

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/29/2014 through 10/10/2014**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FANTEX INC	SAN FRANCISCO, CA	10/7/2014	00714042-01	Pending
CREDIT SUISSE CORPORATE CREDIT SOLUTIONS INC	NEW YORK, NY	9/30/2014	00713970-01	Pending
RESOURCE REAL ESTATE DIVERSIFIED INCOME FUND CLASS A	HAUPPAUGE, NY	9/29/2014	00713950-01	Incomplete
Number of Registration Filings: 3				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
LIGHTSTONE VALUE PLUS REAL ESTATE INVESTMENT TR 2	LAKWOOD, NJ	10/2/2014	00714025-08	Not Disallowed
TX RARE EARTH RESOURCES CORP	SIERRA BIANCA, TX	10/1/2014	00713988-08	Not Disallowed
VICTORY FAITH FELLOWSHIP	SPOKANE, WA	10/1/2014	00713984-08	Not Disallowed
Number of Exemption Filings: 3				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
HIGHLAND FUNDS 2 HIGHLAND DIVIDEND EQUITY FUND CLASS C SHARES	DALLAS, TX	10/7/2014	00714067-03	Registered
HIGHLAND FUNDS 2 HIGHLAND DIVIDEND EQUITY FUND CLASS R SHARES	DALLAS, TX	10/7/2014	00714065-03	Registered
HIGHLAND FUNDS 2 HIGHLAND ENERGY MLP FUND CLASS A SHARES	DALLAS, TX	10/7/2014	00714063-03	Registered

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HIGHLAND FUNDS 2 HIGHLAND ENERGY MLP FUND CLASS R SHARES	DALLAS, TX	10/7/2014	00714066-03	Registered
HIGHLAND FUNDS 2 HIGHLAND PREMIER GROWTH EQUITY FUND CLASS R SHARES	DALLAS, TX	10/7/2014	00714058-03	Registered
HIGHLAND FUNDS 2 HIGHLAND SMALL CAP EQUITY FUND CLASS R SHARES	DALLAS, TX	10/7/2014	00714062-03	Registered
HIGHLAND FUNDS 2 HIGHLAND SMALL CAP EQUITY FUND CLASS Y SHARES	DALLAS, TX	10/7/2014	00714064-03	Registered
INCAPITAL UNIT TR SERIES 56 INCAPITAL MORNINGSTAR WIDE MOAT PORTFOLIO 4Q 2014	CHICAGO, IL	10/6/2014	00714035-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1297 BALANCED PORTFOLIO SERIES 2014 2	MONUMENT, CO	10/2/2014	00714016-05	Registered
FORWARD FUNDS FORWARD REAL ESTATE LONG SHORT FUND ADVISOR CLASS	SAN FRANCISCO, CA	10/2/2014	00713857-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1224 STRATEGIC INCOME PORTFOLIO 15 MONTH SERIES 80	LISLE, IL	10/2/2014	00714018-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1225 MULTIPLE ASSET PORTFOLIO PLUS SERIES 51	LISLE, IL	10/2/2014	00714017-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1225 STRATEGIC INCOME PORTFOLIO SERIES 89	LISLE, IL	10/2/2014	00714015-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1232 CONVERTIBLE & INCOME PORTFOLIO OF FUNDS SERIES 20	LISLE, IL	10/2/2014	00714019-05	Registered
NORTHERN INSTITUTIONAL FUNDS PRIME OBLIGATIONS PORTFOLIO WILLIAMS CAPITAL SHARES	CHICAGO, IL	10/2/2014	00713856-03	Registered
1ST TR COMBINED SERIES 460 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO LONG TERM SERIES 14	WHEATON, IL	10/1/2014	00713973-05	Registered
EUBEL BRADY & SUTTMAN MUTUAL FUND TR EBS INCOME & APPRECIATION FUND	CINCINNATI, OH	10/1/2014	00713979-03	Registered
EUBEL BRADY & SUTTMAN MUTUAL FUND TR EBS INCOME FUND	CINCINNATI, OH	10/1/2014	00713978-03	Registered
FT 5057 TACTICAL ALPHA PORTFOLIO SERIES 2	WHEATON, IL	10/1/2014	00713974-05	Registered
FT 5060 US EQUITY CLOSED END PORTFOLIO SERIES 14	WHEATON, IL	10/1/2014	00713971-05	Registered
FT 5061 CLOUD COMPUTING PORTFOLIO SERIES 11	WHEATON, IL	10/1/2014	00713976-05	Registered
FT 5088 INTEREST RATE HEDGE PORTFOLIO SERIES 88	WHEATON, IL	10/1/2014	00713972-05	Registered
FUNDEVANTAGE TR SKYBRIDGE DIVIDEND VALUE FUND CLASS C SHARES	WILMINGTON, DE	10/1/2014	00713843-03	Registered
SMART TR MORNINGSTAR DIVIDEND YIELD FOCUS TR SERIES 7	PARSIPPANY, NJ	10/1/2014	00713975-05	Registered
SMART TR STRATEGIC GROWTH & INCOME TR SERIES 6	PARSIPPANY, NJ	10/1/2014	00713977-05	Registered

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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 I	NEW YORK, NY	9/30/2014	00713653-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN LONG SHORT MULTI MANAGER FUND CLASS A	NEW YORK, NY	9/30/2014	00713648-03	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
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 ADVISOR CLASS	NEW YORK, NY	9/30/2014	00713649-03	Registered
COLUMBIA FUNDS SERIES TR 1 COLUMBIA ADAPTIVE RISK ALLOCATION FUND CLASS Y	BOSTON, MA	9/30/2014	00713641-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR 1 COLUMBIA ADAPTIVE RISK ALLOCATION FUND CLASS R4	BOSTON, MA	9/30/2014	00713640-03	Pending-Cleared

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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
DFA INVESTMENT DIMENSIONS GROUP INC DFA MUNICIPAL REAL RETURN PORTFOLIO INSTITUTIONAL CLASS SHARES	AUSTIN, TX	9/30/2014	00713918-03	Registered
INVESCO UNIT TR MUNICIPAL SERIES 1214 QUALITY MUNICIPAL INCOME TR 10 20 YEAR SERIES 83	DOWNERS GROVE, IL	9/30/2014	00713961-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1215 QUALITY MUNICIPAL INCOME TR 10 20 YEAR SERIES 84	DOWNERS GROVE, IL	9/30/2014	00713960-05	Pending-Cleared
INVESCO UNIT TR SERIES 1484 DIVERSIFIED HEALTHCARE PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/30/2014	00713954-05	Pending-Cleared
INVESCO UNIT TR SERIES 1484 ENERGY PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/30/2014	00713955-05	Pending-Cleared

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INVESCO UNIT TR SERIES 1484 FINANCIAL INSTITUTIONS PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/30/2014	00713956-05	Pending-Cleared
INVESCO UNIT TR SERIES 1484 REIT INCOME PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/30/2014	00713953-05	Pending-Cleared
INVESCO UNIT TR SERIES 1484 UTILITY INCOME PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/30/2014	00713957-05	Pending-Cleared
INVESCO UNIT TR SERIES 1488 GLOBAL HIGH DIVIDEND PORTFOLIO 2014 4	DOWNERS GROVE, IL	9/30/2014	00713962-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 489 INVESTMENT GRADE INCOME TR 7 13 YEAR SERIES 43	DOWNERS GROVE, IL	9/30/2014	00713958-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 490 INVESTMENT GRADE INCOME TR 7 13 YEAR SERIES 44	DOWNERS GROVE, IL	9/30/2014	00713959-05	Pending-Cleared
NUVEEN INVESTMENT TR 3 NUVEEN SYMPHONY CREDIT OPPORTUNITIES FUND CLASS R6	CHIGACO, IL	9/30/2014	00713647-03	Registered
TR FOR ADVISED PORTFOLIOS INFINITY Q DIVERSIFIED ALPHA FUND CLASS A	MILWAUKEE, WI	9/30/2014	00713966-03	Registered
TR FOR ADVISED PORTFOLIOS INFINITY Q DIVERSIFIED ALPHA FUND CLASS I	MILWAUKEE, WI	9/30/2014	00713967-03	Registered
TR FOR ADVISED PORTFOLIOS V2 HEDGED EQUITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/30/2014	00713965-03	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
TR FOR ADVISED PORTFOLIOS V2 HEDGED EQUITY FUND INVESTOR CLASS	MILWAUKEE, WI	9/30/2014	00713964-03	Registered
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 BLEND FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	9/29/2014	00713618-03	Registered
STONE HARBOR INVESTMENT FUNDS STONE HARBOR EMERGING MARKETS DEBT ALLOCATION FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	9/29/2014	00713617-03	Registered
WST INVESTMENT TR WST ASSET MANAGER US BOND FUND INVESTOR CLASS	CINCINNATI, OH	9/29/2014	00713919-03	Registered
Number of Investment Company Filings: 61				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
INDUSTRY VENTURES PARTNERSHIP HOLDINGS 3 LP	SAN FRANCISCO, CA	10/7/2014	00714041-07	Filed
COSKATA INC	WARRENVILLE, IL	10/6/2014	00714057-07	Filed
ECHOMETRIX LLC	MADISON, WI	10/6/2014	00714040-07	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
KITO TECH MEDICAL INC	SEATTLE, WA	10/6/2014	00714055-07	Filed
MV STARTUP FUND 16 LLC	AUSTIN, TX	10/6/2014	00714037-07	Filed
RP LEGENDS PLACE LP	DALLAS, TX	10/6/2014	00714056-07	Filed
WAVERLY HOTEL GROUP LLC	WAVERLY, IA	10/6/2014	00714039-07	Filed
GK PREFERRED INCOME 2 RIDGMAR	BARRINGTON, IL	10/3/2014	00714053-07	Filed
KEYTONE INSIGHTS INC	MILWAUKEE, WI	10/3/2014	00714054-07	Filed
AI UNION CITY GA LLC	AGOURA HILLS, CA	10/2/2014	00714021-07	Filed
BOUQS CO	MARINA DEL REY, CA	10/2/2014	00714022-07	Filed
TX LOUISIANA 2 WELL JOINT VENTURE	SAN ANTONIO, TX	10/2/2014	00714024-07	Filed
2X CONSUMER PRODUCTS GROWTH PARTNERS 2 LP	CHICAGO, IL	10/1/2014	00713987-07	Filed
BAILARD REAL ESTATE INVESTMENT TR INC	FOSTER CITY, CA	10/1/2014	00713985-07	Filed
ROCKET FUEL INC	REDWOOD CITY, CA	9/29/2014	00713952-07	Filed
TIDAL PETROLEUM INC	SCHERTZ, TX	9/29/2014	00713951-07	Filed
Number of Regulation D Notice Filings: 16				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Garage Force International, Inc. / Garage Force	Onalaska, WI	10/9/2014	608373	Registered
Medex Patient Transport, LLC / Medex Patient Transport / Caliber Patient Care	Nashville, TN	10/8/2014	608367	Registered
SOLA FRANCHISE CORP / Sola Salon Studios	DENVER, CO	10/8/2014	608366	Registered
Great Play Franchising LLC	Greenwood Village, CO	10/8/2014	608371	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Wheel Repair Solutions International, Inc.	NORCROSS, GA	10/7/2014	608363	Registered
AlphaGraphics, Inc. / AlphaGraphics	Salt Lake City, UT	10/7/2014	608369	Registered
The Barbers, Hairstyling for Men & Women, Inc. / COST CUTTERS	Minneapolis, MN	10/6/2014	608356	Registered
LINE X FRANCHISING LLC	HUNTSVILLE, AL	10/6/2014	608359	Registered
Oh My Gauze Franchise, Inc. / Oh My Gauze	Sarasota, FL	10/6/2014	608358	Registered
Slide the City Franchising, LLC / Slide the City	Salt Lake City, UT	10/6/2014	608360	Registered
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
Goliathtech Inc	Magog Quebec, ON	10/3/2014	608351	Registered
NTY Clothing Exchange / NTY Clothing Exchange	Minnetonka, MN	10/3/2014	608353	Registered
NTY Kids, LLC / NTY Kids	Minnetonka, MN	10/3/2014	608354	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
Number of Franchise Filings: 18				

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