

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/23/2015 through 3/6/2015**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
A&Q MULTI STRATEGY FUND	STAMFORD, CT	2/26/2015	00732129-01	Registered
FANTEX INC	SAN FRANCISCO, CA	2/26/2015	00732134-01	Pending
Number of Registration Filings: 2				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CAREY WATERMARK INVESTORS INC	NEW YORK, NY	2/24/2015	00731879-08	Not Disallowed
IRVINGTON BAPTIST CHURCH DBA CROSSROADS CHURCH OF FREMONT	FREMONT, CA	2/24/2015	00731877-10	Not Disallowed
Number of Exemption Filings: 2				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PRINCIPAL FUNDS INC OPPORTUNISTIC MUNICIPAL FUND INSTITUTIONAL CLASS	DES MOINES, IA	3/4/2015	00732247-03	Pending-Cleared
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC 1 CHOICE PORTFOLIO MODERATE R CLASS	KANSAS CITY, MO	3/2/2015	00732196-03	Pending-Cleared
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC 1 CHOICE PORTFOLIO CONSERVATIVE R CLASS	KANSAS CITY, MO	3/2/2015	00732195-03	Pending-Cleared
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC 1 CHOICE PORTFOLIO AGGRESSIVE R CLASS	KANSAS CITY, MO	3/2/2015	00732194-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC 1 CHOICE PORTFOLIO VERY CONSERVATIVE R CLASS	KANSAS CITY, MO	3/2/2015	00732198-03	Pending-Cleared
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC 1 CHOICE PORTFOLIO VERY AGGRESSIVE R CLASS	KANSAS CITY, MO	3/2/2015	00732197-03	Pending-Cleared
FT 5296 EMERGING MARKETS STRENGTH PORTFOLIO SERIES 26	WHEATON, IL	2/27/2015	00732245-05	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2015 CLASS R1	ST PETERSBURG, FL	2/27/2015	00732165-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2015 CLASS R6	ST PETERSBURG, FL	2/27/2015	00732182-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2020 CLASS R1	ST PETERSBURG, FL	2/27/2015	00732166-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2020 CLASS R6	ST PETERSBURG, FL	2/27/2015	00732181-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2025 CLASS R1	ST PETERSBURG, FL	2/27/2015	00732180-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2025 CLASS R6	ST PETERSBURG, FL	2/27/2015	00732178-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2030 CLASS R1	ST PETERSBURG, FL	2/27/2015	00732179-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2030 CLASS R6	ST PETERSBURG, FL	2/27/2015	00732177-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2035 CLASS R1	ST PETERSBURG, FL	2/27/2015	00732175-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
TRANSAMERICA FUNDS CLEARTRACK 2035 CLASS R6	ST PETERSBURG, FL	2/27/2015	00732176-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2040 CLASS R1	ST PETERSBURG, FL	2/27/2015	00732174-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2040 CLASS R6	ST PETERSBURG, FL	2/27/2015	00732173-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2045 CLASS R1	ST PETERSBURG, FL	2/27/2015	00732167-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2045 CLASS R6	ST PETERSBURG, FL	2/27/2015	00732172-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2050 CLASS R1	ST PETERSBURG, FL	2/27/2015	00732171-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK 2050 CLASS R6	ST PETERSBURG, FL	2/27/2015	00732170-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK RETIREMENT INCOME CLASS R1	ST PETERSBURG, FL	2/27/2015	00732168-03	Pending-Cleared
TRANSAMERICA FUNDS CLEARTRACK RETIREMENT INCOME CLASS R6	ST PETERSBURG, FL	2/27/2015	00732169-03	Pending-Cleared
ADVISORS INNER CIRCLE FUND 3 KNIGHTS OF COLUMBUS INTERNATIONAL EQUITY FUND INSTITUTIONAL SHARES	OAKS, PA	2/26/2015	00732078-03	Registered
ADVISORS INNER CIRCLE FUND 3 KNIGHTS OF COLUMBUS CORE BOND FUND INSTITUTIONAL SHARES	OAKS, PA	2/26/2015	00732079-03	Registered

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ADVISORS INNER CIRCLE FUND 3 KNIGHTS OF COLUMBUS LARGE CAP GROWTH FUND INSTITUTIONAL SHARES	OAKS, PA	2/26/2015	00732075-03	Registered
ADVISORS INNER CIRCLE FUND 3 KNIGHTS OF COLUMBUS LARGE CAP VALUE FUND INSTITUTIONAL SHARES	OAKS, PA	2/26/2015	00732076-03	Registered
ADVISORS INNER CIRCLE FUND 3 KNIGHTS OF COLUMBUS LTD DURATION BOND FUND INSTITUTIONAL SHARES	OAKS, PA	2/26/2015	00732077-03	Registered
ADVISORS INNER CIRCLE FUND 3 KNIGHTS OF COLUMBUS SMALL CAP EQUITY FUND INSTITUTIONAL SHARES	OAKS, PA	2/26/2015	00732080-03	Registered
CREDIT SUISSE OPPORTUNITY FUNDS CREDIT SUISSE GLOBAL SUSTAINABLE DIVIDEND EQUITY FUND CLASS C	NEW YORK, NY	2/26/2015	00732130-03	Registered
CREDIT SUISSE OPPORTUNITY FUNDS CREDIT SUISSE GLOBAL SUSTAINABLE DIVIDEND EQUITY FUND CLASS I	NEW YORK, NY	2/26/2015	00732132-03	Registered
CREDIT SUISSE OPPORTUNITY FUNDS CREDIT SUISSE GLOBAL SUSTAINABLE DIVIDEND EQUITY FUND CLASS A	NEW YORK, NY	2/26/2015	00732131-03	Registered
VICTORY PORTFOLIOS FUND FOR INCOME CLASS R6	COLUMBUS, OH	2/26/2015	00732082-03	Registered
VICTORY PORTFOLIOS VICTORY INTEGRITY SMALL MID CAP VALUE FUND CLASS R6	COLUMBUS, OH	2/26/2015	00732081-03	Registered

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VICTORY PORTFOLIOS VICTORY MUNDER INTERNATIONAL FUND CORE EQUITY CLASS R6	COLUMBUS, OH	2/26/2015	00732083-03	Registered
VICTORY PORTFOLIOS VICTORY MUNDER TOTAL RETURN BOND FUND CLASS R6	COLUMBUS, OH	2/26/2015	00732084-03	Registered
LEGG MASON PARTNERS INCOME TR WESTERN ASSET SHORT DURATION MUNICIPAL INCOME FUND CLASS A2	NEW YORK, NY	2/25/2015	00730450-03	Registered
PIONEER MID CAP VALUE FUND CLASS K SHARES	BOSTON, MA	2/25/2015	00730451-03	Registered
PRINCIPAL FUNDS INC CA MUNICIPAL FUND INSTITUTIONAL CLASS	DES MOINES, IA	2/25/2015	00730449-03	Pending-Cleared
RS INVESTMENT TR RS FOCUSED GROWTH OPPORTUNITY FUND CLASS A	SAN FRANCISCO, CA	2/25/2015	00732125-03	Pending-Cleared
RS INVESTMENT TR RS FOCUSED GROWTH OPPORTUNITY FUND CLASS C	SAN FRANCISCO, CA	2/25/2015	00732124-03	Pending-Cleared
RS INVESTMENT TR RS FOCUSED GROWTH OPPORTUNITY FUND CLASS Y	SAN FRANCISCO, CA	2/25/2015	00732123-03	Pending-Cleared
RS INVESTMENT TR RS FOCUSED OPPORTUNITY FUND CLASS A	SAN FRANCISCO, CA	2/25/2015	00732128-03	Pending-Cleared
RS INVESTMENT TR RS FOCUSED OPPORTUNITY FUND CLASS C	SAN FRANCISCO, CA	2/25/2015	00732126-03	Pending-Cleared
RS INVESTMENT TR RS FOCUSED OPPORTUNITY FUND CLASS Y	SAN FRANCISCO, CA	2/25/2015	00732127-03	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
1ST TR COMBINED SERIES 471 TX EX MUNICIPAL INCOME TR SERIES 286	WHEATON, IL	2/24/2015	00731840-05	Registered
DEUTSCHE SECURITIES TR DEUTSCHE MLP & ENERGY INFRASTRUCTURE FUND INSTITUTIONAL CLASS	CHICAGO, IL	2/24/2015	00730421-03	Registered
DEUTSCHE SECURITIES TR DEUTSCHE MLP & ENERGY INFRASTRUCTURE FUND CLASS S SHARES	CHICAGO, IL	2/24/2015	00730422-03	Registered
DEUTSCHE SECURITIES TR DEUTSCHE MLP & ENERGY INFRASTRUCTURE FUND CLASS A SHARES	CHICAGO, IL	2/24/2015	00730419-03	Registered
DEUTSCHE SECURITIES TR DEUTSCHE MLP & ENERGY INFRASTRUCTURE FUND CLASS C SHARES	CHICAGO, IL	2/24/2015	00730420-03	Registered
FT 5292 TOP PICKS FEBRUARY 2015 PORTFOLIO	WHEATON, IL	2/24/2015	00731843-05	Registered
FT 5293 RICHARD BERNSTEIN ADVISORS NORTH AMERICA CAPEX PORTFOLIO SERIES	WHEATON, IL	2/24/2015	00731841-05	Registered
FT 5294 CORPORATE HIGH INCOME PORTFOLIO SERIES 14	WHEATON, IL	2/24/2015	00731839-05	Registered
FT 5295 REIT GROWTH & INCOME PLUS PORTFOLIO SERIES 22	WHEATON, IL	2/24/2015	00731834-05	Registered
FT 5307 ETF GROWTH & INCOME FEB 15	WHEATON, IL	2/24/2015	00731833-05	Registered
FT 5330 INTERNATIONAL CAPITAL STRENGTH PORTFOLIO SERIES 24	WHEATON, IL	2/24/2015	00731832-05	Registered

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FT 5330 SMID CAPITAL STRENGTH PORTFOLIO SERIES 24	WHEATON, IL	2/24/2015	00731831-05	Registered
FT 5353 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 43	WHEATON, IL	2/24/2015	00731842-05	Registered
FT 5354 INTEREST RATE HEDGE PORTFOLIO SERIES 93	WHEATON, IL	2/24/2015	00731836-05	Registered
FT 5357 CORE 3 CLOSED END ALLOCATION PORTFOLIO SERIES 19	WHEATON, IL	2/24/2015	00731837-05	Registered
FT 5358 PREFERRED INCOME PORTFOLIO SERIES 72	WHEATON, IL	2/24/2015	00731835-05	Registered
FT 5360 MUNICIPAL INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 29	WHEATON, IL	2/24/2015	00731838-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1282 MERGERS & ACQUISITIONS PORTFOLIO SERIES 4	LISLE, IL	2/24/2015	00731844-05	Registered
INVESCO UNIT TR MUNICIPAL SERIES 1231 INSURED MUNICIPALS INCOME TR SERIES 680	DOWNERS GROVE, IL	2/24/2015	00731875-05	Registered
INVESCO UNIT TR MUNICIPAL SERIES 1232 INSURED MUNICIPALS INCOME TR SERIES 681	DOWNERS GROVE, IL	2/24/2015	00731876-05	Registered
INVESCO UNIT TR SERIES 1531 CENTRAL EQUITY TR DIVERSIFIED INCOME SERIES 2015 2	DOWNERS GROVE, IL	2/24/2015	00731874-05	Registered
INVESCO UNIT TR SERIES 1532 DIVIDEND INCOME & VALUE PORTFOLIO 2015 2	DOWNERS GROVE, IL	2/24/2015	00731873-05	Registered

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INVESCO UNIT TR SERIES 1534 AMERICAN INFRASTRUCTURE GROWTH PORTFOLIO 2015 2	DOWNERS GROVE, IL	2/24/2015	00731872-05	Registered
INVESCO UNIT TR SERIES 1535 BUYOUT OPPORTUNITY PORTFOLIO 2015 1	DOWNERS GROVE, IL	2/24/2015	00731871-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1280 COMPASS UNDERVALUED TOP PICKS PORTFOLIO SERIES 4	LISLE, IL	2/23/2015	00730159-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1280 GUGGENHEIM EMERGING MARKETS DIVIDEND STRATEGY PORTFOLIO SERIES 13	LISLE, IL	2/23/2015	00730162-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1281 DIVIDEND STRENGTH PORTFOLIO SERIES 16	LISLE, IL	2/23/2015	00730161-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1281 LARGE CAP CORE PORTFOLIO SERIES 23	LISLE, IL	2/23/2015	00730160-05	Registered
INCAPITAL UNIT TR SERIES 71 PROSPECT LOW PRICED OIL & GAS OPPORTUNITY PORTFOLIO SERIES 1	CHICAGO, IL	2/23/2015	00730163-05	Registered
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN INFLATION NAVIGATOR FUND CLASS R6 SHARES	NEW YORK, NY	2/23/2015	00730207-03	Registered
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN CORE BOND FUND CLASS R6 SHARES	NEW YORK, NY	2/23/2015	00730200-03	Registered

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Firm Name	Location	Date Received	File Number	Status
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN GLOBAL ALLOCATION FUND CLASS R6 SHARES	NEW YORK, NY	2/23/2015	00730206-03	Registered
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN SHORT DURATION BOND FUND CLASS R6 SHARES	NEW YORK, NY	2/23/2015	00730208-03	Registered
Number of Investment Company Filings: 80				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
EMERGENCE CAPITAL PARTNERS 4 LP	SAN MATEO, CA	2/27/2015	00732192-07	Filed
KIWI CRATE INC	MOUNTAIN VIEW, CA	2/27/2015	00732193-07	Filed
SAVANO CAPITAL PARTNERS 2 LP	BALTIMORE, MD	2/27/2015	00732191-07	Filed
WORLDBRAIN INC	BOSTON, MA	2/27/2015	00732246-07	Filed
BENEFFECT LLC	CHICAGO, IL	2/26/2015	00732144-07	Filed
BION ENVIRONMENTAL TECHNOLOGIES INC	CRESTONE, CO	2/26/2015	00732137-07	Filed
CAREVIEW COMMUNICATIONS INC	LEWISVILLE, TX	2/26/2015	00732145-07	Filed
COLONARYCONCEPTS LLC	NEWTON, MA	2/26/2015	00732141-07	Filed
ICAP PACIFIC NORTHWEST OPPORTUNITY & INCOME FUND LLC	BELLEVUE, WA	2/26/2015	00732140-07	Filed
MADISON DEARBORN CAPITAL PARTNERS 7 A LP	CHICAGO, IL	2/26/2015	00732135-07	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
MADISON DEARBORN CAPITAL PARTNERS 7 B LP	CHICAGO, IL	2/26/2015	00732143-07	Filed
NGP NATURAL RESOURCES 11 LP	IRVING, TX	2/26/2015	00732142-07	Filed
NILES COLFAX INVESTMENT LLC	SAN MARCOS, CA	2/26/2015	00732138-07	Filed
NITRIDE SOLUTIONS INC	WICHITA, KS	2/26/2015	00732136-07	Filed
ROCKPOINT REAL ESTATE FUND 5 LP	DALLAS, TX	2/26/2015	00732146-07	Filed
VO2 PARTNERS 4 LLC	NEW YORK, NY	2/25/2015	00732120-07	Filed
REVEN PHARMACEUTICALS INC	SARASOTA, FL	2/24/2015	00731878-07	Filed
VOTER GRAVITY INC	PURCELLVILLE, VA	2/24/2015	00731880-07	Filed
VASCULAR THERAPIES INC	CRESSKILL, NJ	2/23/2015	00730150-07	Filed
Number of Regulation D Notice Filings: 19				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Big Air Franchising, LLC / Big Air Trampoline Park	Ladera Ranch, CA	3/6/2015	608754	Registered
Mathnasium Center Licensing, LLC / Mathnasium and Mathnasium The Math Learning Center	Los Angeles, CA	3/6/2015	608753	Registered
Precision Concrete Cutting, Inc.	Provo, UT	3/6/2015	608748	Registered
Figaro's Italian Pizza, Inc. / Figaro's and Nick-N-Willy's	Salem, OR	3/6/2015	608747	Registered
MONICAL PIZZA CORP	BRADLEY, IL	3/5/2015	608752	Registered
Ben's Soft Pretzels Franchising Corporation / BEN'S SOFT PRETZELS	Goshen, IN	3/4/2015	608743	Registered
POSTNET INTERNATIONAL FRANCHISE CORP / PostNet	Denver, CO	3/4/2015	608742	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Pak Mail Centers of America, Inc.	Centennial, CO	3/3/2015	608740	Registered
Halloween Express, LLC / Halloween Express	Owenton, KY	3/3/2015	608751	Registered
WILD BIRDS UNLIMITED INC	Carmel, IN	3/2/2015	608750	Registered
American Decorative Coatings, LLC / Concrete Craft	Orange, CA	2/27/2015	608733	Registered
AMERICINN INTERNATIONAL LLC / AmericInn, AmericInn Lodge & Suites, AmericInn Hotel & Suites, AmericInn Motel & Suites, AmericInn Motel	CHANHASSEN, MN	2/27/2015	608737	Registered
NextHome, Inc. / NextHome	Pleasanton, CA	2/27/2015	608736	Registered
CI Franchise Company, LLC / Challenge Island	St. Augustine, FL	2/26/2015	608731	Registered
Ultimate Fitness Group LLC / Orange Theory Unit Franchise	Fort Lauderdale, FL	2/26/2015	608730	Registered
Ultimate Fitness Group LLC / Orange Theory Area Representative Franchise	Fort Lauderdale, FL	2/26/2015	608729	Registered
Stanley Industrial & Automotive, LLC / Mac Tools	Westerville, OH	2/26/2015	608735	Registered
Mister Sparky Franchising, L.L.C. / Mister Sparky	Sarasota, FL	2/25/2015	608728	Registered
One Hour Air Conditioning Franchising, L.L.C. / One Hour Heating & Air Conditioning	Sarasota, FL	2/25/2015	608725	Registered
Benjamin Franklin Franchising, LLC / d/b/a Benjamin Franklin Plumbing	Sarasota, FL	2/25/2015	608724	Registered
LA BAMBAM FRANCHISE SERVICES LLC	CHAMPAIGN, IL	2/25/2015	608734	Registered
Surface Specialists Systems, Inc. / Surface Specialists	Matthews, NC	2/23/2015	608719	Registered
TT&B INC / Brilliant Sky Toys & Books	Brentwood, TN	2/23/2015	608727	Registered
Number of Franchise Filings: 23				

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