

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/29/2014 through 1/9/2015**

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
GRACE CHRISTIAN CHURCH	STERLING HEIGHTS, MI	1/6/2015	00726571-10	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
ADVISORS DISCIPLINED TR 1340 ENHANCED EQUITY INCOME PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	1/7/2015	00726575-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1357 BLUE CHIP COVERED CALL PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	1/7/2015	00726579-05	Pending-Cleared
FT 5217 DIVERSIFIED EQUITY STRATEGIC ALLOCATION PORT 1Q 15 TERM 4 15 16	WHEATON, IL	1/7/2015	00726576-05	Pending-Cleared
FT 5230 STRATEGIC INCOME SELECT CLOSED END PORTFOLIO SERIES 21	WHEATON, IL	1/7/2015	00726574-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1274 VICKREY BROWN DOUBLE DOZEN STRATEGY PORTFOLIO SERIES 1	LISLE, IL	1/7/2015	00726580-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1286 GUGGENHEIM ABC HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 18	LISLE, IL	1/7/2015	00726581-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
INCAPITAL UNIT TR SERIES 67 INCAPITAL MORNINGSTAR WIDE MOAT PORTFOLIO 1Q 2015	CHICAGO, IL	1/7/2015	00726582-05	Pending-Cleared
ADVISORS INNER CIRCLE FUND 3 LOGAN CIRCLE PARTNERS CORE PLUS FUND R CLASS SHARES	OAKS, PA	1/6/2015	00726414-03	Registered
ADVISORS INNER CIRCLE FUND 3 LOGAN CIRCLE PARTNERS CORE PLUS FUND I CLASS SHARES	OAKS, PA	1/6/2015	00726413-03	Registered
1ST TR COMBINED SERIES 465 TX EX MUNICIPAL INCOME TR INTERMEDIATE SERIES 14	WHEATON, IL	1/5/2015	00726533-05	Registered
ADVISORS DISCIPLINED TR 1338 EQUITY DIVIDEND & INCOME CLOSED END PORTFOLIO SERIES 2015 1	MONUMENT, CO	1/5/2015	00726541-05	Registered
ADVISORS DISCIPLINED TR 1339 GLOBAL CLOSED END PORTFOLIO SERIES 2015 1	MONUMENT, CO	1/5/2015	00726542-05	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT RETIREMENT ALLOCATION FUND CLASS K	NEW YORK, NY	1/5/2015	00726335-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT RETIREMENT ALLOCATION FUND CLASS Z	NEW YORK, NY	1/5/2015	00726339-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2035 FUND CLASS R	NEW YORK, NY	1/5/2015	00726404-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2035 FUND CLASS A	NEW YORK, NY	1/5/2015	00726378-03	Registered

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Firm Name	Location	Date Received	File Number	Status
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2035 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726384-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2040 FUND CLASS I	NEW YORK, NY	1/5/2015	00726388-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2020 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726348-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2030 FUND CLASS R	NEW YORK, NY	1/5/2015	00726376-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2040 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726386-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2055 FUND CLASS A	NEW YORK, NY	1/5/2015	00726399-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2035 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726410-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2050 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726397-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2015 FUND CLASS K	NEW YORK, NY	1/5/2015	00726363-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2025 FUND CLASS I	NEW YORK, NY	1/5/2015	00726366-03	Registered

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Firm Name	Location	Date Received	File Number	Status
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2030 FUND CLASS C	NEW YORK, NY	1/5/2015	00726392-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2010 FUND CLASS C	NEW YORK, NY	1/5/2015	00726344-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2020 FUND CLASS K	NEW YORK, NY	1/5/2015	00726354-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2025 FUND CLASS C	NEW YORK, NY	1/5/2015	00726364-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2040 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726369-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2015 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726345-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2030 FUND CLASS I	NEW YORK, NY	1/5/2015	00726374-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT RETIREMENT ALLOCATION FUND CLASS C	NEW YORK, NY	1/5/2015	00726338-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2055 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726401-03	Registered

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ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2045 FUND CLASS I	NEW YORK, NY	1/5/2015	00726377-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2040 FUND CLASS C	NEW YORK, NY	1/5/2015	00726408-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2050 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726387-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2020 FUND CLASS A	NEW YORK, NY	1/5/2015	00726346-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2045 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726383-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2035 FUND CLASS I	NEW YORK, NY	1/5/2015	00726396-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2055 FUND CLASS K	NEW YORK, NY	1/5/2015	00726407-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2050 FUND CLASS R	NEW YORK, NY	1/5/2015	00726395-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2025 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726362-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2015 FUND CLASS A	NEW YORK, NY	1/5/2015	00726365-03	Registered

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ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2040 FUND CLASS R	NEW YORK, NY	1/5/2015	00726368-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT RETIREMENT ALLOCATION FUND CLASS I	NEW YORK, NY	1/5/2015	00726342-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2010 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726343-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2015 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726351-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2010 FUND CLASS I	NEW YORK, NY	1/5/2015	00726361-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2030 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726372-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2045 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726373-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2015 FUND CLASS R	NEW YORK, NY	1/5/2015	00726355-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2040 FUND CLASS A	NEW YORK, NY	1/5/2015	00726398-03	Registered

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ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2025 FUND CLASS R	NEW YORK, NY	1/5/2015	00726390-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT RETIREMENT ALLOCATION FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726340-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2025 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726370-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2045 FUND CLASS K	NEW YORK, NY	1/5/2015	00726379-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2050 FUND CLASS C	NEW YORK, NY	1/5/2015	00726389-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2030 FUND CLASS K	NEW YORK, NY	1/5/2015	00726402-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2010 FUND CLASS K	NEW YORK, NY	1/5/2015	00726347-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2010 FUND CLASS R	NEW YORK, NY	1/5/2015	00726357-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2025 FUND CLASS K	NEW YORK, NY	1/5/2015	00726367-03	Registered

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ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2020 FUND CLASS I	NEW YORK, NY	1/5/2015	00726352-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2045 FUND CLASS C	NEW YORK, NY	1/5/2015	00726375-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT RETIREMENT ALLOCATION FUND CLASS A	NEW YORK, NY	1/5/2015	00726336-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2055 FUND CLASS I	NEW YORK, NY	1/5/2015	00726405-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2035 FUND CLASS C	NEW YORK, NY	1/5/2015	00726380-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2050 FUND CLASS A	NEW YORK, NY	1/5/2015	00726385-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2020 FUND CLASS R	NEW YORK, NY	1/5/2015	00726356-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2035 FUND CLASS K	NEW YORK, NY	1/5/2015	00726382-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2050 FUND CLASS K	NEW YORK, NY	1/5/2015	00726393-03	Registered

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ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2055 FUND CLASS C	NEW YORK, NY	1/5/2015	00726403-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2030 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726394-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2015 FUND CLASS C	NEW YORK, NY	1/5/2015	00726359-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2050 FUND CLASS I	NEW YORK, NY	1/5/2015	00726391-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2010 FUND CLASS A	NEW YORK, NY	1/5/2015	00726341-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2020 FUND CLASS C	NEW YORK, NY	1/5/2015	00726350-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2025 FUND CLASS A	NEW YORK, NY	1/5/2015	00726360-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2045 FUND CLASS A	NEW YORK, NY	1/5/2015	00726371-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2015 FUND CLASS I	NEW YORK, NY	1/5/2015	00726353-03	Registered

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ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT RETIREMENT ALLOCATION FUND CLASS R	NEW YORK, NY	1/5/2015	00726337-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2040 FUND CLASS K	NEW YORK, NY	1/5/2015	00726400-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2030 FUND CLASS A	NEW YORK, NY	1/5/2015	00726406-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2045 FUND CLASS R	NEW YORK, NY	1/5/2015	00726381-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2055 FUND CLASS R	NEW YORK, NY	1/5/2015	00726409-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2020 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726358-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2055 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726411-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2010 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726349-03	Registered
FORUM FUNDS LMCG GLOBAL MULTICAP FUND INVESTOR SHARES	PORTLAND, ME	1/5/2015	00726412-03	Registered
FT 5206 TECHNOLOGY SELECT PORTFOLIO SERIES 55	WHEATON, IL	1/5/2015	00726539-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 5207 TACTICAL ALPHA PORTFOLIO SERIES 3	WHEATON, IL	1/5/2015	00726545-05	Registered
FT 5209 EMERGING MARKETS STRENGTH PORTFOLIO SERIES 25	WHEATON, IL	1/5/2015	00726543-05	Registered
FT 5210 REIT GROWTH & INCOME SELECT PORTFOLIO SERIES 31	WHEATON, IL	1/5/2015	00726531-05	Registered
FT 5211 DA DAVIDSON TOP INSTITUTIONAL PICKS 2015	WHEATON, IL	1/5/2015	00726535-05	Registered
FT 5212 TECHNOLOGY DIVIDEND PORTFOLIO SERIES 11	WHEATON, IL	1/5/2015	00726532-05	Registered
FT 5213 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 60	WHEATON, IL	1/5/2015	00726546-05	Registered
FT 5224 INTEREST RATE HEDGE & ETF PORTFOLIO SERIES 7	WHEATON, IL	1/5/2015	00726534-05	Registered
FT 5231 REIT GROWTH & INCOME PLUS PORTFOLIO SERIES 21	WHEATON, IL	1/5/2015	00726537-05	Registered
FT 5237 BALANCED INCOME PORTFOLIO SERIES 47	WHEATON, IL	1/5/2015	00726544-05	Registered
FT 5255 STRATEGIC DIVIDEND SELECT PORTFOLIO SERIES 18	WHEATON, IL	1/5/2015	00726538-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1263 GLOBAL SECULAR GROWTH PORTFOLIO 2014 SERIES	LISLE, IL	1/5/2015	00726536-05	Registered
INVESCO UNIT TR MUNICIPAL SERIES 1220 INVESTMENT GRADE MUNICIPAL TR 7 13 YEAR SERIES 57	DOWNERS GROVE, IL	1/5/2015	00726567-05	Pending-Cleared

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INVESCO UNIT TR MUNICIPAL SERIES 1221 INVESTMENT GRADE MUNICIPAL TR 7 13 YEAR SERIES 58	DOWNERS GROVE, IL	1/5/2015	00726568-05	Pending-Cleared
INVESCO UNIT TR SERIES 1504 DIVIDEND INCOME LEADERS STRATEGY PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726563-05	Pending-Cleared
INVESCO UNIT TR SERIES 1506 NORTH AMERICAN RAIL PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726562-05	Registered
INVESCO UNIT TR SERIES 1507 DIVIDEND SUSTAINABILITY PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726559-05	Pending-Cleared
INVESCO UNIT TR SERIES 1507 EUROPEAN DIVIDEND SUSTAINABILITY PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726560-05	Pending-Cleared
INVESCO UNIT TR SERIES 1507 GLOBAL DIVIDEND SUSTAINABILITY PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726561-05	Pending-Cleared
INVESCO UNIT TR SERIES 1507 INTERNATIONAL DIVIDEND SUSTAINABILITY PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726558-05	Pending-Cleared
INVESCO UNIT TR SERIES 1508 CLOSED END STRATEGY DISCOUNT OPPORTUNITY PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726557-05	Pending-Cleared
INVESCO UNIT TR SERIES 1509 INFLATION HEDGE PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726556-05	Pending-Cleared
INVESCO UNIT TR SERIES 1510 DIVERSIFIED HEALTHCARE PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726552-05	Pending-Cleared

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INVESCO UNIT TR SERIES 1510 ENERGY PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726553-05	Pending-Cleared
INVESCO UNIT TR SERIES 1510 FINANCIAL INSTITUTIONS PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726554-05	Pending-Cleared
INVESCO UNIT TR SERIES 1510 REIT INCOME PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726551-05	Pending-Cleared
INVESCO UNIT TR SERIES 1510 UTILITY INCOME PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726555-05	Pending-Cleared
INVESCO UNIT TR SERIES 1511 ALTERNATIVES ALLOCATION PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726550-05	Pending-Cleared
INVESCO UNIT TR SERIES 1512 PREFERRED OPPORTUNITY PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726549-05	Pending-Cleared
INVESCO UNIT TR SERIES 1513 GLOBAL HIGH DIVIDEND PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/5/2015	00726548-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 491 INVESTMENT GRADE INCOME TR 7 13 YEAR SERIES 45	DOWNERS GROVE, IL	1/5/2015	00726565-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 492 INVESTMENT GRADE INCOME TR 7 13 YEAR SERIES 46	DOWNERS GROVE, IL	1/5/2015	00726566-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 493 INVESTMENT GRADE CORPORATE VARIABLE & FIXED RATE TR 3 6 YEAR SERIES 5	DOWNERS GROVE, IL	1/5/2015	00726564-05	Pending-Cleared

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SMART TR MORNINGSTAR DIVIDEND YIELD FOCUS TR SERIES 8	PARSIPPANY, NJ	1/5/2015	00726540-05	Registered
AMG FUNDS AMG CHICAGO EQUITY PARTNERS SMALL CAP VALUE FUND SERVICE CLASS	MILWAUKEE, WI	1/2/2015	00726293-03	Registered
AMG FUNDS AMG CHICAGO EQUITY PARTNERS SMALL CAP VALUE FUND INVESTOR CLASS	MILWAUKEE, WI	1/2/2015	00726292-03	Registered
AMG FUNDS AMG CHICAGO EQUITY PARTNERS SMALL CAP VALUE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/2/2015	00726294-03	Registered
BRANDES INVESTMENT TR BRANDES GLOBAL OPPORTUNITIES VALUE FUND CLASS I	MILWAUKEE, WI	1/2/2015	00726283-03	Registered
BRANDES INVESTMENT TR BRANDES GLOBAL OPPORTUNITIES VALUE FUND CLASS A	MILWAUKEE, WI	1/2/2015	00726284-03	Registered
BRANDES INVESTMENT TR BRANDES GLOBAL OPPORTUNITIES VALUE FUND CLASS C	MILWAUKEE, WI	1/2/2015	00726282-03	Registered
CALAMOS INVESTMENT TR CALAMOS GLOBAL CONVERTIBLE FUND CLASS A SHARES	MILWAUKEE, WI	1/2/2015	00726302-03	Registered
CALAMOS INVESTMENT TR CALAMOS GLOBAL CONVERTIBLE FUND CLASS C SHARES	MILWAUKEE, WI	1/2/2015	00726301-03	Registered
CALAMOS INVESTMENT TR CALAMOS GLOBAL CONVERTIBLE FUND CLASS I SHARES	MILWAUKEE, WI	1/2/2015	00726300-03	Registered

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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
CALAMOS INVESTMENT TR CALAMOS GLOBAL CONVERTIBLE FUND CLASS R SHARES	MILWAUKEE, WI	1/2/2015	00726299-03	Registered
CALAMOS INVESTMENT TR CALAMOS HEDGED EQUITY INCOME FUND CLASS C SHARES	MILWAUKEE, WI	1/2/2015	00726303-03	Registered
CALAMOS INVESTMENT TR CALAMOS HEDGED EQUITY INCOME FUND CLASS A SHARES	MILWAUKEE, WI	1/2/2015	00726304-03	Registered
CALAMOS INVESTMENT TR CALAMOS HEDGED EQUITY INCOME FUND CLASS I SHARES	MILWAUKEE, WI	1/2/2015	00726305-03	Registered
CALAMOS INVESTMENT TR CALAMOS HEDGED EQUITY INCOME FUND CLASS R SHARES	MILWAUKEE, WI	1/2/2015	00726306-03	Registered
DIAMOND HILL FUNDS DIAMOND HILL RESEARCH OPPORTUNITIES FUND CLASS C	COLUMBUS, OH	1/2/2015	00726239-03	Registered
FUNDVANTAGE TR GOTHAM ENHANCED 500 FUND INSTITUTIONAL CLASS SHARES	WILMINGTON, DE	1/2/2015	00726240-03	Registered
FUNDVANTAGE TR POLEN GLOBAL GROWTH FUND INSTITUTIONAL CLASS	WILMINGTON, DE	1/2/2015	00726241-03	Registered
FUNDVANTAGE TR WHV ACUITY TACTICAL CREDIT LONG SHORT FUND CLASS I SHARES	WILMINGTON, DE	1/2/2015	00726243-03	Registered
FUNDVANTAGE TR WHV ACUITY TACTICAL CREDIT LONG SHORT FUND CLASS A SHARES	WILMINGTON, DE	1/2/2015	00726242-03	Registered

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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
HCIM TR HATTERAS DISCIPLINED OPPORTUNITY FUND CLASS A	MILWAUKEE, WI	1/2/2015	00726295-03	Registered
INTREPID CAPITAL MANAGEMENT FUNDS TR INTREPID INTERNATIONAL FUND INVESTOR CLASS	MILWAUKEE, WI	1/2/2015	00726307-03	Registered
INVESTMENT MANAGERS SERIES TR ARISTOTLE STRATEGIC CREDIT FUND	MILWAUKEE, WI	1/2/2015	00726298-03	Registered
KEELEY FUNDS INC KEELEY INTERNATIONAL SMALL CAP VALUE FUND INVESTOR CLASS A SHARES	MILWAUKEE, WI	1/2/2015	00726308-03	Registered
KEELEY FUNDS INC KEELEY INTERNATIONAL SMALL CAP VALUE FUND INSTITUTIONAL CLASS I SHARES	MILWAUKEE, WI	1/2/2015	00726309-03	Registered
LAZARD FUNDS INC LAZARD ENHANCED OPPORTUNITIES PORTFOLIO INSTITUTIONAL SHARES	NEW YORK, NY	1/2/2015	00726321-03	Pending-Cleared
LAZARD FUNDS INC LAZARD ENHANCED OPPORTUNITIES PORTFOLIO OPEN SHARES	NEW YORK, NY	1/2/2015	00726320-03	Pending-Cleared
MANAGED PORTFOLIO SERIES TORRAY RESOLUTE SMALL MID CAP GROWTH FUND INVESTOR CLASS SHARES	MILWAUKEE, WI	1/2/2015	00726296-03	Registered
MANAGED PORTFOLIO SERIES TORRAY RESOLUTE SMALL MID CAP GROWTH FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	1/2/2015	00726297-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC EMERGING MARKETS LEADERS PORTFOLIO CLASS A	NEW YORK, NY	1/2/2015	00726323-03	Registered

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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
MORGAN STANLEY INSTITUTIONAL FUND INC EMERGING MARKETS LEADERS PORTFOLIO CLASS IS	NEW YORK, NY	1/2/2015	00726322-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC EMERGING MARKETS LEADERS PORTFOLIO CLASS I	NEW YORK, NY	1/2/2015	00726324-03	Registered
NEW ALTERNATIVES FUND NEW ALTERNATIVES FUND INVESTOR SHARES	MELVILLE, NY	1/2/2015	00726244-03	Registered
OAKTREE FUNDS OAKTREE EMERGING MARKETS EQUITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/2/2015	00726316-03	Registered
OAKTREE FUNDS OAKTREE EMERGING MARKETS EQUITY FUND ADVISOR CLASS	MILWAUKEE, WI	1/2/2015	00726317-03	Registered
OAKTREE FUNDS OAKTREE HIGH YIELD BOND FUND ADVISOR CLASS	MILWAUKEE, WI	1/2/2015	00726315-03	Registered
OAKTREE FUNDS OAKTREE HIGH YIELD BOND FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/2/2015	00726314-03	Registered
PROFESSIONALLY MANAGED PORTFOLIOS ROTHSCHILD US LARGE CAP VALUE FUND INVESTOR CLASS	MILWAUKEE, WI	1/2/2015	00726287-03	Registered
PROFESSIONALLY MANAGED PORTFOLIOS ROTHSCHILD US LARGE CAP CORE FUND INVESTOR CLASS	MILWAUKEE, WI	1/2/2015	00726288-03	Registered
PROFESSIONALLY MANAGED PORTFOLIOS ROTHSCHILD US SMALL CAP CORE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/2/2015	00726286-03	Registered
PROFESSIONALLY MANAGED PORTFOLIOS ROTHSCHILD US SMALL CAP VALUE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/2/2015	00726289-03	Registered

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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
PROFESSIONALLY MANAGED PORTFOLIOS ROTHSCHILD US SMALL CAP GROWTH FUND INVESTOR CLASS	MILWAUKEE, WI	1/2/2015	00726290-03	Registered
PROFESSIONALLY MANAGED PORTFOLIOS ROTHSCHILD US SMALL MID CAP CORE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/2/2015	00726285-03	Registered
TR FOR ADVISED PORTFOLIOS THOMAS CROWN GLOBAL LONG SHORT EQUITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/2/2015	00726310-03	Registered
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 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
NUVEEN MUNICIPAL TR NUVEEN STRATEGIC MUNICIPAL OPPORTUNITIES FUND CLASS C	CHIGACO, IL	12/30/2014	00725793-03	Registered
RBB FUND INC CAMPBELL CORE TREND FUND INSTITUTIONAL SHARES	WILMINGTON, DE	12/30/2014	00725795-03	Registered
ARBITRAGE FUNDS ARBITRAGE TACTICAL EQUITY FUND CLASS A	NEW YORK, NY	12/29/2014	00725738-03	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
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
FT 5184 SABRIENT DEFENSIVE EQUITY PORTFOLIO SERIES 2	WHEATON, IL	12/29/2014	00726236-05	Registered
FT 5199 GLOBAL AGRICULTURE PORTFOLIO SERIES 30	WHEATON, IL	12/29/2014	00726234-05	Registered
FT 5236 PREFERRED INCOME PORTFOLIO SERIES 71	WHEATON, IL	12/29/2014	00726235-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1264 DOW 10 PORTFOLIO SERIES 20	LISLE, IL	12/29/2014	00726232-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1264 GLOBAL DOW 30 PORTFOLIO SERIES 8	LISLE, IL	12/29/2014	00726226-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1264 GUGGENHEIM INTERNATIONAL DIVIDEND STRATEGY PORTFOLIO SERIES 26	LISLE, IL	12/29/2014	00726228-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1264 QUALITY DIVIDEND STRATEGY PORTFOLIO SERIES 11	LISLE, IL	12/29/2014	00726229-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1264 ZACKS RANK STRONG BUY 50 STRATEGY PORTFOLIO SERIES 2	LISLE, IL	12/29/2014	00726230-05	Registered

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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
JPMORGAN TR 1 JPMORGAN GLOBAL UNCONSTRAINED EQUITY FUND CLASS R5 SHARES	NEW YORK, NY	12/29/2014	00726222-03	Registered
JPMORGAN TR 1 JPMORGAN GLOBAL UNCONSTRAINED EQUITY FUND CLASS C SHARES	NEW YORK, NY	12/29/2014	00726221-03	Registered
JPMORGAN TR 1 JPMORGAN GLOBAL UNCONSTRAINED EQUITY FUND CLASS A SHARES	NEW YORK, NY	12/29/2014	00726220-03	Registered
JPMORGAN TR 1 JPMORGAN GLOBAL UNCONSTRAINED EQUITY FUND SELECT CLASS SHARES	NEW YORK, NY	12/29/2014	00726224-03	Registered
JPMORGAN TR 1 JPMORGAN GLOBAL UNCONSTRAINED EQUITY FUND CLASS R6 SHARES	NEW YORK, NY	12/29/2014	00726223-03	Registered
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

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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
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 ADMINSTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725750-03	Registered
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 ADMINSTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725768-03	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 CLASS A	NEWPORT BEACH, CA	12/29/2014	00725754-03	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 ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725758-03	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 INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725755-03	Registered
PIMCO EQUITY SERIES PIMCO REALPATH BLEND 2045 FUND ADMINSTRATIVE CLASS	NEWPORT BEACH, CA	12/29/2014	00725766-03	Registered

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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
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
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 INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725767-03	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 CLASS A	NEWPORT BEACH, CA	12/29/2014	00725763-03	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 INSTITUTIONAL CLASS	NEWPORT BEACH, CA	12/29/2014	00725743-03	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

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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
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
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
PRICE T ROWE INTERNATIONAL FUNDS INC PTR GLOBAL HIGH INCOME BOND FUND ADVISOR CLASS	BALTIMORE, MD	12/29/2014	00726237-03	Pending-Cleared
PRICE T ROWE INTERNATIONAL FUNDS INC PTR GLOBAL HIGH INCOME BOND FUND	BALTIMORE, MD	12/29/2014	00726238-03	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
SMART TR ARGUS SELECT 30 EQUITY TOTAL RETURN TR SERIES 3	PARISIPPANY, NJ	12/29/2014	00726233-05	Registered
TRANSAMERICA FUNDS TRANSAMERICA INTERNATIONAL EQUITY CLASS I2 SHARES	ST PETERSBURG, FL	12/29/2014	00726219-03	Registered
TSC UITS 9 TSC DOW STRATEGIC 10 PORTFOLIO 1Q 2015	BOSTON, MA	12/29/2014	00726227-05	Registered
TSC UITS 9 TSC SABRIENT EARNINGS ADVANTAGE PORTFOLIO 1Q 2015	BOSTON, MA	12/29/2014	00726225-05	Registered
TSC UITS 9 TSC ZACKS DIVIDEND LEADERS PORTFOLIO 1Q 2015	BOSTON, MA	12/29/2014	00726231-05	Registered
Number of Investment Company Filings: 238				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CLEARLETTE INTERNATIONAL LLC	RONKONKOMA, NY	1/8/2015	00726572-07	Filed
7 HILLS CAPITAL PARTNERS LP	RICHMOND, VA	1/7/2015	00726583-07	Filed
INDINAPOLIS MULTIFAMILY DST	OAK BROOK, IL	1/7/2015	00726578-07	Filed
JACKSONVILLE MULTIFAMILY DST	HINSDALE, IL	1/7/2015	00726584-07	Filed
OLD WESTBURY PRIVATE EQUITY FUND 13	NEW YORK, NY	1/7/2015	00726577-07	Filed
CRESTVIEW 3 PRIVATE INVESTORS LLC	NEW YORK, NY	1/6/2015	00726570-07	Filed
ROYAL ROAD MINERALS CANADA LTD	CALGARY, AB	1/6/2015	00726569-07	Filed

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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
WELLBE INC	MADISON, WI	1/5/2015	00726530-07	Filed
FRANCISCO PARTNERS 4 LP	SAN FRANCISCO, CA	1/2/2015	00726279-07	Filed
GMI PINE HILL CROSSING LP	DALLAS, TX	1/2/2015	00726318-07	Filed
HGGC FUND 2 LP	E PALO ALTO, CA	1/2/2015	00726280-07	Filed
IGT COINVESTMENT LLC	SCOTTSDALE, AZ	1/2/2015	00726278-07	Filed
LOVELL MINNICK EQUITY PARTNERS 4 LP	RADNOR, PA	1/2/2015	00726281-07	Filed
STRATEGIC STORAGE GROWTH TR INC	LADERA RANCH, CA	1/2/2015	00726319-07	Filed
LKC TECHNOLOGIES INC	GAITHERSBURG, MD	12/30/2014	00726277-07	Filed
SRG TECHNOLOGY LLC	FORT LAUDERDALE, FL	12/29/2014	00726218-07	Filed
Number of Regulation D Notice Filings: 16				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Jack in the Box Inc. / Jack in the Box	San Diego, CA	1/9/2015	608619	Registered
Nurse Next Door Home Healthcare Services (USA) Inc. / Nurse Next Door	Vancouver, BC	1/9/2015	608618	Registered
Fyzical, LLC / Fyzical	Sarasota, FL	1/8/2015	608615	Registered
Tailored Living, LLC / Tailored Living	Orange, CA	1/5/2015	608605	Registered
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

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
SP FRANCHISING, INC. / THE SIGN POST	Elgin, IL	12/29/2014	608582	Registered
AMERISOURCEBERGEN DRUG CORP / Good Neighbor Pharmacy Premier Agreement	CHESTERBROOK, PA	12/29/2014	608611	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	