

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/19/2015 through 1/30/2015**

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
POSTMEDIA NETWORK CANADA CORP	TORONTO, ON	1/21/2015	00727527-08	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 1365 ADVISORS CORPORATE TR HIGH YIELD BOND PORTFOLIO SERIES 16 HIMCO PORTFOLIO	MONUMENT, CO	1/27/2015	00727923-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1373 SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO 2 YR SERIES 2015 1	MONUMENT, CO	1/27/2015	00727924-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1271 GLOBAL COMMODITY PRODUCERS PORTFOLIO SERIES 3	LISLE, IL	1/27/2015	00727928-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1271 HEALTH CARE PORTFOLIO SERIES 18	LISLE, IL	1/27/2015	00727927-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1271 UTILITIES PORTFOLIO SERIES 21	LISLE, IL	1/27/2015	00727929-05	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
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1272 GLOBAL BALANCED INCOME BUILDER PORTFOLIO SERIES 5	LISLE, IL	1/27/2015	00727925-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1273 INCOME & TREASURY LTD DURATION PORTFOLIO OF FUNDS SERIES 41	LISLE, IL	1/27/2015	00727926-05	Pending-Cleared
COLUMBIA FUNDS SERIES TRI COLUMBIA ADAPTIVE ALTERNATIVES FUND CLASS R	BOSTON, MA	1/26/2015	00727912-03	Pending-Cleared
COLUMBIA FUNDS SERIES TRI COLUMBIA ADAPTIVE ALTERNATIVES FUND CLASS Y	BOSTON, MA	1/26/2015	00727916-03	Pending-Cleared
COLUMBIA FUNDS SERIES TRI COLUMBIA ADAPTIVE ALTERNATIVES FUND CLASS R4	BOSTON, MA	1/26/2015	00727909-03	Pending-Cleared
COLUMBIA FUNDS SERIES TRI COLUMBIA ADAPTIVE ALTERNATIVES FUND CLASS Z	BOSTON, MA	1/26/2015	00727913-03	Pending-Cleared
COLUMBIA FUNDS SERIES TRI COLUMBIA ADAPTIVE ALTERNATIVES FUND CLASS R5	BOSTON, MA	1/26/2015	00727911-03	Pending-Cleared
COLUMBIA FUNDS SERIES TRI COLUMBIA ADAPTIVE ALTERNATIVES FUND CLASS C	BOSTON, MA	1/26/2015	00727915-03	Pending-Cleared
COLUMBIA FUNDS SERIES TRI COLUMBIA ADAPTIVE ALTERNATIVES FUND CLASS A	BOSTON, MA	1/26/2015	00727910-03	Pending-Cleared
COLUMBIA FUNDS SERIES TRI COLUMBIA ADAPTIVE ALTERNATIVES FUND CLASS W	BOSTON, MA	1/26/2015	00727914-03	Pending-Cleared
DREYFUS STOCK FUNDS DREYFUS INTERNATIONAL SMALL CAP FUND CLASS C	NEW YORK, NY	1/26/2015	00727918-03	Registered
DREYFUS STOCK FUNDS DREYFUS INTERNATIONAL SMALL CAP FUND CLASS I	NEW YORK, NY	1/26/2015	00727919-03	Registered

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Firm Name	Location	Date Received	File Number	Status
DREYFUS STOCK FUNDS DREYFUS INTERNATIONAL SMALL CAP FUND CLASS A	NEW YORK, NY	1/26/2015	00727917-03	Registered
DREYFUS STOCK FUNDS DREYFUS INTERNATIONAL SMALL CAP FUND CLASS Y	NEW YORK, NY	1/26/2015	00727920-03	Registered
NUVEEN INVESTMENT TR 3 NUVEEN SYMPHONY FLOATING RATE INCOME FUND CLASS R6	CHIGACO, IL	1/26/2015	00727921-03	Registered
SUNAMERICA EQUITY FUNDS SUNAMERICA INTERNATIONAL DIVIDEND STRATEGY FUND CLASS W	JERSEY CITY, NJ	1/26/2015	00727907-03	Registered
SUNAMERICA INCOME FUNDS SUNAMERICA STRATEGIC BOND FUND CLASS W	JERSEY CITY, NJ	1/26/2015	00727908-03	Registered
FT 5248 DORSEY WRIGHT RELATIVE STRENGTH TOP 50 SERIES 17	WHEATON, IL	1/23/2015	00727723-05	Pending-Cleared
FT 5250 CYCLICAL STRENGTH PORTFOLIO SERIES 8	WHEATON, IL	1/23/2015	00727722-05	Pending-Cleared
FT 5266 BIOTECHNOLOGY PORTFOLIO SERIES 27	WHEATON, IL	1/23/2015	00727725-05	Pending-Cleared
FT 5267 INVESTMENT GRADE SELECT CLOSED END PORTFOLIO SERIES 52	WHEATON, IL	1/23/2015	00727724-05	Pending-Cleared
FT 5290 MLP CLOSED END PORTFOLIO SERIES 4	WHEATON, IL	1/23/2015	00727721-05	Pending-Cleared
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS A	IRVINE, CA	1/22/2015	00727514-03	Registered
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS B	IRVINE, CA	1/22/2015	00727515-03	Registered

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Firm Name	Location	Date Received	File Number	Status
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS C	IRVINE, CA	1/22/2015	00727516-03	Registered
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS F 1	IRVINE, CA	1/22/2015	00727518-03	Registered
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS F 2	IRVINE, CA	1/22/2015	00727522-03	Registered
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R 1	IRVINE, CA	1/22/2015	00727520-03	Registered
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R 2	IRVINE, CA	1/22/2015	00727524-03	Registered
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R 2E	IRVINE, CA	1/22/2015	00727517-03	Registered
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R 3	IRVINE, CA	1/22/2015	00727519-03	Registered
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R 4	IRVINE, CA	1/22/2015	00727521-03	Registered
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R 5	IRVINE, CA	1/22/2015	00727523-03	Registered
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R 6	IRVINE, CA	1/22/2015	00727525-03	Registered
ASPIRATION FUNDS ASPIRATION FLAGSHIP FUND	ROCKY MOUNT, NC	1/22/2015	00727526-03	Registered
ADVISORS DISCIPLINED TR 1360 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 92	MONUMENT, CO	1/21/2015	00727671-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
CALVERT FUND CALVERT LONG TERM INCOME FUND CLASS I	BETHESDA, MD	1/21/2015	00727668-03	Pending-Cleared
FORWARD FUNDS FORWARD DYNAMIC INCOME FUND INVESTOR CLASS	SAN FRANCISCO, CA	1/21/2015	00727438-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1269 GUGGENHEIM BALANCED INCOME BUILDER PORTFOLIO SERIES 10	LISLE, IL	1/21/2015	00727669-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1270 US 50 DIVIDEND STRATEGY PORTFOLIO SERIES 3	LISLE, IL	1/21/2015	00727670-05	Pending-Cleared
JPMORGAN TR 1 JPMORGAN OPPORTUNISTIC EQUITY LONG SHORT FUND CLASS R2 SHARES	NEW YORK, NY	1/21/2015	00727575-03	Registered
JPMORGAN TR 1 JPMORGAN OPPORTUNISTIC EQUITY LONG SHORT FUND SELECT CLASS SHARES	NEW YORK, NY	1/21/2015	00727606-03	Registered
JPMORGAN TR 1 JPMORGAN OPPORTUNISTIC EQUITY LONG SHORT FUND CLASS A SHARES	NEW YORK, NY	1/21/2015	00727576-03	Registered
JPMORGAN TR 1 JPMORGAN OPPORTUNISTIC EQUITY LONG SHORT FUND CLASS R6 SHARES	NEW YORK, NY	1/21/2015	00727609-03	Registered
JPMORGAN TR 1 JPMORGAN OPPORTUNISTIC EQUITY LONG SHORT FUND CLASS R5 SHARES	NEW YORK, NY	1/21/2015	00727574-03	Registered
JPMORGAN TR 1 JPMORGAN OPPORTUNISTIC EQUITY LONG SHORT FUND CLASS C SHARES	NEW YORK, NY	1/21/2015	00727603-03	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
RIDGE WORTH FUNDS SEIX FLOATING RATE HIGH INCOME FUND IS SHARES	ATLANTA, GA	1/21/2015	00727594-03	Pending-Cleared
1ST TR COMBINED SERIES 468 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO 10 20 YEAR SERIES 16	WHEATON, IL	1/20/2015	00727542-05	Registered
1ST TR COMBINED SERIES 470 TX EX MUNICIPAL INCOME TR 10 20 YEAR SERIES 16	WHEATON, IL	1/20/2015	00727549-05	Registered
ADVISERS INVESTMENT TR VONTOBEL GLOBAL EQUITY INSTITUTIONAL FUND CLASS I SHARES	COLUMBUS, OH	1/20/2015	00727429-03	Registered
ADVISERS INVESTMENT TR VONTOBEL INTERNATIONAL EQUITY INSTITUTIONAL FUND CLASS I SHARES	COLUMBUS, OH	1/20/2015	00727430-03	Registered
CHARLES SCHWAB FAMILY OF FUNDS SCHWAB GOVERNMENT MONEY FUND PURCHASED SHARES	SAN FRANCISCO, CA	1/20/2015	00727423-03	Registered
FT 5223 TAX ADVANTAGED MUNICIPAL CLOSED END PORTFOLIO SERIES 42	WHEATON, IL	1/20/2015	00727548-05	Pending-Cleared
FT 5235 SELECT DSIP PORTFOLIO 1ST QUARTER 2015 SERIES	WHEATON, IL	1/20/2015	00727540-05	Registered
FT 5239 DIVIDEND INCOME PLUS PORTFOLIO SERIES 17	WHEATON, IL	1/20/2015	00727544-05	Registered
FT 5240 NORTH AMERICAN SHALE PORTFOLIO SERIES 9	WHEATON, IL	1/20/2015	00727541-05	Pending-Cleared
FT 5251 RICHARD BERNSTEIN ADVISORS VALUE 25 SERIES 2	WHEATON, IL	1/20/2015	00727543-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FT 5260 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 96	WHEATON, IL	1/20/2015	00727546-05	Registered
FT 5268 INTEREST RATE HEDGE PORTFOLIO SERIES 92	WHEATON, IL	1/20/2015	00727547-05	Pending-Cleared
FT 5269 SABRIENT BAKERS DOZEN PORTFOLIO 2015 SERIES B	WHEATON, IL	1/20/2015	00727545-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1223 INSURED MUNICIPALS INCOME TR SERIES 678	DOWNERS GROVE, IL	1/20/2015	00727533-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1224 INSURED MUNICIPALS INCOME TR SERIES 679	DOWNERS GROVE, IL	1/20/2015	00727532-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1225 INVESTMENT GRADE MUNICIPAL TR 20 PLUS YEAR SERIES 179	DOWNERS GROVE, IL	1/20/2015	00727534-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1226 INVESTMENT GRADE MUNICIPAL TR 20 PLUS YEAR SERIES 180	DOWNERS GROVE, IL	1/20/2015	00727535-05	Pending-Cleared
INVESCO UNIT TR SERIES 1505 BUYBACK LEADERS PORTFOLIO 2015 1	DOWNERS GROVE, IL	1/20/2015	00727531-05	Pending-Cleared
INVESCO UNIT TR SERIES 1515 BOFA MERRILL LYNCH GLOBAL WATER PICKS PORTFOLIO SERIES 2	DOWNERS GROVE, IL	1/20/2015	00727530-05	Registered
INVESCO UNIT TR SERIES 1525 BIG DEBATES 2015 PORTFOLIO	DOWNERS GROVE, IL	1/20/2015	00727529-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 495 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 51	DOWNERS GROVE, IL	1/20/2015	00727539-05	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
INVESCO UNIT TR TAXABLE INCOME SERIES 496 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 52	DOWNERS GROVE, IL	1/20/2015	00727538-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 497 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 60	DOWNERS GROVE, IL	1/20/2015	00727537-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 498 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 61	DOWNERS GROVE, IL	1/20/2015	00727536-05	Pending-Cleared
NUVEEN INVESTMENT FUNDS INC NUVEEN CORE BOND FUND CLASS R6	CHIGACO, IL	1/20/2015	00727424-03	Registered
NUVEEN INVESTMENT FUNDS INC NUVEEN CORE PLUS BOND FUND CLASS R6	CHIGACO, IL	1/20/2015	00727425-03	Registered
NUVEEN INVESTMENT FUNDS INC NUVEEN INFLATION PROTECTED SECURITIES FUND CLASS R6	CHIGACO, IL	1/20/2015	00727427-03	Registered
NUVEEN INVESTMENT FUNDS INC NUVEEN SHORT TERM BOND FUND CLASS R6	CHIGACO, IL	1/20/2015	00727426-03	Registered
NUVEEN INVESTMENT FUNDS INC NUVEEN STRATEGIC INCOME FUND CLASS R6	CHIGACO, IL	1/20/2015	00727428-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 3 PRUDENTIAL REAL ASSETS FUND CLASS Q	NEWARK, NJ	1/20/2015	00727422-03	Pending-Cleared
Number of Investment Company Filings: 82				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ARMUNE BIOSCIENCE INC	KALAMAZOO, MI	1/23/2015	00727740-07	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
BAMBOO ECOLOGIC CORP	PAHOA, HI	1/23/2015	00727741-07	Filed
GLOBAL CURRENCY RESERVE LP	CARY, IL	1/23/2015	00727743-07	Filed
PEOPLEJAR INC	PHOENIX, AZ	1/23/2015	00727744-07	Filed
CEPHEA VALVE TECHNOLOGIES INC	SAN JOSE, CA	1/21/2015	00727528-07	Filed
INNOVATIONAL FUNDING LLC	NEW YORK, NY	1/21/2015	00727673-07	Filed
MJIC INC	LAKE FOREST, CA	1/21/2015	00727623-07	Filed
MV EI FUND 2 LLC	AUSTIN, TX	1/21/2015	00727637-07	Filed
ABLATIVE SOLUTIONS INC	FAIR HAVEN, NJ	1/20/2015	00727459-07	Filed
AVIANT HEALTHCARE LLC	MESA, AZ	1/20/2015	00727456-07	Filed
FUNDRISE INVESTMENTS 15 LLC	WASHINGTON, DC	1/20/2015	00727457-07	Filed
FUNDRISE INVESTMENTS 17 LLC	WASHINGTON, DC	1/20/2015	00727458-07	Filed
Number of Regulation D Notice Filings: 12				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
JDog Franchises, LLC / J Dog junk Removal & Hauling	Berwyn, PA	1/29/2015	608659	Registered
KONO USA LLC / KONO PIZZA	Manalapan, NJ	1/29/2015	608657	Registered
BrightStar Senior Living Franchising, LLC / BrightStar Senior Living	Gurnee, IL	1/28/2015	608656	Registered
MATCAL INC / Wings Over	Westfield, MA	1/28/2015	608655	Registered
Absolute Results Training Systems, Inc.	Surrey, BC	1/28/2015	608654	Registered
Pizzeria Uno Corporation / Uno Chicago Grill and Uno Due Go	West Roxbury, MA	1/28/2015	608653	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Happy Joe's Franchising, Inc. / Bolt On	Bettendorf, IA	1/28/2015	608664	Registered
Little Sunshine's Enterprises, Inc. / Little Sunshine's Playhouse & Preschool	Springfield, MO	1/28/2015	608667	Registered
Integrity Brands, LLC / Uncle Maddio's Pizza Joint	Atlanta, GA	1/27/2015	608642	Registered
Safeguard Franchise Sales, Inc. / Safeguard	Dallas, TX	1/27/2015	608662	Registered
MidiCi Group LLC / MIDICI	Encino, CA	1/26/2015	608640	Registered
Houlihan's Restaurants, Inc. / J. Gilbert's Wood-Fired Steaks & Seafood	Leawood, KS	1/26/2015	608639	Registered
HOULIHAN'S RESTAURANTS, INC	LEAWOOD, KS	1/26/2015	608638	Registered
BTS Franchise LLC / Bounce! Trampoline Sports	Cottage Valley, NY	1/26/2015	608651	Registered
COLOR ME MINE FRANCHISING INC / Color Me Mine	Glendale, CA	1/26/2015	608660	Registered
HBH FRANCHISE CO LLC / HoneyBaked Ham and The Honey Baked Ham Co. and Cafe	Alphretta, GA	1/26/2015	608649	Registered
Town Planner Franchising, Inc. / Town Planner	Richfield, OH	1/23/2015	608634	Registered
Happy Joe's Franchising, Inc. / Happy Joes Pizza and Ice Cream Parlor	Bettendorf, IA	1/23/2015	608647	Registered
HOA Franchising, LLC / Hooters	Atlanta, GA	1/23/2015	608648	Registered
STORM GUARD FRANCHISE SYSTEMS, LLC / Storm Guard	Fort Worth, TX	1/23/2015	608646	Registered
Mr. Bamboo Franchise, Inc. / Mr. Bamboo	Bensenville, IL	1/21/2015	608632	Registered
5 STAR PAINTING INC / Five Star Panting	Waco, TX	1/21/2015	608643	Registered
JUST A BUCK LICENSING INC / Just A Buck	NEW WINDSOR, NY	1/21/2015	608644	Registered
DALE CARNEGIE & ASSOC INC / Dale Carnegie Training	HAUPPAUGE, NY	1/20/2015	608630	Registered
Liquid Nutrition Franchising LLC / Liquid Nutrition	Westmount, QC	1/20/2015	608628	Registered
Perfection Bakeries, Inc. / Aunt Millie's Bakeries	Fort Wayne, IN	1/20/2015	608631	Registered
Number of Franchise Filings: 26				

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