

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 8/18/2014 through 8/29/2014**

<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>
IRVINGTON BAPTIST CHURCH DBA CROSSROADS CHURCH OF FREMONT	FREMONT, CA	8/25/2014	00710850-02	Pending
PATHWAY ENERGY INFRASTRUCTURE FUND INC	NEW YORK, NY	8/22/2014	00710847-01	Registered
WESTERN ASSET MIDDLE MARKET INCOME FUND INC	NEW YORK, NY	8/22/2014	00710468-01	Registered
RESOURCE REAL ESTATE DIVERSIFIED INCOME FUND CLASS C	HAUPPAUGE, NY	8/21/2014	00711105-01	Registered
RESOURCE REAL ESTATE DIVERSIFIED INCOME FUND CLASS I	HAUPPAUGE, NY	8/21/2014	00711106-01	Registered
BREA BAPTIST CHURCH	BREA, CA	8/20/2014	00711104-02	Pending
PALMER SQUARE OPPORTUNISTIC INCOME FUND COMMON SHARES	MILWAUKEE, WI	8/20/2014	00711070-01	Pending
<b>Number of Registration Filings: 7</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>
TRADER MEDIA EAST LTD	AMSTERDAM, AA	8/21/2014	00711102-08	Not Disallowed
SONRISE CHRISTIAN CENTER	EVERETT, WA	8/20/2014	00711071-08	Not Disallowed
<b>Number of Exemption Filings: 2</b>				

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<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>
AMCAP FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710838-03	Pending-Cleared
AMERICAN BALANCED FUND CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710804-03	Pending-Cleared
AMERICAN FUNDS DEVELOPING WORLD GROWTH & INCOME FUND CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710831-03	Pending-Cleared
AMERICAN FUNDS FUNDAMENTAL INVESTORS FUNDAMENTAL INVESTORS CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710842-03	Pending-Cleared
AMERICAN FUNDS GLOBAL BALANCED FUND CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710827-03	Pending-Cleared
AMERICAN FUNDS INCOME SERIES US GOVERNMENT SECURITIES FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710816-03	Pending-Cleared
AMERICAN FUNDS MONEY MARKET FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710821-03	Pending-Cleared
AMERICAN FUNDS MORTGAGE FUND CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710825-03	Pending-Cleared
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS PRESERVATION PORTFOLIO SM CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710843-03	Pending-Cleared
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS BALANCED PORTFOLIO SM CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710839-03	Pending-Cleared
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS GLOBAL GROWTH PORTFOLIO SM CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710833-03	Pending-Cleared

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AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS GROWTH PORTFOLIO SM CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710835-03	Pending-Cleared
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS GROWTH & INCOME PORTFOLIO SM CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710837-03	Pending-Cleared
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS INCOME PORTFOLIO SM CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710841-03	Pending-Cleared
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710817-03	Pending-Cleared
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2030 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710809-03	Pending-Cleared
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2020 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710805-03	Pending-Cleared
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2010 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710802-03	Pending-Cleared
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2040 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710813-03	Pending-Cleared
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2035 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710811-03	Pending-Cleared
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2025 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710807-03	Pending-Cleared

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AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2045 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710815-03	Pending-Cleared
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710823-03	Pending-Cleared
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2015 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710803-03	Pending-Cleared
AMERICAN HIGH INCOME TR CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710824-03	Pending-Cleared
AMERICAN MUTUAL FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710806-03	Pending-Cleared
BOND FUND OF AMERICA CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710830-03	Pending-Cleared
CAPITAL INCOME BUILDER CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710834-03	Pending-Cleared
CAPITAL WORLD BOND FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710808-03	Pending-Cleared
CAPITAL WORLD GROWTH & INCOME FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710826-03	Pending-Cleared
EUROPACIFIC GROWTH FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710810-03	Pending-Cleared
GROWTH FUND OF AMERICA CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710818-03	Pending-Cleared
INCOME FUND OF AMERICA CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710840-03	Pending-Cleared
INTERMEDIATE BOND FUND OF AMERICA CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710812-03	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
INTERNATIONAL GROWTH & INCOME FUND CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710819-03	Pending-Cleared
INVESTMENT CO OF AMERICA CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710820-03	Pending-Cleared
NEW ECONOMY FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710832-03	Pending-Cleared
NEW PERSPECTIVE FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710828-03	Pending-Cleared
NEW WORLD FUND INC CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710814-03	Pending-Cleared
SHORT TERM BOND FUND OF AMERICA CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710822-03	Pending-Cleared
SMALLCAP WORLD FUND INC CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710836-03	Pending-Cleared
WA MUTUAL INVESTORS FUND CLASS R 2E	IRVINE, CA	8/27/2014	00710829-03	Pending-Cleared
1ST TR COMBINED SERIES 454 TX EX MUNICIPAL INCOME TR 10 20 YEAR SERIES 14	WHEATON, IL	8/26/2014	00710880-05	Registered
FT 4985 GLOBAL DEEP VALUE DIVIDEND PORTFOLIO SERIES 3	WHEATON, IL	8/26/2014	00710877-05	Pending-Cleared
FT 4987 ENERGY SELECT PORTFOLIO SERIES 52	WHEATON, IL	8/26/2014	00710884-05	Pending-Cleared
FT 4987 WATER UTILITY & INFRASTRUCTURE SELECT PORTFOLIO SERIES 34	WHEATON, IL	8/26/2014	00710885-05	Pending-Cleared
FT 4994 STRATEGIC INCOME CLOSED END PORTFOLIO SERIES 53	WHEATON, IL	8/26/2014	00710879-05	Registered
FT 4995 MLP CLOSED END PORTFOLIO SERIES 2	WHEATON, IL	8/26/2014	00710882-05	Registered

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FT 5014 BALANCED INCOME SELECT PORTFOLIO SERIES 47	WHEATON, IL	8/26/2014	00710881-05	Registered
FT 5037 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 45	WHEATON, IL	8/26/2014	00710883-05	Registered
SMART TR DIVERSIFIED INCOME & GROWTH TR SERIES 5	PARSIPPANY, NJ	8/26/2014	00710878-05	Registered
HIGHLAND FUNDS 1 HIGHLAND OPPORTUNISTIC CREDIT FUND CLASS A	DALLAS, TX	8/25/2014	00710855-03	Registered
HIGHLAND FUNDS 1 HIGHLAND OPPORTUNISTIC CREDIT FUND CLASS C	DALLAS, TX	8/25/2014	00710854-03	Registered
HIGHLAND FUNDS 1 HIGHLAND OPPORTUNISTIC CREDIT FUND CLASS Z	DALLAS, TX	8/25/2014	00710853-03	Registered
NORTHERN LIGHTS FUND TR PSI CALENDAR EFFECTS FUND CLASS A SHARES	HAUPPAUGE, NY	8/25/2014	00710962-03	Registered
FIDELITY ABERDEEN STREET TR FIDELITY ADVISOR FREEDOM 2060 FUND INSTITUTIONAL CLASS	BOSTON, MA	8/22/2014	00710467-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS TACTICAL TILT IMPLEMENTATION FUND INSTITUTIONAL SHARES	CHICAGO, IL	8/22/2014	00710469-03	Registered
GUGGENHEIM FUNDS TR GUGGENHEIM MULTI ASSET FUND INSTITUTIONAL CLASS	ROCKVILLE, MD	8/22/2014	00710642-03	Pending-Cleared
GUGGENHEIM FUNDS TR GUGGENHEIM MULTI ASSET FUND A CLASS	ROCKVILLE, MD	8/22/2014	00710640-03	Pending-Cleared
GUGGENHEIM FUNDS TR GUGGENHEIM MULTI ASSET FUND C CLASS	ROCKVILLE, MD	8/22/2014	00710641-03	Pending-Cleared

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HANCOCK JOHN FUNDS 2 HANCOCK JOHN ABSOLUTE RETURN CURRENCY FUND CLASS C	BOSTON, MA	8/22/2014	00710472-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN EMERGING MARKETS DEBT FUND CLASS C	BOSTON, MA	8/22/2014	00710473-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN TECHNICAL OPPORTUNITIES FUND CLASS C	BOSTON, MA	8/22/2014	00710470-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN US EQUITY FUND CLASS C	BOSTON, MA	8/22/2014	00710471-03	Registered
ADVISORONE FUNDS HORIZON ACTIVE RISK ASSIST FUND CLASS N SHARES	HAUPPAUGE, NY	8/21/2014	00711107-03	Registered
AMERICAN INDEPENDENCE FUNDS TR 2 AMERICAN INDEPENDENCE MAR TACTICAL MODERATE GROWTH FUND CLASS A	NEW YORK, NY	8/21/2014	00711072-03	Registered
HANCOCK JOHN FUNDS 3 HANCOCK JOHN INTERNATIONAL VALUE EQUITY FUND CLASS C	BOSTON, MA	8/21/2014	00710572-03	Registered
HANCOCK JOHN FUNDS 3 HANCOCK JOHN STRATEGIC GROWTH FUND CLASS C	BOSTON, MA	8/21/2014	00710573-03	Registered
LAZARD FUNDS INC LAZARD GLOBAL STRATEGIC EQUITY PORTFOLIO INSTITUTIONAL SHARES	NEW YORK, NY	8/21/2014	00711097-03	Pending-Cleared
LAZARD FUNDS INC LAZARD GLOBAL STRATEGIC EQUITY PORTFOLIO OPEN SHARES	NEW YORK, NY	8/21/2014	00711096-03	Pending-Cleared

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LAZARD FUNDS INC LAZARD INTERNATIONAL EQUITY CONCENTRATED PORTFOLIO INSTITUTIONAL SHARES	NEW YORK, NY	8/21/2014	00711099-03	Pending-Cleared
LAZARD FUNDS INC LAZARD INTERNATIONAL EQUITY CONCENTRATED PORTFOLIO OPEN SHARES	NEW YORK, NY	8/21/2014	00711098-03	Pending-Cleared
LAZARD FUNDS INC LAZARD US SMALL CAP EQUITY GROWTH PORTFOLIO OPEN SHARES	NEW YORK, NY	8/21/2014	00711100-03	Pending-Cleared
LAZARD FUNDS INC LAZARD US SMALL CAP EQUITY GROWTH PORTFOLIO INSTITUTIONAL SHARES	NEW YORK, NY	8/21/2014	00711101-03	Pending-Cleared
REALTY CAPITAL INCOME FUNDS TR AR CAPITAL GLOBAL REAL ESTATE INCOME FUND CLASS A SHARES	HAUPPAUGE, NY	8/21/2014	00711108-03	Registered
REALTY CAPITAL INCOME FUNDS TR AR CAPITAL GLOBAL REAL ESTATE INCOME FUND CLASS C SHARES	HAUPPAUGE, NY	8/21/2014	00711109-03	Registered
1ST TR COMBINED SERIES 455 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO INTERMEDIATE SERIES 6	WHEATON, IL	8/20/2014	00711061-05	Registered
DEUTSCHE GLOBAL INTERNATIONAL FUND INC DEUTSCHE GLOBAL INFRASTRUCTURE FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710314-03	Registered
DEUTSCHE GLOBAL INTERNATIONAL FUND INC DEUTSCHE GLOBAL SMALL CAP FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710315-03	Registered
DEUTSCHE INCOME TR DEUTSCHE HIGH INCOME FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710316-03	Registered

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DEUTSCHE INCOME TR DEUTSCHE SHORT DURATION FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710313-03	Registered
DEUTSCHE INCOME TR DEUTSCHE UNCONSTRAINED INCOME FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710321-03	Registered
DEUTSCHE INTERNATIONAL FUND INC DEUTSCHE WORLD DIVIDEND FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710322-03	Registered
DEUTSCHE INVESTMENT TR DEUTSCHE CAPITAL GROWTH FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710320-03	Registered
DEUTSCHE INVESTMENT TR DEUTSCHE CORE EQUITY FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710323-03	Registered
DEUTSCHE INVESTMENT TR DEUTSCHE SMALL CAP GROWTH FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710318-03	Registered
DEUTSCHE MARKET TR DEUTSCHE GLOBAL INCOME BUILDER FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710317-03	Registered
DEUTSCHE SECURITIES TR DEUTSCHE REAL ESTATE SECURITIES INCOME FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710326-03	Registered
DEUTSCHE SECURITIES TR DEUTSCHE REAL ESTATE SECURITIES FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710325-03	Registered
DEUTSCHE VALUE SERIES INC DEUTSCHE MID CAP VALUE FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710319-03	Registered

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DEUTSCHE VALUE SERIES INC DEUTSCHE SMALL CAP VALUE FUND CLASS R6 SHARES	CHICAGO, IL	8/20/2014	00710324-03	Registered
FT 4954 CORE HOLDINGS GROWTH TR 2014 FALL SERIES	WHEATON, IL	8/20/2014	00711054-05	Registered
FT 4959 INTERNATIONAL HIGH DIVIDEND EQUITY PORTFOLIO SERIES 17	WHEATON, IL	8/20/2014	00711058-05	Registered
FT 4961 NORTH AMERICAN SHALE PORTFOLIO SERIES 7	WHEATON, IL	8/20/2014	00711049-05	Registered
FT 4981 INTEREST RATE HEDGE & ETF PORTFOLIO SERIES 5	WHEATON, IL	8/20/2014	00711059-05	Registered
FT 4989 BOFA MERRILL LYNCH GLOBAL LONGEVITY PORTFOLIO	WHEATON, IL	8/20/2014	00711060-05	Registered
FT 4992 BALANCED INCOME PORTFOLIO SERIES 45	WHEATON, IL	8/20/2014	00711056-05	Registered
FT 4993 RICHARD BERNSTEIN ADVISORS QUALITY CYCLICAL INCOME PORTFOLIO SERIES	WHEATON, IL	8/20/2014	00711057-05	Registered
FT 5035 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 45	WHEATON, IL	8/20/2014	00711055-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1206 DIVIDEND STRENGTH PORTFOLIO SERIES 14	LISLE, IL	8/20/2014	00711065-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1206 ENERGY PORTFOLIO SERIES 17	LISLE, IL	8/20/2014	00711063-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1206 LARGE CAP CORE PORTFOLIO SERIES 22	LISLE, IL	8/20/2014	00711064-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1207 FLOATING RATE & DIVIDEND GROWTH PORTFOLIO SERIES 6	LISLE, IL	8/20/2014	00711062-05	Registered
INVESCO UNIT TR MUNICIPAL SERIES 1207 INVESTMENT GRADE MUNICIPAL TR 10 20 YEAR SERIES 2	DOWNERS GROVE, IL	8/20/2014	00711052-05	Pending-Cleared
1ST TR COMBINED SERIES 452 TX EX MUNICIPAL INCOME TR SERIES 283	WHEATON, IL	8/19/2014	00711050-05	Registered
JPMORGAN TR I JPMORGAN EMERGING MARKETS CORPORATE DEBT FUND CLASS R6 SHARES	BOSTON, MA	8/19/2014	00710307-03	Registered
JPMORGAN TR I JPMORGAN EMERGING MARKETS CORPORATE DEBT FUND SELECT CLASS SHARES	BOSTON, MA	8/19/2014	00710308-03	Registered
JPMORGAN TR I JPMORGAN EMERGING MARKETS CORPORATE DEBT FUND CLASS C SHARES	BOSTON, MA	8/19/2014	00710306-03	Registered
JPMORGAN TR I JPMORGAN EMERGING MARKETS CORPORATE DEBT FUND CLASS A SHARES	BOSTON, MA	8/19/2014	00710305-03	Registered
1ST TR COMBINED SERIES 456 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO LONG TERM SERIES 13	WHEATON, IL	8/18/2014	00710776-05	Registered
ADVISORS DISCIPLINED TR 1239 ADVISORS CORPORATE TR HIGH YIELD BOND PORTFOLIO SERIES 13 HIMCO PORTFOLIO	MONUMENT, CO	8/18/2014	00710648-05	Pending-Cleared

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ADVISORS DISCIPLINED TR 1241 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 87	MONUMENT, CO	8/18/2014	00710653-05	Registered
DIAMOND HILL FUNDS DIAMOND HILL MID CAP FUND CLASS C	COLUMBUS, OH	8/18/2014	00709717-03	Registered
DIAMOND HILL FUNDS DIAMOND HILL MID CAP FUND CLASS I	COLUMBUS, OH	8/18/2014	00709716-03	Registered
FT 4960 DIVIDEND INCOME PLUS PORTFOLIO SERIES 15	WHEATON, IL	8/18/2014	00710778-05	Registered
FT 4990 HIGH DIVIDEND EMERGING MARKETS EQUITY PORTFOLIO SERIES 8	WHEATON, IL	8/18/2014	00710777-05	Registered
FT 5013 CAPITAL STRENGTH BUY WRITE PORTFOLIO SERIES 17	WHEATON, IL	8/18/2014	00710775-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1144 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 37	LISLE, IL	8/18/2014	00710655-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1203 BLUE CHIP GROWTH PORTFOLIO SERIES 5	LISLE, IL	8/18/2014	00710649-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1203 GUGGENHEIM US HIGH DIVIDEND STRATEGY PORTFOLIO 2 YEAR SERIES 6	LISLE, IL	8/18/2014	00710650-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1204 DIVERSIFIED CREDIT PORTFOLIO OF ETFs SERIES 5	LISLE, IL	8/18/2014	00710651-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1205 COMPASS UNDERVALUED TOP PICKS PORTFOLIO SERIES 2	LISLE, IL	8/18/2014	00710656-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1205 GUGGENHEIM EMERGING MARKETS DIVIDEND STRATEGY PORTFOLIO SERIES 11	LISLE, IL	8/18/2014	00710654-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1208 SPIN OFF PORTFOLIO SERIES 2	LISLE, IL	8/18/2014	00710652-05	Registered
OPPENHEIMER DIVIDEND OPPORTUNITY FUND CLASS I SHARES	DENVER, CO	8/18/2014	00710698-03	Pending-Cleared
<b>Number of Investment Company Filings: 125</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>
ACADIAN GLOBAL MANAGED VOLATILITY EQUITY FUND LLC	BOSTON, MA	8/26/2014	00710874-07	Filed
IMPALA SELECT FUND LP	NEW CANAAN, CT	8/26/2014	00710875-07	Filed
SHERMAN REAL ESTATE FUND 11 LLC	DEERFIELD, IL	8/26/2014	00710876-07	Filed
APX DRILLING PARTNERS 2014 A LP	BUFFALO, NY	8/25/2014	00710861-07	Filed
GENESIS DRILLING PROGRAM 6 LP	GETZVILLE, NY	8/25/2014	00710860-07	Filed
RYAN SPECIALTY GROUP LLC	CHICAGO, IL	8/25/2014	00710858-07	Filed
APPLIED PROCESS HOLDINGS LLC	CHICAGO, IL	8/22/2014	00710848-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 8/18/2014 through 8/29/2014**

<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>
EDGEWATER CAPITAL PARTNERS 3 LP	CLEVELAND, OH	8/22/2014	00710849-07	Filed
GENESIS INNOVATION GROUP LLC	MISSOULA, MT	8/22/2014	00710844-07	Filed
OPGEN INC	GAITHERSBURG, MD	8/22/2014	00710845-07	Filed
WASTEZERO CAPITAL 3 LLC	RALEIGH, NC	8/22/2014	00710846-07	Filed
GULF SOUTH ENERGY PARTNERS 2014 LP	NEW ORLEANS, LA	8/21/2014	00711103-07	Filed
ENDOCLEAR LLC	PETOSKEY, MI	8/19/2014	00711053-07	Filed
LAKE GENEVA RETAIL DST	OAK BROOK, IL	8/19/2014	00711051-07	Filed
CELLECTAR BIOSCIENCES INC	MADISON, WI	8/18/2014	00710774-07	Filed
PAC HWY 630 LLC	LYNNWOOD, WA	8/18/2014	00710779-07	Filed
<b>Number of Regulation D Notice Filings: 16</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>
JG Franchising, LLC / J. Gumbo's	Louisville, KY	8/29/2014	608251	Registered
ATL International, Inc. / All Tune and Lube	Millersville, MD	8/28/2014	608250	Registered
ATL International, Inc. / All Tune Transmissions	Millersville, MD	8/28/2014	608249	Registered
ATL International, Inc. / ATL MotorMate	Millersville, MD	8/28/2014	608248	Registered
Dickey's Barbecue Restaurants, Inc. / Dickey's Barbecue Pit	Plano, TX	8/28/2014	608246	Registered
DANCE WORKS OF WI LLC	PEWAUKEE, WI	8/28/2014	608244	Registered
LONG JOHN SILVERS LLC / Long John Silver's	LOUISVILLE, KY	8/26/2014	608240	Registered
SmallBizPros, Inc. d/b/a Padgett Business Services / Padgett Business Services	Westwood, MA	8/25/2014	608235	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 8/18/2014 through 8/29/2014**

<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>
SILVER MINE SUBS FRANCHISE INC / Silver Mine Subs	FORT COLLINS, CO	8/25/2014	608232	Registered
Marriott International, Inc. / Moxy Hotels	Bethesda, MD	8/25/2014	608212	Registered
Pritikin ICR LLC / Pritikin ICR	Clayton, MO	8/25/2014	608242	Registered
Smile Source L.P. / Smile Source	Kingwood, TX	8/25/2014	608241	Registered
Forever Yogurt FC, LLC / Forever Yogurt	Chicago, IL	8/22/2014	608239	Registered
SENIOR CARE AUTHORITY, LLC / Senior Care Authority	Fairfield, CA	8/21/2014	608208	Registered
Red Lion Hotels Franchising, Inc.	Spokane, WA	8/21/2014	608206	Registered
OMEX INTERNATIONAL INC / OMEX	CAMP HILL, PA	8/21/2014	608207	Registered
YGFY, LLC / Yumz gourmet frozen yogurt	Elgin, IL	8/20/2014	608203	Registered
BOJANGLES INTERNATIONAL LLC / Bojangles' Famous Chicken N' Biscuits	CHARLOTTE, NC	8/19/2014	608230	Registered
FIESTA INSURANCE FRANCHISE CORPORATION / FIESTA INSURANCE	HUNTINGTON BEACH, CA	8/19/2014	608229	Registered
COMPUTERTOTS INC / Computer Explorers	CYPRESS, TX	8/18/2014	608226	Registered
Wholesome Tummies Franchise LLC / Wholesome Tummies and WT Cafe	Orlando, FL	8/18/2014	608225	Registered
<b>Number of Franchise Filings: 21</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>	