

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 8/4/2014 through 8/15/2014**

<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>
DIVIDEND CAPITAL DIVERSIFIED PROPERTY FUND INC	DENVER, CO	8/5/2014	00709443-01	Registered
<b>Number of Registration Filings: 1</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>
AMERICAN REALTY CAPITAL HEALTHCARE TR 2 INC	NEW YORK, NY	8/5/2014	00709457-08	Not Disallowed
SWK HOLDINGS CORP	DALLAS, TX	8/4/2014	00709458-08	Not Disallowed
<b>Number of Exemption Filings: 2</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>
RIVERNORTH FUNDS RIVERNORTH CORE OPPORTUNITY FUND CLASS I	CHICAGO, IL	8/8/2014	00709206-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE MN TAX FREE FUND CLASS A	SAN FRANCISCO, CA	8/7/2014	00709188-03	Registered
FT 4935 DIVERSIFIED INCOME & GROWTH PORTFOLIO FALL 2014 SERIES	WHEATON, IL	8/6/2014	00709453-05	Registered
FT 4939 REIT GROWTH & INCOME SELECT PORTFOLIO SERIES 29	WHEATON, IL	8/6/2014	00709451-05	Registered
FT 4940 TECHNOLOGY DIVIDEND PORTFOLIO SERIES 9	WHEATON, IL	8/6/2014	00709447-05	Registered

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FT 4948 INCOME ALLOCATION CLOSED END AUG 14	WHEATON, IL	8/6/2014	00709452-05	Registered
FT 4949 DOW TARGET 10 AUG 14 TERM 9/9/15	WHEATON, IL	8/6/2014	00709446-05	Registered
FT 4951 AUTOMATED QUANTITATIVE ANALYSIS AQA PORTFOLIO SERIES 9	WHEATON, IL	8/6/2014	00709450-05	Registered
FT 4953 REIT GROWTH & INCOME PLUS PORTFOLIO SERIES 19	WHEATON, IL	8/6/2014	00709449-05	Pending-Cleared
FT 4956 INFLATION HEDGE OPPORTUNITY PORTFOLIO SERIES 22	WHEATON, IL	8/6/2014	00709456-05	Pending-Cleared
FT 4962 ADR PORTFOLIO AUGUST 2014 SERIES	WHEATON, IL	8/6/2014	00709455-05	Registered
FT 4977 CORE 3 QUALIFIED CLOSED END ALLOCATION PORTFOLIO SERIES 7	WHEATON, IL	8/6/2014	00709448-05	Registered
FT 5031 TACTICAL INCOME PORTFOLIO SERIES 31	WHEATON, IL	8/6/2014	00709454-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1182 GUGGENHEIM SELECT QUALITY MUNICIPAL PORTFOLIO SERIES 2	LISLE, IL	8/6/2014	00709409-05	Registered
INCAPITAL UNIT TR SERIES 53 ZACKS SELECT EQUITIES BLEND PORTFOLIO 3Q 2014	CHICAGO, IL	8/6/2014	00709406-05	Registered
INCAPITAL UNIT TR SERIES 53 ZACKS SELECT EQUITY INCOME PORTFOLIO 3Q 2014	CHICAGO, IL	8/6/2014	00709405-05	Registered
INVESCO UNIT TR MUNICIPAL SERIES 1208 INVESTMENT GRADE MUNICIPAL TR 7 13 YEAR SERIES 53	DOWNERS GROVE, IL	8/6/2014	00709430-05	Pending-Cleared

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INVESCO UNIT TR MUNICIPAL SERIES 1209 INVESTMENT GRADE MUNICIPAL TR 7 13 YEAR SERIES 54	DOWNERS GROVE, IL	8/6/2014	00709429-05	Pending-Cleared
INVESCO UNIT TR SERIES 1463 NEW WORLD LEADERS PORTFOLIO 2014 3	DOWNERS GROVE, IL	8/6/2014	00709435-05	Pending-Cleared
INVESCO UNIT TR SERIES 1464 SELECT 10 INDUSTRIAL PORTFOLIO 2014 5	DOWNERS GROVE, IL	8/6/2014	00709436-05	Pending-Cleared
INVESCO UNIT TR SERIES 1465 ETF ALLOCATION PORTFOLIO 2014 3	DOWNERS GROVE, IL	8/6/2014	00709437-05	Pending-Cleared
INVESCO UNIT TR SERIES 1465 ETF DIVERSIFIED INCOME PORTFOLIO 2014 3	DOWNERS GROVE, IL	8/6/2014	00709438-05	Pending-Cleared
INVESCO UNIT TR SERIES 1466 DEFENSIVE EQUITY & INCOME PORTFOLIO 2014 3	DOWNERS GROVE, IL	8/6/2014	00709440-05	Pending-Cleared
INVESCO UNIT TR SERIES 1466 EMERGING MARKETS DIVIDEND PORTFOLIO 2014 3	DOWNERS GROVE, IL	8/6/2014	00709439-05	Pending-Cleared
INVESCO UNIT TR SERIES 1467 DOW JONES TOTAL MARKET PORTFOLIO ENHANCED INDEX STRATEGY 2014 4	DOWNERS GROVE, IL	8/6/2014	00709434-05	Pending-Cleared
INVESCO UNIT TR SERIES 1467 ENHANCED SECTOR STRATEGY SECTOR ROTATION PORTFOLIO 2014 4	DOWNERS GROVE, IL	8/6/2014	00709433-05	Pending-Cleared
INVESCO UNIT TR SERIES 1468 AMERICAN INNOVATION LEADERS PORTFOLIO 2014 3	DOWNERS GROVE, IL	8/6/2014	00709441-05	Pending-Cleared
INVESCO UNIT TR SERIES 1469 GLOBAL TECHNOLOGY LEADERS PORTFOLIO 2014 4	DOWNERS GROVE, IL	8/6/2014	00709442-05	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
INVESCO UNIT TR TAXABLE INCOME SERIES 483 INVESTMENT GRADE INCOME TR 7 13 YEAR SERIES 41	DOWNERS GROVE, IL	8/6/2014	00709432-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 484 INVESTMENT GRADE INCOME TR 7 13 YEAR SERIES 42	DOWNERS GROVE, IL	8/6/2014	00709431-05	Pending-Cleared
WAKEFIELD ALTERNATIVE SERIES TR CLINTON LONG SHORT EQUITY FUND CLASS S	DENVER, CO	8/6/2014	00709187-03	Registered
WAKEFIELD ALTERNATIVE SERIES TR CLINTON LONG SHORT EQUITY FUND CLASS A	DENVER, CO	8/6/2014	00709185-03	Registered
WAKEFIELD ALTERNATIVE SERIES TR CLINTON LONG SHORT EQUITY FUND CLASS I	DENVER, CO	8/6/2014	00709186-03	Registered
<b>Number of Investment Company Filings: 33</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>
ASCENSION ALPHA FUND LLC	CLAYTON, MO	8/6/2014	00709444-07	Filed
BAXTER STREET FUND	NEW YORK, NY	8/6/2014	00709445-07	Filed
BLACKSTONE STRATEGIC PARTNERS 6 TR	NEW YORK, NY	8/5/2014	00709428-07	Filed
MPI GLOBAL HOLDINGS CORP	DALLAS, TX	8/5/2014	00709427-07	Filed
BIG LAKE FIELD DEVELOPMENT JOINT VENTURE	SAN ANTONIO, TX	8/4/2014	00709408-07	Filed
BION ENVIRONMENTAL TECHNOLOGIES INC	CRESTONE, CO	8/4/2014	00709407-07	Filed

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EASTHAM CAPITAL FUND 4 LP	NEEDHAM, MA	8/4/2014	00709413-07	Filed
GATEWAY INVESTMENTS LLC	OBERLIN, KS	8/4/2014	00709404-07	Filed
IRON ROAD MULTI STRATEGY FUND LTD	GRAND CAYMAN, AA	8/4/2014	00709410-07	Filed
SCIO DIAMOND TECHNOLOGY CORP	GREENVILLE, SC	8/4/2014	00709412-07	Filed
STRAIGHT FLUSH BROADWAY LTD LIABILITY CO	NEW YORK, NY	8/4/2014	00709411-07	Filed
<b>Number of Regulation D Notice Filings: 11</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>
LA TAN ENTERPRISES INC / L.A. Tan	LINCOLNWOOD, IL	8/11/2014	608193	Registered
LaVida Massage Franchise Development, Inc. / LaVida Massage	Commerce Township, MI	8/11/2014	608194	Registered
LoLo's CNW, LLC / Lo-Lo's Chicken & Waffles	Phoenix, AZ	8/11/2014	608198	Registered
The Hybrid Shop, LLC / The Hybrid Shop	Gainesville, VA	8/11/2014	608195	Registered
Emerging Vision, Inc. / Sterling Optical	New York, NY	8/8/2014	608197	Registered
HUDDLE HOUSE INC / HUDDLE HOUSE	ATLANTA, GA	8/8/2014	608199	Registered
TMC FRANCHISE CORP / On the Run	TEMPE, AZ	8/8/2014	608196	Registered
Max Brenner Franchising, LLC / Max Brenner	New York, NY	8/6/2014	608182	Registered
Spavia International LLC / Spavia	Lone Tree, CO	8/6/2014	608191	Registered
Chick-fil-A, Inc. / Chick-fil-A Operator Program	Atlanta, GA	8/5/2014	608188	Registered
Groutsmith Franchising, Inc. / Groutsmith	Sarasota, FL	8/5/2014	608190	Registered
U Got Stink Franchising, LLC / U Got Stink?	Battle Ground, WA	8/4/2014	608176	Registered
MAD SCIENCE GROUP INC	MONTREAL, QC	8/4/2014	608173	Registered

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GODFATHERS PIZZA INC / GODFATHERS PIZZA	OMAHA, NE	8/4/2014	608174	Registered
ATNcare Franchising / Go Telecare	West Redding, CT	8/4/2014	608189	Registered
<b>Number of Franchise Filings: 15</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>	