

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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>
RESOURCE REAL ESTATE DIVERSIFIED INCOME FUND CLASS W SHARES	PHILADELPHIA, PA	12/10/2014	00721163-01	Registered
AMERICAN BAPTIST EXTENSION CORP	KING OF PRUSSIA, PA	12/3/2014	00720984-02	Registered
LOGISTICS PROPERTY TR INC	DENVER, CO	12/3/2014	00720993-01	Pending
SIERRA INCOME CORP	NEW YORK, NY	12/3/2014	00720981-01	Registered
<b>Number of Registration Filings: 4</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>
NATIONAL RURAL SECURITIES COOPERATIVE FINANCE CORP	DULLES, VA	12/5/2014	00720817-08	Pending
<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>
ALLIANCEBERNSTEIN BOND FUND INC ALLIANCEBERNSTEIN BOND INFLATION STRATEGY CLASS Z	NEW YORK, NY	12/10/2014	00721162-03	Pending-Cleared
SALIENT MF TR SALIENT BROADMARK TACTICAL PLUS FUND CLASS A	HOUSTON, TX	12/10/2014	00721164-03	Registered
SALIENT MF TR SALIENT BROADMARK TACTICAL PLUS FUND CLASS C	HOUSTON, TX	12/10/2014	00721165-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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>
SALIENT MF TR SALIENT BROADMARK TACTICAL PLUS FUND CLASS I	HOUSTON, TX	12/10/2014	00721166-03	Registered
FINANCIAL INVESTORS TR ALPS WMC DISCIPLINED VALUE FUND CLASS I	DENVER, CO	12/9/2014	00721012-03	Registered
ADVISORS DISCIPLINED TR 1331 BUSINESS DEVELOPMENT CO OPPORTUNITIES PORTFOLIO SERIES 2014 4	MONUMENT, CO	12/8/2014	00721076-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1332 EMERGING MARKETS DIVIDEND PORTFOLIO SERIES 2014 2	MONUMENT, CO	12/8/2014	00721075-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1364 ADVISORS CORPORATE TR HIGH YIELD BOND PORTFOLIO SERIES 15 HIMCO PORTFOLIO	MONUMENT, CO	12/8/2014	00721074-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1243 GLOBAL AGRICULTURE PORTFOLIO SERIES 16	LISLE, IL	12/8/2014	00721078-05	Registered
HENDERSON GLOBAL FUNDS HENDERSON US GROWTH OPPORTUNITIES FUND CLASS A SHARES	CHICAGO, IL	12/8/2014	00721027-03	Pending-Cleared
HENDERSON GLOBAL FUNDS HENDERSON US GROWTH OPPORTUNITIES FUND CLASS C SHARES	CHICAGO, IL	12/8/2014	00721034-03	Pending-Cleared
HENDERSON GLOBAL FUNDS HENDERSON US GROWTH OPPORTUNITIES FUND CLASS I SHARES	CHICAGO, IL	12/8/2014	00721035-03	Pending-Cleared
SMART TR ENHANCED VALUE 2 TR SERIES 2	PARSIPPANY, NJ	12/8/2014	00721077-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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>
TRANSAMERICA FUNDS TRANSAMERICA UNCONSTRAINED BOND FUND CLASS A SHARES	ST PETERSBURG, FL	12/8/2014	00721028-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA UNCONSTRAINED BOND FUND CLASS C SHARES	ST PETERSBURG, FL	12/8/2014	00721029-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA UNCONSTRAINED BOND FUND CLASS I SHARES	ST PETERSBURG, FL	12/8/2014	00721030-03	Pending-Cleared
WST INVESTMENT TR WST ASSET MANAGER US EQUITY FUND INSTITUTIONAL SHARES	CINCINNATI, OH	12/8/2014	00721026-03	Registered
DE GROUP GOVERNMENT FUND DE EMERGING MARKET DEBT FUND INSTITUTIONAL CLASS	PHILADELPHIA, PA	12/5/2014	00720699-03	Registered
DE GROUP GOVERNMENT FUND DE EMERGING MARKET DEBT FUND CLASS A	PHILADELPHIA, PA	12/5/2014	00720698-03	Registered
DE GROUP GOVERNMENT FUND DE EMERGING MARKET DEBT FUND CLASS C	PHILADELPHIA, PA	12/5/2014	00720700-03	Registered
DE GROUP GOVERNMENT FUND DE EMERGING MARKET DEBT FUND CLASS R	PHILADELPHIA, PA	12/5/2014	00720701-03	Registered
FT 5153 HEALTH CARE SELECT PORTFOLIO SERIES 35	WHEATON, IL	12/5/2014	00720840-05	Registered
FT 5154 FINANCIALS SELECT PORTFOLIO SERIES 49	WHEATON, IL	12/5/2014	00720825-05	Registered
FT 5157 TARGET HIGH QUALITY DIVIDEND PORTFOLIO SERIES 8	WHEATON, IL	12/5/2014	00720839-05	Registered
FT 5158 INCOME ALLOCATION CLOSED END DEC 14	WHEATON, IL	12/5/2014	00720837-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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 5159 DOW TARGET 10 DEC 14 TERM 1 18 16	WHEATON, IL	12/5/2014	00720834-05	Registered
FT 5160 TARGET DIVERSIFIED GLOBAL ALLOCATION PORTFOLIO SERIES 14	WHEATON, IL	12/5/2014	00720843-05	Registered
FT 5162 CONVERTIBLE & INCOME SELECT CLOSED END & ETF PORTFOLIO SERIES 4	WHEATON, IL	12/5/2014	00720833-05	Registered
FT 5163 INTERNATIONAL CAPITAL STRENGTH PORTFOLIO SERIES 23	WHEATON, IL	12/5/2014	00720826-05	Registered
FT 5163 SMID CAPITAL STRENGTH PORTFOLIO SERIES 23	WHEATON, IL	12/5/2014	00720827-05	Registered
FT 5164 DEFENSIVE EQUITY PORTFOLIO SERIES 30	WHEATON, IL	12/5/2014	00720838-05	Registered
FT 5166 EUROPEAN DEEP VALUE DIVIDEND PORTFOLIO SERIES 4	WHEATON, IL	12/5/2014	00720828-05	Registered
FT 5167 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 55	WHEATON, IL	12/5/2014	00720831-05	Registered
FT 5168 MUNICIPAL ADVANTAGE CLOSED END & ETF PORTFOLIO SERIES 26	WHEATON, IL	12/5/2014	00720830-05	Pending-Cleared
FT 5180 SABRIENT WEAK TREASURY PORTFOLIO SERIES 5	WHEATON, IL	12/5/2014	00720842-05	Pending-Cleared
FT 5190 TACTICAL INCOME PORTFOLIO SERIES 34	WHEATON, IL	12/5/2014	00720836-05	Registered
FT 5196 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 65	WHEATON, IL	12/5/2014	00720841-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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 5197 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 33	WHEATON, IL	12/5/2014	00720832-05	Pending-Cleared
FT 5203 MUNICIPAL INCOME CLOSED END PORTFOLIO SERIES 61	WHEATON, IL	12/5/2014	00720829-05	Pending-Cleared
FT 5227 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 41	WHEATON, IL	12/5/2014	00720835-05	Registered
ADVISORS INNER CIRCLE FUND 3 NOMURA HIGH YIELD FUND CLASS I SHARES	OAKS, PA	12/4/2014	00720662-03	Registered
INVESCO UNIT TR SERIES 1497 DOW JONES SELECT DIVIDEND INDEX STRATEGY PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720793-05	Pending-Cleared
INVESCO UNIT TR SERIES 1497 EAFE SELECT 20 PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720792-05	Pending-Cleared
INVESCO UNIT TR SERIES 1497 GLOBAL 45 DIVIDEND STRATEGY PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720796-05	Pending-Cleared
INVESCO UNIT TR SERIES 1497 SELECT 10 INDUSTRIAL PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720797-05	Pending-Cleared
INVESCO UNIT TR SERIES 1497 SELECT S&P CORE PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720795-05	Pending-Cleared
INVESCO UNIT TR SERIES 1497 SELECT S&P INDUSTRIAL PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720794-05	Pending-Cleared
INVESCO UNIT TR SERIES 1498 CLOSED END STRATEGY COVERED CALL INCOME PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720799-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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 1498 CLOSED END STRATEGY MASTER MUNICIPAL INCOME PORTFOLIO NATIONAL SERIES 2015 1	DOWNERS GROVE, IL	12/4/2014	00720801-05	Pending-Cleared
INVESCO UNIT TR SERIES 1498 CLOSED END STRATEGY MASTER INCOME PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720800-05	Pending-Cleared
INVESCO UNIT TR SERIES 1498 CLOSED END STRATEGY VALUE EQUITY & INCOME PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720798-05	Pending-Cleared
INVESCO UNIT TR SERIES 1499 ALL CAP CORE STRATEGY 2015 1	DOWNERS GROVE, IL	12/4/2014	00720805-05	Pending-Cleared
INVESCO UNIT TR SERIES 1499 LARGE CAP CORE STRATEGY 2015 1	DOWNERS GROVE, IL	12/4/2014	00720802-05	Pending-Cleared
INVESCO UNIT TR SERIES 1499 MID CAP CORE STRATEGY 2015 1	DOWNERS GROVE, IL	12/4/2014	00720804-05	Pending-Cleared
INVESCO UNIT TR SERIES 1499 S&P POWERPICKS PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720806-05	Pending-Cleared
INVESCO UNIT TR SERIES 1499 SMALL CAP CORE STRATEGY 2015 1	DOWNERS GROVE, IL	12/4/2014	00720803-05	Pending-Cleared
INVESCO UNIT TR SERIES 1500 CENTRAL EQUITY TR DIVERSIFIED INCOME SERIES 2015 1	DOWNERS GROVE, IL	12/4/2014	00720807-05	Pending-Cleared
INVESCO UNIT TR SERIES 1501 DIVIDEND INCOME & VALUE PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720808-05	Pending-Cleared
INVESCO UNIT TR SERIES 1502 CLOSED END STRATEGY DIVERSIFIED CREDIT OPPORTUNITIES PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720809-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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 1502 CLOSED END STRATEGY GLOBAL INCOME PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720810-05	Pending-Cleared
INVESCO UNIT TR SERIES 1502 CLOSED END STRATEGY SENIOR LOAN & LTD DURATION PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720811-05	Pending-Cleared
INVESCO UNIT TR SERIES 1503 AMERICAN INFRASTRUCTURE GROWTH PORTFOLIO 2015 1	DOWNERS GROVE, IL	12/4/2014	00720812-05	Pending-Cleared
INVESTMENT MANAGERS SERIES TR RIVERBRIDGE ECO LEADERS FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/4/2014	00720786-03	Registered
INVESTMENT MANAGERS SERIES TR RIVERBRIDGE ECO LEADERS FUND INVESTOR CLASS	MILWAUKEE, WI	12/4/2014	00720787-03	Registered
MORGAN STANLEY GLOBAL INVESTMENT SOLUTIONS OPPORTUNISTIC DIVIDEND STRATEGY SERIES 1	PURCHASE, NY	12/4/2014	00720791-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1253 BULLETSHARE HIGH YIELD LOW DURATION 2016 2019 BOND LADDER PORTF ETFS SERIES 5	LISLE, IL	12/3/2014	00720985-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1254 COVERED CALL & INCOME PORTFOLIO CEFS SERIES 34	LISLE, IL	12/3/2014	00720991-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1254 EQUITY & INCOME PORTFOLIO CEFS SERIES 37	LISLE, IL	12/3/2014	00720990-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1262 GLOBAL 100 DIVIDEND STRATEGY PORTFOLIO SERIES 1	LISLE, IL	12/3/2014	00720987-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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 1266 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO SERIES 28	LISLE, IL	12/3/2014	00720989-05	Registered
INCAPITAL UNIT TR SERIES 63 EUROPEAN DIVIDEND BUILDERS PORTFOLIO 4Q 2014	CHICAGO, IL	12/3/2014	00720988-05	Registered
PIMCO FUNDS PIMCO WORLDWIDE LONG SHORT FUNDAMENTAL STRATEGY FUND CLASS A	NEWPORT BEACH, CA	12/3/2014	00720650-03	Registered
PIMCO FUNDS PIMCO WORLDWIDE LONG SHORT FUNDAMENTAL STRATEGY FUND CLASS D	NEWPORT BEACH, CA	12/3/2014	00720654-03	Registered
PIMCO FUNDS PIMCO WORLDWIDE LONG SHORT FUNDAMENTAL STRATEGY FUND CLASS C	NEWPORT BEACH, CA	12/3/2014	00720651-03	Registered
PIMCO FUNDS PIMCO WORLDWIDE LONG SHORT FUNDAMENTAL STRATEGY FUND CLASS P	NEWPORT BEACH, CA	12/3/2014	00720653-03	Registered
PIMCO FUNDS PIMCO WORLDWIDE LONG SHORT FUNDAMENTAL STRATEGY FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/3/2014	00720652-03	Registered
PIONEER SERIES TR 4 PIONEER MULTI ASSET INCOME FUND CLASS K SHARES	BOSTON, MA	12/3/2014	00720648-03	Registered
PIONEER SERIES TR 4 PIONEER MULTI ASSET INCOME FUND CLASS R SHARES	BOSTON, MA	12/3/2014	00720647-03	Registered
PIONEER SHORT TERM INCOME FUND CLASS K SHARES	BOSTON, MA	12/3/2014	00720649-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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>
SMART TR ADELANTE REIT GROWTH & INCOME TR SERIES 5	PARSIPPANY, NJ	12/3/2014	00720992-05	Registered
TCW FUNDS INC TCW GLOBAL REAL ESTATE FUND CLASS I	LOS ANGELES, CA	12/3/2014	00720657-03	Registered
TCW FUNDS INC TCW GLOBAL REAL ESTATE FUND CLASS N	LOS ANGELES, CA	12/3/2014	00720658-03	Registered
TCW FUNDS INC TCW HIGH DIVIDEND EQUITIES FUND CLASS I	LOS ANGELES, CA	12/3/2014	00720655-03	Registered
TCW FUNDS INC TCW HIGH DIVIDEND EQUITIES FUND CLASS N	LOS ANGELES, CA	12/3/2014	00720656-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN SMALL CAP VALUE PORTFOLIO CLASS A	NEW YORK, NY	12/1/2014	00720543-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN SMALL CAP VALUE PORTFOLIO ADVISOR CLASS	NEW YORK, NY	12/1/2014	00720541-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN SMALL CAP VALUE PORTFOLIO CLASS C	NEW YORK, NY	12/1/2014	00720542-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI BEST STYLES EMERGING MARKETS EQUITY FUND CLASS R6	NEW YORK, NY	12/1/2014	00720539-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI BEST STYLES INTERNATIONAL EQUITY FUND CLASS P	NEW YORK, NY	12/1/2014	00720531-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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>
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI BEST STYLES EMERGING MARKETS EQUITY FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/1/2014	00720535-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI BEST STYLES INTERNATIONAL EQUITY FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/1/2014	00720529-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI BEST STYLES INTERNATIONAL EQUITY FUND CLASS R6	NEW YORK, NY	12/1/2014	00720533-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI BEST STYLES EMERGING MARKETS EQUITY FUND CLASS P	NEW YORK, NY	12/1/2014	00720537-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI BEST STYLES GLOBAL EQUITY FUND CLASS P	NEW YORK, NY	12/1/2014	00720540-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI BEST STYLES US EQUITY FUND CLASS P	NEW YORK, NY	12/1/2014	00720526-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI BEST STYLES US EQUITY FUND CLASS R6	NEW YORK, NY	12/1/2014	00720525-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI BEST STYLES US EQUITY FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/1/2014	00720524-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI EMERGING MARKETS CONSUMER FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/1/2014	00720532-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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>
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI EMERGING MARKETS SMALL CAP FUND CLASS A	NEW YORK, NY	12/1/2014	00720536-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI EMERGING MARKETS CONSUMER FUND CLASS A	NEW YORK, NY	12/1/2014	00720538-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI EMERGING MARKETS SMALL CAP FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/1/2014	00720534-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI GLOBAL SUSTAINABILITY FUND CLASS P	NEW YORK, NY	12/1/2014	00720530-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI GLOBAL SUSTAINABILITY FUND CLASS A	NEW YORK, NY	12/1/2014	00720527-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI GLOBAL SUSTAINABILITY FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/1/2014	00720528-03	Registered
DREYFUS BNY MELLON FUNDS INC DREYFUS EMERGING MARKETS DEBT US DOLLAR FUND CLASS A	NEW YORK, NY	12/1/2014	00720549-03	Registered
DREYFUS BNY MELLON FUNDS INC DREYFUS EMERGING MARKETS DEBT US DOLLAR FUND CLASS C	NEW YORK, NY	12/1/2014	00720551-03	Registered
DREYFUS BNY MELLON FUNDS INC DREYFUS EMERGING MARKETS DEBT US DOLLAR FUND CLASS I	NEW YORK, NY	12/1/2014	00720550-03	Registered
DREYFUS BNY MELLON FUNDS INC DREYFUS EMERGING MARKETS DEBT US DOLLAR FUND CLASS Y	NEW YORK, NY	12/1/2014	00720552-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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 4970 PROFOUND ISRAELI EQUITY PORTFOLIO SERIES	WHEATON, IL	12/1/2014	00720583-05	Registered
FT 5147 GLOBAL DEEP VALUE DIVIDEND PORTFOLIO SERIES 4	WHEATON, IL	12/1/2014	00720585-05	Registered
FT 5148 RICHARD BERNSTEIN ADVISORS QUALITY INCOME PORTFOLIO SERIES 15	WHEATON, IL	12/1/2014	00720587-05	Registered
FT 5149 EQUITY INCOME SELECT PORTFOLIO SERIES 42	WHEATON, IL	12/1/2014	00720588-05	Registered
FT 5150 UTILITIES SELECT PORTFOLIO SERIES 32	WHEATON, IL	12/1/2014	00720582-05	Registered
FT 5152 RICHARD BENSTEIN ADVISORS GLOBAL DIVIDEND KINGS SERIES 12	WHEATON, IL	12/1/2014	00720590-05	Registered
FT 5156 JANUARY EFFECT PLUS PORTFOLIO SERIES 4	WHEATON, IL	12/1/2014	00720581-05	Registered
FT 5165 CORE 3 CLOSED END ALLOCATION PORTFOLIO SERIES 17	WHEATON, IL	12/1/2014	00720591-05	Registered
FT 5179 MULTI SECTOR INCOME PORTFOLIO SERIES 25	WHEATON, IL	12/1/2014	00720592-05	Registered
FT 5193 GLOBAL EQUITY INCOME CLOSED END PORTFOLIO SERIES 40	WHEATON, IL	12/1/2014	00720589-05	Registered
FT 5194 INTEREST RATE HEDGE PORTFOLIO SERIES 90	WHEATON, IL	12/1/2014	00720593-05	Registered
FT 5195 BALANCED INCOME SELECT PORTFOLIO SERIES 49	WHEATON, IL	12/1/2014	00720594-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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 5215 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 47	WHEATON, IL	12/1/2014	00720586-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1251 INCOME & TREASURY LTD DURATION PORTFOLIO OF FUNDS TR TERM 03 07 2016 SERIES 40	LISLE, IL	12/1/2014	00720579-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1252 DIVERSIFIED INCOME WAVE PORTFOLIO 15 MONTH SERIES 50	LISLE, IL	12/1/2014	00720580-05	Registered
HENDERSON GLOBAL FUNDS HENDERSON INTERNATIONAL LONG SHORT EQUITY FUND CLASS I SHARES	CHICAGO, IL	12/1/2014	00720568-03	Pending-Cleared
HENDERSON GLOBAL FUNDS HENDERSON INTERNATIONAL LONG SHORT EQUITY FUND CLASS A SHARES	CHICAGO, IL	12/1/2014	00720567-03	Pending-Cleared
HENDERSON GLOBAL FUNDS HENDERSON INTERNATIONAL LONG SHORT EQUITY FUND CLASS C SHARES	CHICAGO, IL	12/1/2014	00720566-03	Pending-Cleared
INCAPITAL UNIT TR SERIES 62 NUVEEN NWQ GLOBAL DIVIDEND VALUE PORTFOLIO SERIES 1	CHICAGO, IL	12/1/2014	00720584-05	Registered
RBC FUNDS TR RBC BLUEBAY EMERGING MARKET UNCONSTRAINED FIXED INCOME FUND CLASS I	MINNEAPOLIS, MN	12/1/2014	00720545-03	Registered
RBC FUNDS TR RBC BLUEBAY TOTAL RETURN CREDIT FUND CLASS I	MINNEAPOLIS, MN	12/1/2014	00720546-03	Registered
RBC FUNDS TR RBC GLOBAL OPPORTUNITIES FUND CLASS I	MINNEAPOLIS, MN	12/1/2014	00720548-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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>
RBC FUNDS TR RBC INTERNATIONAL OPPORTUNITIES FUND CLASS I	MINNEAPOLIS, MN	12/1/2014	00720547-03	Registered
RBC FUNDS TR RBC SMALL CAP VALUE FUND CLASS I	MINNEAPOLIS, MN	12/1/2014	00720544-03	Registered
SMEAD FUNDS TR SMEAD VALUE FUND CLASS A SHARES	SEATTLE, WA	12/1/2014	00720573-03	Registered
SMEAD FUNDS TR SMEAD VALUE FUND CLASS I1 SHARES	SEATTLE, WA	12/1/2014	00720572-03	Registered
SMEAD FUNDS TR SMEAD VALUE FUND INVESTOR CLASS SHARES	SEATTLE, WA	12/1/2014	00720574-03	Registered
<b>Number of Investment Company Filings: 135</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>
AEQUITAS INCOME OPPORTUNITY FUND 2 LLC	LAKE OSWEGO, OR	12/8/2014	00721015-07	Filed
CHCP DIRECT INVESTORS LP	DALLAS, TX	12/8/2014	00721017-07	Filed
COUCH9 LLC	PORTLAND, OR	12/8/2014	00721014-07	Filed
GOLDEN RIDGE ROAD LLC	EDGEWATER, CO	12/8/2014	00721021-07	Filed
HFR MASTER TR	HAMILTON, AA	12/8/2014	00721016-07	Filed
REALTYSHARES 37 LLC	SAN FRANCISCO, CA	12/8/2014	00721013-07	Filed
SANDALWOOD DEBT TRADERS FUND LP	ROSELAND, NJ	12/8/2014	00721019-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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>
EKSO BIONICS HOLDINGS INC	RICHMOND, CA	12/5/2014	00720815-07	Filed
MAYCO HOLDINGS LLC	CHICAGO, IL	12/5/2014	00720816-07	Filed
50 SOUTH CAPITAL PRIVATE EQUITY FUND 6 LP	CHICAGO, IL	12/4/2014	00720784-07	Filed
50 SOUTH CAPITAL PRIVATE EQUITY FUND QP 6 LP	CHICAGO, IL	12/4/2014	00720783-07	Filed
HCM KD LLC	OAK BROOK, IL	12/4/2014	00720814-07	Filed
ALTAIR REAL ESTATE OPPORTUNITIES FUND 2 AEW LLC	LOS ANGELES, CA	12/3/2014	00720983-07	Filed
DMP ACQUISITION LLC	NEW YORK, NY	12/3/2014	00720986-07	Filed
M3 PARTNERS LP	SALT LAKE CTY, UT	12/3/2014	00720982-07	Filed
AVIATOR CAPITAL OFFSHORE FEEDER FUND LP	AVENTURA, FL	12/2/2014	00720622-07	Filed
BELICEK NO 3 OFFSET LP	BOWLING GREEN, KY	12/2/2014	00720625-07	Filed
GEOMEDIA DIGITAL MERGER CORP	CORONA DL MAR, CA	12/2/2014	00720624-07	Filed
RESTORATION ROBOTICS INC	SAN JOSE, CA	12/2/2014	00720627-07	Filed
TVAX ANIMAL HEALTH LLC	OLATHE, KS	12/2/2014	00720626-07	Filed
UNIVERSITY LOFTS LLC	OAK BROOK, IL	12/2/2014	00720621-07	Filed
<b>Number of Regulation D Notice Filings: 21</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>
CK Franchising, Inc. / Comfort Keepers	Dayton, OH	12/11/2014	608548	Registered
Charter Fitness Franchise llc	Orland Park, IL	12/8/2014	608543	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/1/2014 through 12/12/2014**

<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>
GolfTEC Franchising LLC / GolfTEC	Centennial, CO	12/5/2014	608540	Registered
Cheeburger Cheeburger Restaurants, Inc. / Cheeburger Cheeburger	Fort Myers, FL	12/4/2014	608538	Registered
Success Business Solutions, Inc. / Midwest Labor Services	Madison, WI	12/4/2014	608537	Registered
MooYah Franchise LLC / MOOYAH	Plano, TX	12/4/2014	608541	Registered
Creative Colors International, Inc. / Creative Colors International	Mokena, IL	12/2/2014	608532	Registered
PREMIER RENTAL PURCHASE INC / Premier Rental-Purchase	WILLIAMSBURG, VA	12/2/2014	608536	Registered
Legend Larry's Franchising, LLC / Legend Larry's	Sheboygan Falls, WI	12/1/2014	608531	Registered
YoFresh Yogurts Franchising, Inc.	Boston, MA	12/1/2014	608530	Registered
<b>Number of Franchise Filings: 10</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>	