

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/5/2015 through 1/16/2015**

<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>
WILDERMUTH ENDOWMWNT STRATEGY FUND	ALPHARETTA, GA	1/9/2015	00726643-01	Pending
<b>Number of Registration Filings: 1</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>
GRACE CHRISTIAN CHURCH	STERLING HEIGHTS, MI	1/6/2015	00726571-10	Not Disallowed
<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>
PFS FUNDS BRETTON FUND	EL CAJON, CA	1/13/2015	00726701-03	Registered
ADVISORS DISCIPLINED TR 1341 GLOBAL GOLD INCOME PORTFOLIO SERIES 2015 1Q SMC PORTFOLIO	MONUMENT, CO	1/9/2015	00726670-05	Registered
ADVISORS DISCIPLINED TR 1342 GLOBAL TECHNOLOGY PORTFOLIO SERIES 2015 1	MONUMENT, CO	1/9/2015	00726666-05	Registered
ADVISORS DISCIPLINED TR 1343 NASDAQ Q 50 INDEXSM PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	1/9/2015	00726665-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1344 COMPELLING VALUES PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	1/9/2015	00726668-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1345 BRAND FAVORITES FOCUS PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	1/9/2015	00726671-05	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ADVISORS DISCIPLINED TR 1346 GLOBAL DIVIDEND STRATEGY PORTFOLIO SERIES 2015 1Q HIMCO PORTFOLIO	MONUMENT, CO	1/9/2015	00726675-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1347 GLOBAL COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO 15 MONTH SERIES 2015 1Q	MONUMENT, CO	1/9/2015	00726674-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1348 TACTICAL INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2015 1Q	MONUMENT, CO	1/9/2015	00726669-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1349 BALANCED PORTFOLIO 15 MONTH SERIES 2015 1Q	MONUMENT, CO	1/9/2015	00726672-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1350 ANGELS PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	1/9/2015	00726673-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1351 DIVIDEND RULER PORTFOLIO SERIES 2015A	MONUMENT, CO	1/9/2015	00726696-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1352 STRATEGIC HIGH 50 Q 50 DIVIDEND & GROWTH PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	1/9/2015	00726690-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1353 SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2015 1Q	MONUMENT, CO	1/9/2015	00726691-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1354 BRIC ADVANTAGE PORTFOLIO SERIES 2015 1	MONUMENT, CO	1/9/2015	00726694-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1355 HIGH YIELD & INCOME CLOSED END PORTFOLIO SERIES 2015 1	MONUMENT, CO	1/9/2015	00726695-05	Pending-Cleared

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ADVISORS DISCIPLINED TR 1356 DIVIDEND RULER COVERED CALL PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	1/9/2015	00726693-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1363 BEST IDEAS STRATEGY PORTFOLIO SERIES 2015 1Q HIMCO PORTFOLIO	MONUMENT, CO	1/9/2015	00726667-05	Pending-Cleared
ALTMFX TR NP STRATEGIC MUNICIPAL FUND INSTITUTIONAL SHARES	PORTLAND, ME	1/9/2015	00726652-03	Pending-Cleared
ALTMFX TR NP STRATEGIC MUNICIPAL FUND INVESTOR SHARES	PORTLAND, ME	1/9/2015	00726651-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1265 MULTIPLE ASSET PORTFOLIO SERIES 52	LISLE, IL	1/9/2015	00726678-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1265 STRATEGIC INCOME PORTFOLIO SERIES 91	LISLE, IL	1/9/2015	00726677-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1265 STRATEGIC INCOME PORTFOLIO 15 MONTH SERIES 82	LISLE, IL	1/9/2015	00726676-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1267 GUGGENHEIM US HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 15	LISLE, IL	1/9/2015	00726688-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1267 GUGGENHEIM US SMID HIGH DIVIDEND PORTFOLIO SERIES 15	LISLE, IL	1/9/2015	00726689-05	Pending-Cleared
INCAPITAL UNIT TR SERIES 68 NUVEEN 2015 EQUITY OUTLOOK PORTFOLIO	CHICAGO, IL	1/9/2015	00726679-05	Registered

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MONEY MARKET OBLIGATIONS TR FEDERATED GOVERNMENT OBLIGATIONS FUND PREMIER SHARES	WARRENDALE, PA	1/9/2015	00726653-03	Registered
STERLING CAPITAL FUNDS STERLING CAPITAL LARGE CAP VALUE DIVERSIFIED FUND CLASS C SHARES	RALEIGH, NC	1/9/2015	00726657-03	Registered
TSC UITS 10 TSC HERZFELD ENHANCED DIVIDEND INCOME CLOSED END PORTFOLIO 1Q 2015	BOSTON, MA	1/9/2015	00726692-05	Pending-Cleared
TSC UITS 10 TSC HERZFELD MUNICIPAL INCOME CLOSED END PORTFOLIO 1Q 2015	BOSTON, MA	1/9/2015	00726697-05	Pending-Cleared
FT 5155 LADENBURG THALMANN HIGH INCOME PORTFOLIO SERIES	WHEATON, IL	1/8/2015	00726608-05	Registered
FT 5214 DIVIDEND GROWTH PORTFOLIO SERIES 8	WHEATON, IL	1/8/2015	00726641-05	Registered
FT 5216 EUROPEAN TARGET HIGH QUALITY DIVIDEND PORTFOLIO SERIES 4	WHEATON, IL	1/8/2015	00726607-05	Registered
FT 5218 INCOME ALLOCATION CLOSED END JAN 15	WHEATON, IL	1/8/2015	00726636-05	Registered
FT 5219 DOW TARGET 10 JAN 15 TERM 2 9 16	WHEATON, IL	1/8/2015	00726606-05	Registered
FT 5220 DOW TARGET 5 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726627-05	Registered
FT 5220 DOW TARGET DVD 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726626-05	Registered
FT 5220 GLOBAL TARGET 15 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726625-05	Registered
FT 5220 S&P TARGET 24 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726624-05	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
FT 5220 S&P TARGET SMID 60 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726621-05	Registered
FT 5220 TARGET DBL PLAY 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726622-05	Registered
FT 5220 TARGET DIVSD DVD 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726619-05	Registered
FT 5220 TARGET DVD MULTI STRAT 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726623-05	Registered
FT 5220 TARGET FOCUS 4 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726620-05	Registered
FT 5220 TARGET GLOBAL DVD LEADERS 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726616-05	Registered
FT 5220 TARGET GROWTH 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726614-05	Registered
FT 5220 TARGET TRIAD 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726617-05	Registered
FT 5220 TARGET VIP 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726618-05	Registered
FT 5220 VALUE LINE TARGET 25 1Q 15 TERM 4 8 16	WHEATON, IL	1/8/2015	00726615-05	Registered
FT 5221 SABRIENT BAKERS DOZEN PORTFOLIO 2015 SERIES	WHEATON, IL	1/8/2015	00726605-05	Pending-Cleared
FT 5222 BOFA MERRILL LYNCH 10 STOCKS 2015 PORTFOLIO	WHEATON, IL	1/8/2015	00726628-05	Registered
FT 5225 DEEP VALUE DIVIDEND PORTFOLIO SERIES 5	WHEATON, IL	1/8/2015	00726632-05	Registered
FT 5228 DIVERSIFIED FIXED INCOME ETF PORTFOLIO SERIES 21	WHEATON, IL	1/8/2015	00726633-05	Registered

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FT 5257 US EQUITY CLOSED END PORTFOLIO SERIES 15	WHEATON, IL	1/8/2015	00726630-05	Registered
FT 5259 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 47	WHEATON, IL	1/8/2015	00726634-05	Registered
FT 5261 BALANCED INCOME SELECT PORTFOLIO SERIES 50	WHEATON, IL	1/8/2015	00726631-05	Registered
FT 5262 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 42	WHEATON, IL	1/8/2015	00726635-05	Registered
JANUS INVESTMENT FUND JANUS GLOBAL UNCONSTRAINED BOND FUND CLASS R SHARES	DENVER, CO	1/8/2015	00726597-03	Pending-Cleared
SMART TR ZACKS GARP COMPOSITE 35 TR SERIES 4	PARSIPPANY, NJ	1/8/2015	00726629-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1340 ENHANCED EQUITY INCOME PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	1/7/2015	00726575-05	Registered
ADVISORS DISCIPLINED TR 1357 BLUE CHIP COVERED CALL PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	1/7/2015	00726579-05	Registered
FT 5217 DIVERSIFIED EQUITY STRATEGIC ALLOCATION PORT 1Q 15 TERM 4 15 16	WHEATON, IL	1/7/2015	00726576-05	Registered
FT 5230 STRATEGIC INCOME SELECT CLOSED END PORTFOLIO SERIES 21	WHEATON, IL	1/7/2015	00726574-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1274 VICKREY BROWN DOUBLE DOZEN STRATEGY PORTFOLIO SERIES 1	LISLE, IL	1/7/2015	00726580-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1286 GUGGENHEIM ABC HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 18	LISLE, IL	1/7/2015	00726581-05	Registered
INCAPITAL UNIT TR SERIES 67 INCAPITAL MORNINGSTAR WIDE MOAT PORTFOLIO 1Q 2015	CHICAGO, IL	1/7/2015	00726582-05	Registered
ADVISORS INNER CIRCLE FUND 3 LOGAN CIRCLE PARTNERS CORE PLUS FUND I CLASS SHARES	OAKS, PA	1/6/2015	00726413-03	Registered
ADVISORS INNER CIRCLE FUND 3 LOGAN CIRCLE PARTNERS CORE PLUS FUND R CLASS SHARES	OAKS, PA	1/6/2015	00726414-03	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 2055 FUND CLASS C	NEW YORK, NY	1/5/2015	00726403-03	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 C	NEW YORK, NY	1/5/2015	00726392-03	Registered

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ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2040 FUND CLASS A	NEW YORK, NY	1/5/2015	00726398-03	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 RETIREMENT ALLOCATION FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726340-03	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 2020 FUND CLASS I	NEW YORK, NY	1/5/2015	00726352-03	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 2030 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726372-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2035 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726384-03	Registered

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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 2030 FUND CLASS I	NEW YORK, NY	1/5/2015	00726374-03	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 2015 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726351-03	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 2025 FUND CLASS A	NEW YORK, NY	1/5/2015	00726360-03	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 2025 FUND CLASS C	NEW YORK, NY	1/5/2015	00726364-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT RETIREMENT ALLOCATION FUND CLASS I	NEW YORK, NY	1/5/2015	00726342-03	Registered

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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 2050 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726397-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2055 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726401-03	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 2040 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726386-03	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 RETIREMENT ALLOCATION FUND CLASS C	NEW YORK, NY	1/5/2015	00726338-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2010 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726349-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2015 FUND CLASS C	NEW YORK, NY	1/5/2015	00726359-03	Registered

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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 2035 FUND CLASS C	NEW YORK, NY	1/5/2015	00726380-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2050 FUND CLASS K	NEW YORK, NY	1/5/2015	00726393-03	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 2045 FUND CLASS K	NEW YORK, NY	1/5/2015	00726379-03	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 2020 FUND CLASS K	NEW YORK, NY	1/5/2015	00726354-03	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 2010 FUND CLASS A	NEW YORK, NY	1/5/2015	00726341-03	Registered

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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 2050 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726387-03	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 2025 FUND CLASS I	NEW YORK, NY	1/5/2015	00726366-03	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 2055 FUND CLASS K	NEW YORK, NY	1/5/2015	00726407-03	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 2055 FUND CLASS I	NEW YORK, NY	1/5/2015	00726405-03	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 2015 FUND CLASS A	NEW YORK, NY	1/5/2015	00726365-03	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 2040 FUND CLASS I	NEW YORK, NY	1/5/2015	00726388-03	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 2045 FUND CLASS I	NEW YORK, NY	1/5/2015	00726377-03	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 2045 FUND CLASS R	NEW YORK, NY	1/5/2015	00726381-03	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 2010 FUND CLASS I	NEW YORK, NY	1/5/2015	00726361-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2055 FUND CLASS R	NEW YORK, NY	1/5/2015	00726409-03	Registered

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<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 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 R	NEW YORK, NY	1/5/2015	00726390-03	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 CLASS K	NEW YORK, NY	1/5/2015	00726367-03	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 2040 FUND CLASS C	NEW YORK, NY	1/5/2015	00726408-03	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 2010 FUND ADVISOR CLASS	NEW YORK, NY	1/5/2015	00726343-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT RETIREMENT ALLOCATION FUND CLASS R	NEW YORK, NY	1/5/2015	00726337-03	Registered

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<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 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 2020 FUND CLASS Z	NEW YORK, NY	1/5/2015	00726358-03	Registered
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 2030 FUND CLASS R	NEW YORK, NY	1/5/2015	00726376-03	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 2040 FUND CLASS K	NEW YORK, NY	1/5/2015	00726400-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2035 FUND CLASS A	NEW YORK, NY	1/5/2015	00726378-03	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 K	NEW YORK, NY	1/5/2015	00726382-03	Registered
ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN MULTI MANAGER SELECT 2010 FUND CLASS R	NEW YORK, NY	1/5/2015	00726357-03	Registered

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<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>
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
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

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<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 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
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	Registered
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

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<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 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
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

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<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 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
SMART TR MORNINGSTAR DIVIDEND YIELD FOCUS TR SERIES 8	PARSIPPANY, NJ	1/5/2015	00726540-05	Registered

**Number of Investment Company Filings: 183**

<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>
CAROLINA BAYS RESORT HOLDINGS LLC	ATLANTA, GA	1/13/2015	00726702-07	Filed
FORD PARTNERS LP	HOUSTON, TX	1/13/2015	00726698-07	Filed
BUTTONWOOD ALPHA QP FUND LLC	NEW YORK, NY	1/12/2015	00726684-07	Filed
EXCELLIGENCE PARENT HOLDINGS LLC	LOS ANGELES, CA	1/12/2015	00726687-07	Filed
GOLUB CAPITAL PARTNERS 9 LP	CHICAGO, IL	1/12/2015	00726681-07	Filed
HUMM KOMBUCHA LLC	BEND, OR	1/12/2015	00726686-07	Filed
R7 PARTNERS FUND 1 LP	CHICAGO, IL	1/12/2015	00726685-07	Filed
RCPDIRECT 2 LP	CHICAGO, IL	1/12/2015	00726682-07	Filed
SNV WEST 6TH STREET INVESTORS LLC	ROYAL OAK, MI	1/12/2015	00726680-07	Filed
CLI CAPITAL	AMARILLO, TX	1/9/2015	00726642-07	Filed
MASSROOTS INC	DENVER, CO	1/9/2015	00726662-07	Filed
OPTIMINE SOFTWARE INC	MINNEAPOLIS, MN	1/9/2015	00726664-07	Filed
628 ASSOC LLC	MINNEAPOLIS, MN	1/8/2015	00726638-07	Filed

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<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	1/8/2015	00726611-07	Filed
CLEARETTE INTERNATIONAL LLC	RONKONKOMA, NY	1/8/2015	00726572-07	Filed
ENCAP ENERGY CAPITAL FUND 8 CO INVESTORS LP	HOUSTON, TX	1/8/2015	00726610-07	Filed
GARDEN LAKES ESTATES HOLDINGS LLC	ATLANTA, GA	1/8/2015	00726613-07	Filed
HAMPDEN AGENCIES LTD	LONDON, AA	1/8/2015	00726637-07	Filed
KITOTECH MEDICAL INC	MERCER ISLAND, WA	1/8/2015	00726609-07	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
WELLBE INC	MADISON, WI	1/5/2015	00726530-07	Filed
<b>Number of Regulation D Notice Filings: 26</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>
BIMBO FOODS BAKERIES DISTRIBUTION, LLC / Bimbo Foods Bakeries Distribution or BFBD	HORSHAM, PA	1/15/2015	608625	Registered

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<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>
Earthgrains Distribution, LLC / Earthgrains	Horsham, PA	1/15/2015	608624	Registered
Turfscape Franchise, Inc.	Dalton, GA	1/13/2015	608622	Registered
BeeHive Homes, Inc.	Boise, ID	1/12/2015	608620	Registered
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
VICTORY LANE QUICK OIL CHANGE INC / Victory Lane	Canton, MI	1/9/2015	608623	Registered
Fyzical, LLC / Fyzical	Sarasota, FL	1/8/2015	608615	Registered
Tailored Living, LLC / Tailored Living	Orange, CA	1/5/2015	608605	Registered
<b>Number of Franchise Filings: 9</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>	