

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/15/2014 through 12/26/2014**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Number of Registration Filings: 0				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Number of Exemption Filings: 0				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ALLIANZ FUNDS ALLIANZGI HEALTH SCIENCES FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/19/2014	00723899-03	Pending-Cleared
ASTON FUNDS ASTON FAIRPOINTE FOCUSED EQUITY FUND CLASS I SHARES	CHICAGO, IL	12/19/2014	00723902-03	Pending-Cleared
ASTON FUNDS ASTON FAIRPOINTE FOCUSED EQUITY FUND CLASS N SHARES	CHICAGO, IL	12/19/2014	00723904-03	Pending-Cleared
ASTON FUNDS ASTON TAMRO INTERNATIONAL SMALL CAP FUND CLASS I SHARES	CHICAGO, IL	12/19/2014	00723903-03	Pending-Cleared
ASTON FUNDS ASTON TAMRO INTERNATIONAL SMALL CAP FUND CLASS N SHARES	CHICAGO, IL	12/19/2014	00723905-03	Pending-Cleared
JANUS INVESTMENT FUND INTECH US MANAGED VOLATILITY FUND CLASS D SHARES	DENVER, CO	12/19/2014	00723906-03	Pending-Cleared
PIONEER SERIES TR 2 PIONEER SELECT MID CAP GROWTH FUND CLASS K SHARES	BOSTON, MA	12/19/2014	00723900-03	Pending-Cleared

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PIONEER SERIES TR 5 PIONEER GLOBAL EQUITY FUND CLASS K SHARES	BOSTON, MA	12/19/2014	00723901-03	Pending-Cleared
SALIENT MF TR SALIENT BROADMARK TACTICAL PLUS FUND CLASS F	HOUSTON, TX	12/19/2014	00723907-03	Registered
SENTINEL GROUP FUNDS INC SENTINEL COMMON STOCK FUND CLASS R6	MONTPELIER, VT	12/19/2014	00724085-03	Pending-Cleared
SENTINEL GROUP FUNDS INC SENTINEL SMALL CO FUND CLASS R6	MONTPELIER, VT	12/19/2014	00724086-03	Pending-Cleared
SENTINEL GROUP FUNDS INC SENTINEL TOTAL RETURN BOND FUND CLASS R6	MONTPELIER, VT	12/19/2014	00724087-03	Pending-Cleared
SENTINEL GROUP FUNDS INC SENTINEL TOTAL RETURN BOND FUND CLASS R3	MONTPELIER, VT	12/19/2014	00724089-03	Pending-Cleared
SENTINEL GROUP FUNDS INC SENTINEL UNCONSTRAINED BOND FUND CLASS A	MONTPELIER, VT	12/19/2014	00724084-03	Pending-Cleared
SENTINEL GROUP FUNDS INC SENTINEL UNCONSTRAINED BOND FUND CLASS I	MONTPELIER, VT	12/19/2014	00724090-03	Pending-Cleared
SENTINEL GROUP FUNDS INC SENTINEL UNCONSTRAINED BOND FUND CLASS C	MONTPELIER, VT	12/19/2014	00724088-03	Pending-Cleared
LEGG MASON PARTNERS EQUITY TR CLEARBRIDGE LARGE CAP GROWTH FUND CLASS O	NEW YORK, NY	12/18/2014	00723780-03	Registered
MAINSTAY FUNDS TR MAINSTAY TOTAL RETURN BOND FUND CLASS R6	NEW YORK, NY	12/18/2014	00723779-03	Pending-Cleared
MANAGED PORTFOLIO SERIES ADVANTUS STRATEGIC DIVIDEND INCOME FUND INVESTOR CLASS	MILWAUKEE, WI	12/18/2014	00724576-03	Registered

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FINANCIAL INVESTORS TR EMERALD INSIGHTS FUND CLASS A	DENVER, CO	12/17/2014	00723778-03	Registered
MFS SERIES TR XIII MFS GLOBAL REAL ESTATE FUND CLASS A SHARES	BOSTON, MA	12/17/2014	00723765-03	Registered
MFS SERIES TR XIII MFS GLOBAL REAL ESTATE FUND CLASS B SHARES	BOSTON, MA	12/17/2014	00723766-03	Registered
MFS SERIES TR XIII MFS GLOBAL REAL ESTATE FUND CLASS C SHARES	BOSTON, MA	12/17/2014	00723767-03	Registered
MFS SERIES TR XIII MFS GLOBAL REAL ESTATE FUND CLASS I SHARES	BOSTON, MA	12/17/2014	00723768-03	Registered
MFS SERIES TR XIII MFS GLOBAL REAL ESTATE FUND CLASS R1 SHARES	BOSTON, MA	12/17/2014	00723770-03	Registered
MFS SERIES TR XIII MFS GLOBAL REAL ESTATE FUND CLASS R2 SHARES	BOSTON, MA	12/17/2014	00723772-03	Registered
MFS SERIES TR XIII MFS GLOBAL REAL ESTATE FUND CLASS R3 SHARES	BOSTON, MA	12/17/2014	00723769-03	Registered
MFS SERIES TR XIII MFS GLOBAL REAL ESTATE FUND CLASS R4 SHARES	BOSTON, MA	12/17/2014	00723771-03	Registered
MFS SERIES TR XIII MFS GLOBAL REAL ESTATE FUND CLASS R5 SHARES	BOSTON, MA	12/17/2014	00723773-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS INC 10 PRUDENTIAL MID CAP VALUE FUND CLASS R	NEWARK, NJ	12/17/2014	00723775-03	Pending-Cleared
PRUDENTIAL WORLD FUND INC PRUDENTIAL JENNISON GLOBAL OPPORTUNITIES FUND CLASS Q	NEWARK, NJ	12/17/2014	00723777-03	Pending-Cleared

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SCHRODER SERIES TR SCHRODER GLOBAL STRATEGIC BOND FUND R6 SHARES	NEW YORK, NY	12/17/2014	00723774-03	Pending-Cleared
SEI INSTITUTIONAL MANAGED TR LONG SHORT ALTERNATIVE FUND CLASS A SHARES	OAKS, PA	12/17/2014	00723776-03	Registered
ADVISORS DISCIPLINED TR 1337 Q GARP PORTFOLIO SERIES 2014 4Q	MONUMENT, CO	12/15/2014	00723723-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1359 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 91	MONUMENT, CO	12/15/2014	00723722-05	Pending-Cleared
DOUBLELINE FUNDS TR DOUBLELINE LONG DURATION TOTAL RETURN BOND FUND CLASS I SHARES	WEST ALLIS, WI	12/15/2014	00723755-03	Registered
DOUBLELINE FUNDS TR DOUBLELINE LONG DURATION TOTAL RETURN BOND FUND CLASS N SHARES	WEST ALLIS, WI	12/15/2014	00723756-03	Registered
FIDELITY INCOME FUND FIDELITY TOTAL BOND FUND FIDELITY ADVISOR TOTAL BOND FUND CLASS Z	BOSTON, MA	12/15/2014	00723706-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR 2 ACR MULTI STRATEGY QUALITY RETURN MQR FUND CLASS I SHARES	MILWAUKEE, WI	12/15/2014	00723719-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR 2 ACR MULTI STRATEGY QUALITY RETURN MQR FUND CLASS A SHARES	MILWAUKEE, WI	12/15/2014	00723720-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR 2 PANTHER SMALL CAP FUND	MILWAUKEE, WI	12/15/2014	00723725-03	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
JANUS INVESTMENT FUND INTECH EMERGING MARKETS MANAGED VOLATILITY FUND CLASS D SHARES	DENVER, CO	12/15/2014	00723702-03	Pending-Cleared
JANUS INVESTMENT FUND INTECH EMERGING MARKETS MANAGED VOLATILITY FUND CLASS C SHARES	DENVER, CO	12/15/2014	00723700-03	Pending-Cleared
JANUS INVESTMENT FUND INTECH EMERGING MARKETS MANAGED VOLATILITY FUND CLASS S SHARES	DENVER, CO	12/15/2014	00723703-03	Pending-Cleared
JANUS INVESTMENT FUND INTECH EMERGING MARKETS MANAGED VOLATILITY FUND CLASS T SHARES	DENVER, CO	12/15/2014	00723705-03	Pending-Cleared
JANUS INVESTMENT FUND INTECH EMERGING MARKETS MANAGED VOLATILITY FUND CLASS N SHARES	DENVER, CO	12/15/2014	00723701-03	Pending-Cleared
JANUS INVESTMENT FUND INTECH EMERGING MARKETS MANAGED VOLATILITY FUND CLASS A SHARES	DENVER, CO	12/15/2014	00723699-03	Pending-Cleared
JANUS INVESTMENT FUND INTECH EMERGING MARKETS MANAGED VOLATILITY FUND CLASS I SHARES	DENVER, CO	12/15/2014	00723704-03	Pending-Cleared
MANOR INVESTMENT FUNDS INC GROWTH FUND	MALVERN, PA	12/15/2014	00723757-03	Registered
SMART TR DIVERSIFIED INCOME & GROWTH TR SERIES 6	PARSIPPANY, NJ	12/15/2014	00723724-05	Pending-Cleared
Number of Investment Company Filings: 50				

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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
ICONIQ ACCESS 37 LP	SAN FRANCISCO, CA	12/18/2014	00724575-07	Filed
SONOMA HERALD 1 JOINT VENTURE	FRISCO, TX	12/18/2014	00724577-07	Filed
INSIGHTRA MEDICAL INC	IRVINE, CA	12/16/2014	00723781-07	Filed
AQUARIUS CANNABIS INC NV	LAFAYETTE, CO	12/15/2014	00723708-07	Filed
CREDOS FLOATING RATE FUND LP	NEW YORK, NY	12/15/2014	00723714-07	Filed
GATOSK OPERATING CO LLC	BERWYN HEIGHTS, MD	12/15/2014	00723713-07	Filed
JONES FINANCIAL CO LLLP	ST LOUIS, MO	12/15/2014	00723715-07	Filed
METAMODELING ANALYTICS LLC	MADISON, WI	12/15/2014	00723711-07	Filed
REALTYSHARES 45 LLC	SAN FRANCISCO, CA	12/15/2014	00723712-07	Filed
TTCP EXECUTIVE FUND 8 LLC	EDINA, MN	12/15/2014	00723709-07	Filed
Number of Regulation D Notice Filings: 10				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Apex Fun Run, LLC / Apex Fun Run	Phoenix, AZ	12/26/2014	608581	Registered
FIBRENEW USA, LTD. / FIBRENEW	Black Diamond, AB	12/24/2014	608580	Registered
Oasis Senior Advisors Franchise Systems, LLC / Oasis Senior Advisors	Columbia, MD	12/22/2014	608576	Registered
VALVOLINE INSTANT OIL CHANGE FRANCHISING, INC.	LEXINGTON, KY	12/21/2014	608575	Registered
Xtend Holdings, LLC / Xtend	Boca Raton, FL	12/19/2014	608574	Registered
Priceless Rent-A-Car, LLC / Priceless Car and Truck Rental	Kensington, MD	12/19/2014	608573	Registered

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Franchise Law Filings Made with DFI's Securities Division				
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Sonic Franchising LLC / Sonic Drive-In	Oklahoma City, OK	12/19/2014	608572	Registered
KIDDIE ACADEMY DOMESTIC FRANCHISING LLC	Abingdon, MD	12/19/2014	608571	Registered
SANDLER SYSTEMS INC / SANDLER TRAINING	Owings Mills, MD	12/18/2014	608564	Registered
FASTFRAME USA INC / Fastframe Expert Picture Framing	NEWBURY PARK, CA	12/18/2014	608570	Registered
STEAK N SHAKE ENTERPRISES INC / Steak n Shake	INDIANAPOLIS, IN	12/16/2014	608562	Registered
PB Art Franchise, Inc. / Brow Art 23	Wilmette, IL	12/16/2014	608560	Registered
Bundy American, LLC / Rent-A-Wreck	Kensington, MD	12/16/2014	608559	Registered
Number of Franchise Filings: 13				

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