

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/25/2014 through 9/5/2014**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MOODY NATIONAL REIT 2 INC	HOUSTON, TX	8/26/2014	00711556-01	Pending
IRVINGTON BAPTIST CHURCH DBA CROSSROADS CHURCH OF FREMONT	FREMONT, CA	8/25/2014	00710850-02	Pending
Number of Registration Filings: 2				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Number of Exemption Filings: 0				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1282 HEALTH CARE OPPORTUNITIES PORTFOLIO SERIES 2014 2	MONUMENT, CO	8/29/2014	00711577-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1283 MUNICIPAL CLOSED END PORTFOLIO SERIES 2014 2	MONUMENT, CO	8/29/2014	00711573-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1284 SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO 2 YR SERIES 2014 2	MONUMENT, CO	8/29/2014	00711572-05	Pending-Cleared
AQR FUNDS AQR DIVERSIFIED ARBITRAGE FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711529-03	Registered
AQR FUNDS AQR EMERGING DEFENSIVE EQUITY FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711539-03	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
AQR FUNDS AQR GLOBAL MACRO FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711542-03	Registered
AQR FUNDS AQR INTERNATIONAL DEFENSIVE EQUITY FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711534-03	Registered
AQR FUNDS AQR LONG SHORT EQUITY FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711536-03	Registered
AQR FUNDS AQR MANAGED FUTURES STRATEGY FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711530-03	Registered
AQR FUNDS AQR MANAGED FUTURES STRATEGY HV FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711538-03	Registered
AQR FUNDS AQR MULTI STRATEGY ALTERNATIVE FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711531-03	Registered
AQR FUNDS AQR RISK BALANCED COMMODITIES STRATEGY FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711537-03	Registered
AQR FUNDS AQR RISK PARITY 2 HV FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711541-03	Registered
AQR FUNDS AQR RISK PARITY 2 MV FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711535-03	Registered
AQR FUNDS AQR RISK PARITY FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711532-03	Registered
AQR FUNDS AQR STYLE PREMIA ALTERNATIVE FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711540-03	Registered
AQR FUNDS AQR US DEFENSIVE EQUITY FUND CLASS R6 SHARES	GREENWICH, CT	8/29/2014	00711533-03	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 4984 TAX ADVANTAGED MUNICIPAL CLOSED END PORTFOLIO SERIES 41	WHEATON, IL	8/29/2014	00711570-05	Registered
FT 5038 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 94	WHEATON, IL	8/29/2014	00711571-05	Registered
FT 5041 INVESTMENT GRADE SELECT CLOSED END PORTFOLIO SERIES 50	WHEATON, IL	8/29/2014	00711574-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1210 ALL CAP GROWTH STRATEGY PORTFOLIO SERIES 7	LISLE, IL	8/29/2014	00711564-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1210 GUGGENHEIM ABC HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 17	LISLE, IL	8/29/2014	00711563-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1211 INCOME & TREASURY LTD DURATION PORTFOLIO OF FUNDS TR TERM 12/7/15 SERIES 38	LISLE, IL	8/29/2014	00711576-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1212 DIVERSIFIED INCOME WAVE PORTFOLIO 15 MONTH SERIES 48	LISLE, IL	8/29/2014	00711575-05	Pending-Cleared
HOTCHKIS & WILEY FUNDS SMALL CAP DIVERSIFIED VALUE FUND CLASS A	MILWAUKEE, WI	8/29/2014	00711568-03	Registered
HOTCHKIS & WILEY FUNDS SMALL CAP DIVERSIFIED VALUE FUND CLASS I	MILWAUKEE, WI	8/29/2014	00711569-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO MLP FUND CLASS A SHARES	HOUSTON, TX	8/28/2014	00711123-03	Registered

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AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO MLP FUND CLASS R SHARES	HOUSTON, TX	8/28/2014	00711127-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO MLP FUND CLASS R5 SHARES	HOUSTON, TX	8/28/2014	00711125-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO MLP FUND CLASS C SHARES	HOUSTON, TX	8/28/2014	00711124-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO MLP FUND CLASS Y SHARES	HOUSTON, TX	8/28/2014	00711128-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO MLP FUND CLASS R6 SHARES	HOUSTON, TX	8/28/2014	00711126-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI BEST STYLES GLOBAL EQUITY FUND INSTITUTIONAL CLASS	NEW YORK, NY	8/28/2014	00711122-03	Pending-Cleared
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI BEST STYLES GLOBAL EQUITY FUND CLASS A	NEW YORK, NY	8/28/2014	00711121-03	Pending-Cleared
AMCAP FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710838-03	Registered
AMERICAN BALANCED FUND CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710804-03	Registered
AMERICAN FUNDS DEVELOPING WORLD GROWTH & INCOME FUND CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710831-03	Registered
AMERICAN FUNDS FUNDAMENTAL INVESTORS FUNDAMENTAL INVESTORS CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710842-03	Registered

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Firm Name	Location	Date Received	File Number	Status
AMERICAN FUNDS GLOBAL BALANCED FUND CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710827-03	Registered
AMERICAN FUNDS INCOME SERIES US GOVERNMENT SECURITIES FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710816-03	Registered
AMERICAN FUNDS MONEY MARKET FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710821-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710825-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS PRESERVATION PORTFOLIO SM CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710843-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS BALANCED PORTFOLIO SM CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710839-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS GLOBAL GROWTH PORTFOLIO SM CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710833-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS GROWTH PORTFOLIO SM CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710835-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS GROWTH & INCOME PORTFOLIO SM CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710837-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS INCOME PORTFOLIO SM CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710841-03	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
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710823-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2010 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710802-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2040 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710813-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2030 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710809-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2020 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710805-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2035 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710811-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710817-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2045 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710815-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2015 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710803-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2025 TARGET DATE RETIREMENT FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710807-03	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
AMERICAN HIGH INCOME TR CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710824-03	Registered
AMERICAN MUTUAL FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710806-03	Registered
BOND FUND OF AMERICA CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710830-03	Registered
CAPITAL INCOME BUILDER CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710834-03	Registered
CAPITAL WORLD BOND FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710808-03	Registered
CAPITAL WORLD GROWTH & INCOME FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710826-03	Registered
EUROPACIFIC GROWTH FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710810-03	Registered
GROWTH FUND OF AMERICA CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710818-03	Registered
INCOME FUND OF AMERICA CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710840-03	Registered
INTERMEDIATE BOND FUND OF AMERICA CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710812-03	Registered
INTERNATIONAL GROWTH & INCOME FUND CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710819-03	Registered
INVESTMENT CO OF AMERICA CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710820-03	Registered
NEW ECONOMY FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710832-03	Registered
NEW PERSPECTIVE FUND CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710828-03	Registered
NEW WORLD FUND INC CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710814-03	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
SHORT TERM BOND FUND OF AMERICA CLASS R 2E	LOS ANGELES, CA	8/27/2014	00710822-03	Registered
SMALLCAP WORLD FUND INC CLASS R 2E	SAN FRANCISCO, CA	8/27/2014	00710836-03	Registered
WA MUTUAL INVESTORS FUND CLASS R 2E	IRVINE, CA	8/27/2014	00710829-03	Registered
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	Registered
FT 4987 ENERGY SELECT PORTFOLIO SERIES 52	WHEATON, IL	8/26/2014	00710884-05	Registered
FT 4987 WATER UTILITY & INFRASTRUCTURE SELECT PORTFOLIO SERIES 34	WHEATON, IL	8/26/2014	00710885-05	Registered
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
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
HARTFORD MUTUAL FUNDS INC HARTFORD LONG SHORT GLOBAL EQUITY FUND CLASS Y SHARES	BOSTON, MA	8/26/2014	00711561-03	Registered
HARTFORD MUTUAL FUNDS INC HARTFORD LONG SHORT GLOBAL EQUITY FUND CLASS C SHARES	BOSTON, MA	8/26/2014	00711559-03	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
HARTFORD MUTUAL FUNDS INC HARTFORD LONG SHORT GLOBAL EQUITY FUND CLASS I SHARES	BOSTON, MA	8/26/2014	00711560-03	Registered
HARTFORD MUTUAL FUNDS INC HARTFORD LONG SHORT GLOBAL EQUITY FUND CLASS A SHARES	BOSTON, MA	8/26/2014	00711558-03	Registered
HIGHLAND FUNDS 2 HIGHLAND ENERGY MLP FUND CLASS C SHARES	DALLAS, TX	8/26/2014	00711554-03	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
Number of Investment Company Filings: 94				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ARES EUROPEAN REAL ESTATE CAYMAN FEEDER FUND 4 LP	PURCHASE, NY	8/29/2014	00711581-07	Filed
CONCOURSE CAPITAL PARTNERS OFFSHORE FUND LTD	GRAND CAYMAN, AA	8/29/2014	00711582-07	Filed

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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
DUNE REAL ESTATE FUND 3 LP	NEW YORK, NY	8/29/2014	00711580-07	Filed
SOUTH GA PARTNERS LP	NAPERVILLE, IL	8/29/2014	00711578-07	Filed
ARC PROPERTY TR INC	CLIFTON, NJ	8/28/2014	00711566-07	Filed
CERORA INC	BETHLEHEM, PA	8/28/2014	00711565-07	Filed
ACADIAN GLOBAL MANAGED VOLATILITY EQUITY FUND LLC	BOSTON, MA	8/26/2014	00710874-07	Filed
CARLYLE REALTY PARTNERS 7 ASP FUND SERIES OF ALTERNATIVE STRATEGIES PRIVATE EQUITY PLATFORM LLC	CHARLOTTE, NC	8/26/2014	00711557-07	Filed
ICONIQ STRATEGIC PARTNERS CO INVEST LP SERIES F	SAN FRANCISCO, CA	8/26/2014	00711553-07	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
Number of Regulation D Notice Filings: 14				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Hoss's Franchise Corporation, Inc.	Duncansville, PA	9/2/2014	608253	Registered
JG Franchising, LLC / J. Gumbo's	Louisville, KY	8/29/2014	608251	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
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
Taste Buds Kitchen International LLC / Taste Buds Kitchen	Queenstown, MD	8/28/2014	608258	Registered
US LAWNS INC / U.S. LAWNS	ORLANDO, FL	8/28/2014	608255	Registered
Great Wraps, Inc. / Great Wraps	Atlanta, GA	8/27/2014	608254	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
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
Number of Franchise Filings: 16				

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