

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/22/2014 through 1/2/2015**

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
CAVANAL HILL FUNDS BALANCED FUND C	COLUMBUS, OH	12/31/2014	00725797-03	Registered
CAVANAL HILL FUNDS OPPORTUNISTIC FUND C	COLUMBUS, OH	12/31/2014	00725798-03	Registered
CAVANAL HILL FUNDS US LARGE CAP EQUITY FUND C	COLUMBUS, OH	12/31/2014	00725796-03	Registered
NUVEEN MUNICIPAL TR NUVEEN STRATEGIC MUNICIPAL OPPORTUNITIES FUND CLASS C	CHIGACO, IL	12/30/2014	00725793-03	Registered
NUVEEN MUNICIPAL TR NUVEEN STRATEGIC MUNICIPAL OPPORTUNITIES FUND CLASS A	CHIGACO, IL	12/30/2014	00725792-03	Registered
NUVEEN MUNICIPAL TR NUVEEN STRATEGIC MUNICIPAL OPPORTUNITIES FUND CLASS I	CHIGACO, IL	12/30/2014	00725794-03	Registered
RBB FUND INC CAMPBELL CORE TREND FUND INSTITUTIONAL SHARES	WILMINGTON, DE	12/30/2014	00725795-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/22/2014 through 1/2/2015**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ARBITRAGE FUNDS ARBITRAGE TACTICAL EQUITY FUND CLASS A	NEW YORK, NY	12/29/2014	00725738-03	Pending-Cleared
ARBITRAGE FUNDS ARBITRAGE TACTICAL EQUITY FUND CLASS C	NEW YORK, NY	12/29/2014	00725740-03	Pending-Cleared
ARBITRAGE FUNDS ARBITRAGE TACTICAL EQUITY FUND CLASS I	NEW YORK, NY	12/29/2014	00725739-03	Pending-Cleared
ARBITRAGE FUNDS ARBITRAGE TACTICAL EQUITY FUND CLASS R	NEW YORK, NY	12/29/2014	00725741-03	Pending-Cleared
MEEDER FUNDS SPECTRUM FUND	DUBLIN, OH	12/29/2014	00725781-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2020 FUND ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725752-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2020 FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725747-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2020 FUND CLASS A	NEWPORT BEACH, CA	12/29/2014	00725745-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2025 FUND ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725748-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2025 FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725746-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2025 FUND CLASS A	NEWPORT BEACH, CA	12/29/2014	00725751-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2030 FUND ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725750-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/22/2014 through 1/2/2015**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2030 FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725753-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2030 FUND CLASS A	NEWPORT BEACH, CA	12/29/2014	00725749-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2035 FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725756-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2035 FUND ADMINSTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725768-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2035 FUND CLASS A	NEWPORT BEACH, CA	12/29/2014	00725754-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2040 FUND ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725758-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2040 FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725764-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2040 FUND CLASS A	NEWPORT BEACH, CA	12/29/2014	00725762-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2045 FUND ADMINSTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725766-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2045 FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725755-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2045 FUND CLASS A	NEWPORT BEACH, CA	12/29/2014	00725760-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2050 FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725761-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/22/2014 through 1/2/2015**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2050 FUND ADMINSTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725759-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2050 FUND CLASS A	NEWPORT BEACH, CA	12/29/2014	00725757-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2055 FUND ADMINSTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725765-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2055 FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725767-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2055 FUND CLASS A	NEWPORT BEACH, CA	12/29/2014	00725763-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND INCOME FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725743-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND INCOME FUND ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725744-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND INCOME FUND CLASS A	NEWPORT BEACH, CA	12/29/2014	00725742-03	Registered
PIMCO FUNDS PIMCO MULTI STRATEGY ALTERNATIVE FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725772-03	Registered
PIMCO FUNDS PIMCO MULTI STRATEGY ALTERNATIVE FUND CLASS A	NEWPORT BEACH, CA	12/29/2014	00725770-03	Registered
PIMCO FUNDS PIMCO MULTI STRATEGY ALTERNATIVE FUND CLASS C	NEWPORT BEACH, CA	12/29/2014	00725769-03	Registered
PIMCO FUNDS PIMCO MULTI STRATEGY ALTERNATIVE FUND CLASS D	NEWPORT BEACH, CA	12/29/2014	00725771-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/22/2014 through 1/2/2015**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PIMCO FUNDS PIMCO MULTI STRATEGY ALTERNATIVE FUND CLASS P	NEWPORT BEACH, CA	12/29/2014	00725777-03	Registered
PIMCO FUNDS PIMCO REALRETIREMENT 2055 FUND ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725779-03	Registered
PIMCO FUNDS PIMCO REALRETIREMENT 2055 FUND CLASS A	NEWPORT BEACH, CA	12/29/2014	00725775-03	Registered
PIMCO FUNDS PIMCO REALRETIREMENT 2055 FUND CLASS C	NEWPORT BEACH, CA	12/29/2014	00725773-03	Registered
PIMCO FUNDS PIMCO REALRETIREMENT 2055 FUND CLASS D	NEWPORT BEACH, CA	12/29/2014	00725774-03	Registered
PIMCO FUNDS PIMCO REALRETIREMENT 2055 FUND CLASS P	NEWPORT BEACH, CA	12/29/2014	00725778-03	Registered
PIMCO FUNDS PIMCO REALRETIREMENT 2055 FUND CLASS R	NEWPORT BEACH, CA	12/29/2014	00725780-03	Registered
PIMCO FUNDS PIMCO REALRETIREMENT 2055 FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725776-03	Registered
PRINCIPAL FUNDS INC DIVERSIFIED REAL ASSET FUND CLASS R 6	DES MOINES, IA	12/26/2014	00725495-03	Pending-Cleared
PRINCIPAL FUNDS INC INTERNATIONAL SMALL CO FUND INSTITUTIONAL CLASS	DES MOINES, IA	12/26/2014	00725496-03	Pending-Cleared
PRINCIPAL FUNDS INC ORIGIN EMERGING MARKETS FUND INSTITUTIONAL CLASS	DES MOINES, IA	12/26/2014	00725501-03	Pending-Cleared
PRINCIPAL FUNDS INC ORIGIN EMERGING MARKETS FUND CLASS A	DES MOINES, IA	12/26/2014	00725499-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/22/2014 through 1/2/2015**

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 ORIGIN EMERGING MARKETS FUND CLASS R 6	DES MOINES, IA	12/26/2014	00725503-03	Pending-Cleared
PRINCIPAL FUNDS INC REAL ESTATE ALLOCATION FUND INSTITUTIONAL CLASS	DES MOINES, IA	12/26/2014	00725498-03	Pending-Cleared
PRINCIPAL FUNDS INC REAL ESTATE ALLOCATION FUND CLASS A	DES MOINES, IA	12/26/2014	00725500-03	Pending-Cleared
PRINCIPAL FUNDS INC REAL ESTATE DEBT INCOME FUND INSTITUTIONAL CLASS	DES MOINES, IA	12/26/2014	00725502-03	Pending-Cleared
PRINCIPAL FUNDS INC REAL ESTATE DEBT INCOME FUND CLASS A	DES MOINES, IA	12/26/2014	00725497-03	Pending-Cleared
RUSSELL INVESTMENT CO SELECT INTERNATIONAL EQUITY FUND CLASS T	SEATTLE, WA	12/26/2014	00725504-03	Registered
RUSSELL INVESTMENT CO SELECT INTERNATIONAL EQUITY FUND CLASS S	SEATTLE, WA	12/26/2014	00725506-03	Registered
RUSSELL INVESTMENT CO SELECT US EQUITY FUND CLASS S	SEATTLE, WA	12/26/2014	00725505-03	Registered
RUSSELL INVESTMENT CO SELECT US EQUITY FUND CLASS T	SEATTLE, WA	12/26/2014	00725507-03	Registered
SCHRODER CAPITAL FUNDS DE SCHRODER INTERNATIONAL ALPHA FUND R6 SHARES	NEW YORK, NY	12/26/2014	00725508-03	Registered
SCHRODER GLOBAL SERIES TR SCHRODER GLOBAL MULTI CAP EQUITY FUND ADVISOR SHARES	NEW YORK, NY	12/26/2014	00725512-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/22/2014 through 1/2/2015**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
SCHRODER SERIES TR SCHRODER ABSOLUTE RETURN EMD & CURRENCY FUND R6 SHARES	NEW YORK, NY	12/26/2014	00725517-03	Registered
SCHRODER SERIES TR SCHRODER BROAD TAX AWARE VALUE BOND FUND ADVISOR SHARES	NEW YORK, NY	12/26/2014	00725514-03	Registered
SCHRODER SERIES TR SCHRODER EMERGING MARKET EQUITY FUND R6 SHARES	NEW YORK, NY	12/26/2014	00725509-03	Registered
SCHRODER SERIES TR SCHRODER EMERGING MARKETS MULTI CAP EQUITY FUND R6 SHARES	NEW YORK, NY	12/26/2014	00725515-03	Registered
SCHRODER SERIES TR SCHRODER EMERGING MARKETS MULTI SECTOR BOND FUND R6 SHARES	NEW YORK, NY	12/26/2014	00725513-03	Registered
SCHRODER SERIES TR SCHRODER GLOBAL MULTI ASSET INCOME FUND R6 SHARES	NEW YORK, NY	12/26/2014	00725516-03	Registered
SCHRODER SERIES TR SCHRODER INTERNATIONAL MULTI CAP VALUE FUND R6 SHARES	NEW YORK, NY	12/26/2014	00725511-03	Registered
SCHRODER SERIES TR SCHRODER US SMALL & MID CAP OPPORTUNITIES FUND R6 SHARES	NEW YORK, NY	12/26/2014	00725510-03	Registered
ADVISORS INNER CIRCLE FUND WESTWOOD MLP & STRATEGIC ENERGY FUND INSTITUTIONAL SHARES	BOSTON, MA	12/24/2014	00725129-03	Pending-Cleared
ADVISORS INNER CIRCLE FUND WESTWOOD OPPORTUNISTIC HIGH YIELD FUND INSTITUTIONAL SHARES	BOSTON, MA	12/24/2014	00725128-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/22/2014 through 1/2/2015**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ADVISORS INNER CIRCLE FUND WESTWOOD OPPORTUNISTIC HIGH YIELD FUND ULTRA SHARES	BOSTON, MA	12/24/2014	00725127-03	Pending-Cleared
STARBOARD INVESTMENT TR RX TACTICAL ROTATION FUND INSTITUTIONAL CLASS SHARES	ROCKY MOUNT, NC	12/24/2014	00725130-03	Registered
WINTON SERIES TR WINTON GLOBAL EQUITY PORTFOLIO INSTITUTIONAL CLASS SHARES	OAKS, PA	12/23/2014	00724908-03	Registered
WINTON SERIES TR WINTON GLOBAL EQUITY PORTFOLIO INVESTOR CLASS SHARES	OAKS, PA	12/23/2014	00724909-03	Registered
Number of Investment Company Filings: 80				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Number of Regulation D Notice Filings: 0				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
TTP Franchising, Inc. / Top Ten Percent	Westerville, OH	1/2/2015	608592	Registered
Peak Franchising, Inc. / Max Muscle (Regional Director)	Orange, CA	12/30/2014	608589	Registered
Peak Franchising, Inc. / Max Muscle (Unit)	Orange, CA	12/30/2014	608588	Registered
SB Acquisition, LLC / Pizza Pit	Monona, WI	12/30/2014	608586	Registered
Smoke's Poutinerie US Franchising Inc. / SMOKE'S POUTINERIE	Ajax, ON	12/29/2014	608584	Registered
SP FRANCHISING, INC. / THE SIGN POST	Elgin, IL	12/29/2014	608582	Registered
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

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/22/2014 through 1/2/2015**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Oasis Senior Advisors Franchise Systems, LLC / Oasis Senior Advisors	Columbia, MD	12/22/2014	608576	Registered
KALEIDOSCOOPS INC / Kaleidoscoops	Amarillo, TX	12/22/2014	608595	Registered
Sub Zero Franchising, Inc. / Sub Zero Ice Cream & Yogurt	American Fork, UT	12/22/2014	608596	Registered
Number of Franchise Filings: 11				

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