

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
BEN FRANKLIN FINANCIAL INC	ARLINGTON HEIGHTS, IL	9/22/2014	00713477-01	Pending
LIGHTSTONE REAL ESTATE INCOME TR INC	LAKWOOD, NJ	9/22/2014	00713456-01	Pending
<b>Number of Registration Filings: 2</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>
BREA BAPTIST CHURCH	BREA, CA	9/24/2014	00713583-10	Not Disallowed
<b>Number of Exemption Filings: 1</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>
FUNDVANTAGE TR SKYBRIDGE DIVIDEND VALUE FUND CLASS C SHARES	WILMINGTON, DE	10/1/2014	00713843-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN LONG SHORT MULTI MANAGER FUND ADVISOR CLASS	NEW YORK, NY	9/30/2014	00713649-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN LONG SHORT MULTI MANAGER FUND CLASS C	NEW YORK, NY	9/30/2014	00713650-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN LONG SHORT MULTI MANAGER FUND CLASS A	NEW YORK, NY	9/30/2014	00713648-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN LONG SHORT MULTI MANAGER FUND CLASS Z	NEW YORK, NY	9/30/2014	00713654-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN LONG SHORT MULTI MANAGER FUND CLASS I	NEW YORK, NY	9/30/2014	00713653-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN LONG SHORT MULTI MANAGER FUND CLASS K	NEW YORK, NY	9/30/2014	00713651-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN LONG SHORT MULTI MANAGER FUND CLASS R	NEW YORK, NY	9/30/2014	00713652-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA COMMODITY STRATEGY FUND CLASS Y	BOSTON, MA	9/30/2014	00713642-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR 2 COLUMBIA SELECT LARGE CAP VALUE FUND CLASS Y	BOSTON, MA	9/30/2014	00713644-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR 2 COLUMBIA SELECT SMALLER CAP VALUE FUND CLASS Y	BOSTON, MA	9/30/2014	00713646-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR 2 COLUMBIA US GOVERNMENT MORTGAGE FUND CLASS Y	BOSTON, MA	9/30/2014	00713645-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA CONVERTIBLE SECURITIES FUND CLASS Y	BOSTON, MA	9/30/2014	00713643-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR I COLUMBIA ADAPTIVE RISK ALLOCATION FUND CLASS R4	BOSTON, MA	9/30/2014	00713640-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
COLUMBIA FUNDS SERIES TR I COLUMBIA ADAPTIVE RISK ALLOCATION FUND CLASS Y	BOSTON, MA	9/30/2014	00713641-03	Pending-Cleared
NUVEEN INVESTMENT TR 3 NUVEEN SYMPHONY CREDIT OPPORTUNITIES FUND CLASS R6	CHIGACO, IL	9/30/2014	00713647-03	Pending-Cleared
GREAT WEST FUNDS INC GREAT WEST REAL ESTATE INDEX FUND INITIAL CLASS	GREENWOOD VILLAGE, CO	9/29/2014	00713621-03	Registered
KRANESHARES TR MPS THOMSON REUTERS VENTURE CAPITAL FUND INSTITUTIONAL CLASS	NEW YORK, NY	9/29/2014	00713620-03	Registered
KRANESHARES TR MPS THOMSON REUTERS VENTURE CAPITAL FUND CLASS A	NEW YORK, NY	9/29/2014	00713619-03	Registered
STONE HARBOR INVESTMENT FUNDS STONE HARBOR EMERGING MARKETS DEBT ALLOCATION FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	9/29/2014	00713617-03	Registered
STONE HARBOR INVESTMENT FUNDS STONE HARBOR EMERGING MARKETS DEBT BLEND FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	9/29/2014	00713618-03	Registered
CALVERT MANAGEMENT SERIES CALVERT UNCONSTRAINED BOND FUND CLASS Y	BETHESDA, MD	9/26/2014	00713667-03	Registered
CALVERT MANAGEMENT SERIES CALVERT UNCONSTRAINED BOND FUND CLASS A	BETHESDA, MD	9/26/2014	00713670-03	Registered
CALVERT MANAGEMENT SERIES CALVERT UNCONSTRAINED BOND FUND CLASS I	BETHESDA, MD	9/26/2014	00713668-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
CALVERT MANAGEMENT SERIES CALVERT UNCONSTRAINED BOND FUND CLASS C	BETHESDA, MD	9/26/2014	00713669-03	Registered
DEUTSCHE INTERNATIONAL FUND INC DEUTSCHE EMERGING MARKETS FRONTIER FUND INSTITUTIONAL CLASS	CHICAGO, IL	9/26/2014	00713553-03	Registered
DEUTSCHE INTERNATIONAL FUND INC DEUTSCHE EMERGING MARKETS FRONTIER FUND CLASS A SHARES	CHICAGO, IL	9/26/2014	00713554-03	Registered
DEUTSCHE INTERNATIONAL FUND INC DEUTSCHE EMERGING MARKETS FRONTIER FUND CLASS S SHARES	CHICAGO, IL	9/26/2014	00713556-03	Registered
DEUTSCHE INTERNATIONAL FUND INC DEUTSCHE EMERGING MARKETS FRONTIER FUND CLASS C SHARES	CHICAGO, IL	9/26/2014	00713555-03	Registered
DEUTSCHE PORTFOLIO TR DEUTSCHE FLOATING RATE FUND CLASS R6 SHARES	CHICAGO, IL	9/26/2014	00713557-03	Registered
GATEWAY TR GATEWAY EQUITY CALL PREMIUM FUND CLASS A	BOSTON, MA	9/26/2014	00713525-03	Registered
GATEWAY TR GATEWAY EQUITY CALL PREMIUM FUND CLASS C	BOSTON, MA	9/26/2014	00713526-03	Registered
GATEWAY TR GATEWAY EQUITY CALL PREMIUM FUND CLASS Y	BOSTON, MA	9/26/2014	00713527-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1223 DOW 10 PORTFOLIO SERIES 19	LISLE, IL	9/26/2014	00713656-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1223 GLOBAL DOW 30 PORTFOLIO SERIES 7	LISLE, IL	9/26/2014	00713657-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1234 GUGGENHEIM INTERNATIONAL DIVIDEND STRATEGY PORTFOLIO SERIES 25	LISLE, IL	9/26/2014	00713658-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1235 QUALITY DIVIDEND STRATEGY PORTFOLIO SERIES 10	LISLE, IL	9/26/2014	00713659-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1236 CONTENT IS KING SERIES 2	LISLE, IL	9/26/2014	00713660-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1237 ZACKS RANK STRONG BUY 50 STRATEGY PORTFOLIOS SERIES 1	LISLE, IL	9/26/2014	00713661-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1216 INVESTMENT GRADE MUNICIPAL TR 7 13 YEAR SERIES 55	DOWNERS GROVE, IL	9/26/2014	00713685-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1217 INVESTMENT GRADE MUNICIPAL TR 7 13 YEAR SERIES 56	DOWNERS GROVE, IL	9/26/2014	00713684-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1218 INVESTMENT GRADE MUNICIPAL TR 10 20 YEAR SERIES 3	DOWNERS GROVE, IL	9/26/2014	00713683-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1219 INVESTMENT GRADE MUNICIPAL TR 10 20 YEAR SERIES 4	DOWNERS GROVE, IL	9/26/2014	00713682-05	Pending-Cleared
INVESCO UNIT TR SERIES 1477 TURNAROUND STRATEGY PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/26/2014	00713681-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
INVESCO UNIT TR SERIES 1481 DIVIDEND SUSTAINABILITY PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/26/2014	00713680-05	Pending-Cleared
INVESCO UNIT TR SERIES 1481 EUROPEAN DIVIDEND SUSTAINABILITY PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/26/2014	00713678-05	Pending-Cleared
INVESCO UNIT TR SERIES 1481 GLOBAL DIVIDEND SUSTAINABILITY PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/26/2014	00713677-05	Pending-Cleared
INVESCO UNIT TR SERIES 1481 INTERNATIONAL DIVIDEND SUSTAINABILITY PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/26/2014	00713679-05	Pending-Cleared
INVESCO UNIT TR SERIES 1482 SELECT 10 INDUSTRIAL PORTFOLIO 2014 6	DOWNERS GROVE, IL	9/26/2014	00713676-05	Pending-Cleared
INVESCO UNIT TR SERIES 1483 CLOSED END STRATEGY DISCOUNT OPPORTUNITY PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/26/2014	00713675-05	Pending-Cleared
INVESCO UNIT TR SERIES 1485 HIGH INCOME ALLOCATION PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/26/2014	00713674-05	Pending-Cleared
INVESCO UNIT TR SERIES 1485 MLP & INCOME PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/26/2014	00713673-05	Pending-Cleared
INVESCO UNIT TR SERIES 1486 ALTERNATIVES ALLOCATION PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/26/2014	00713672-05	Pending-Cleared
INVESCO UNIT TR SERIES 1487 PREFERRED OPPORTUNITY PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/26/2014	00713671-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
IVY FUNDS IVY MID CAP INCOME OPPORTUNITIES FUND CLASS A SHARES	SHAWNEE MISSION, KS	9/26/2014	00713546-03	Registered
IVY FUNDS IVY MID CAP INCOME OPPORTUNITIES FUND CLASS C SHARES	SHAWNEE MISSION, KS	9/26/2014	00713547-03	Registered
IVY FUNDS IVY MID CAP INCOME OPPORTUNITIES FUND CLASS E SHARES	SHAWNEE MISSION, KS	9/26/2014	00713548-03	Registered
IVY FUNDS IVY MID CAP INCOME OPPORTUNITIES FUND CLASS I SHARES	SHAWNEE MISSION, KS	9/26/2014	00713549-03	Registered
IVY FUNDS IVY MID CAP INCOME OPPORTUNITIES FUND CLASS R SHARES	SHAWNEE MISSION, KS	9/26/2014	00713550-03	Registered
IVY FUNDS IVY MID CAP INCOME OPPORTUNITIES FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	9/26/2014	00713551-03	Registered
IVY FUNDS IVY MID CAP INCOME OPPORTUNITIES FUND CLASS Y SHARES	SHAWNEE MISSION, KS	9/26/2014	00713552-03	Registered
LEGG MASON PARTNERS INCOME TR WESTERN ASSET GLOBAL STRATEGIC INCOME FUND CLASS IS	NEW YORK, NY	9/26/2014	00713523-03	Registered
RUSSELL INVESTMENT CO 2015 STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713494-03	Registered
RUSSELL INVESTMENT CO 2015 STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713496-03	Registered
RUSSELL INVESTMENT CO 2020 STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713511-03	Registered
RUSSELL INVESTMENT CO 2020 STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713503-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
RUSSELL INVESTMENT CO 2025 STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713498-03	Registered
RUSSELL INVESTMENT CO 2025 STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713500-03	Registered
RUSSELL INVESTMENT CO 2030 STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713519-03	Registered
RUSSELL INVESTMENT CO 2030 STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713505-03	Registered
RUSSELL INVESTMENT CO 2035 STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713502-03	Registered
RUSSELL INVESTMENT CO 2035 STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713504-03	Registered
RUSSELL INVESTMENT CO 2040 STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713513-03	Registered
RUSSELL INVESTMENT CO 2040 STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713493-03	Registered
RUSSELL INVESTMENT CO 2045 STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713506-03	Registered
RUSSELL INVESTMENT CO 2045 STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713508-03	Registered
RUSSELL INVESTMENT CO 2050 STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713510-03	Registered
RUSSELL INVESTMENT CO 2050 STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713512-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
RUSSELL INVESTMENT CO 2055 STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713518-03	Registered
RUSSELL INVESTMENT CO 2055 STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713520-03	Registered
RUSSELL INVESTMENT CO BALANCED STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713517-03	Registered
RUSSELL INVESTMENT CO BALANCED STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713497-03	Registered
RUSSELL INVESTMENT CO CONSERVATIVE STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713509-03	Registered
RUSSELL INVESTMENT CO CONSERVATIVE STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713499-03	Registered
RUSSELL INVESTMENT CO EQUITY GROWTH STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713522-03	Registered
RUSSELL INVESTMENT CO EQUITY GROWTH STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713521-03	Registered
RUSSELL INVESTMENT CO GROWTH STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713507-03	Registered
RUSSELL INVESTMENT CO GROWTH STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713495-03	Registered
RUSSELL INVESTMENT CO IN RETIREMENT FUND CLASS R4	SEATTLE, WA	9/26/2014	00713514-03	Registered
RUSSELL INVESTMENT CO IN RETIREMENT FUND CLASS R5	SEATTLE, WA	9/26/2014	00713516-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
RUSSELL INVESTMENT CO MODERATE STRATEGY FUND CLASS R4	SEATTLE, WA	9/26/2014	00713515-03	Registered
RUSSELL INVESTMENT CO MODERATE STRATEGY FUND CLASS R5	SEATTLE, WA	9/26/2014	00713501-03	Registered
SUNAMERICA INCOME FUNDS SUNAMERICA FLEXIBLE CREDIT FUND CLASS W	JERSEY CITY, NJ	9/26/2014	00713524-03	Registered
TSC UITS 8 TSC DOW STRATEGIC 10 PORTFOLIO 4Q 2014	BOSTON, MA	9/26/2014	00713664-05	Pending-Cleared
TSC UITS 8 TSC SABRIENT EARNINGS ADVANTAGE PORTFOLIO 4Q 2014	BOSTON, MA	9/26/2014	00713663-05	Pending-Cleared
TSC UITS 8 TSC ZACKS DIVIDEND LEADERS PORTFOLIO 4Q 2014	BOSTON, MA	9/26/2014	00713662-05	Pending-Cleared
FT 5010 GLOBAL DIVIDEND OPPORTUNITY TR SEPT 2014 SERIES	WHEATON, IL	9/25/2014	00713598-05	Registered
FT 5029 STRUCTURED PORTFOLIO PLAN DEFINED PORTFOLIO SEPT 2014 SERIES	WHEATON, IL	9/25/2014	00713597-05	Registered
FT 5089 MUNICIPAL INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 27	WHEATON, IL	9/25/2014	00713599-05	Registered
NORTHERN INSTITUTIONAL FUNDS US GOVERNMENT SELECT PORTFOLIO WILLIAMS CAPITAL SHARES	CHICAGO, IL	9/25/2014	00713489-03	Pending-Cleared
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2015 FUND INSTITUTIONAL CLASS	DES MOINES, IA	9/25/2014	00713478-03	Registered
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2020 FUND INSTITUTIONAL CLASS	DES MOINES, IA	9/25/2014	00713479-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2025 FUND INSTITUTIONAL CLASS	DES MOINES, IA	9/25/2014	00713480-03	Registered
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2030 FUND INSTITUTIONAL CLASS	DES MOINES, IA	9/25/2014	00713481-03	Registered
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2035 FUND INSTITUTIONAL CLASS	DES MOINES, IA	9/25/2014	00713483-03	Registered
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2040 FUND INSTITUTIONAL CLASS	DES MOINES, IA	9/25/2014	00713488-03	Registered
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2045 FUND INSTITUTIONAL CLASS	DES MOINES, IA	9/25/2014	00713485-03	Registered
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2050 FUND INSTITUTIONAL CLASS	DES MOINES, IA	9/25/2014	00713482-03	Registered
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2055 FUND INSTITUTIONAL CLASS	DES MOINES, IA	9/25/2014	00713484-03	Registered
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2060 FUND INSTITUTIONAL CLASS	DES MOINES, IA	9/25/2014	00713486-03	Registered
PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID INCOME FUND INSTITUTIONAL CLASS	DES MOINES, IA	9/25/2014	00713487-03	Registered
INVESTMENT MANAGERS SERIES TR 2 ALL TERRAIN OPPORTUNITY FUND CLASS I SHARES	MILWAUKEE, WI	9/24/2014	00713574-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR 2 ALL TERRAIN OPPORTUNITY FUND CLASS C SHARES	MILWAUKEE, WI	9/24/2014	00713572-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
INVESTMENT MANAGERS SERIES TR 2 ALL TERRAIN OPPORTUNITY FUND CLASS A SHARES	MILWAUKEE, WI	9/24/2014	00713573-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR STONE TORO MARKET NEUTRAL FUND CLASS I	MILWAUKEE, WI	9/24/2014	00713577-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR STONE TORO MARKET NEUTRAL FUND CLASS C	MILWAUKEE, WI	9/24/2014	00713576-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR STONE TORO MARKET NEUTRAL FUND CLASS A	MILWAUKEE, WI	9/24/2014	00713575-03	Pending-Cleared
STATE STREET INSTITUTIONAL INVESTMENT TR STATE STREET SMALL CAP EMERGING MARKETS EQUITY FUND CLASS I	BOSTON, MA	9/24/2014	00713565-03	Registered
STATE STREET INSTITUTIONAL INVESTMENT TR STATE STREET OPPORTUNISTIC EMERGING MARKETS FUND CLASS C	BOSTON, MA	9/24/2014	00713569-03	Registered
STATE STREET INSTITUTIONAL INVESTMENT TR STATE STREET CLARION GLOBAL REAL ESTATE INCOME FUND CLASS I	BOSTON, MA	9/24/2014	00713566-03	Registered
STATE STREET INSTITUTIONAL INVESTMENT TR STATE STREET OPPORTUNISTIC EMERGING MARKETS FUND CLASS I	BOSTON, MA	9/24/2014	00713562-03	Registered
STATE STREET INSTITUTIONAL INVESTMENT TR STATE STREET SMALL CAP EMERGING MARKETS EQUITY FUND CLASS A	BOSTON, MA	9/24/2014	00713563-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
STATE STREET INSTITUTIONAL INVESTMENT TR STATE STREET CLARION GLOBAL REAL ESTATE INCOME FUND CLASS A	BOSTON, MA	9/24/2014	00713567-03	Registered
STATE STREET INSTITUTIONAL INVESTMENT TR STATE STREET SMALL CAP EMERGING MARKETS EQUITY FUND CLASS C	BOSTON, MA	9/24/2014	00713564-03	Registered
STATE STREET INSTITUTIONAL INVESTMENT TR STATE STREET OPPORTUNISTIC EMERGING MARKETS FUND CLASS A	BOSTON, MA	9/24/2014	00713568-03	Registered
TIAA CREF FUNDS LIFECYCLE 2060 FUND INSTITUTIONAL CLASS	NEW YORK, NY	9/24/2014	00713381-03	Registered
TIAA CREF FUNDS LIFECYCLE 2060 FUND PREMIER CLASS	NEW YORK, NY	9/24/2014	00713379-03	Registered
TIAA CREF FUNDS LIFECYCLE 2060 FUND RETIREMENT CLASS	NEW YORK, NY	9/24/2014	00713376-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX 2060 FUND INSTITUTIONAL CLASS	NEW YORK, NY	9/24/2014	00713378-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX 2060 FUND PREMIER CLASS	NEW YORK, NY	9/24/2014	00713380-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX 2060 FUND RETIREMENT CLASS	NEW YORK, NY	9/24/2014	00713382-03	Registered
TIAA CREF FUNDS TIAA CREF EMERGING MARKETS DEBT FUND INSTITUTIONAL CLASS	NEW YORK, NY	9/24/2014	00713373-03	Registered
TIAA CREF FUNDS TIAA CREF EMERGING MARKETS DEBT FUND RETIREMENT CLASS	NEW YORK, NY	9/24/2014	00713375-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
TIAA CREF FUNDS TIAA CREF EMERGING MARKETS DEBT FUND PREMIER CLASS	NEW YORK, NY	9/24/2014	00713374-03	Registered
TIAA CREF FUNDS TIAA CREF EMERGING MARKETS DEBT FUND RETAIL CLASS	NEW YORK, NY	9/24/2014	00713377-03	Registered
ADVISORS INNER CIRCLE FUND 2 CARDINAL SMALL CAP VALUE FUND INSTITUTIONAL CLASS SHARES	BOSTON, MA	9/23/2014	00713366-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON CRESCENT SHORT DURATION HIGH INCOME FUND INVESTOR CLASS	FORT WORTH, TX	9/23/2014	00713419-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON CRESCENT SHORT DURATION HIGH INCOME FUND Y CLASS	FORT WORTH, TX	9/23/2014	00713418-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON CRESCENT SHORT DURATION HIGH INCOME FUND C CLASS	FORT WORTH, TX	9/23/2014	00713421-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON CRESCENT SHORT DURATION HIGH INCOME FUND A CLASS	FORT WORTH, TX	9/23/2014	00713417-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON CRESCENT SHORT DURATION HIGH INCOME FUND INSTITUTIONAL CLASS	FORT WORTH, TX	9/23/2014	00713420-03	Pending-Cleared
FT 4844 SABRIENT DEFENSIVE EQUITY PORTFOLIO SERIES	WHEATON, IL	9/23/2014	00713430-05	Pending-Cleared
FT 5022 SABRIENT DIVIDEND PORTFOLIO SERIES 7	WHEATON, IL	9/23/2014	00713429-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
FT 5023 MARKET STRENGTH ALLOCATION SELECT PORTFOLIO SERIES 15	WHEATON, IL	9/23/2014	00713432-05	Registered
FT 5024 HIGH DIVIDEND EQUITY PORTFOLIO SERIES 20	WHEATON, IL	9/23/2014	00713425-05	Registered
FT 5040 CORPORATE HIGH INCOME PORTFOLIO SERIES 12	WHEATON, IL	9/23/2014	00713426-05	Registered
FT 5056 BALANCED INCOME EQUITY & ETF PORTFOLIO SERIES 11	WHEATON, IL	9/23/2014	00713431-05	Registered
FT 5078 DIVIDEND & INCOME SELECT CLOSED END PORTFOLIO SERIES 45	WHEATON, IL	9/23/2014	00713427-05	Registered
FT 5079 MULTI SECTOR INCOME PORTFOLIO SERIES 24	WHEATON, IL	9/23/2014	00713433-05	Registered
FT 5084 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 53	WHEATON, IL	9/23/2014	00713428-05	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN DISCIPLINED VALUE INTERNATIONAL FUND CLASS C	BOSTON, MA	9/23/2014	00713362-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN DISCIPLINED VALUE INTERNATIONAL FUND CLASS R4	BOSTON, MA	9/23/2014	00713363-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN DISCIPLINED VALUE INTERNATIONAL FUND CLASS A	BOSTON, MA	9/23/2014	00713360-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN DISCIPLINED VALUE INTERNATIONAL FUND CLASS I	BOSTON, MA	9/23/2014	00713364-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN DISCIPLINED VALUE INTERNATIONAL FUND CLASS R2	BOSTON, MA	9/23/2014	00713361-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN DISCIPLINED VALUE INTERNATIONAL FUND CLASS R6	BOSTON, MA	9/23/2014	00713365-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL SMALL CAP VALUE FUND CLASS Q	NEWARK, NJ	9/23/2014	00713359-03	Registered
TARGET PORTFOLIO TR SMALL CAPITALIZATION VALUE PORTFOLIO CLASS Q	NEWARK, NJ	9/23/2014	00713358-03	Registered
LAZARD FUNDS INC LAZARD MASTER ALTERNATIVES PORTFOLIO INSTITUTIONAL CLASS	NEW YORK, NY	9/22/2014	00713472-03	Pending-Cleared
LAZARD FUNDS INC LAZARD MASTER ALTERNATIVES PORTFOLIO OPEN CLASS	NEW YORK, NY	9/22/2014	00713471-03	Pending-Cleared
<b>Number of Investment Company Filings: 160</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>
CMS IRONWOOD MULTI STRATEGY FUND LLC	POTOMAC, MD	9/26/2014	00713601-07	Filed
UPSTART NETWORK TR	PALO ALTO, CA	9/26/2014	00713655-07	Filed
LIBERTY CENTER LODGING ASSOC LLC	MIDDLETON, WI	9/25/2014	00713600-07	Filed
BROOKLINE TRACON INVESTMENT FUND 2 LLC	BIRMINGHAM, AL	9/24/2014	00713558-07	Filed
BTD CAPITAL PARTNERS FUND 2 LP	CHICAGO, IL	9/24/2014	00713559-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
CLARAGH MOUNTAIN FUND LP	BOSTON, MA	9/24/2014	00713560-07	Filed
EATSTREET INC	MADISON, WI	9/24/2014	00713584-07	Filed
HPI REAL ESTATE OPPORTUNITY FUND 3 LLC	LYME, CT	9/23/2014	00713423-07	Filed
MULVANEY GLOBAL MARKETS FUND LTD	HAMILTON, AA	9/23/2014	00713411-07	Filed
ROTH SELLPOINTS 1 LLC	NEWPORT BEACH, CA	9/23/2014	00713422-07	Filed
IL ABJ ENTERPRISES LLC	WINNETKA, IL	9/22/2014	00713474-07	Filed
TOWER REAL ESTATE FUND 1 LLC	GLENVIEW, IL	9/22/2014	00713473-07	Filed
<b>Number of Regulation D Notice Filings: 12</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>
World of Beer Franchising, Inc. / World of Beer	Tampa, FL	10/3/2014	608342	Registered
Dent Doctor, Inc. / Dent Doctor	Little Rock, AR	10/3/2014	608329	Registered
Fresh Healthy Vending LLC / Fresh Healthy Vending	San Diego, CA	10/1/2014	608323	Registered
Fitwall Studio Systems, LLC / "Fitwall"	Irvine, CA	9/30/2014	608317	Registered
Qualicare of America Inc	Southfield, MI	9/30/2014	608316	Registered
MEDICAP PHARMACIES INCORPORATED / Medicap Pharmacy	Dublin, OH	9/26/2014	608315	Registered
MEDICINE SHOPPE INTERNATIONAL, INC. / The Medicine Shoppe, Medicine Shoppe	Dublin, OH	9/26/2014	608314	Registered
IHOP Franchisor, LLC / Non-tradition	Glendale, CA	9/24/2014	608312	Registered
M CO INC / Heaven's Best Carpet and Upholstry Cleaning	REXBURG, ID	9/24/2014	608324	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 9/22/2014 through 10/3/2014**

<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>
ADVANCED FRESH CONCEPTS FRANCHISE CORP / AFC, Southern Tsunami	RANCHO DOMINGUEZ, CA	9/23/2014	608310	Registered
BRINKER INTERNATIONAL PAYROLL LP / Chili's Grill & Bar	DALLAS, TX	9/23/2014	608311	Registered
Applebee's Franchisor LLC / Applebee's Neighborhood Bar & Grill	Kansas City, MO	9/22/2014	608299	Registered
International House Of Pancakes, LLC / IHOP International House of Pancakes	GLENDALE, CA	9/22/2014	608301	Registered
ROSATIS FRANCHISE & DEVELOPMENT LLC / Rosatis Pizza	Warrenville, IL	9/22/2014	608300	Registered
<b>Number of Franchise Filings: 14</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>	