

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 3/16/2015 through 3/27/2015**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
A&Q AGGREGATED ALPHA STRATEGIES FUND LLC	STAMFORD, CT	3/16/2015	00732605-01	Registered
Number of Registration Filings: 1				

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
SIT MUTUAL FUNDS INC SIT SMALL CAP DIVIDEND GROWTH FUND CLASS S	MINNEAPOLIS, MN	3/25/2015	00733216-03	Pending-Cleared
SIT MUTUAL FUNDS INC SIT SMALL CAP DIVIDEND GROWTH FUND CLASS I	MINNEAPOLIS, MN	3/25/2015	00733215-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR I COLUMBIA MULTI ASSET INCOME FUND CLASS R5 SHARES	BOSTON, MA	3/24/2015	00733110-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA MULTI ASSET INCOME FUND CLASS C SHARES	BOSTON, MA	3/24/2015	00733108-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA MULTI ASSET INCOME FUND CLASS R4 SHARES	BOSTON, MA	3/24/2015	00733105-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA MULTI ASSET INCOME FUND CLASS Z SHARES	BOSTON, MA	3/24/2015	00733107-03	Registered

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Firm Name	Location	Date Received	File Number	Status
COLUMBIA FUNDS SERIES TR I COLUMBIA MULTI ASSET INCOME FUND CLASS A SHARES	BOSTON, MA	3/24/2015	00733114-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA MULTI ASSET INCOME FUND CLASS W SHARES	BOSTON, MA	3/24/2015	00733106-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA US SOCIAL BOND FUND CLASS R5 SHARES	BOSTON, MA	3/24/2015	00733115-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA US SOCIAL BOND FUND CLASS A SHARES	BOSTON, MA	3/24/2015	00733109-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA US SOCIAL BOND FUND CLASS Z SHARES	BOSTON, MA	3/24/2015	00733111-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA US SOCIAL BOND FUND CLASS C SHARES	BOSTON, MA	3/24/2015	00733112-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA US SOCIAL BOND FUND CLASS R4 SHARES	BOSTON, MA	3/24/2015	00733113-03	Registered
FT 5333 SABRIENT DEFENSIVE EQUITY PORTFOLIO SERIES 3	WHEATON, IL	3/24/2015	00733234-05	Pending-Cleared
FT 5362 DIVIDEND OPPORTUNITY TR MARCH 2015 SERIES	WHEATON, IL	3/24/2015	00733236-05	Registered
FT 5404 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 47	WHEATON, IL	3/24/2015	00733235-05	Pending-Cleared
FT 5409 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES EUROPE OPPORTUNITIES PORTFOLIO 2015 1	WHEATON, IL	3/24/2015	00733233-05	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
HANCOCK JOHN BOND TR HANCOCK JOHN INVESTMENT GRADE BOND FUND CLASS R4	BOSTON, MA	3/24/2015	00733118-03	Pending-Cleared
HANCOCK JOHN BOND TR HANCOCK JOHN INVESTMENT GRADE BOND FUND CLASS R2	BOSTON, MA	3/24/2015	00733117-03	Pending-Cleared
HANCOCK JOHN BOND TR HANCOCK JOHN INVESTMENT GRADE BOND FUND CLASS R6	BOSTON, MA	3/24/2015	00733119-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN ABSOLUTE RETURN CURRENCY FUND CLASS R2	BOSTON, MA	3/24/2015	00733139-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN ABSOLUTE RETURN CURRENCY FUND CLASS R4	BOSTON, MA	3/24/2015	00733141-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN EMERGING MARKETS DEBT FUND CLASS R6	BOSTON, MA	3/24/2015	00733142-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN EMERGING MARKETS DEBT FUND CLASS R2	BOSTON, MA	3/24/2015	00733151-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN EMERGING MARKETS DEBT FUND CLASS R4	BOSTON, MA	3/24/2015	00733140-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDAMENTAL ALL CAP CORE FUND CLASS R2	BOSTON, MA	3/24/2015	00733157-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDAMENTAL ALL CAP CORE FUND CLASS R4	BOSTON, MA	3/24/2015	00733143-03	Pending-Cleared

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
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HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDAMENTAL ALL CAP CORE FUND CLASS R6	BOSTON, MA	3/24/2015	00733153-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDAMENTAL LARGE CAP VALUE FUND CLASS R4	BOSTON, MA	3/24/2015	00733161-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDAMENTAL LARGE CAP VALUE FUND CLASS R2	BOSTON, MA	3/24/2015	00733145-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDAMENTAL LARGE CAP VALUE FUND CLASS R6	BOSTON, MA	3/24/2015	00733147-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 BLUE CHIP GROWTH FUND CLASS C	BOSTON, MA	3/24/2015	00733162-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 BLUE CHIP GROWTH FUND CLASS A	BOSTON, MA	3/24/2015	00733160-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 EQUITY INCOME FUND CLASS C	BOSTON, MA	3/24/2015	00733158-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 EQUITY INCOME FUND CLASS A	BOSTON, MA	3/24/2015	00733156-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 GLOBAL EQUITY FUND CLASS C	BOSTON, MA	3/24/2015	00733144-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 GLOBAL EQUITY FUND CLASS R6	BOSTON, MA	3/24/2015	00733150-03	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
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 GLOBAL EQUITY FUND CLASS R4	BOSTON, MA	3/24/2015	00733148-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 GLOBAL EQUITY FUND CLASS R2	BOSTON, MA	3/24/2015	00733146-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 RETIREMENT LIVING THROUGH 2055 PORTFOLIO CLASS I	BOSTON, MA	3/24/2015	00733132-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 SPECTRUM INCOME FUND CLASS C	BOSTON, MA	3/24/2015	00733154-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN FUNDS 2 SPECTRUM INCOME FUND CLASS A	BOSTON, MA	3/24/2015	00733152-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2030 PORTFOLIO CLASS I	BOSTON, MA	3/24/2015	00733127-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2025 PORTFOLIO CLASS I	BOSTON, MA	3/24/2015	00733126-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2015 PORTFOLIO CLASS I	BOSTON, MA	3/24/2015	00733124-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2010 PORTFOLIO CLASS I	BOSTON, MA	3/24/2015	00733123-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2040 PORTFOLIO CLASS I	BOSTON, MA	3/24/2015	00733131-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2020 PORTFOLIO CLASS I	BOSTON, MA	3/24/2015	00733125-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2035 PORTFOLIO CLASS I	BOSTON, MA	3/24/2015	00733129-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2045 PORTFOLIO CLASS I	BOSTON, MA	3/24/2015	00733128-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN RETIREMENT LIVING THROUGH 2050 PORTFOLIO CLASS I	BOSTON, MA	3/24/2015	00733130-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN SHORT DURATION CREDIT OPPORTUNITIES FUND CLASS R6	BOSTON, MA	3/24/2015	00733159-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN SHORT DURATION CREDIT OPPORTUNITIES FUND CLASS R4	BOSTON, MA	3/24/2015	00733149-03	Pending-Cleared
HANCOCK JOHN FUNDS 2 HANCOCK JOHN SHORT DURATION CREDIT OPPORTUNITIES FUND CLASS R2	BOSTON, MA	3/24/2015	00733155-03	Pending-Cleared
HANCOCK JOHN FUNDS 3 HANCOCK JOHN CORE HIGH YIELD FUND CLASS R6	BOSTON, MA	3/24/2015	00733138-03	Pending-Cleared
HANCOCK JOHN FUNDS 3 HANCOCK JOHN CORE HIGH YIELD FUND CLASS R4	BOSTON, MA	3/24/2015	00733137-03	Pending-Cleared
HANCOCK JOHN FUNDS 3 HANCOCK JOHN CORE HIGH YIELD FUND CLASS R2	BOSTON, MA	3/24/2015	00733136-03	Pending-Cleared

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HANCOCK JOHN FUNDS 3 HANCOCK JOHN STRATEGIC GROWTH FUND CLASS R6	BOSTON, MA	3/24/2015	00733122-03	Pending-Cleared
HANCOCK JOHN FUNDS 3 HANCOCK JOHN STRATEGIC GROWTH FUND CLASS R4	BOSTON, MA	3/24/2015	00733121-03	Pending-Cleared
HANCOCK JOHN FUNDS 3 HANCOCK JOHN STRATEGIC GROWTH FUND CLASS R2	BOSTON, MA	3/24/2015	00733120-03	Pending-Cleared
HANCOCK JOHN FUNDS 3 INTERNATIONAL GROWTH FUND CLASS R2	BOSTON, MA	3/24/2015	00733133-03	Pending-Cleared
HANCOCK JOHN FUNDS 3 INTERNATIONAL GROWTH FUND CLASS R4	BOSTON, MA	3/24/2015	00733134-03	Pending-Cleared
HANCOCK JOHN FUNDS 3 INTERNATIONAL GROWTH FUND CLASS R6	BOSTON, MA	3/24/2015	00733135-03	Pending-Cleared
HANCOCK JOHN SOVEREIGN BOND FUND HANCOCK JOHN BOND FUND CLASS R4	BOSTON, MA	3/24/2015	00733116-03	Pending-Cleared
FRONTIER FUNDS FRONTIER MFG GLOBAL PLUS FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	3/23/2015	00733166-03	Registered
JPMORGAN TR I JPMORGAN EMERGING MARKETS EQUITY INCOME FUND CLASS A SHARES	NEW YORK, NY	3/23/2015	00733220-03	Registered
JPMORGAN TR I JPMORGAN EMERGING MARKETS EQUITY INCOME FUND SELECT CLASS SHARES	NEW YORK, NY	3/23/2015	00733224-03	Registered
JPMORGAN TR I JPMORGAN EMERGING MARKETS EQUITY INCOME FUND CLASS R6 SHARES	NEW YORK, NY	3/23/2015	00733223-03	Registered

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JPMORGAN TR I JPMORGAN EMERGING MARKETS EQUITY INCOME FUND CLASS C SHARES	NEW YORK, NY	3/23/2015	00733221-03	Registered
JPMORGAN TR I JPMORGAN EMERGING MARKETS EQUITY INCOME FUND CLASS R5 SHARES	NEW YORK, NY	3/23/2015	00733222-03	Registered
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN LONG SHORT CREDIT FUND INSTITUTIONAL CLASS	NEW YORK, NY	3/23/2015	00733226-03	Pending-Cleared
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN LONG SHORT CREDIT FUND CLASS C	NEW YORK, NY	3/23/2015	00733225-03	Pending-Cleared
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN LONG SHORT CREDIT FUND CLASS R6	NEW YORK, NY	3/23/2015	00733227-03	Pending-Cleared
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN LONG SHORT CREDIT FUND CLASS A	NEW YORK, NY	3/23/2015	00733219-03	Pending-Cleared
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN MULTI ASSET INCOME FUND CLASS R6	NEW YORK, NY	3/23/2015	00733231-03	Pending-Cleared
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN MULTI ASSET INCOME FUND CLASS A	NEW YORK, NY	3/23/2015	00733228-03	Pending-Cleared
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN MULTI ASSET INCOME FUND INSTITUTIONAL CLASS	NEW YORK, NY	3/23/2015	00733229-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN MULTI ASSET INCOME FUND CLASS C	NEW YORK, NY	3/23/2015	00733230-03	Pending-Cleared
PROFESSIONALLY MANAGED PORTFOLIOS ROTHSCHILD US LARGE CAP CORE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	3/23/2015	00733165-03	Registered
VIRTUS OPPORTUNITIES TR VIRTUS ESSENTIAL RESOURCES FUND CLASS A	GREENFIELD, MA	3/23/2015	00733093-03	Registered
VIRTUS OPPORTUNITIES TR VIRTUS ESSENTIAL RESOURCES FUND CLASS C	GREENFIELD, MA	3/23/2015	00733094-03	Registered
VIRTUS OPPORTUNITIES TR VIRTUS ESSENTIAL RESOURCES FUND CLASS I	GREENFIELD, MA	3/23/2015	00733095-03	Registered
1ST TR COMBINED SERIES 475 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO INTERMEDIATE SERIES 9	WHEATON, IL	3/19/2015	00732743-05	Registered
ADVISORS DISCIPLINED TR 1399 AMERICAN RENAISSANCE PORTFOLIO SERIES 2015 1 A CJL PORTFOLIO	MONUMENT, CO	3/19/2015	00732757-05	Registered
FT 5326 HIGH DIVIDEND EQUITY PORTFOLIO SERIES 22	WHEATON, IL	3/19/2015	00732750-05	Registered
FT 5328 HOMEBUILDERS RECOVERY SELECT PORTFOLIO SERIES 9	WHEATON, IL	3/19/2015	00732747-05	Registered
FT 5348 DIVIDEND INCOME PLUS PORTFOLIO SERIES 18	WHEATON, IL	3/19/2015	00732748-05	Registered
FT 5349 NORTH AMERICAN SHAPE PORTFOLIO SERIES 10	WHEATON, IL	3/19/2015	00732745-05	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
FT 5366 1ST TR MORNINGSTAR WIDE MOAT PORTFOLIO SERIES 2	WHEATON, IL	3/19/2015	00732749-05	Registered
FT 5389 HIGH YIELD INCOME CLOSED END PORTFOLIO SERIES 67	WHEATON, IL	3/19/2015	00732746-05	Registered
FT 5411 INTEREST RATE HEDGE PORTFOLIO SERIES 94	WHEATON, IL	3/19/2015	00732751-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1293 DIVERSIFIED DIVIDEND & INCOME PORTFOLIO SERIES 21	LISLE, IL	3/19/2015	00732755-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1293 EUROPEAN SMALL CAP CAPITAL STRENGTH PORTFOLIO SERIES 3	LISLE, IL	3/19/2015	00732756-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1294 MLP & ENERGY FUNDS PORTFOLIO SERIES 9	LISLE, IL	3/19/2015	00732753-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1295 CONTENT IS KING SERIES 3	LISLE, IL	3/19/2015	00732754-05	Pending-Cleared
SMART TR MORNINGSTAR DIVIDEND YIELD FOCUS TR SERIES 9	PARSIPPANY, NJ	3/19/2015	00732752-05	Registered
SMART TR TAX FREE INCOME TR SERIES 19	PARSIPPANY, NJ	3/19/2015	00732744-05	Registered
JAMES ADVANTAGE FUNDS JAMES LONG SHORT FUND	DENVER, CO	3/18/2015	00732659-03	Registered
JAMES ADVANTAGE FUNDS JAMES MICRO CAP FUND	DENVER, CO	3/18/2015	00732660-03	Registered

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1ST TR COMBINED SERIES 474 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO 10 20 YEAR SERIES 17	WHEATON, IL	3/17/2015	00732664-05	Registered
ADVISORS DISCIPLINED TR 1398 Q GARP PORTFOLIO SERIES 2015 1Q	MONUMENT, CO	3/17/2015	00732665-05	Registered
AMG FUNDS AMG TRILOGY EMERGING WEALTH EQUITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	3/17/2015	00732675-03	Registered
AMG FUNDS AMG TRILOGY EMERGING WEALTH EQUITY FUND INVESTOR CLASS	MILWAUKEE, WI	3/17/2015	00732677-03	Registered
AMG FUNDS AMG TRILOGY EMERGING WEALTH EQUITY FUND SERVICE CLASS	MILWAUKEE, WI	3/17/2015	00732676-03	Registered
FT 5323 INNOVATIVE TECHNOLOGY PORTFOLIO SERIES 7	WHEATON, IL	3/17/2015	00732662-05	Registered
FT 5327 MARKET STRENGTH ALLOCATION SELECT PORTFOLIO SERIES 17	WHEATON, IL	3/17/2015	00732667-05	Registered
FT 5329 SABRIENT DIVIDEND PORTFOLIO SERIES 9	WHEATON, IL	3/17/2015	00732663-05	Registered
FT 5345 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES JAPAN OPPORTUNITIES PORTFOLIO 2015 1	WHEATON, IL	3/17/2015	00732661-05	Registered
FT 5369 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 48	WHEATON, IL	3/17/2015	00732666-05	Registered
INVESCO UNIT TR MUNICIPAL SERIES 1233 QUALITY MUNICIPAL INCOME TR 20 PLUS YEAR SERIES 189	DOWNERS GROVE, IL	3/17/2015	00732674-05	Pending-Cleared

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INVESCO UNIT TR MUNICIPAL SERIES 1234 QUALITY MUNICIPAL INCOME TR 20 PLUS YEAR SERIES 190	DOWNERS GROVE, IL	3/17/2015	00732673-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1235 INVESTMENT GRADE MUNICIPAL TR 10 20 YEAR SERIES 5	DOWNERS GROVE, IL	3/17/2015	00732671-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1236 INVESTMENT GRADE MUNICIPAL TR 10 20 YEAR SERIES 6	DOWNERS GROVE, IL	3/17/2015	00732672-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 508 INVESTMENT GRADE CORPORATE VARIABLE & FIXED RATE TR 3 6 YEAR SERIES 6	DOWNERS GROVE, IL	3/17/2015	00732670-05	Pending-Cleared
MORGAN STANLEY GLOBAL INVESTMENT SOLUTIONS THEMATIC STRATEGIES GLOBAL RECOVERY SERIES 1	PURCHASE, NY	3/17/2015	00732669-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1391 CONVERTIBLE & INCOME CLOSED END PORTFOLIO SERIES 2015 1	MONUMENT, CO	3/16/2015	00732642-05	Registered
ADVISORS DISCIPLINED TR 1392 GLOBAL BASIC MATERIALS PORTFOLIO SERIES 2015 1	MONUMENT, CO	3/16/2015	00732641-05	Registered
ADVISORS DISCIPLINED TR 1393 UTILITIES PORTFOLIO SERIES 2015 1 HIMCO PORTFOLIO	MONUMENT, CO	3/16/2015	00732647-05	Registered
ADVISORS DISCIPLINED TR 1394 REIT PORTFOLIO SERIES 2015 1 HIMCO PORTFOLIO	MONUMENT, CO	3/16/2015	00732649-05	Registered
ADVISORS DISCIPLINED TR 1395 SMALL MID CAP ADVANTAGE PORTFOLIO SERIES 2015 1	MONUMENT, CO	3/16/2015	00732648-05	Registered

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ADVISORS DISCIPLINED TR 1396 AGRI BUSINESS OPPORTUNITIES PORTFOLIO SERIES 2015 1	MONUMENT, CO	3/16/2015	00732645-05	Registered
ADVISORS DISCIPLINED TR 1397 PREFERRED INCOME OPPORTUNITIES PORTFOLIO 2 YR SERIES 2015 1	MONUMENT, CO	3/16/2015	00732643-05	Registered
CENTRE FUNDS CENTRE ACTIVE US TX EX FUND INSTITUTIONAL CLASS	NEW YORK, NY	3/16/2015	00732583-03	Registered
CENTRE FUNDS CENTRE ACTIVE US TX EX FUND INVESTOR CLASS	NEW YORK, NY	3/16/2015	00732584-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1292 TECHNOLOGICAL INNOVATION PORTFOLIO SERIES 4	LISLE, IL	3/16/2015	00732646-05	Registered
INCAPITAL UNIT TR SERIES 73 NUVEEN CORE REAL ESTATE SECURITIES PORTFOLIO 1Q 2015	CHICAGO, IL	3/16/2015	00732644-05	Registered
TOUCHSTONE STRATEGIC TR TOUCHSTONE SANDS CAPITAL EMERGING MARKETS GROWTH FUND CLASS Y	CINCINNATI, OH	3/16/2015	00732585-03	Registered
Number of Investment Company Filings: 127				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BUILDING ENERGY INC	PORTLAND, OR	3/24/2015	00733239-07	Filed
GOLDEN CACAO INC	CENTENNIAL, CO	3/24/2015	00733237-07	Filed
ZSPACE INC	SUNNYVALE, CA	3/24/2015	00733240-07	Filed
NEC APPLIED FIBER HOLDINGS LLC	LITTLETON, CO	3/23/2015	00733217-07	Filed

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OA CAPITAL PARTNERS LP	AFTON, WY	3/23/2015	00733218-07	Filed
ENCAP ENERGY CAPITAL FUND 10 LP	HOUSTON, TX	3/20/2015	00733164-07	Filed
MIDWOOD CAPITAL PARTNERS LP	BOSTON, MA	3/19/2015	00732713-07	Filed
MORGAN STANLEY HEDGEPREMIER DOUBLE BLACK DIAMOND FUND 2 LP	NEW YORK, NY	3/19/2015	00732710-07	Filed
MORGAN STANLEY HEDGEPREMIER HBK MULTI STRATEGY FUND LP	NEW YORK, NY	3/19/2015	00732711-07	Filed
MORGAN STANLEY HEDGEPREMIER TRICADIA CREDIT STRATEGIES OFFSHORE FUND 2 LP	GRAND CAYMAN, AA	3/19/2015	00732709-07	Filed
NSC BIOTECH VENTURE FUND 1 LLC	NEW YORK, NY	3/19/2015	00732712-07	Filed
SE HOLIDAY NEW ORLEANS LLC	CHICAGO, IL	3/19/2015	00732706-07	Filed
SOFT SCIENCE INC	OCEANSIDE, CA	3/19/2015	00732707-07	Filed
HEDGEFORUM RENAISSANCE EQUITIES LTD	GRAND CAYMAN, AA	3/18/2015	00732690-07	Filed
EIG CORPUS CHRISTI CO INVESTMENT LP	WASHINGTON, DC	3/17/2015	00732678-07	Filed
FRONTIER MARKET SELECT OFFSHORE FUND LTD	LA JOLLA, CA	3/17/2015	00732680-07	Filed
MKP CREDIT OFFSHORE LTD	GRAND CAYMAN, AA	3/17/2015	00732668-07	Filed
BENEFIT STREET CREDIT ALPHA FUND LTD	NEW YORK, NY	3/16/2015	00732604-07	Filed
Number of Regulation D Notice Filings: 18				

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Tailored Living, LLC / Tailored Living	Orange, CA	3/27/2015	608934	Registered
PANERA, LLC / PANERA BREAD BAKERY-CAFE	St. Louis, MO	3/27/2015	608931	Registered
Sign & Graphics Operations LLC / Image360/Signs By Tomorrow	Columbia, MD	3/27/2015	608930	Registered
COUSINS SUBS SYSTEMS INC / Cousins Subs Shop	MENOMONEE FALLS, WI	3/27/2015	608929	Registered
FRSTeam, Inc. / FRSTeam and Fabric Restoration Service Team	HAYWARD, CA	3/27/2015	608928	Registered
RELAX THE BACK CORP	La Palma, CA	3/27/2015	608927	Registered
EXPRESS SERVICES INC / Express Employment Professionals	OKLAHOMA CITY, OK	3/27/2015	608926	Registered
DURACLEAN INTERNATIONAL, INC. / DURACLEAN	ARLINGTON HEIGHTS, IL	3/27/2015	608923	Registered
COUNTRY VISIONS, INC / Country Visions and Apricot Lane	VACAVILLE, CA	3/27/2015	608925	Registered
TILTED KILT FRANCHISE OPERATING LLC / Unit Restaurant	TEMPE, AZ	3/27/2015	608924	Registered
TILTED KILT FRANCHISE OPERATING LLC / Area Developer Program	TEMPE, AZ	3/27/2015	608922	Registered
PRO ONE JANITORIAL, INC. / Pro One Janitorial	Green Bay, WI	3/27/2015	608921	Registered
Applebee's Franchisor LLC / Applebee's Neighborhood Bar & Grill	Kansas City, MO	3/27/2015	608918	Registered
GrandStay Hospitality, LLC / GrandStay Residential Suites, Crossings by GrandStay, GrandStay conference centers, GrandStay Hotel & Suites	Brooklyn Park, MN	3/27/2015	608919	Registered
NewPoint Franchisor, LLC / Homes & Land; Estates & Homes	TALLAHASSEE, FL	3/27/2015	608920	Registered
TRUE VALUE SPECIALTY COMPANY, LLC / Taylor Rental, Grand Rental Station	CHICAGO, IL	3/27/2015	608917	Registered
MORAN INDUSTRIES INC / Milex Tune Up & Brakes/Milex Complete Auto Care	MIDLOTHIAN, IL	3/27/2015	608916	Registered
BUFFALO WILD WINGS INTERNATIONAL, iNC. / BUFFALO WILD WINGS GRILL & BAR	Minneapolis, MN	3/27/2015	608915	Registered
MORAN INDUSTRIES INC / Mr. Transmission	MIDLOTHIAN, IL	3/27/2015	608914	Registered

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NaturaLawn of America, Inc.	Frederick, MD	3/27/2015	608913	Registered
Orange Julius of America / Orange Julius® franchise	Minneapolis, MN	3/26/2015	608912	Registered
American Dairy Queen Corporation / DQ® Treat franchise	Minneapolis, MN	3/26/2015	608911	Registered
American Dairy Queen Corporation / DQ Grill & Chill® franchise	Minneapolis, MN	3/26/2015	608910	Registered
Dryer Vent Wizard International LLC / Dryer Vent Wizard	Farmington Hills, MI	3/26/2015	608909	Registered
Blue-Grace Franchise LLC / Blue-Grace Logistics	Riverview, FL	3/26/2015	608908	Registered
MAIDPRO FRANCHISE CORPORATION / MAIDPRO	Boston, MA	3/26/2015	608907	Registered
Black Bear Diners, Inc.	Redding, CA	3/26/2015	608906	Registered
Domino's Pizza Franchising LLC / Domino's Pizza	Ann Arbor, MI	3/26/2015	608901	Registered
Marriott International, Inc. / TownePlace Suites by Marriott	Bethesda, MD	3/26/2015	608896	Registered
Marriott International, Inc. / SpringHill Suites by Marriott	Bethesda, MD	3/26/2015	608895	Registered
Marriott International, Inc. / Residence Inn by Marriott	Bethesda, MD	3/26/2015	608894	Registered
Marriott International, Inc. / Fairfield Inn by Marriott/Fairfield Inn & Suites by Marriott	Bethesda, MD	3/26/2015	608893	Registered
MARRIOTT INTERNATIONAL INC / Courtyard by Marriott	BETHESDA, MD	3/26/2015	608891	Registered
Marriott International, Inc. / Moxy Hotels	Bethesda, MD	3/26/2015	608890	Registered
Marriott International, Inc. / AC Hotels by Marriott	Bethesda, MD	3/26/2015	608889	Registered
Marriott International, Inc. / Renaissance Hotels & Resorts	Bethesda, MD	3/26/2015	608888	Registered
Marriott International, Inc. / Marriott Hotels & Resorts	Bethesda, MD	3/26/2015	608887	Registered
Marriott International, Inc. / Autograph Collection	Bethesda, MD	3/26/2015	608886	Registered
Radisson Hotels International, Inc. / Radisson Red	Minneapolis, MN	3/26/2015	608884	Registered
RADISSON HOTELS INTERNATIONAL, INC. / Radisson	Minneapolis, MN	3/26/2015	608883	Registered
PARK HOSPITALITY LLC / Park Inn by Radisson	Minneapolis, MN	3/26/2015	608882	Registered

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COUNTRY INNS & SUITES BY CARLSON, INC. / Country Inn & Suites By Carlson	MINNEAPOLIS, MN	3/26/2015	608881	Registered
Restoration Specialties Franchise Group, LLC / ERS	Livonia, MI	3/26/2015	608880	Registered
MONKEY JOES FRANCHISING INC / Monkey Joe's	ATLANTA, GA	3/26/2015	608905	Registered
TAB Boards International, Inc. / The Alternative Board (Area Developer)	Westminster, CO	3/25/2015	608879	Registered
HAAGEN DAZS SHOPPE COMPANY INC	MINNEAPOLIS, MN	3/25/2015	608878	Registered
JumpBunch, Inc.	Annapolis, MD	3/25/2015	608855	Registered
Fitwall Studio Systems, LLC / "Fitwall"	Irvine, CA	3/25/2015	608843	Registered
Great Clips, Inc. / Great Clips	Minneapolis, MN	3/25/2015	608841	Registered
GLORIA JEAN'S GOURMET COFFEES FRANCHISING CORP. / Gloria Jean's Coffees	Santa Fe Springs, CA	3/25/2015	608902	Registered
HEALTHSOURCE CHIROPRACTIC INC / Single-Unit	Avon, OH	3/25/2015	608904	Registered
MASSAGE LUXE INTERNATIONAL LLC / MassageLuXe	FENTON, MO	3/25/2015	608903	Registered
TAB Boards International Inc. / The Alternative Board	Westminster, CO	3/24/2015	608840	Registered
Suspended in Time, Inc. / Suspended in Time	Orem, UT	3/24/2015	608839	Registered
CP Franchising, LLC / Cruise Planners	Coral Springs, FL	3/24/2015	608837	Registered
Dental Fix RX, LLC	Davie, FL	3/24/2015	608834	Registered
EmbroidMe.com, Inc. / EmbroidMe	West Palm Beach, FL	3/24/2015	608833	Registered
ENGEL & VOLKERS US HOLDINGS INC / Engel & Volkers North America and Engel & Volkers Americas	New York, NY	3/24/2015	608832	Registered
SPRING GREEN LAWN CARE CORP	PLAINFIELD, IL	3/24/2015	608831	Registered
ALLEGRA NETWORK LLC / Signs Now	Plymouth, MI	3/24/2015	608830	Registered
ALLEGRA NETWORK LLC / Allegra, American Speedy Printing, Insty-Prints	Plymouth, MI	3/24/2015	608829	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
SNIP ITS FRANCHISE COMPANY, LLC / Snip-its	Eden Prairie, MN	3/24/2015	608828	Registered
ABC, INC. / ABC SEAMLESS	FARGO, ND	3/24/2015	608827	Registered
CRUISESHIPCENTERS USA INC / Expedia CruiseShipCenters - Retail Host Agency	BELLEVUE, WA	3/24/2015	608868	Registered
Minuteman Press International, Inc. / Minuteman Press	Farmingdale, NY	3/24/2015	608867	Registered
Oxford Group International, LLC / GradePower Learning	Farmingdale, NY	3/24/2015	608866	Registered
Quick Mart Franchise Corporation / Quick Mart The Mini Market	Beverly Hills, CA	3/24/2015	608871	Registered
Trident Investment Partners, Inc. / Handyman Connection	Blue Ash, OH	3/24/2015	608869	Registered
Live Basil Franchising LLC / Live Basil	Denver, CO	3/23/2015	608826	Registered
Teriyaki Madness Franchising, LLC / Teriyaki Madness	Denver, CO	3/23/2015	608825	Registered
Pancho's Franchise Corporation / Pancho's	Coralville, IA	3/23/2015	608824	Registered
MOD Super Fast Pizza Franchising, LLC / MOD Pizza	Bellevue, WA	3/23/2015	608823	Registered
BELLACINOS INC / Bellacinos	Portage, MI	3/23/2015	608822	Registered
WKSA, LLC / WKSA	TOMBALL, TX	3/23/2015	608820	Registered
CHILDRENS ORCHARD INC / Children's Orchard	Minnetonk, MN	3/23/2015	608873	Registered
JEI SELF LEARNING SYSTEMS, INC.	LOS ANGELES, CA	3/23/2015	608897	Registered
S Collection, Inc. / Tribute Portfolio, Tribute Portfolio Hotels, Tribute Portfolio Hotels & Resorts	Stamford, CT	3/23/2015	608892	Registered
Delectus, Ltd. / ReDefy	Aurora, CO	3/20/2015	608817	Registered
Lemon Heaven International, Inc. / Lemon Heaven and/or Cin City Donuts	Delta, BC	3/20/2015	608816	Registered
Budget Blinds, Inc. / Troops in Transition	Orange, CA	3/20/2015	608815	Registered
Certified Restoration DryCleaning Network, LLC / CRDN	Berkley, MI	3/20/2015	608814	Registered
Budget Blinds, Inc. / Budget Blinds	Orange, CA	3/20/2015	608813	Registered
Buck's Pizza Franchising Corporation, Inc. / Buck's Pizza	DuBois, PA	3/20/2015	608811	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
National Property Inspections, Inc.	Omaha, NE	3/20/2015	608810	Registered
Breadsmith Franchising, Inc. / Breadsmith	Whitefish Bay, WI	3/20/2015	608809	Registered
ABBAY CARPET CO., INC / Abbey Carpet & Floor Showrooms	BONITA SPRINGS, FL	3/20/2015	608877	Registered
FLOORS TO GO LLC / Floors To Go	BONITA SPRINGS, FL	3/20/2015	608876	Registered
MICHELIN RETREAD TECHNOLOGIES INC / Michelin Retread Technologies, Inc.	DUNCAN, SC	3/20/2015	608898	Registered
MICHELIN RETREAD TECHNOLOGIES INC / Michelin Commercial Service Network	DUNCAN, SC	3/20/2015	608899	Registered
NATIONAL INTERNET CORPORATION / WSI ICE	LEWES, DE	3/20/2015	608875	Registered
JIS Franchising LLC / Johnny's Italian Steakhouse	Moline, IL	3/19/2015	608807	Registered
GOSH ENTERPRISES INC / Charley's	COLUMBUS, OH	3/19/2015	608805	Registered
MAID BRIGADE INC / Maid Simple	ATLANTA, GA	3/19/2015	608864	Registered
MAID BRIGADE INC / Maid Brigade	ATLANTA, GA	3/19/2015	608865	Registered
PB Franchising, LLC / Pure Barre	Spartanburg, SC	3/18/2015	608804	Registered
PizzaRev Franchising, LLC / PizzaRev®	Westgate Village, CA	3/18/2015	608803	Registered
ARCpoint Franchise Group, LLC / ARCpoint Labs	Greenville, SC	3/18/2015	608802	Registered
Patrice & Associates Franchising, Inc. / Patrice & Associates - Unit Program	Dunkirk, MD	3/18/2015	608863	Registered
WEATHERSBY GUILD INC / Weathersby Guild, Inc.	Peachtree, GA	3/18/2015	608862	Registered
Experimac Franchising, LLC / Experimac	West Palm Beach, FL	3/17/2015	608800	Registered
MR HANDYMAN INTERNATIONAL LLC / MR. HANDYMAN	ANN ARBOR, MI	3/17/2015	608799	Registered
Freddy's LLC / Freddy's Frozen Custard & Steakburgers	Wichita, KS	3/17/2015	608856	Registered
WINMARK CORP / Once Upon A Child Franchise Program	MINNEAPOLIS, MN	3/17/2015	608861	Registered
Winmark Corporation / Music Go Round	Minneapolis, MN	3/17/2015	608857	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Winmark Corporation / Style Encore	Minneapolis, MN	3/17/2015	608858	Registered
Winmark Corporation / Play It Again Sports	Minneapolis, MN	3/17/2015	608859	Registered
Winmark Corporation / Plato's Closet	Minneapolis, MN	3/17/2015	608860	Registered
Schmizza International, Inc. / Pizza Schmizza	Salem, OR	3/16/2015	608797	Registered
VALPAK DIRECT MARKETING SYSTEMS INC / VALPAK	St. Petersburg, FL	3/16/2015	608796	Registered
Holiday Diversified Services, Inc. / Holiday Stationstores	Minneapolis, MN	3/16/2015	608794	Registered
Drama Kids International, Inc. / Drama Kids	Leesburg, VA	3/16/2015	608793	Registered
C.Alb Franchising, Inc. / Camille Albane, Camille Albane Paris	Beverly, MA	3/16/2015	608851	Registered
Dessange Franchising, LLC / Dessange, Dessange Paris	Beverly, MA	3/16/2015	608850	Registered
WETZELS PRETZELS LLC	PASADENA, CA	3/16/2015	608852	Registered
Number of Franchise Filings: 114				

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