

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/3/2014 through 11/14/2014**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FS ENERGY & POWER FUND	PHILADELPHIA, PA	11/10/2014	00717243-01	Pending
PIONEER ILS INTERVAL FUND	BOSTON, MA	11/5/2014	00717009-01	Registered
Number of Registration Filings: 2				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MONROE COUNTRY CLUB INC	MONROE, WI	11/10/2014	00717242-14	Exempt
BANCORP OF NEW GLARUS INC	NEW GLARUS, WI	11/5/2014	00717022-08	Not Disallowed
Number of Exemption Filings: 2				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PRINCIPAL FUNDS INC GLOBAL REAL ESTATE SECURITIES FUND CLASS R 6	DES MOINES, IA	11/12/2014	00717265-03	Pending-Cleared
PRINCIPAL FUNDS INC INCOME FUND CLASS R 6	DES MOINES, IA	11/12/2014	00717260-03	Pending-Cleared
PRINCIPAL FUNDS INC LARGECAP GROWTH FUND I CLASS R 6	DES MOINES, IA	11/12/2014	00717263-03	Pending-Cleared
PRINCIPAL FUNDS INC MIDCAP VALUE FUND 3 CLASS R 6	DES MOINES, IA	11/12/2014	00717261-03	Pending-Cleared
PRINCIPAL FUNDS INC SMALLCAP GROWTH FUND I CLASS R 6	DES MOINES, IA	11/12/2014	00717264-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
PRINCIPAL FUNDS INC SMALLCAP VALUE FUND 2 CLASS R 6	DES MOINES, IA	11/12/2014	00717262-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 GLOBAL EQUITY FUND CLASS I	BOSTON, MA	11/11/2014	00717255-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 GLOBAL EQUITY FUND CLASS A	BOSTON, MA	11/11/2014	00717253-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 INCOME ALLOCATION FUND CLASS C	BOSTON, MA	11/11/2014	00717252-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 INCOME ALLOCATION FUND CLASS R6	BOSTON, MA	11/11/2014	00717251-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 INCOME ALLOCATION FUND CLASS I	BOSTON, MA	11/11/2014	00717250-03	Registered
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 INCOME ALLOCATION FUND CLASS A	BOSTON, MA	11/11/2014	00717254-03	Registered
ADVISORS DISCIPLINED TR 1319 STRATEGIC FOUNDATION OF GROWTH PORTFOLIO SERIES 2014 2	MONUMENT, CO	11/10/2014	00717215-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1320 EUROPEAN SELECT PORTFOLIO SERIES 2014 4Q ISI INC PORTFOLIO	MONUMENT, CO	11/10/2014	00717214-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1321 VALUE ARCHITECTS NEW MEDIA SCORE PORTFOLIO SERIES 2014 4Q	MONUMENT, CO	11/10/2014	00717213-05	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
ADVISORS DISCIPLINED TR 1326 STRATEGIC HIGH 80 DIVIDEND PORTFOLIO SERIES 2014 4Q	MONUMENT, CO	11/10/2014	00717212-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1328 COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO 2 YR SERIES 2014 2	MONUMENT, CO	11/10/2014	00717211-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1329 TACTICAL INCOME CLOSED END PORTFOLIO SERIES 2014 4	MONUMENT, CO	11/10/2014	00717210-05	Pending-Cleared
COMPASS EMP FUNDS TR COMPASS EMP REC ENHANCED VOLATILITY WEIGHTED FUND CLASS I	HAUPPAUGE, NY	11/10/2014	00717290-03	Registered
EQUINOX FUNDS TR EQUINOX BLUECREST SYSTEMATIC MACRO FUND CLASS I SHARES	HAUPPAUGE, NY	11/10/2014	00717279-03	Registered
FT 5101 SMID HIGH DIVIDEND PORTFOLIO SERIES 15	WHEATON, IL	11/10/2014	00717205-05	Registered
FT 5116 ETF GROWTH & INCOME NOV 14	WHEATON, IL	11/10/2014	00717204-05	Pending-Cleared
FT 5117 PRIME INCOME & ETF PORTFOLIO NOVEMBER 2014 SERIES	WHEATON, IL	11/10/2014	00717207-05	Pending-Cleared
FT 5138 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 46	WHEATON, IL	11/10/2014	00717208-05	Registered
FT 5141 INVESTMENT GRADE SELECT CLOSED END PORTFOLIO SERIES 51	WHEATON, IL	11/10/2014	00717206-05	Registered
FT 5142 DIVIDEND & INCOME SELECT CLOSED END PORTFOLIO SERIES 46	WHEATON, IL	11/10/2014	00717202-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FT 5143 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 95	WHEATON, IL	11/10/2014	00717203-05	Pending-Cleared
FT 5186 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 40	WHEATON, IL	11/10/2014	00717209-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1239 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 55	LISLE, IL	11/10/2014	00717220-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1239 INFRASTRUCTURE & MLP PORTFOLIO OF CEFS SERIES 20	LISLE, IL	11/10/2014	00717217-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1239 NATIONAL MUNICIPAL PORTFOLIO OF CEFS SERIES 27	LISLE, IL	11/10/2014	00717218-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1239 SENIOR LOAN & INCOME PORTFOLIO OF CEFS SERIES 26	LISLE, IL	11/10/2014	00717219-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1240 FLAHERTY & CRUMRINE PREFERRED PORTFOLIO SERIES 34	LISLE, IL	11/10/2014	00717216-05	Registered
MUTUAL FUND SERIES TR CATALYST GROESBECK GROWTH INCOME FUND CLASS A	HAUPPAUGE, NY	11/10/2014	00717289-03	Registered
MUTUAL FUND SERIES TR CATALYST INSIDER BUYING FUND CLASS I	HAUPPAUGE, NY	11/10/2014	00717285-03	Registered
MUTUAL FUND SERIES TR CATALYST INSIDER LONG SHORT FUND CLASS C	HAUPPAUGE, NY	11/10/2014	00717287-03	Registered

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Firm Name	Location	Date Received	File Number	Status
MUTUAL FUND SERIES TR CATALYST MAP GLOBAL CAPITAL APPRECIATION FUND CLASS C	HAUPPAUGE, NY	11/10/2014	00717286-03	Registered
NORTHERN LIGHTS FUND TR BTS HEDGED INCOME FUND CLASS C SHARES	HAUPPAUGE, NY	11/10/2014	00717284-03	Registered
NORTHERN LIGHTS FUND TR NAVIGATOR TACTICAL FIXED INCOME FUND CLASS C SHARES	HAUPPAUGE, NY	11/10/2014	00717288-03	Registered
VIRTUS EQUITY TR VIRTUS MID CAP VALUE FUND CLASS R6	GREENFIELD, MA	11/7/2014	00717037-03	Pending-Cleared
VIRTUS EQUITY TR VIRTUS SMALL CAP CORE FUND CLASS R6	GREENFIELD, MA	11/7/2014	00717041-03	Pending-Cleared
VIRTUS INSIGHT TR VIRTUS EMERGING MARKETS OPPORTUNITIES FUND CLASS R6	GREENFIELD, MA	11/7/2014	00717039-03	Pending-Cleared
VIRTUS OPPORTUNITIES TR VIRTUS DYNAMIC ALPHASECTORSM FUND CLASS R6	GREENFIELD, MA	11/7/2014	00717043-03	Pending-Cleared
VIRTUS OPPORTUNITIES TR VIRTUS FOREIGN OPPORTUNITIES FUND CLASS R6	GREENFIELD, MA	11/7/2014	00717040-03	Pending-Cleared
VIRTUS OPPORTUNITIES TR VIRTUS INTERNATIONAL SMALL CAP FUND CLASS R6	GREENFIELD, MA	11/7/2014	00717044-03	Pending-Cleared
VIRTUS OPPORTUNITIES TR VIRTUS MULTI SECTOR INTERMEDIATE BOND FUND CLASS R6	GREENFIELD, MA	11/7/2014	00717036-03	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
VIRTUS OPPORTUNITIES TR VIRTUS PREMIUM ALPHASECTORSM FUND CLASS R6	GREENFIELD, MA	11/7/2014	00717042-03	Pending-Cleared
VIRTUS OPPORTUNITIES TR VIRTUS REAL ESTATE SECURITIES FUND CLASS R6	GREENFIELD, MA	11/7/2014	00717038-03	Pending-Cleared
1290 FUNDS 1290 GAMCO SMALL MID CAP VALUE FUND CLASS A	NEW YORK, NY	11/6/2014	00717157-03	Registered
1290 FUNDS 1290 GAMCO SMALL MID CAP VALUE FUND CLASS C	NEW YORK, NY	11/6/2014	00717156-03	Registered
1290 FUNDS 1290 HIGH YIELD BOND FUND CLASS A	NEW YORK, NY	11/6/2014	00717153-03	Registered
1290 FUNDS 1290 HIGH YIELD BOND FUND CLASS C	NEW YORK, NY	11/6/2014	00717152-03	Registered
1290 FUNDS 1290 SMARTBETA EQUITY FUND CLASS A	NEW YORK, NY	11/6/2014	00717155-03	Registered
1290 FUNDS 1290 SMARTBETA EQUITY FUND CLASS C	NEW YORK, NY	11/6/2014	00717154-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW DYNAMIC LARGE CAP VALUE FUND CLASS C	BALTIMORE, MD	11/6/2014	00717033-03	Registered
UBS FUNDS UBS MUNICIPAL BOND FUND CLASS A	CHICAGO, IL	11/6/2014	00717027-03	Registered
UBS FUNDS UBS MUNICIPAL BOND FUND CLASS C	CHICAGO, IL	11/6/2014	00717028-03	Registered
UBS FUNDS UBS MUNICIPAL BOND FUND CLASS P	CHICAGO, IL	11/6/2014	00717029-03	Registered
VIRTUS OPPORTUNITIES TR VIRTUS INTERNATIONAL WEALTH MASTERS FUND CLASS I	GREENFIELD, MA	11/6/2014	00717032-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
VIRTUS OPPORTUNITIES TR VIRTUS INTERNATIONAL WEALTH MASTERS FUND CLASS C	GREENFIELD, MA	11/6/2014	00717031-03	Pending-Cleared
VIRTUS OPPORTUNITIES TR VIRTUS INTERNATIONAL WEALTH MASTERS FUND CLASS A	GREENFIELD, MA	11/6/2014	00717030-03	Pending-Cleared
EATON VANCE SPECIAL INVESTMENT TR EATON VANCE BOND FUND CLASS R SHARES	BOSTON, MA	11/5/2014	00717010-03	Pending-Cleared
EATON VANCE SPECIAL INVESTMENT TR EATON VANCE BOND FUND CLASS R6 SHARES	BOSTON, MA	11/5/2014	00717011-03	Pending-Cleared
INCAPITAL UNIT TR SERIES 59 ZACKS SELECT EQUITIES BLEND PORTFOLIO 4Q 2014	CHICAGO, IL	11/5/2014	00717018-05	Registered
INCAPITAL UNIT TR SERIES 59 ZACKS SELECT EQUITY INCOME PORTFOLIO 4Q 2014	CHICAGO, IL	11/5/2014	00717019-05	Registered
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	Registered
FT 5098 INCOME ALLOCATION CLOSED END NOV 14	WHEATON, IL	11/4/2014	00716960-05	Registered
FT 5099 DOW TARGET 10 NOV 14 TERM 12 9 15	WHEATON, IL	11/4/2014	00716965-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 5102 HIGH DIVIDEND EQUITY ALLOCATION PORTFOLIO SERIES 13	WHEATON, IL	11/4/2014	00716959-05	Registered
FT 5103 DIVERSIFIED INCOME & GROWTH PORTFOLIO WINTER 2014 SERIES	WHEATON, IL	11/4/2014	00716969-05	Registered
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	Registered
FT 5113 CAPITAL STRENGTH PORTFOLIO SERIES 27	WHEATON, IL	11/4/2014	00716956-05	Registered
FT 5114 CORE 3 QUALIFIED CLOSED END ALLOCATION PORTFOLIO SERIES 8	WHEATON, IL	11/4/2014	00716963-05	Registered
FT 5115 REIT GROWTH & INCOME PLUS PORTFOLIO SERIES 20	WHEATON, IL	11/4/2014	00716964-05	Registered
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	Registered

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Firm Name	Location	Date Received	File Number	Status
HARTFORD MUTUAL FUNDS 2 INC HARTFORD GROWTH OPPORTUNITIES FUND CLASS R6	RADNOR, PA	11/4/2014	00716995-03	Pending-Cleared
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

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Firm Name	Location	Date Received	File Number	Status
HARTFORD MUTUAL FUNDS INC HARTFORD WORLD BOND FUND CLASS R6	RADNOR, PA	11/4/2014	00716985-03	Pending-Cleared
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

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INVESCO UNIT TR SERIES 1496 POWERSHARES SMART BETA GROWTH & INCOME PORTFOLIO 2015 1	DOWNERS GROVE, IL	11/4/2014	00716971-05	Pending-Cleared
INVESCO UNIT TR SERIES 1496 POWERSHARES SMART BETA INCOME PORTFOLIO 2015 1	DOWNERS GROVE, IL	11/4/2014	00716970-05	Pending-Cleared
PFS FUNDS GREENLEAF INCOME GROWTH FUND	EL CAJON, CA	11/4/2014	00717012-03	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
TR FOR PROFESSIONAL MANAGERS BLAIR WILLIAM DIRECTIONAL MULTIALTERNATIVE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	11/4/2014	00716982-03	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

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EATON VANCE SPECIAL INVESTMENT TR EATON VANCE BOND FUND 2 CLASS C SHARES	BOSTON, MA	11/3/2014	00716897-03	Registered
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
Number of Investment Company Filings: 120				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
APX DRILLING PARTNERS 2014 B LP	BUFFALO, NY	11/10/2014	00717201-07	Filed
CCM OPTIMAL FUND LLC	NASHVILLE, TN	11/10/2014	00717197-07	Filed
COACHMAN ENERGY 6 LP	GREENWOOD VILLAGE, CO	11/10/2014	00717291-07	Filed
HIGHCLERE INTERNATIONAL INVESTORS SMID FUND	WESTPORT, CT	11/10/2014	00717198-07	Filed
INMAR INVESTMENT HOLDINGS LLC	BOSTON, MA	11/10/2014	00717294-07	Filed
JET CAPITAL CONCENTRATED OFFSHORE FUND LTD	GRAND CAYMAN, AA	11/10/2014	00717292-07	Filed

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PACIFIC ASSET MANAGEMENT BANK LOAN FUND LP	NEWPORT BEACH, CA	11/10/2014	00717293-07	Filed
SACHEM HEAD OFFSHORE LTD	GRAND CAYMAN, AA	11/10/2014	00717200-07	Filed
CIC BANCSHARES INC	DENVER, CO	11/7/2014	00717160-07	Filed
CLEAN CHEMISTRY INC	BOULDER, CO	11/7/2014	00717163-07	Filed
HAWKEYE VILLAGE FINANCE 1 LLC	FAIRFIELD, CT	11/7/2014	00717159-07	Filed
KPH FLETCHER SIDECAR LLC	CHICAGO, IL	11/7/2014	00717162-07	Filed
WYNNCHURCH CAPITAL PARTNERS 4 LP	ROSEMONT, IL	11/7/2014	00717161-07	Filed
ABLATIVE SOLUTIONS INC	FAIR HAVEN, NJ	11/6/2014	00717149-07	Filed
GREAT LAKES CAPITAL FUND FOR HOUSING LP 29	LANSING, MI	11/6/2014	00717147-07	Filed
WINGSPAN PORTFOLIO HOLDINGS INC	DALLAS, TX	11/6/2014	00717148-07	Filed
WOODLAND RESOURCES LLC	FT WORTH, TX	11/6/2014	00717150-07	Filed
ATEL GROWTH CAPITAL FUND 9 LLC	SAN FRANCISCO, CA	11/5/2014	00717017-07	Filed
CEDAR CREEK OIL & GAS CO	BLOOMINGTON, MN	11/5/2014	00717021-07	Filed
HARRISON STREET REAL ESTATE PARTNERS 5 LP	CHICAGO, IL	11/5/2014	00717016-07	Filed
RACHIO INC	DENVER, CO	11/5/2014	00717015-07	Filed
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

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TPCI LP	MILWAUKEE, WI	11/4/2014	00716952-07	Filed
WOW WE MEDIA LLC	THE WOODLANDS, TX	11/4/2014	00717014-07	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
Number of Regulation D Notice Filings: 29				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Bee & Tea FC, LLC / Bee & Tea	Chicago, IL	11/12/2014	608508	Registered
DIET CENTER WORLDWIDE INC	AKRON, OH	11/12/2014	608509	Registered
HM Franchise, Inc. / Hotel Makeover	Spring, TX	11/12/2014	608510	Registered
THE COFFEE BEANERY LTD / COFFEE BEANERY	FLUSHING, MI	11/11/2014	608503	Registered
LashDip Franchise International, LLC / LashDip	Las Vegas, NV	11/10/2014	608498	Registered
Phone Surgeons, LLC / Phone Surgeons	Newburgh, IN	11/10/2014	608497	Registered
Fava World Franchising, LLC.	Appleton, WI	11/9/2014	608495	Registered
VMED Wellness Franchising, LLC / VMED Wellness	Scottsdale, AZ	11/7/2014	608494	Registered
SpinFire, LLC / SpinFire - Area Representative Program	Centreville, VA	11/7/2014	608501	Registered
SpinFire, LLC / SpinFire - Franchise Program	Centreville, VA	11/7/2014	608500	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

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/3/2014 through 11/14/2014**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
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
Number of Franchise Filings: 24				

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