

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/6/2014 through 10/17/2014**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
INVESCO SENIOR LOAN FUND CLASS IB SHARES	ATLANTA, GA	10/16/2014	00714282-01	Registered
INVESCO SENIOR LOAN FUND CLASS IC SHARES	ATLANTA, GA	10/16/2014	00714283-01	Registered
CAREY CREDIT INCOME FUND SERIES 2015 A	NEW YORK, NY	10/10/2014	00714162-01	Pending
CAREY CREDIT INCOME FUND SERIES 2015 T	NEW YORK, NY	10/10/2014	00714161-01	Pending
FANTEX INC	SAN FRANCISCO, CA	10/7/2014	00714042-01	Pending
Number of Registration Filings: 5				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
COMMON MAN BREWING INC	ELLSWORTH, WI	10/10/2014	00714233-26	Pending
Number of Exemption Filings: 1				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CAUSEWAY CAPITAL MANAGEMENT TR CAUSEWAY INTERNATIONAL SMALL CAP FUND INSTITUTIONAL CLASS	LOS ANGELES, CA	10/16/2014	00714280-03	Pending-Cleared
CAUSEWAY CAPITAL MANAGEMENT TR CAUSEWAY INTERNATIONAL SMALL CAP FUND INVESTOR CLASS	LOS ANGELES, CA	10/16/2014	00714281-03	Pending-Cleared
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO CA TAX FREE INCOME FUND CLASS Y SHARES	HOUSTON, TX	10/15/2014	00714235-03	Registered

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Firm Name	Location	Date Received	File Number	Status
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO CA TAX FREE INCOME FUND CLASS C SHARES	HOUSTON, TX	10/15/2014	00714244-03	Registered
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO CA TAX FREE INCOME FUND CLASS B SHARES	HOUSTON, TX	10/15/2014	00714240-03	Registered
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO PA TAX FREE INCOME FUND CLASS A SHARES	HOUSTON, TX	10/15/2014	00714246-03	Registered
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO PA TAX FREE INCOME FUND CLASS Y SHARES	HOUSTON, TX	10/15/2014	00714242-03	Registered
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO PA TAX FREE INCOME FUND CLASS B SHARES	HOUSTON, TX	10/15/2014	00714236-03	Registered
AIM COUNSELOR SERIES TR INVESCO COUNSELOR SERIES TR INVESCO PA TAX FREE INCOME FUND CLASS C SHARES	HOUSTON, TX	10/15/2014	00714239-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO ENDEAVOR FUND CLASS R SHARES	HOUSTON, TX	10/15/2014	00714238-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO SELECT CO FUND CLASS R SHARES	HOUSTON, TX	10/15/2014	00714237-03	Registered
AIM TX EX FUNDS INVESCO TX EX FUNDS INVESCO NY TAX FREE INCOME FUND CLASS A SHARES	HOUSTON, TX	10/15/2014	00714241-03	Registered
AIM TX EX FUNDS INVESCO TX EX FUNDS INVESCO NY TAX FREE INCOME FUND CLASS B SHARES	HOUSTON, TX	10/15/2014	00714243-03	Registered

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AIM TX EX FUNDS INVESCO TX EX FUNDS INVESCO NY TAX FREE INCOME FUND CLASS Y SHARES	HOUSTON, TX	10/15/2014	00714247-03	Registered
AIM TX EX FUNDS INVESCO TX EX FUNDS INVESCO NY TAX FREE INCOME FUND CLASS C SHARES	HOUSTON, TX	10/15/2014	00714245-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS LONG SHORT FUND CLASS A SHARES	CHICAGO, IL	10/15/2014	00714248-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS LONG SHORT FUND CLASS C SHARES	CHICAGO, IL	10/15/2014	00714249-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS LONG SHORT FUND CLASS IR SHARES	CHICAGO, IL	10/15/2014	00714250-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS LONG SHORT FUND CLASS R SHARES	CHICAGO, IL	10/15/2014	00714252-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS LONG SHORT FUND INSTITUTIONAL SHARES	CHICAGO, IL	10/15/2014	00714251-03	Registered
1ST TR COMBINED SERIES 461 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO INTERMEDIATE SERIES 7	WHEATON, IL	10/14/2014	00714309-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1240 ADVISORS CORPORATE TR HIGH YIELD BOND PORTFOLIO SERIES 14 HIMCO PORTFOLIO	MONUMENT, CO	10/14/2014	00714303-05	Pending-Cleared
ADVISORS SERIES TR SCHARF GLOBAL OPPORTUNITY FUND RETAIL CLASS	MILWAUKEE, WI	10/14/2014	00714300-03	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
FT 5058 DIVERSIFIED FIXED INCOME ETF PORTFOLIO SERIES 20	WHEATON, IL	10/14/2014	00714313-05	Pending-Cleared
FT 5065 SELECT DSIP PORTFOLIO 4TH QUARTER 2014 SERIES	WHEATON, IL	10/14/2014	00714311-05	Pending-Cleared
FT 5068 CAPITAL STRENGTH BUY WRITE PORTFOLIO SERIES 18	WHEATON, IL	10/14/2014	00714310-05	Pending-Cleared
FT 5096 EQUITY CLOSED END PORTFOLIO SERIES 13	WHEATON, IL	10/14/2014	00714315-05	Pending-Cleared
FT 5106 BALANCED INCOME SELECT PORTFOLIO SERIES 48	WHEATON, IL	10/14/2014	00714296-05	Pending-Cleared
INCAPITAL UNIT TR SERIES 57 NUVEEN LARGE CAP DIVIDEND PORTFOLIO 4Q 2014	CHICAGO, IL	10/14/2014	00714304-05	Pending-Cleared
INCAPITAL UNIT TR SERIES 58 ARGUS MODERN INNOVATORS SERIES 3	CHICAGO, IL	10/14/2014	00714302-05	Pending-Cleared
INVESTMENT MANAGERS SERIES TR OAK RIDGE LARGE CAP GROWTH FUND CLASS C	MILWAUKEE, WI	10/14/2014	00714316-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR OAK RIDGE LARGE CAP GROWTH FUND CLASS A	MILWAUKEE, WI	10/14/2014	00714317-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR OAK RIDGE LARGE CAP GROWTH FUND CLASS Y	MILWAUKEE, WI	10/14/2014	00714318-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR OAK RIDGE SMALL CAP GROWTH FUND CLASS K	MILWAUKEE, WI	10/14/2014	00714322-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR OAK RIDGE SMALL CAP GROWTH FUND CLASS Y	MILWAUKEE, WI	10/14/2014	00714321-03	Pending-Cleared

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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
INVESTMENT MANAGERS SERIES TR OAK RIDGE SMALL CAP GROWTH FUND CLASS A	MILWAUKEE, WI	10/14/2014	00714320-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR OAK RIDGE SMALL CAP GROWTH FUND CLASS C	MILWAUKEE, WI	10/14/2014	00714319-03	Pending-Cleared
PROFESSIONALLY MANAGED PORTFOLIOS MUZINICH CREDIT OPPORTUNITIES FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	10/14/2014	00714294-03	Registered
SMART TR DEFENSIVE 50 EQUITIES TR SERIES 1	PARSIPPANY, NJ	10/14/2014	00714312-05	Pending-Cleared
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO ALTERNATIVE STRATEGIES FUND CLASS C SHARES	HOUSTON, TX	10/13/2014	00714213-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO ALTERNATIVE STRATEGIES FUND CLASS A SHARES	HOUSTON, TX	10/13/2014	00714220-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO ALTERNATIVE STRATEGIES FUND CLASS Y SHARES	HOUSTON, TX	10/13/2014	00714221-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO ALTERNATIVE STRATEGIES FUND CLASS R5 SHARES	HOUSTON, TX	10/13/2014	00714217-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO ALTERNATIVE STRATEGIES FUND CLASS R SHARES	HOUSTON, TX	10/13/2014	00714215-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO ALTERNATIVE STRATEGIES FUND CLASS R6 SHARES	HOUSTON, TX	10/13/2014	00714219-03	Registered

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AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO MULTI ASSET INFLATION FUND CLASS C SHARES	HOUSTON, TX	10/13/2014	00714211-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO MULTI ASSET INFLATION FUND CLASS R SHARES	HOUSTON, TX	10/13/2014	00714212-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO MULTI ASSET INFLATION FUND CLASS A SHARES	HOUSTON, TX	10/13/2014	00714210-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO MULTI ASSET INFLATION FUND CLASS R5 SHARES	HOUSTON, TX	10/13/2014	00714214-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO MULTI ASSET INFLATION FUND CLASS R6 SHARES	HOUSTON, TX	10/13/2014	00714218-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO MULTI ASSET INFLATION FUND CLASS Y SHARES	HOUSTON, TX	10/13/2014	00714216-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO UNCONSTRAINED BOND FUND CLASS C SHARES	HOUSTON, TX	10/13/2014	00714205-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO UNCONSTRAINED BOND FUND CLASS Y SHARES	HOUSTON, TX	10/13/2014	00714209-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO UNCONSTRAINED BOND FUND CLASS R5 SHARES	HOUSTON, TX	10/13/2014	00714206-03	Registered

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AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO UNCONSTRAINED BOND FUND CLASS A SHARES	HOUSTON, TX	10/13/2014	00714204-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO UNCONSTRAINED BOND FUND CLASS R SHARES	HOUSTON, TX	10/13/2014	00714208-03	Registered
AIM INVESTMENT FUNDS INVESCO INVESTMENT FUNDS INVESCO UNCONSTRAINED BOND FUND CLASS R6 SHARES	HOUSTON, TX	10/13/2014	00714207-03	Registered
ADVISORS DISCIPLINED TR 1296 BLUE CHIP COVERED CALL PORTFOLIO 15 MONTH SERIES 2014 4Q	MONUMENT, CO	10/10/2014	00714176-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1298 NASDAQ Q 50 INDEXSM PORTFOLIO SERIES 2014 4Q	MONUMENT, CO	10/10/2014	00714168-05	Registered
ADVISORS DISCIPLINED TR 1299 COMPELLING VALUES PORTFOLIO SERIES 2014 4Q	MONUMENT, CO	10/10/2014	00714167-05	Registered
ADVISORS DISCIPLINED TR 1300 BRAND FAVORITES FOCUS PORTFOLIO SERIES 2014 4Q	MONUMENT, CO	10/10/2014	00714172-05	Registered
ADVISORS DISCIPLINED TR 1301 GLOBAL COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO 15 MONTH SERIES 2014 4Q	MONUMENT, CO	10/10/2014	00714171-05	Registered
ADVISORS DISCIPLINED TR 1302 SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2014 4Q	MONUMENT, CO	10/10/2014	00714170-05	Registered

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ADVISORS DISCIPLINED TR 1303 TACTICAL INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2014 4Q	MONUMENT, CO	10/10/2014	00714169-05	Registered
ADVISORS DISCIPLINED TR 1304 BALANCED PORTFOLIO 15 MONTH SERIES 2014 4Q	MONUMENT, CO	10/10/2014	00714173-05	Registered
ADVISORS DISCIPLINED TR 1305 ANGELS PORTFOLIO SERIES 2014 4Q	MONUMENT, CO	10/10/2014	00714174-05	Registered
ADVISORS DISCIPLINED TR 1306 DIVIDEND RULER PORTFOLIO 2014D	MONUMENT, CO	10/10/2014	00714175-05	Registered
ADVISORS DISCIPLINED TR 1307 GLOBAL DIVIDEND STRATEGY PORTFOLIO SERIES 2014 4Q HIMCO PORTFOLIO	MONUMENT, CO	10/10/2014	00714166-05	Registered
ADVISORS DISCIPLINED TR 1308 STRATEGIC HIGH 50 Q 50 DIVIDEND & GROWTH PORTFOLIO SERIES 2014 4Q	MONUMENT, CO	10/10/2014	00714177-05	Registered
ADVISORS DISCIPLINED TR 1309 GLOBAL GOLD INCOME PORTFOLIO 15 MONTH SERIES 2014 4Q SMC PORTFOLIO	MONUMENT, CO	10/10/2014	00714178-05	Registered
ADVISORS DISCIPLINED TR 1310 ENHANCED EQUITY INCOME PORTFOLIO 15 MONTH SERIES 2014 4Q	MONUMENT, CO	10/10/2014	00714179-05	Pending-Cleared
BLACKROCK FUNDS 2 BLACKROCK DYNAMIC HIGH INCOME PORTFOLIO INVESTOR C SHARES	WILMINGTON, DE	10/10/2014	00714149-03	Pending-Cleared
BLACKROCK FUNDS 2 BLACKROCK DYNAMIC HIGH INCOME PORTFOLIO INSTITUTIONAL SHARES	WILMINGTON, DE	10/10/2014	00714150-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
BLACKROCK FUNDS 2 BLACKROCK DYNAMIC HIGH INCOME PORTFOLIO INVESTOR A SHARES	WILMINGTON, DE	10/10/2014	00714148-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1226 GUGGENHEIM BALANCED INCOME BUILDER PORTFOLIO SERIES 9	LISLE, IL	10/10/2014	00714181-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1227 GUGGENHEIM REIT PORTFOLIO SERIES 11	LISLE, IL	10/10/2014	00714165-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1231 GUGGENHEIM US HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 14	LISLE, IL	10/10/2014	00714163-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1231 GUGGENHEIM US SMID HIGH DIVIDEND PORTFOLIO SERIES 14	LISLE, IL	10/10/2014	00714164-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1249 SECULAR GROWTH PORTFOLIO 2014 SERIES	LISLE, IL	10/10/2014	00714180-05	Registered
NUVEEN INVESTMENT TR 2 NUVEEN SYMPHONY DYNAMIC EQUITY FUND CLASS C	CHIGACO, IL	10/10/2014	00714146-03	Registered
NUVEEN INVESTMENT TR 2 NUVEEN SYMPHONY DYNAMIC EQUITY FUND CLASS A	CHIGACO, IL	10/10/2014	00714145-03	Registered
NUVEEN INVESTMENT TR 2 NUVEEN SYMPHONY DYNAMIC EQUITY FUND CLASS I	CHIGACO, IL	10/10/2014	00714147-03	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
NUVEEN INVESTMENT TR 3 NUVEEN SYMPHONY DYNAMIC CREDIT FUND CLASS C	CHIGACO, IL	10/10/2014	00714143-03	Registered
NUVEEN INVESTMENT TR 3 NUVEEN SYMPHONY DYNAMIC CREDIT FUND CLASS I	CHIGACO, IL	10/10/2014	00714144-03	Registered
NUVEEN INVESTMENT TR 3 NUVEEN SYMPHONY DYNAMIC CREDIT FUND CLASS A	CHIGACO, IL	10/10/2014	00714142-03	Registered
BMO FUNDS INC BMO ALTERNATIVE STRATEGIES FUND ADVISOR CLASS	MILWAUKEE, WI	10/9/2014	00714157-03	Registered
BMO FUNDS INC BMO ALTERNATIVE STRATEGIES FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	10/9/2014	00714156-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT MID CAP GROWTH EQUITY 2 FUND CLASS R5	ENFIELD, CT	10/9/2014	00714152-03	Registered
FT 5046 EUROPEAN TARGET HIGH QUALITY DIVIDEND PORTFOLIO SERIES 3	WHEATON, IL	10/8/2014	00714087-05	Registered
FT 5047 DIVERSIFIED EQUITY STRATEGIC ALLOCATION PORT 4Q 14 TERM 1 15 16	WHEATON, IL	10/8/2014	00714089-05	Registered
FT 5048 INCOME ALLOCATION CLOSED END OCT 14	WHEATON, IL	10/8/2014	00714092-05	Registered
FT 5049 DOW TARGET 10 OCT 14 TERM 11 9 15	WHEATON, IL	10/8/2014	00714086-05	Registered
FT 5050 DOW TARGET 5 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714107-05	Registered
FT 5050 DOW TARGET DVD 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714106-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 5050 GLOBAL TARGET 15 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714105-05	Registered
FT 5050 S&P TARGET 24 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714104-05	Registered
FT 5050 S&P TARGET SMID 60 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714103-05	Registered
FT 5050 TARGET DBL PLAY 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714095-05	Registered
FT 5050 TARGET DIVSD DVD 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714097-05	Registered
FT 5050 TARGET DVD MULTI STRAT 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714096-05	Registered
FT 5050 TARGET FOCUS 4 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714094-05	Registered
FT 5050 TARGET FOCUS 5 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714093-05	Registered
FT 5050 TARGET GLOBAL DVD LEADERS 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714101-05	Registered
FT 5050 TARGET GROWTH 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714102-05	Registered
FT 5050 TARGET TRIAD 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714099-05	Registered
FT 5050 TARGET VIP 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714098-05	Registered
FT 5050 VALUE LINE TARGET 25 4Q 14 TERM 1 8 16	WHEATON, IL	10/8/2014	00714100-05	Registered
FT 5059 60 40 STRATEGIC ALLOCATION PORT 4Q 14 TERM 1 14 16	WHEATON, IL	10/8/2014	00714085-05	Registered
FT 5059 75 25 STRATEGIC ALLOCATION PORT 4Q 14 TERM 1 14 16	WHEATON, IL	10/8/2014	00714081-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 5062 TECHNOLOGY SELECT PORTFOLIO SERIES 54	WHEATON, IL	10/8/2014	00714084-05	Registered
FT 5063 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES MERGER & ACQUISITION PORTFOLIO 2014 4	WHEATON, IL	10/8/2014	00714090-05	Registered
FT 5064 DIVIDEND GROWTH PORTFOLIO SERIES 7	WHEATON, IL	10/8/2014	00714083-05	Registered
FT 5121 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 39	WHEATON, IL	10/8/2014	00714088-05	Registered
FT 5122 TACTICAL INCOME PORTFOLIO SERIES 33	WHEATON, IL	10/8/2014	00714091-05	Registered
FT 5123 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 59	WHEATON, IL	10/8/2014	00714082-05	Registered
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
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

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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	Registered
Number of Investment Company Filings: 123				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CARLYLE REALTY PARTNERS 7 2 ASP FUND SERIES OF ALTERNATIVE STRATEGIES PRIVATE EQUITY PLATFORM LLC	CHARLOTTE, NC	10/15/2014	00714284-07	Filed
SEER CAPITAL PARTNERS ASP FUND SERIES OF ALTERNATIVE STRATEGIES PLATFORM LLC	CHARLOTTE, NC	10/15/2014	00714285-07	Filed
EMPIRE AT ARCADIA GLEN LLC	SCOTTSDALE, AZ	10/14/2014	00714306-07	Filed
INFORMATICS IN CONTEXT INC	BOSTON, MA	10/14/2014	00714301-07	Filed
MHEG FUND 42 LP	OMAHA, NE	10/14/2014	00714314-07	Filed
SCOUT SECURITY INC	CHICAGO, IL	10/14/2014	00714305-07	Filed
WINTERSET HOTEL GROUP LLC	WINTERSET, IA	10/14/2014	00714295-07	Filed
AMG PANTHEON PRIVATE EQUITY FUND LLC	NORWALK, CT	10/13/2014	00714291-07	Filed
CONTINUITY PARTNERS GROUP LLC	FAIRFIELD, IA	10/13/2014	00714292-07	Filed
JONES FINANCIAL CO LLLP	ST LOUIS, MO	10/13/2014	00714290-07	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
MIURA GLOBAL PARTNERS 2	NEW YORK, NY	10/13/2014	00714289-07	Filed
PECAN 3 D JOINT VENTURE	SAN ANTONIO, TX	10/13/2014	00714293-07	Filed
SEER CAPITAL PARTNERS 2 ASP FUND SERIES OF ALTERNATIVE STRATEGIES PLATFORM LLC	CHARLOTTE, NC	10/13/2014	00714286-07	Filed
SEQUELLA INC	ROCKVILLE, MD	10/13/2014	00714288-07	Filed
SUPERZOOM 1 LLC	NEW YORK, NY	10/13/2014	00714287-07	Filed
AEQUITAS WRFF 1 LLC	LAKE OSWEGO, OR	10/10/2014	00714159-07	Filed
PC 3 CTH AVI 2 LP	CHARLOTTE, NC	10/10/2014	00714160-07	Filed
ANNA HOLDINGS INC	JACKSONVILLE, FL	10/9/2014	00714153-07	Filed
INVOICEASAP INC	SAN FRANCISCO, CA	10/9/2014	00714158-07	Filed
7 HILLS CAPITAL PARTNERS LP	RICHMOND, VA	10/8/2014	00714080-07	Filed
AFP LIFE SETTLEMENT FUND LLC	MT PROSPECT, IL	10/8/2014	00714108-07	Filed
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
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
Number of Regulation D Notice Filings: 28				

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/6/2014 through 10/17/2014**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
JACKSON HEWITT INC. / Jackson Hewitt Tax Service	PARSIPPANY, NJ	10/17/2014	608407	Registered
MMI-PEC / Pro Energy Consultants	Independence, OH	10/17/2014	608401	Registered
MMI-GOC, LLC / Geeks On Call	Independence, OH	10/17/2014	608400	Registered
MMI BUSINESS BROKERS LLC / Sunbelt Business Brokers	INDEPENDENCE, OH	10/17/2014	608399	Registered
MTOCLEAN INC	INDEPENDENCE, OH	10/17/2014	608398	Registered
Hilton Franchise Holding LLC / Canopy and Canopy by Hilton	McLean, VA	10/16/2014	608404	Registered
Hilton Worldwide Holdings, Inc. / Curio - A Collection by Hilton	McLean, VA	10/16/2014	608405	Registered
INTERIM HEALTHCARE INC	SUNRISE, FL	10/16/2014	608406	Registered
Miss Universe L.P., LLLP / Miss Universe	New York, NY	10/16/2014	608403	Registered
Miss Universe L.P., LLLP / Miss Teen Universe	New York, NY	10/16/2014	608402	Registered
BFK Franchise Company, LLC / Bricks 4 Kidz	St.Augustine, FL	10/15/2014	608388	Registered
1 800 FLOWERS.COM FRANCHISE CO INC / 1-800-FLOWERS.COM	CARLE PLACE, NY	10/15/2014	608394	Registered
1 800 FLOWERS.COM FRANCHISE CO INC / 1-800-FLOWERS	CARLE PLACE, NY	10/15/2014	608393	Registered
Dr. Pave Worldwide, LLC / Dr. Pave	Gardena, CA	10/15/2014	608395	Registered
Bbdotq USA, Inc. / bb.q Chicken Bistro	Totowa, NJ	10/14/2014	608391	Registered
Espresso Americano Franchise Corporation	Westminster, CO	10/14/2014	608390	Registered
E&I Holdings, Inc. / The Egg & I	Centennial, CO	10/13/2014	608381	Registered
The Screenmobile Corporation / Screenmobile	Thousand Palms, CA	10/13/2014	608380	Registered
FRONTIER ADJUSTERS INC	Independence, OH	10/13/2014	608377	Registered
Mopfrog, Inc. / Mopfrog Business	Miami Beach, FL	10/13/2014	608389	Registered
Garage Force International, Inc. / Garage Force	Onalaska, WI	10/9/2014	608373	Registered
Christian Bros Automotive Corp	Houston, TX	10/9/2014	608385	Registered
Medex Patient Transport, LLC / Medex Patient Transport / Caliber Patient Care	Nashville, TN	10/8/2014	608367	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/6/2014 through 10/17/2014**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
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
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
Number of Franchise Filings: 31				

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