

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/27/2014 through 11/7/2014**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BLACKSTONE ALTERNATIVE ALPHA FUND 2 ADVISOR CLASS II SHARES	NEW YORK, NY	10/29/2014	00716708-01	Incomplete
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CAMP CREEK CHURCH OF CHRIST INC	ATLANTA, GA	10/31/2014	00716817-10	Not Disallowed
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
1ST TR COMBINED SERIES 464 TX EX MUNICIPAL INCOME TR INTERMEDIATE SERIES 13	WHEATON, IL	11/4/2014	00716958-05	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN DYNAMIC ALL MARKET FUND CLASS Z	NEW YORK, NY	11/4/2014	00716900-03	Pending-Cleared
FT 5097 TARGET DIVIDEND BLEND PORTFOLIO SERIES 3	WHEATON, IL	11/4/2014	00716954-05	Pending-Cleared
FT 5098 INCOME ALLOCATION CLOSED END NOV 14	WHEATON, IL	11/4/2014	00716960-05	Pending-Cleared
FT 5099 DOW TARGET 10 NOV 14 TERM 12 9 15	WHEATON, IL	11/4/2014	00716965-05	Pending-Cleared
FT 5102 HIGH DIVIDEND EQUITY ALLOCATION PORTFOLIO SERIES 13	WHEATON, IL	11/4/2014	00716959-05	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
FT 5103 DIVERSIFIED INCOME & GROWTH PORTFOLIO WINTER 2014 SERIES	WHEATON, IL	11/4/2014	00716969-05	Pending-Cleared
FT 5107 REIT GROWTH & INCOME SELECT PORTFOLIO SERIES 30	WHEATON, IL	11/4/2014	00716962-05	Registered
FT 5108 SABRIENT SMALL CAP GROWTH PORTFOLIO SERIES 4	WHEATON, IL	11/4/2014	00716955-05	Registered
FT 5109 EMERGING MARKETS STRENGTH PORTFOLIO SERIES 24	WHEATON, IL	11/4/2014	00716966-05	Registered
FT 5110 US ENERGY INDEPENDENCE PORTFOLIO SERIES 6	WHEATON, IL	11/4/2014	00716961-05	Registered
FT 5112 INFLATION HEDGE OPPORTUNITY PORTFOLIO SERIES 23	WHEATON, IL	11/4/2014	00716968-05	Pending-Cleared
FT 5113 CAPITAL STRENGTH PORTFOLIO SERIES 27	WHEATON, IL	11/4/2014	00716956-05	Pending-Cleared
FT 5114 CORE 3 QUALIFIED CLOSED END ALLOCATION PORTFOLIO SERIES 8	WHEATON, IL	11/4/2014	00716963-05	Pending-Cleared
FT 5115 REIT GROWTH & INCOME PLUS PORTFOLIO SERIES 20	WHEATON, IL	11/4/2014	00716964-05	Pending-Cleared
FT 5118 PREFERRED INCOME PORTFOLIO SERIES 70	WHEATON, IL	11/4/2014	00716967-05	Registered
FT 5134 STRATEGIC INCOME CLOSED END PORTFOLIO SERIES 54	WHEATON, IL	11/4/2014	00716957-05	Pending-Cleared
HARTFORD MUTUAL FUNDS 2 INC HARTFORD GROWTH OPPORTUNITIES FUND CLASS R6	RADNOR, PA	11/4/2014	00716995-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
HARTFORD MUTUAL FUNDS 2 INC HARTFORD SMALLCAP GROWTH FUND CLASS R6	RADNOR, PA	11/4/2014	00716996-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD BALANCED INCOME FUND CLASS R6	RADNOR, PA	11/4/2014	00716986-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD CAPITAL APPRECIATION FUND CLASS R6	RADNOR, PA	11/4/2014	00716993-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD DIVIDEND & GROWTH FUND CLASS R6	RADNOR, PA	11/4/2014	00716991-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD EQUITY INCOME FUND CLASS R6	RADNOR, PA	11/4/2014	00716988-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD INTERNATIONAL OPPORTUNITIES FUND CLASS R6	RADNOR, PA	11/4/2014	00716992-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD MIDCAP FUND CLASS R6	RADNOR, PA	11/4/2014	00716989-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD SMALL CO FUND CLASS R6	RADNOR, PA	11/4/2014	00716994-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD STRATEGIC INCOME FUND CLASS R6	RADNOR, PA	11/4/2014	00716987-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD TOTAL RETURN BOND FUND CLASS R6	RADNOR, PA	11/4/2014	00716990-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD WORLD BOND FUND CLASS R6	RADNOR, PA	11/4/2014	00716985-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
INVESCO UNIT TR SERIES 1490 NEW WORLD LEADERS PORTFOLIO 2014 4	DOWNERS GROVE, IL	11/4/2014	00716981-05	Pending-Cleared
INVESCO UNIT TR SERIES 1491 ETF ALLOCATION PORTFOLIO 2014 4	DOWNERS GROVE, IL	11/4/2014	00716979-05	Pending-Cleared
INVESCO UNIT TR SERIES 1491 ETF DIVERSIFIED INCOME PORTFOLIO 2014 4	DOWNERS GROVE, IL	11/4/2014	00716980-05	Pending-Cleared
INVESCO UNIT TR SERIES 1492 DEFENSIVE EQUITY & INCOME PORTFOLIO 2014 4	DOWNERS GROVE, IL	11/4/2014	00716977-05	Pending-Cleared
INVESCO UNIT TR SERIES 1492 EMERGING MARKETS DIVIDEND PORTFOLIO 2014 4	DOWNERS GROVE, IL	11/4/2014	00716978-05	Pending-Cleared
INVESCO UNIT TR SERIES 1493 DOW JONES TOTAL MARKET PORTFOLIO ENHANCED INDEX STRATEGY 2015 1	DOWNERS GROVE, IL	11/4/2014	00716975-05	Pending-Cleared
INVESCO UNIT TR SERIES 1493 ENHANCED SECTOR STRATEGY SECTOR ROTATION PORTFOLIO 2015 1	DOWNERS GROVE, IL	11/4/2014	00716976-05	Pending-Cleared
INVESCO UNIT TR SERIES 1494 AMERICAN INNOVATION LEADERS PORTFOLIO 2014 4	DOWNERS GROVE, IL	11/4/2014	00716974-05	Pending-Cleared
INVESCO UNIT TR SERIES 1495 GLOBAL TECHNOLOGY LEADERS PORTFOLIO 2015 1	DOWNERS GROVE, IL	11/4/2014	00716973-05	Pending-Cleared
INVESCO UNIT TR SERIES 1496 POWERSHARES SMART BETA GROWTH PORTFOLIO 2015 1	DOWNERS GROVE, IL	11/4/2014	00716972-05	Pending-Cleared
INVESCO UNIT TR SERIES 1496 POWERSHARES SMART BETA GROWTH & INCOME PORTFOLIO 2015 1	DOWNERS GROVE, IL	11/4/2014	00716971-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
INVESCO UNIT TR SERIES 1496 POWERSHARES SMART BETA INCOME PORTFOLIO 2015 1	DOWNERS GROVE, IL	11/4/2014	00716970-05	Pending-Cleared
TR FOR PROFESSIONAL MANAGERS BLAIR WILLIAM DIRECTIONAL MULTIALTERNATIVE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	11/4/2014	00716982-03	Registered
TR FOR PROFESSIONAL MANAGERS BLAIR WILLIAM DIRECTIONAL MULTIALTERNATIVE FUND CLASS I	MILWAUKEE, WI	11/4/2014	00716983-03	Registered
TR FOR PROFESSIONAL MANAGERS BLAIR WILLIAM DIRECTIONAL MULTIALTERNATIVE FUND CLASS N	MILWAUKEE, WI	11/4/2014	00716984-03	Registered
ALLIANCEBERNSTEIN UNCONSTRAINED BOND FUND INC CLASS Z	NEW YORK, NY	11/3/2014	00716894-03	Pending-Cleared
BBH TR BBH CORE BOND FUND CLASS I SHARES	NEW YORK, NY	11/3/2014	00716890-03	Registered
BBH TR BBH CORE BOND FUND CLASS N SHARES	NEW YORK, NY	11/3/2014	00716891-03	Registered
EATON VANCE MUTUAL FUNDS TR EATON VANCE GLOBAL MACRO CAPITAL OPPORTUNITIES FUND CLASS A SHARES	BOSTON, MA	11/3/2014	00716895-03	Registered
EATON VANCE MUTUAL FUNDS TR EATON VANCE GLOBAL MACRO CAPITAL OPPORTUNITIES FUND CLASS I SHARES	BOSTON, MA	11/3/2014	00716898-03	Registered
EATON VANCE SPECIAL INVESTMENT TR EATON VANCE BOND FUND 2 CLASS C SHARES	BOSTON, MA	11/3/2014	00716897-03	Registered

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EATON VANCE SPECIAL INVESTMENT TR EATON VANCE BOND FUND 2 CLASS I SHARES	BOSTON, MA	11/3/2014	00716899-03	Registered
EATON VANCE SPECIAL INVESTMENT TR EATON VANCE BOND FUND 2 CLASS A SHARES	BOSTON, MA	11/3/2014	00716896-03	Registered
HSBC FUNDS HSBC OPPORTUNITY FUND CLASS A	COLUMBUS, OH	11/3/2014	00716892-03	Registered
HSBC FUNDS HSBC OPPORTUNITY FUND CLASS C	COLUMBUS, OH	11/3/2014	00716893-03	Registered
ADVISORS DISCIPLINED TR 1315 DIVIDEND SUSTAINABILITY PORTFOLIO SERIES 2014 2 HIMCO PORTFOLIO	MONUMENT, CO	10/31/2014	00716810-05	Registered
ADVISORS DISCIPLINED TR 1318 INFLATION INCOME STRATEGY PORTFOLIO SERIES 2014 4	MONUMENT, CO	10/31/2014	00716814-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1367 YIELD PROTECTION PORTFOLIO SERIES 2014	MONUMENT, CO	10/31/2014	00716813-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1368 VALUE ARCHITECTS BALANCED FLEX CORE PORTFOLIO SERIES 2014 1	MONUMENT, CO	10/31/2014	00716811-05	Pending-Cleared
ADVISORS INNER CIRCLE FUND CAMBIAR SMID FUND INSTITUTIONAL CLASS SHARES	BOSTON, MA	10/31/2014	00716603-03	Registered
ANGEL OAK FUNDS TR ANGEL OAK FLEXIBLE INCOME FUND INSTITUTIONAL CLASS SHARES	WEST ALLIS, WI	10/31/2014	00716820-03	Registered
ANGEL OAK FUNDS TR ANGEL OAK FLEXIBLE INCOME FUND CLASS A SHARES	WEST ALLIS, WI	10/31/2014	00716821-03	Registered

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Firm Name	Location	Date Received	File Number	Status
BROWN ADVISORY FUNDS BROWN ADVISORY EMERGING MARKETS SMALL CAP FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	10/31/2014	00716805-03	Registered
BROWN ADVISORY FUNDS BROWN ADVISORY EMERGING MARKETS SMALL CAP FUND INVESTOR SHARES	MILWAUKEE, WI	10/31/2014	00716806-03	Registered
BROWN ADVISORY FUNDS BROWN ADVISORY MULTI STRATEGY FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	10/31/2014	00716809-03	Registered
BROWN ADVISORY FUNDS BROWN ADVISORY STRATEGIC BOND FUND INVESTOR SHARES	MILWAUKEE, WI	10/31/2014	00716804-03	Registered
BROWN ADVISORY FUNDS BROWN ADVISORY TOTAL RETURN FUND INVESTOR SHARES	MILWAUKEE, WI	10/31/2014	00716808-03	Registered
BROWN ADVISORY FUNDS BROWN ADVISORY TOTAL RETURN FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	10/31/2014	00716807-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1250 BOFA MERRILL LYNCH HEALTH & WELLNESS PORTFOLIO SERIES 1	MONUMENT, CO	10/31/2014	00716812-05	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW DYNAMIC LARGE CAP VALUE FUND CLASS IS	BALTIMORE, MD	10/30/2014	00716589-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW DYNAMIC LARGE CAP VALUE FUND CLASS A	BALTIMORE, MD	10/30/2014	00716587-03	Registered

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LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW DYNAMIC LARGE CAP VALUE FUND CLASS I	BALTIMORE, MD	10/30/2014	00716588-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW DYNAMIC LARGE CAP VALUE FUND CLASS R	BALTIMORE, MD	10/30/2014	00716590-03	Registered
AMERICAN INDEPENDENCE FUNDS TR 2 AMERICAN INDEPENDENCE MAR TACTICAL GROWTH FUND CLASS A	NEW YORK, NY	10/29/2014	00716802-03	Registered
FT 5111 TECHNOLOGY DIVIDEND PORTFOLIO SERIES 10	WHEATON, IL	10/29/2014	00716704-05	Registered
HEARTLAND GROUP INC HEARTLAND MID CAP VALUE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	10/29/2014	00716575-03	Pending-Cleared
HEARTLAND GROUP INC HEARTLAND MID CAP VALUE FUND INVESTOR CLASS	MILWAUKEE, WI	10/29/2014	00716576-03	Pending-Cleared
PIMCO FUNDS PIMCO LONG DURATION TOTAL RETURN FUND CLASS D	NEWPORT BEACH, CA	10/29/2014	00716578-03	Registered
PIMCO FUNDS PIMCO LONG TERM CREDIT FUND CLASS D	NEWPORT BEACH, CA	10/29/2014	00716580-03	Registered
PIMCO FUNDS PIMCO LONG TERM US GOVERNMENT FUND CLASS D	NEWPORT BEACH, CA	10/29/2014	00716579-03	Registered
PIMCO FUNDS PIMCO REAL RETURN ASSET FUND CLASS D	NEWPORT BEACH, CA	10/29/2014	00716577-03	Registered
SMART TR CLOSED END FUND ADVISORS SELECT BDC TR SERIES 1	PARSIPPANY, NJ	10/29/2014	00716705-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
SMART TR ZACKS GARP COMPOSITE 35 TR SERIES 3	PARSIPPANY, NJ	10/29/2014	00716706-05	Registered
JPMORGAN TR 1 JPMORGAN INCOME FUND CLASS A SHARES	BOSTON, MA	10/28/2014	00716377-03	Registered
JPMORGAN TR 1 JPMORGAN INCOME FUND CLASS C SHARES	BOSTON, MA	10/28/2014	00716378-03	Registered
JPMORGAN TR 1 JPMORGAN INCOME FUND CLASS R6 SHARES	BOSTON, MA	10/28/2014	00716379-03	Registered
JPMORGAN TR 1 JPMORGAN INCOME FUND SELECT CLASS SHARES	BOSTON, MA	10/28/2014	00716380-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTRETIREMENT 2015 FUND CLASS R6 SHARES	BOSTON, MA	10/28/2014	00716367-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTRETIREMENT 2020 FUND CLASS R6 SHARES	BOSTON, MA	10/28/2014	00716368-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTRETIREMENT 2025 FUND CLASS R6 SHARES	BOSTON, MA	10/28/2014	00716369-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTRETIREMENT 2030 FUND CLASS R6 SHARES	BOSTON, MA	10/28/2014	00716370-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTRETIREMENT 2035 FUND CLASS R6 SHARES	BOSTON, MA	10/28/2014	00716371-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTRETIREMENT 2040 FUND CLASS R6 SHARES	BOSTON, MA	10/28/2014	00716372-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTRETIREMENT 2045 FUND CLASS R6 SHARES	BOSTON, MA	10/28/2014	00716373-03	Registered

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Firm Name	Location	Date Received	File Number	Status
JPMORGAN TR 1 JPMORGAN SMARTRETIREMENT 2050 FUND CLASS R6 SHARES	BOSTON, MA	10/28/2014	00716374-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTRETIREMENT 2055 FUND CLASS R6 SHARES	BOSTON, MA	10/28/2014	00716375-03	Registered
JPMORGAN TR 1 JPMORGAN SMARTRETIREMENT INCOME FUND CLASS R6 SHARES	BOSTON, MA	10/28/2014	00716376-03	Registered
SEI INSTITUTIONAL INVESTMENTS TR EMERGING MARKETS EQUITY FUND CLASS A SHARES	OAKS, PA	10/28/2014	00716362-03	Registered
2 ROADS SHARED TR LARKIN POINT EQUITY PRESERVATION FUND CLASS I	HAUPPAUGE, NY	10/27/2014	00716509-03	Registered
2 ROADS SHARED TR LARKIN POINT EQUITY PRESERVATION FUND CLASS A	HAUPPAUGE, NY	10/27/2014	00716508-03	Registered
2 ROADS SHARED TR REDWOOD MANAGED VOLATILITY FUND CLASS I SHARES	HAUPPAUGE, NY	10/27/2014	00716517-03	Registered
DEUTSCHE INCOME TR DEUTSCHE UNCONSTRAINED INCOME FUND INSTITUTIONAL CLASS	CHICAGO, IL	10/27/2014	00716037-03	Registered
FT 5086 GLOBAL DIVIDEND PORTFOLIO SERIES 40	WHEATON, IL	10/27/2014	00716500-05	Registered
FT 5093 SENIOR LOAN CLOSED END & ETF PORTFOLIO SERIES 6	WHEATON, IL	10/27/2014	00716501-05	Registered
FT 5094 BIOTECHNOLOGY PORTFOLIO SERIES 26	WHEATON, IL	10/27/2014	00716502-05	Registered
FT 5132 ALTERNATIVE INCOME PORTFOLIO SERIES 10	WHEATON, IL	10/27/2014	00716504-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 5133 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 64	WHEATON, IL	10/27/2014	00716503-05	Registered
FT 5135 INTEREST RATE HEDGE PORTFOLIO SERIES 89	WHEATON, IL	10/27/2014	00716499-05	Registered
MUTUAL FUND SERIES TR CATALYST EVENT ARBITRAGE FUND CLASS A	HAUPPAUGE, NY	10/27/2014	00716518-03	Registered
MUTUAL FUND SERIES TR CATALYST LYONS TACTICAL ALLOCATION FUND CLASS I	HAUPPAUGE, NY	10/27/2014	00716513-03	Registered
MUTUAL FUND SERIES TR DAY HAGAN TACTICAL DIVIDEND FUND CLASS I	HAUPPAUGE, NY	10/27/2014	00716514-03	Registered
NORTHERN LIGHTS FUND TR 3 NEWFOUND RISK MANAGED GLOBAL SECTORS FUND CLASS I SHARES	HAUPPAUGE, NY	10/27/2014	00716520-03	Registered
NORTHERN LIGHTS FUND TR 3 NEWFOUND RISK MANAGED GLOBAL SECTORS FUND CLASS A SHARES	HAUPPAUGE, NY	10/27/2014	00716521-03	Registered
NORTHERN LIGHTS FUND TR 3 NEWFOUND RISK MANAGED GLOBAL SECTORS FUND CLASS C SHARES	HAUPPAUGE, NY	10/27/2014	00716519-03	Registered
NORTHERN LIGHTS FUND TR NAVIGATOR TACTICAL FIXED INCOME FUND CLASS A SHARES	HAUPPAUGE, NY	10/27/2014	00716512-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE 100PERCENT TREASURY MONEY MARKET FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	10/27/2014	00716231-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE ABSOLUTE RETURN FUND CLASS R6	SAN FRANCISCO, CA	10/27/2014	00716239-03	Registered

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WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE CA LTD TERM TAX FREE FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	10/27/2014	00716236-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE CA LTD TERM TAX FREE FUND ADMINISTRATOR CLASS	SAN FRANCISCO, CA	10/27/2014	00716244-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE CA LTD TERM TAX FREE FUND CLASS A	SAN FRANCISCO, CA	10/27/2014	00716242-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE CA LTD TERM TAX FREE FUND CLASS C	SAN FRANCISCO, CA	10/27/2014	00716240-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE CA TAX FREE FUND ADMINISTRATOR CLASS	SAN FRANCISCO, CA	10/27/2014	00716241-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE CA TAX FREE FUND CLASS C	SAN FRANCISCO, CA	10/27/2014	00716243-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE CA TAX FREE FUND CLASS A	SAN FRANCISCO, CA	10/27/2014	00716245-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE CA TAX FREE FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	10/27/2014	00716234-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE ENTERPRISE FUND CLASS R6	SAN FRANCISCO, CA	10/27/2014	00716233-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE HIGH YIELD BOND FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	10/27/2014	00716237-03	Registered

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WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE SMALL CAP OPPORTUNITIES FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	10/27/2014	00716238-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE SMALL CO GROWTH FUND CLASS R6	SAN FRANCISCO, CA	10/27/2014	00716232-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE SPECIAL SMALL CAP VALUE FUND CLASS R6	SAN FRANCISCO, CA	10/27/2014	00716235-03	Registered
Number of Investment Company Filings: 129				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AQUARIUS HOLDINGS LLC	LAFAYETTE, CO	11/4/2014	00716951-07	Filed
RESOURCE ROYALTY INCOME & GROWTH FUND 4 LP	DALLAS, TX	11/4/2014	00716953-07	Filed
TPCI LP	MILWAUKEE, WI	11/4/2014	00716952-07	Filed
101 SHERIDAN APARTMENTS LLC	SCOTTSDALE, AZ	11/3/2014	00716822-07	Filed
FRED BERGAMONT APARTMENTS LLC	MILWAUKEE, WI	11/3/2014	00716949-07	Filed
HOTEL SAN ANTONIO LLC	GRAPEVINE, TX	11/3/2014	00716948-07	Filed
LIFE360 INC	SAN FRANCISCO, CA	11/3/2014	00716947-07	Filed
PATCH OF LAND INC	WALNUT, CA	10/31/2014	00716815-07	Filed
PLUMBING TECHNOLOGIES LLC	SPARKS, NV	10/31/2014	00716816-07	Filed
TOPWATER PARTNERS LLC	NEW YORK, NY	10/31/2014	00716818-07	Filed

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Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
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TREEO FUNDING 1 LLC	FAIRFIELD, CT	10/31/2014	00716945-07	Filed
VIR SEC INC	BELLEAIR BLF, FL	10/31/2014	00716946-07	Filed
ARLINGTON HOLDINGS LP	MADISON, WI	10/30/2014	00716943-07	Filed
BASIN INVESTORS LLC	NEW YORK, NY	10/30/2014	00716904-07	Filed
PLAINFIELD SQUARE DEVELOPMENT PARTNERS LLC	MILWAUKEE, WI	10/30/2014	00716944-07	Filed
TAILWIND CAPITAL PARTNERS 2 AI LP	NEW YORK, NY	10/30/2014	00716902-07	Filed
TAILWIND CAPITAL PARTNERS 2 LP	NEW YORK, NY	10/30/2014	00716903-07	Filed
GRUSS GLOBAL INVESTORS ENHANCED LP	NEW YORK, NY	10/29/2014	00716703-07	Filed
WILKINSON VALUE FUND 12 LLC	YAKIMA, WA	10/29/2014	00716707-07	Filed
CHAI INC	LOS ANGELES, CA	10/28/2014	00716700-07	Filed
FORT WA PRIVATE EQUITY INVESTORS 8 LP	CINCINNATI, OH	10/28/2014	00716701-07	Filed
ICAP PACIFIC NORTHWEST OPPORTUNITY & INCOME FUND LLC	BELLEVUE, WA	10/28/2014	00716702-07	Filed
AMC FUND 1 LLC	NORTHRIDGE, CA	10/27/2014	00716523-07	Filed
BLUE STAR SERVICE SOLUTIONS	BETHESDA, MD	10/27/2014	00716526-07	Filed
CLEAN ENERGY CAPITAL FUND 1 LLC	BOULDER, CO	10/27/2014	00716525-07	Filed
DOMAIN HOLDINGS GROUP INC	DELRAY BEACH, FL	10/27/2014	00716522-07	Filed
Number of Regulation D Notice Filings: 26				

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/27/2014 through 11/7/2014**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
VMED Wellness Franchising, LLC / VMED Wellness	Scottsdale, AZ	11/7/2014	608494	Registered
5 Day Kitchens LLC / 5 Day Kitchens	Tempe, AZ	11/6/2014	608486	Registered
ReBath, LLC / Re-Bath	Tempe, AZ	11/6/2014	608484	Registered
Endurance House International, LLC / Endurance House	Middleton, WI	11/5/2014	608469	Registered
ITEX CORP / ITEX	BELLEVUE, WA	11/5/2014	608490	Registered
WINZER FRANCHISE CO INC / WINZER	Plano, TX	11/5/2014	608492	Registered
INSPECT IT 1ST LLC	INDEPENDENCE, OH	11/4/2014	608460	Registered
COMPUTER TROUBLESHOOTERS USA INC / Computer Troubleshooters	Independence, OH	11/4/2014	608459	Registered
MMI-CPR, LLC / CPR - Cell Phone Repair	Independence, OH	11/4/2014	608458	Registered
Allen Carr's Easyway (US) Ltd.	London,	11/4/2014	608461	Registered
HDOS Franchising, LLC / HOT DOG ON A STICK	Norcross, GA	11/4/2014	608464	Registered
Bo's Franchising LLC / Bo's Steak & Grill	Plano, TX	11/3/2014	608452	Registered
C12 Group, LLC / Emilie Cary	Greensboro, NC	11/3/2014	608450	Registered
DIRECTBUY INC / DirectBuy	MERRILLVILLE, IN	11/3/2014	608455	Registered
U-Save Auto Rental of America, Inc. / U-Save Car & Truck Rental	Ridgeland, MS	11/3/2014	608457	Registered
The Senior's Choice, Inc.	Incline Village, NV	10/31/2014	608444	Registered
The Dentist's Choice, Inc.	Incline Village, NV	10/31/2014	608443	Registered
Blow Dry Bar United States LLC / Cherry Blow Dry Bar Salon	New York, NY	10/31/2014	608448	Registered
Pie 5 Pizza Co., Inc. / Pie Five Restaurant	The Colony, TX	10/31/2014	608447	Registered
Body and Brain Center, LLC / Body + Brain	Gilbert, AZ	10/30/2014	608440	Registered
BB FRANCHISING LLC / Brain Balance Achievement Centers	Walnut Creek, CA	10/30/2014	608438	Registered
Fit 36, Inc. / Fit 36 (Unit Program)	Highlands Ranch, CA	10/30/2014	608435	Registered
RPC Acquisition Corp. / Pro-Cuts (Sports)	Minneapolis, MN	10/29/2014	608434	Registered
RPC Acquisition Corp. / Pro-Cuts (Classic)	Minneapolis, MN	10/29/2014	608433	Registered
Supercuts, Inc. / SUPERCUTS	Minneapolis, MN	10/29/2014	608432	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/27/2014 through 11/7/2014**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
ARTHUR MURRAY INTERNATIONAL INC	CORAL GABLES, FL	10/29/2014	608449	Registered
STONE MOUNTAIN CARPET MILLS INC / The Floor Trader	St. Louis, MO	10/28/2014	608431	Registered
Glamour Shots Licensing, Inc. / Glamour Shots	Oklahoma City, OK	10/28/2014	608429	Registered
AGILE PURSUITS FRANCHISING INC / Tide Dry Cleaners	CINCINNATI, OH	10/28/2014	608436	Registered
Great American Deals Franchising, LP	Beverly Hills, CA	10/28/2014	608437	Registered
Number of Franchise Filings: 30				

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