	00707735-03	Pending-Cleared
PRICE T ROWE INTERNATIONAL FUNDS INC PTRI CONCENTRATED EQUITY FUND	BALTIMORE, MD	7/21/2014	00707734-03	Pending-Cleared
<b>Number of Investment Company Filings: 73</b>				

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 7/21/2014 through 8/1/2014**

<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>
PHAROS INNOVATIONS LLC	NORTHFIELD, IL	7/22/2014	00707741-07	Filed
CMS IRONWOOD MULTI STRATEGY FUND LLC	ROCKVILLE, MD	7/21/2014	00707720-07	Filed
SOUTH BEND RETIREMENT LLC	ABERDEEN, SD	7/21/2014	00707740-07	Filed
<b>Number of Regulation D Notice Filings: 3</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>
AEEF LLC / Lodie's Shaved Ice Shack	Eau Claire, WI	8/1/2014	608172	Registered
Super-Lube Franchise, LLC / Super-Lube	Tallahassee, FL	8/1/2014	608171	Registered
H&R BLOCK TAX SERVICES LLC / H&R Block	KANSAS CITY, MO	7/30/2014	608167	Registered
BoConcept Franchise, Inc / BoConcept	Bayonne, NJ	7/29/2014	608158	Registered
Dough Pac, Inc. / Sam & Louie's Pizzeria	Elkhorn, NE	7/29/2014	608156	Registered
FLOWERAMA OF AMERICA INC / FLOWERAMA	Cedar Falls, IA	7/29/2014	608163	Registered
FLOWERAMA OF AMERICA INC / FLOWERAMA	Cedar Falls, IA	7/29/2014	608165	Registered
MANCHU WOK FRANCHISING USA INC	MARKHAM ON L6G 1A8, ON	7/29/2014	608164	Registered
Image One Facility Solutions, Inc. / IMAGE ONE FACILITY SOLUTIONS	Wood Dale, IL	7/28/2014	608168	Registered
ROMA FRANCHISE CORP / Tony Roma's	PLANO, TX	7/28/2014	608154	Registered
G.J. Gardner Homes (USA) PTY LTD / G.J. Gardner Homes	Mooloolaba, QLD	7/25/2014	608151	Registered
Maui Tacos International, Inc. / Maui Tacos	Larchmont, NY	7/25/2014	608149	Registered
Orion Food Systems, LLC / Hot Stuff Pizza	Sioux Falls, SD	7/25/2014	608152	Registered
Sizzler USA Franchise, Inc. / Sizzler	Mission Viejo, CA	7/25/2014	608150	Registered
Conspire! Franchising, LLC / Conspire!	Colorado Springs, CO	7/24/2014	608146	Registered

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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>
My Place Hotels of America LLC / My Place	Aberdeen, SD	7/24/2014	608153	Registered
International Neck and Back Institute LLC / E3 Elite Rehab Systems	Wheaton, IL	7/23/2014	608138	Registered
GYROVILLE Franchising Company, LLC	Boca Raton, FL	7/22/2014	608129	Registered
Mobile Repair Guys New L.L.C.	Rubicon, WI	7/21/2014	608126	Registered
ANY TEST FRANCHISING INC / ANY LAB TEST NOW	ALPHARETTA, GA	7/21/2014	608125	Registered
NATHANS FAMOUS SYSTEMS INC	Jericho, NY	7/21/2014	608136	Registered
SiempreTax, LLC / SiempreTax LLC	Virginia Beach, VA	7/21/2014	608135	Registered
SPARKLE INTERNATIONAL INC	Oakwood, OH	7/21/2014	608134	Registered
WaterWalk Apartments Franchise Services, LLC / WaterWalk Apartments	Wichita, KS	7/21/2014	608133	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>	