

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/18/2015 through 5/29/2015**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FANTEX INC SERIES JACK MEWHORT	SAN FRANCISCO, CA	5/19/2015	00737534-01	Pending
FANTEX INC SERIES KENDALL WRIGHT	SAN FRANCISCO, CA	5/19/2015	00737532-01	Pending
Number of Registration Filings: 2				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CORPORATE PROPERTY ASSOC 18 GLOBAL INC	NEW YORK, NY	5/21/2015	00737628-08	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
COLUMBIA FUNDS SERIES TR 2 COLUMBIA FLOATING RATE FUND CLASS Y	BOSTON, MA	5/28/2015	00738329-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR 2 COLUMBIA LARGE CORE QUANTITATIVE FUND CLASS Y	BOSTON, MA	5/28/2015	00738334-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR 2 COLUMBIA LARGE GROWTH QUANTITATIVE FUND CLASS R4	BOSTON, MA	5/28/2015	00738333-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR 2 COLUMBIA LARGE GROWTH QUANTITATIVE FUND CLASS Y	BOSTON, MA	5/28/2015	00738331-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR 2 COLUMBIA LARGE VALUE QUANTITATIVE FUND CLASS R4	BOSTON, MA	5/28/2015	00738335-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
COLUMBIA FUNDS SERIES TR 2 COLUMBIA LARGE VALUE QUANTITATIVE FUND CLASS Y	BOSTON, MA	5/28/2015	00738332-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR 2 COLUMBIA LARGE VALUE QUANTITATIVE FUND CLASS R5	BOSTON, MA	5/28/2015	00738330-03	Pending-Cleared
LAZARD FUNDS INC LAZARD EMERGING MARKETS EQUITY ADVANTAGE PORTFOLIO INSTITUTIONAL SHARES	NEW YORK, NY	5/28/2015	00738163-03	Pending-Cleared
LAZARD FUNDS INC LAZARD EMERGING MARKETS EQUITY ADVANTAGE PORTFOLIO OPEN SHARES	NEW YORK, NY	5/28/2015	00738164-03	Pending-Cleared
LAZARD FUNDS INC LAZARD INTERNATIONAL EQUITY ADVANTAGE PORTFOLIO OPEN SHARES	NEW YORK, NY	5/28/2015	00738160-03	Pending-Cleared
LAZARD FUNDS INC LAZARD INTERNATIONAL EQUITY ADVANTAGE PORTFOLIO INSTITUTIONAL SHARES	NEW YORK, NY	5/28/2015	00738159-03	Pending-Cleared
LAZARD FUNDS INC LAZARD MANAGED EQUITY VOLATILITY PORTFOLIO OPEN SHARES	NEW YORK, NY	5/28/2015	00738162-03	Pending-Cleared
LAZARD FUNDS INC LAZARD MANAGED EQUITY VOLATILITY PORTFOLIO INSTITUTIONAL SHARES	NEW YORK, NY	5/28/2015	00738161-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL EMERGING MARKETS FUND CLASS P	NEWPORT BEACH, CA	5/28/2015	00738177-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL EMERGING MARKETS FUND CLASS C	NEWPORT BEACH, CA	5/28/2015	00738175-03	Pending-Cleared

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PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL EMERGING MARKETS FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	5/28/2015	00738176-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL EMERGING MARKETS FUND CLASS A	NEWPORT BEACH, CA	5/28/2015	00738174-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL GLOBAL EX US FUND CLASS A	NEWPORT BEACH, CA	5/28/2015	00738181-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL GLOBAL EX US FUND CLASS P	NEWPORT BEACH, CA	5/28/2015	00738167-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL GLOBAL EX US FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	5/28/2015	00738166-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL GLOBAL EX US FUND CLASS C	NEWPORT BEACH, CA	5/28/2015	00738182-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL GLOBAL FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	5/28/2015	00738168-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL GLOBAL FUND CLASS C	NEWPORT BEACH, CA	5/28/2015	00738188-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL GLOBAL FUND CLASS P	NEWPORT BEACH, CA	5/28/2015	00738169-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL GLOBAL FUND CLASS A	NEWPORT BEACH, CA	5/28/2015	00738187-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL INTERNATIONAL FUND CLASS A	NEWPORT BEACH, CA	5/28/2015	00738165-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL INTERNATIONAL FUND CLASS C	NEWPORT BEACH, CA	5/28/2015	00738178-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL INTERNATIONAL FUND CLASS P	NEWPORT BEACH, CA	5/28/2015	00738180-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL INTERNATIONAL FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	5/28/2015	00738179-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL US FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	5/28/2015	00738185-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL US FUND CLASS A	NEWPORT BEACH, CA	5/28/2015	00738183-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL US FUND CLASS C	NEWPORT BEACH, CA	5/28/2015	00738184-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL US FUND CLASS P	NEWPORT BEACH, CA	5/28/2015	00738186-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL US SMALL FUND CLASS A	NEWPORT BEACH, CA	5/28/2015	00738170-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL US SMALL FUND CLASS P	NEWPORT BEACH, CA	5/28/2015	00738173-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL US SMALL FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	5/28/2015	00738172-03	Pending-Cleared
PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL US SMALL FUND CLASS C	NEWPORT BEACH, CA	5/28/2015	00738171-03	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
TRANSAMERICA FUNDS TRANSAMERICA BOND CLASS R6	ST. PETERSBURG, FL	5/28/2015	00738147-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA DIVIDEND FOCUSED CLASS R6	ST. PETERSBURG, FL	5/28/2015	00738148-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA EMERGING MARKETS DEBT CLASS R6	ST. PETERSBURG, FL	5/28/2015	00738149-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA FLEXIBLE INCOME CLASS R6	ST. PETERSBURG, FL	5/28/2015	00738146-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA GLOBAL EQUITY CLASS R6	ST. PETERSBURG, FL	5/28/2015	00738150-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA GROWTH CLASS R6	ST. PETERSBURG, FL	5/28/2015	00738151-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA HIGH YIELD BOND CLASS R6	ST. PETERSBURG, FL	5/28/2015	00738152-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA INTERNATIONAL EQUITY CLASS R6	ST. PETERSBURG, FL	5/28/2015	00738153-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA LARGE CAP VALUE CLASS R6	ST. PETERSBURG, FL	5/28/2015	00738154-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA MULTI MANAGED BALANCED CLASS R6	ST. PETERSBURG, FL	5/28/2015	00738155-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA MULTI MANAGER ALTERNATIVE STRATEGIES PORTFOLIO CLASS R6	ST. PETERSBURG, FL	5/28/2015	00738156-03	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
TRANSAMERICA FUNDS TRANSAMERICA SHORT TERM BOND CLASS R6	ST. PETERSBURG, FL	5/28/2015	00738157-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA SMALL MID CAP VALUE CLASS R6	ST. PETERSBURG, FL	5/28/2015	00738158-03	Pending-Cleared
FIDELITY SALEM STREET TR FIDELITY SAI INTERNATIONAL MINIMUM VOLATILITY INDEX FUND FSIMVIF	BOSTON, MA	5/27/2015	00738144-03	Registered
FIDELITY SALEM STREET TR FIDELITY SAI US MINIMUM VOLATILITY INDEX FUND FSUMVIF	BOSTON, MA	5/27/2015	00738143-03	Registered
MANNING & NAPIER FUND INC QUALITY EQUITY SERIES CLASS I	FAIRPORT, NY	5/27/2015	00738141-03	Pending-Cleared
MANNING & NAPIER FUND INC QUALITY EQUITY SERIES CLASS S	FAIRPORT, NY	5/27/2015	00738142-03	Pending-Cleared
TARGET PORTFOLIO TR PRUDENTIAL CORPORATE BOND FUND CLASS A	NEWARK, NJ	5/27/2015	00738137-03	Pending-Cleared
TARGET PORTFOLIO TR PRUDENTIAL CORPORATE BOND FUND CLASS C	NEWARK, NJ	5/27/2015	00738138-03	Pending-Cleared
TARGET PORTFOLIO TR PRUDENTIAL CORPORATE BOND FUND CLASS Q	NEWARK, NJ	5/27/2015	00738140-03	Pending-Cleared
TARGET PORTFOLIO TR PRUDENTIAL CORPORATE BOND FUND CLASS R	NEWARK, NJ	5/27/2015	00738139-03	Pending-Cleared
BLACKROCK FUNDS BLACKROCK MSCI WORLD INDEX FUND INSTITUTIONAL SHARES	WILMINGTON, DE	5/26/2015	00737621-03	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
LEGG MASON GLOBAL ASSET MANAGEMENT TR MARTIN CURRIE EMERGING MARKETS FUND CLASS FI	BALTIMORE, MD	5/26/2015	00737620-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR MARTIN CURRIE EMERGING MARKETS FUND CLASS I	BALTIMORE, MD	5/26/2015	00737618-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR MARTIN CURRIE EMERGING MARKETS FUND CLASS IS	BALTIMORE, MD	5/26/2015	00737619-03	Registered
RUSSELL INVESTMENT CO RUSSELL TX EX HIGH YIELD BOND FUND CLASS E	SEATTLE, WA	5/26/2015	00737615-03	Registered
RUSSELL INVESTMENT CO RUSSELL TX EX HIGH YIELD BOND FUND CLASS A	SEATTLE, WA	5/26/2015	00737614-03	Registered
RUSSELL INVESTMENT CO RUSSELL TX EX HIGH YIELD BOND FUND CLASS C	SEATTLE, WA	5/26/2015	00737616-03	Registered
RUSSELL INVESTMENT CO RUSSELL TX EX HIGH YIELD BOND FUND CLASS S	SEATTLE, WA	5/26/2015	00737617-03	Registered
ALGER FUNDS ALGER HEALTH SCIENCES FUND CLASS Z	NEW YORK, NY	5/22/2015	00736826-03	Pending-Cleared
ALGER FUNDS ALGER MID CAP GROWTH FUND CLASS Z	NEW YORK, NY	5/22/2015	00736825-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AC ALTERNATIVES INCOME FUND INSTITUTIONAL CLASS	KANSAS CITY, MO	5/22/2015	00736784-03	Registered
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AC ALTERNATIVES INCOME FUND C CLASS	KANSAS CITY, MO	5/22/2015	00736779-03	Registered

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AMERICAN CENTURY CAPITAL PORTFOLIOS INC AC ALTERNATIVES INCOME FUND R6 CLASS	KANSAS CITY, MO	5/22/2015	00736787-03	Registered
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AC ALTERNATIVES INCOME FUND R CLASS	KANSAS CITY, MO	5/22/2015	00736786-03	Registered
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AC ALTERNATIVES INCOME FUND A CLASS	KANSAS CITY, MO	5/22/2015	00736778-03	Registered
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AC ALTERNATIVES INCOME FUND INVESTOR CLASS	KANSAS CITY, MO	5/22/2015	00736785-03	Registered
LORD ABBETT MUNICIPAL INCOME FUND INC LORD ABBETT SHORT DURATION HIGH YIELD MUNICIPAL BOND CLASS I	JERSEY CITY, NJ	5/22/2015	00736781-03	Registered
LORD ABBETT MUNICIPAL INCOME FUND INC LORD ABBETT SHORT DURATION HIGH YIELD MUNICIPAL BOND CLASS F	JERSEY CITY, NJ	5/22/2015	00736782-03	Registered
LORD ABBETT MUNICIPAL INCOME FUND INC LORD ABBETT SHORT DURATION HIGH YIELD MUNICIPAL BOND CLASS A	JERSEY CITY, NJ	5/22/2015	00736783-03	Registered
LORD ABBETT MUNICIPAL INCOME FUND INC LORD ABBETT SHORT DURATION HIGH YIELD MUNICIPAL BOND CLASS C	JERSEY CITY, NJ	5/22/2015	00736780-03	Registered
VANGUARD TRUSTEES EQUITY FUND VANGUARD ALTERNATIVE STRATEGIES FUND INVESTOR SHARES	VALLEY FORGE, PA	5/22/2015	00737632-03	Incomplete
HARTFORD MUTUAL FUNDS INC HARTFORD MUNICIPAL INCOME FUND CLASS C	RADNOR, PA	5/21/2015	00737521-03	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
HARTFORD MUTUAL FUNDS INC HARTFORD MUNICIPAL INCOME FUND CLASS I	RADNOR, PA	5/21/2015	00737522-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD MUNICIPAL INCOME FUND CLASS A	RADNOR, PA	5/21/2015	00737520-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD MUNICIPAL SHORT DURATION FUND CLASS A	RADNOR, PA	5/21/2015	00737518-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD MUNICIPAL SHORT DURATION FUND CLASS I	RADNOR, PA	5/21/2015	00737519-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD MUNICIPAL SHORT DURATION FUND CLASS C	RADNOR, PA	5/21/2015	00737517-03	Pending-Cleared
FT 5441 DOW JONES GLOBAL TITANS PORTFOLIO SERIES 17	WHEATON, IL	5/20/2015	00737538-05	Registered
FT 5442 ENERGY SELECT PORTFOLIO SERIES 55	WHEATON, IL	5/20/2015	00737537-05	Registered
FT 5442 WATER UTILITY & INFRASTRUCTURE SELECT PORTFOLIO SERIES 37	WHEATON, IL	5/20/2015	00737541-05	Registered
FT 5465 HIGH YIELD INCOME CLOSED END PORTFOLIO SERIES 68	WHEATON, IL	5/20/2015	00737536-05	Registered
FT 5498 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 58	WHEATON, IL	5/20/2015	00737540-05	Registered
FT 5515 TACTICAL INCOME PORTFOLIO SERIES 37	WHEATON, IL	5/20/2015	00737539-05	Registered
FORUM FUNDS EXCEED STRUCTURED SHIELD INDEX STRATEGY FUND INVESTOR SHARES	PORTLAND, ME	5/19/2015	00736747-03	Registered

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Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1435 TACTICAL INCOME CLOSED END PORTFOLIO SERIES 2015 2	MONUMENT, CO	5/18/2015	00736718-05	Registered
ADVISORS DISCIPLINED TR 1436 VALUE ARCHITECTS RECURRING REVENUE SCORE PORTFOLIO SERIES 2015 1	MONUMENT, CO	5/18/2015	00736717-05	Registered
ADVISORS DISCIPLINED TR 1439 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 96	MONUMENT, CO	5/18/2015	00736716-05	Registered
ADVISORS DISCIPLINED TR 1444 AEROSPACE DEFENSE OPPORTUNITIES PORTFOLIO SERIES 2015 1	MONUMENT, CO	5/18/2015	00736715-05	Registered
ADVISORS DISCIPLINED TR 1479 BAHL & GAYNOR INCOME GROWTH PORTFOLIO SERIES 2015 2Q	MONUMENT, CO	5/18/2015	00736714-05	Registered
DOUBLELINE FUNDS TR DOUBLELINE STRATEGIC COMMODITY FUND CLASS I SHARES	WEST ALLIS, WI	5/18/2015	00736739-03	Registered
DOUBLELINE FUNDS TR DOUBLELINE STRATEGIC COMMODITY FUND CLASS N SHARES	WEST ALLIS, WI	5/18/2015	00736740-03	Registered
FT 5436 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 56	WHEATON, IL	5/18/2015	00736742-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1287 ZEBRA CAPITAL LOW VOLUME LEADERS STRATEGY PORTFOLIO SERIES 1	LISLE, IL	5/18/2015	00736711-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1312 FLAHERTY & CRUMRINE PREFERRED PORTFOLIO SERIES 36	LISLE, IL	5/18/2015	00736713-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1313 GLOBAL WATER EQUITIES PORTFOLIO SERIES 28	LISLE, IL	5/18/2015	00736721-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1313 GUGGENHEIM EUROPEAN CAPITAL STRENGTH PORTFOLIO SERIES 7	LISLE, IL	5/18/2015	00736708-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1313 GUGGENHEIM US CAPITAL STRENGTH PORTFOLIO SERIES 7	LISLE, IL	5/18/2015	00736709-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1314 FLOATING RATE & DIVIDEND GROWTH PORTFOLIO SERIES 8	LISLE, IL	5/18/2015	00736720-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1315 COMPASS UNDERVALUED TOP PICKS PORTFOLIO SERIES 5	LISLE, IL	5/18/2015	00736710-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1315 GUGGENHEIM EMERGING MARKETS DIVIDEND STRATEGY PORTFOLIO SERIES 14	LISLE, IL	5/18/2015	00736719-05	Registered
INCAPITAL UNIT TR SERIES 79 PROSPECT ENERGY & POWER INCOME PORTFOLIO SERIES 2	CHICAGO, IL	5/18/2015	00736712-05	Registered
INCAPITAL UNIT TR SERIES 79 PROSPECT INCOME FINANCE PORTFOLIO SERIES 3	CHICAGO, IL	5/18/2015	00736707-05	Registered
INVESCO UNIT TR MUNICIPAL SERIES 1239 INVESTMENT GRADE MUNICIPAL TR 20 PLUS YEAR SERIES 181	DOWNERS GROVE, IL	5/18/2015	00736736-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1240 INVESTMENT GRADE MUNICIPAL TR 20 PLUS YEAR SERIES 182	DOWNERS GROVE, IL	5/18/2015	00736737-05	Pending-Cleared

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INVESCO UNIT TR SERIES 1557 CLOSED END STRATEGY COVERED CALL INCOME PORTFOLIO 2015 3	DOWNERS GROVE, IL	5/18/2015	00736733-05	Pending-Cleared
INVESCO UNIT TR SERIES 1557 CLOSED END STRATEGY MASTER INCOME PORTFOLIO 2015 3	DOWNERS GROVE, IL	5/18/2015	00736732-05	Pending-Cleared
INVESCO UNIT TR SERIES 1557 CLOSED END STRATEGY MASTER MUNICIPAL INCOME PORTFOLIO NATIONAL SERIES 2015 3	DOWNERS GROVE, IL	5/18/2015	00736734-05	Pending-Cleared
INVESCO UNIT TR SERIES 1557 CLOSED END STRATEGY VALUE EQUITY & INCOME PORTFOLIO 2015 3	DOWNERS GROVE, IL	5/18/2015	00736731-05	Pending-Cleared
INVESCO UNIT TR SERIES 1558 ALL CAP CORE STRATEGY 2015 3	DOWNERS GROVE, IL	5/18/2015	00736725-05	Pending-Cleared
INVESCO UNIT TR SERIES 1558 DIVIDEND INCOME LEADERS STRATEGY PORTFOLIO 2015 3	DOWNERS GROVE, IL	5/18/2015	00736730-05	Pending-Cleared
INVESCO UNIT TR SERIES 1558 LARGE CAP CORE STRATEGY 2015 3	DOWNERS GROVE, IL	5/18/2015	00736726-05	Pending-Cleared
INVESCO UNIT TR SERIES 1558 MID CAP CORE STRATEGY 2015 3	DOWNERS GROVE, IL	5/18/2015	00736727-05	Pending-Cleared
INVESCO UNIT TR SERIES 1558 S&P POWERPICKS PORTFOLIO 2015 3	DOWNERS GROVE, IL	5/18/2015	00736729-05	Pending-Cleared
INVESCO UNIT TR SERIES 1558 SMALL CAP CORE STRATEGY 2015 3	DOWNERS GROVE, IL	5/18/2015	00736728-05	Pending-Cleared
INVESCO UNIT TR SERIES 1562 AMERICAN INFRASTRUCTURE GROWTH PORTFOLIO 2015 3	DOWNERS GROVE, IL	5/18/2015	00736724-05	Pending-Cleared

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INVESCO UNIT TR SERIES 1563 BUYBACK LEADERS PORTFOLIO 2015 3	DOWNERS GROVE, IL	5/18/2015	00736723-05	Pending-Cleared
INVESCO UNIT TR SERIES 1564 STOCKS FOR 2018 PORTFOLIO	DOWNERS GROVE, IL	5/18/2015	00736722-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 517 HIGH YIELD CORPORATE TR 4 7 YEAR SERIES 3	DOWNERS GROVE, IL	5/18/2015	00736735-05	Pending-Cleared
INVESTMENT MANAGERS SERIES TR OAK RIDGE DIVIDEND GROWTH FUND CLASS A	MILWAUKEE, WI	5/18/2015	00736741-03	Registered
JPMORGAN TR I JPMORGAN INTREPID INTERNATIONAL FUND CLASS R6 SHARES	NEW YORK, NEW YORK,	5/18/2015	00736679-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL FRANCHISE PORTFOLIO CLASS IS	NEW YORK, N	5/18/2015	00736678-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC MULTI ASSET PORTFOLIO CLASS IS	NEW YORK, N	5/18/2015	00736676-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND TR GLOBAL STRATEGIST PORTFOLIO CLASS IS	NEW YORK, N	5/18/2015	00736677-03	Registered
TOUCHSTONE STRATEGIC TR TOUCHSTONE INTERNATIONAL SMALL CAP FUND CLASS C	CINCINNATI, OH	5/18/2015	00736670-03	Registered
TOUCHSTONE STRATEGIC TR TOUCHSTONE SMALL CAP GROWTH FUND CLASS C	CINCINNATI, OH	5/18/2015	00736669-03	Registered
Number of Investment Company Filings: 133				

**All Securities Law, Franchise Law, and Take-Over Law Filings
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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
MDS ENERGY PARTNERS LP	KITTANNING, PA	5/28/2015	00738336-07	Filed
SE TUCSON DST	CHICAGO, IL	5/28/2015	00738337-07	Filed
DJO FINANCE LLC	VISTA, CA	5/22/2015	00737630-07	Filed
VENTEC LIFE SYSTEMS INC	BOTHELL, WA	5/22/2015	00737629-07	Filed
AMERICAN GENE TECHNOLOGIES INTERNATIONAL INC	ROCKVILLE, MD	5/21/2015	00737626-07	Filed
REALTYSHARES 67 LLC	SAN FRANCISCO, CA	5/21/2015	00737622-07	Filed
TIDAL PETROLEUM INC	SCHERTZ, TX	5/21/2015	00737623-07	Filed
NORTH EAGLE BAY JOINT VENTURE	HOUSTON, TX	5/19/2015	00737533-07	Filed
TISSUE REGENERATION SYSTEMS INC	PLYMOUTH, MI	5/19/2015	00737531-07	Filed
INDIO 3D DEVELOPMENT LP	BOWLING GREEN, KY	5/18/2015	00736700-07	Filed
MYDX INC	SAN DIEGO, CA	5/18/2015	00736738-07	Filed
Number of Regulation D Notice Filings: 11				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
DaVi Nails Salon and Spa, LLC / DaVi Nails	West Valley City, UT	5/29/2015	609781	Registered
FAMOUS DAVES OF AMERICA INC / Famous Dave's®	Minnetonka, MN	5/29/2015	609778	Registered
Care Patrol Franchise Systems, LLC / CarePatrol	Gilbert, AZ	5/28/2015	609777	Registered
Scooter's Coffee, LLC / Scooter's Coffee	Omaha, NE	5/28/2015	609775	Registered
Rusty Taco, Inc. / Rusty Taco	Plano, TX	5/28/2015	609773	Registered
AEFC, Inc / Adam & Eve	Hillsborough, NC	5/28/2015	609772	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Pieology Franchise, LLC / Pieology	Rancho Santa Margarita, CA	5/26/2015	609769	Registered
Kid to Kid Franchise System, Inc. / Kid to Kid	Salt Lake City, UT	5/26/2015	609768	Registered
ROYAL FRANCHISING INC / JANI KING OF MILWAUKEE	BROOKFIELD, WI	5/26/2015	609766	Registered
Sweeto Burrito Franchising, LLC / Sweeto Burrito	Rigby, ID	5/23/2015	609759	Registered
Living Assistance Services, Inc.	Bryn Mawr, PA	5/22/2015	609758	Registered
PONDEROSA FRANCHISING CO	PLANO, TX	5/22/2015	609757	Registered
BONANZA RESTAURANT CO	PLANO, TX	5/22/2015	609756	Registered
EK Franchising Company / Engineering for Kids	Stafford, VA	5/22/2015	609761	Registered
Expense Reduction Analysts, Inc. / Expense Reduction Analysts	Addison, TX	5/22/2015	609764	Registered
D.I.Y. Restaurant Group Inc. / Trugurt and uBuild	La Grange, IL	5/21/2015	609754	Registered
Pizza Studio Franchise Company, LLC / Pizza Studio	Calabasas, CA	5/21/2015	609763	Registered
Mongolian Management and Investment Company, L.L.C. / bd's Mongolian Grill®	Burnsville, MN	5/20/2015	609715	Registered
Image One Facility Solutions, Inc. / IMAGE ONE FACILITY SOLUTIONS	Wood Dale, IL	5/20/2015	609760	Registered
Medifast Franchise Systems, Inc. / Medifast Weight Control Centers	Owings Mills, MD	5/20/2015	609734	Registered
PHYSICIANS WEIGHT LOSS CENTERS OF AMERICA INC / Physicians Weight Loss Centers	AKRON, OH	5/20/2015	609762	Registered
Bella Bridesmaids Franchise Group, LLC / Bella Bridesmaids	Chicago, IL	5/19/2015	609706	Registered
YOU MOVE ME LLC / YOU MOVE ME	Vancouver, BC	5/19/2015	609705	Registered
Sears Home Appliance Showrooms, LLC / Sears Home Appliance Showroom, Sears Appliance & Hardware Store, Sears Outlet Store, Sears Hometown Store	Hoffman Estates, IL	5/19/2015	609704	Registered
SPAULDING DECON INDUSTRIES, CORP. / SPAULDING DECON	TAMPA, FL	5/19/2015	609703	Registered
Nutrition Zone Franchising, Inc. / Nutrition Zone	Foothill Ranch, CA	5/18/2015	609698	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Anago Franchising, Inc.	Fort Lauderdale, FL	5/18/2015	609697	Registered
Curves International, Inc. / Curves; Jenny Craig	Woodway, TX	5/18/2015	609713	Registered
EVERYTHING YOGURT BRANDS LLC / Green Leaf's Beyond Great Salads/Bananas Smoothies & Frozen Yogurt	MORRISTOWN, NJ	5/18/2015	609732	Registered
Full House Mortgage Connection, Inc. / Full House Mortgage Lender	Birmingham, MI	5/18/2015	609724	Registered
Fuzzy's Taco Opportunities, LLC / Fuzzy's Taco Shop	Fort Worth, TX	5/18/2015	609712	Registered
Pinot's Palette Franchise LLC / Pinot's Palette	Houston, TX	5/18/2015	609711	Registered
WORLDWIDE EXPRESS OPERATIONS LLC / WORLDWIDE EXPRESS	DALLAS, TX	5/18/2015	609723	Registered
Number of Franchise Filings: 33				

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