

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/9/2015 through 2/20/2015**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GRIFFIN AMERICAN HEALTHCARE REIT 4 INC	IRVINE, CA	2/13/2015	00729856-01	Pending
KBS GROWTH & INCOME REIT INC	NEWPORT BEACH, CA	2/12/2015	00729817-01	Pending
RESOURCE REAL ESTATE DIVERSIFIED INCOME FUND CLASS D SHARES	PHILADELPHIA, PA	2/11/2015	00729818-01	Registered
RESOURCE REAL ESTATE DIVERSIFIED INCOME FUND CLASS T SHARES	PHILADELPHIA, PA	2/11/2015	00729819-01	Registered
RESOURCE REAL ESTATE DIVERSIFIED INCOME FUND CLASS U SHARES	PHILADELPHIA, PA	2/11/2015	00729820-01	Registered
Number of Registration Filings: 5				

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
COLUMBIA FUNDS SERIES TR 1 COLUMBIA DIVERSIFIED ABSOLUTE RETURN FUND CLASS C SHARES	BOSTON, MA	2/17/2015	00729912-03	Registered
COLUMBIA FUNDS SERIES TR 1 COLUMBIA DIVERSIFIED ABSOLUTE RETURN FUND CLASS Z SHARES	BOSTON, MA	2/17/2015	00729916-03	Registered

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COLUMBIA FUNDS SERIES TR 1 COLUMBIA DIVERSIFIED ABSOLUTE RETURN FUND CLASS A SHARES	BOSTON, MA	2/17/2015	00729911-03	Registered
COLUMBIA FUNDS SERIES TR 1 COLUMBIA DIVERSIFIED ABSOLUTE RETURN FUND CLASS R4 SHARES	BOSTON, MA	2/17/2015	00729915-03	Registered
COLUMBIA FUNDS SERIES TR 1 COLUMBIA DIVERSIFIED ABSOLUTE RETURN FUND CLASS W SHARES	BOSTON, MA	2/17/2015	00729914-03	Registered
COLUMBIA FUNDS SERIES TR 1 COLUMBIA DIVERSIFIED ABSOLUTE RETURN FUND CLASS R5 SHARES	BOSTON, MA	2/17/2015	00729913-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC DFA MUNICIPAL BOND PORTFOLIO INSTITUTIONAL SHARES	AUSTIN, TX	2/17/2015	00729923-03	Registered
INVESCO UNIT TR SERIES 1527 MARKET OPPORTUNITIES PORTFOLIO LOW OIL BENEFICIARIES 2015 1	DOWNERS GROVE, IL	2/17/2015	00729918-05	Pending-Cleared
INVESCO UNIT TR SERIES 1536 BUYBACK LEADERS PORTFOLIO 2015 2	DOWNERS GROVE, IL	2/17/2015	00729917-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 494 INVESTMENT GRADE CORPORATE TR 3 7 YEAR SERIES 1	DOWNERS GROVE, IL	2/17/2015	00729921-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 501 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 53	DOWNERS GROVE, IL	2/17/2015	00729919-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 502 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 54	DOWNERS GROVE, IL	2/17/2015	00729920-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
MORGAN STANLEY INSTITUTIONAL FUND INC FRONTIER EMERGING MARKETS PORTFOLIO CLASS IS	NEW YORK, NY	2/17/2015	00729924-03	Pending-Cleared
ADVISORS DISCIPLINED TR 1361 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 93	MONUMENT, CO	2/13/2015	00729845-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1372 EUROPEAN SELECT PORTFOLIO SERIES 2015 1Q AN ISI INC PORTFOLIO	MONUMENT, CO	2/13/2015	00729830-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1374 INTERNATIONAL HIGH 30 DIVIDEND PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	2/13/2015	00729834-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1375 MULTI SOURCE INCOME PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	2/13/2015	00729828-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1376 ADVISORS CORE EQUITY STRATEGY PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	2/13/2015	00729829-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1377 DIVIDEND ADVANTAGE PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	2/13/2015	00729826-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1378 STRATEGIC HIGH 80 DIVIDEND PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	2/13/2015	00729831-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1379 DOW VALUE 10 PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	2/13/2015	00729837-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1380 BLUE CHIP PORTFOLIO SERIES 2015 1	MONUMENT, CO	2/13/2015	00729838-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1381 TACTICAL INCOME CLOSED END PORTFOLIO SERIES 2015 1	MONUMENT, CO	2/13/2015	00729833-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1382 GLOBAL COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO SERIES 2015 1	MONUMENT, CO	2/13/2015	00729832-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1383 ENERGY OPPORTUNITIES PORTFOLIO SERIES 2015 1	MONUMENT, CO	2/13/2015	00729844-05	Pending-Cleared
FT 5287 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 55	WHEATON, IL	2/13/2015	00729846-05	Pending-Cleared
FT 5298 MUNICIPAL ADVANTAGE CLOSED END & ETF PORTFOLIO SERIES 27	WHEATON, IL	2/13/2015	00729848-05	Pending-Cleared
FT 5342 UBS DECADE AHEAD RISING MILLENNIALS PORTFOLIO	WHEATON, IL	2/13/2015	00729849-05	Pending-Cleared
FT 5351 STRATEGIC DIVIDEND SELECT PORTFOLIO SERIES 19	WHEATON, IL	2/13/2015	00729847-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1220 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 39	LISLE, IL	2/13/2015	00729842-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1278 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO SERIES 29	LISLE, IL	2/13/2015	00729835-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1278 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO 2 YEAR SERIES 11	LISLE, IL	2/13/2015	00729840-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1279 BLUE CHIP GROWTH PORTFOLIO SERIES 6	LISLE, IL	2/13/2015	00729839-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1279 GUGGENHEIM US HIGH DIVIDEND STRATEGY PORTFOLIO 2 YEAR SERIES 7	LISLE, IL	2/13/2015	00729841-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1284 DIVERSIFIED CREDIT PORTFOLIO OF ETFs SERIES 6	LISLE, IL	2/13/2015	00729827-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1288 ML TOP PICKS FOR 2015	LISLE, IL	2/13/2015	00729843-05	Pending-Cleared
INCAPITAL UNIT TR SERIES 66 NUVEEN TRADEWINDS GLOBAL ENERGY REVOLUTION PORTFOLIO 1Q 2015	CHICAGO, IL	2/13/2015	00729836-05	Pending-Cleared
SMART TR SUSTAINABLE IMPACT INVESTING TR SERIES 1	PARSIPPANY, NJ	2/13/2015	00729850-05	Pending-Cleared
TARGET PORTFOLIO TR PRUDENTIAL CORE BOND FUND CLASS A	NEWARK, NJ	2/13/2015	00729893-03	Pending-Cleared
TARGET PORTFOLIO TR PRUDENTIAL CORE BOND FUND CLASS C	NEWARK, NJ	2/13/2015	00729894-03	Pending-Cleared
TARGET PORTFOLIO TR PRUDENTIAL CORE BOND FUND CLASS Q	NEWARK, NJ	2/13/2015	00729896-03	Pending-Cleared
TARGET PORTFOLIO TR PRUDENTIAL CORE BOND FUND CLASS R	NEWARK, NJ	2/13/2015	00729895-03	Pending-Cleared
TOUCHSTONE FUNDS GROUP TR GLOBAL REAL ESTATE FUND CLASS Y	CINCINNATI, OH	2/11/2015	00729821-03	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
FT 5245 DIVERSIFIED INCOME & GROWTH PORTFOLIO SPRING 2015 SERIES	WHEATON, IL	2/10/2015	00729792-05	Registered
FT 5277 TARGET DIVIDEND BLEND PORTFOLIO SERIES 4	WHEATON, IL	2/10/2015	00729787-05	Registered
FT 5278 INCOME ALLOCATION CLOSED END FEB 15	WHEATON, IL	2/10/2015	00729789-05	Registered
FT 5279 DOW TARGET 10 FEB 15 TERM 3 9 16	WHEATON, IL	2/10/2015	00729788-05	Registered
FT 5281 SCS ADVISORS EQUITY TR MAY 2016 SERIES	WHEATON, IL	2/10/2015	00729795-05	Registered
FT 5284 LTD DURATION & HIGH YIELD FIXED INCOME ETF PORTFOLIO SERIES 5	WHEATON, IL	2/10/2015	00729797-05	Registered
FT 5285 HIGH DIVIDEND EMERGING MARKETS EQUITY PORTFOLIO SERIES 9	WHEATON, IL	2/10/2015	00729791-05	Registered
FT 5297 TACTICAL INCOME PORTFOLIO SERIES 35	WHEATON, IL	2/10/2015	00729790-05	Registered
FT 5303 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 56	WHEATON, IL	2/10/2015	00729798-05	Registered
FT 5304 DIVIDEND & INCOME SELECT CLOSED END PORTFOLIO SERIES 48	WHEATON, IL	2/10/2015	00729796-05	Registered
FT 5321 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 46	WHEATON, IL	2/10/2015	00729794-05	Registered
FT 5346 BALANCED INCOME SELECT PORTFOLIO SERIES 51	WHEATON, IL	2/10/2015	00729786-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1283 FLAHERTY & CRUMRINE PREFERRED PORTFOLIO SERIES 35	LISLE, IL	2/10/2015	00729777-05	Registered
SMART TR RISING INTEREST RATES HEDGE TR SERIES 4	PARSIPPANY, NJ	2/10/2015	00729793-05	Registered
ADVISORS DISCIPLINED TR 1401 VALUE ARCHITECTS NEW MEDIA SCORE PORTFOLIO SERIES 2015 1	MONUMENT, CO	2/9/2015	00729733-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1277 CORPORATE HIGH YIELD & INCOME PORTFOLIO OF CEFS SERIES 27	LISLE, IL	2/9/2015	00729736-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1277 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 57	LISLE, IL	2/9/2015	00729732-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1277 INFRASTRUCTURE & MLP PORTFOLIO OF CEFS SERIES 21	LISLE, IL	2/9/2015	00729735-05	Registered
INCAPITAL UNIT TR SERIES 70 ZACKS SELECT EQUITIES BLEND PORTFOLIO 1Q 2015	CHICAGO, IL	2/9/2015	00729737-05	Registered
INCAPITAL UNIT TR SERIES 70 ZACKS SELECT EQUITY INCOME PORTFOLIO 1Q 2015	CHICAGO, IL	2/9/2015	00729734-05	Registered
Number of Investment Company Filings: 63				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BIOVENTRIX INC	SAN RAMON, CA	2/12/2015	00729816-07	Filed
FASTBAR TECHNOLOGIES INC	KIRKLAND, WA	2/12/2015	00729814-07	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
FUNDAMENTAL PARTNERS MUNICIPAL 3 TR	NEW YORK, NY	2/12/2015	00729803-07	Filed
HGI BSW FUND 4 LLC	NORFOLK, VA	2/12/2015	00729813-07	Filed
INVENRA INC	MADISON, WI	2/12/2015	00729801-07	Filed
MAINSTREET FRIENDS & EMPLOYEES DEVELOPMENT FUND LLC	CARMEL, IN	2/12/2015	00729812-07	Filed
MV VENTURE FUND 4 LLC	AUSTIN, TX	2/12/2015	00729800-07	Filed
WC PARTNERS EXECUTIVE 4 LP	ROSEMONT, IL	2/12/2015	00729815-07	Filed
ROCK SPRINGS CAPITAL FUND LP	BALTIMORE, MD	2/11/2015	00729806-07	Filed
VERIFLOW SYSTEMS INC	CHAMPAIGN, IL	2/11/2015	00729807-07	Filed
CETERA ADVISOR NETWORKS LLC CA	EL SEGUNDO, CA	2/10/2015	00729785-07	Filed
VOYA FINANCIAL ADVISORS INC	DES MOINES, IA	2/10/2015	00729783-07	Filed
ZELLER 1401 LLC	CHICAGO, IL	2/10/2015	00729784-07	Filed
ANACONDA 3 D 2015 JOINT VENTURE	SAN ANTONIO, TX	2/9/2015	00729731-07	Filed
TTCP EXECUTIVE FUND ESOLUTIONS LLC	EDINA, MN	2/9/2015	00729782-07	Filed
Number of Regulation D Notice Filings: 15				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Total Nutrition Holdings LLC / TNS Retail Store	Milford, CT	2/20/2015	608717	Registered
Qdoba Restaurant Corporation / "Qdoba Mexican Grill®" "Qdoba®" "Qdoba Mexican EatsT"	Lakewood, CO	2/20/2015	608716	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Cobblestone Hotels, LLC / Boarders Inn and Suites by Cobblestone	Neenah, WI	2/19/2015	608713	Registered
Cobblestone Hotels, LLC / Cobblestone Inn and Suites; Cobblestone Hotel and Suites	Neenah, WI	2/19/2015	608712	Registered
LEADING EDGE MARKETING, INC. / ProSource Wholesale Floorcoverings	St. Louis, MO	2/16/2015	608709	Registered
SUPERVALU INC. / Cub Foods	Eden Prairie, MN	2/13/2015	608707	Registered
Snap-on Tools Company LLC / Snap-on Tools	Kenosha, WI	2/13/2015	608706	Registered
CycleBar Franchising, LLC / CycleBar	Cincinnati, OH	2/12/2015	608701	Registered
BAB SYSTEMS INC / Sweetduet Frozen Yogurt & Gourmet Muffins	DEERFIELD, IL	2/12/2015	608702	Registered
OWENS CORNING REMODELING SYSTEMS, LLC / Owens Corning Basement Finishing System	TOLEDO, OH	2/12/2015	608703	Registered
The File Depot, LLC / The File Depot	Slidell, LA	2/12/2015	608704	Registered
ACE SUSHI FRANCHISE CORP / Ace Sushi	GARDENA, CA	2/11/2015	608699	Registered
Home-Grown Industries of Georgia, Inc. / Mellow Mushroom Pizza	Atlanta, GA	2/10/2015	608696	Registered
Tom's Urban Franchising LLC / Tom's Urban or Tom's Urban 24	Denver, CO	2/9/2015	608694	Registered
Omni Fight Club Franchising, LLC / Omni Fight Club	Athens, GA	2/9/2015	608686	Registered
Number of Franchise Filings: 15				

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