

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/25/2015 through 6/5/2015**

| Securities Law Registration Filings Made with DFI's Securities Division | | | | |
|--|-----------------|----------------------|--------------------|-----------------|
| Firm Name | Location | Date Received | File Number | Status |
| LIVING HOPE CHURCH OF NAZARENE OLATHE KS | OLATHE, KS | 5/28/2015 | 00738458-02 | Pending-Cleared |
| UNITED METHODIST DEVELOPMENT FUND | NEW YORK, NY | 5/28/2015 | 00738459-02 | Pending-Cleared |
| Number of Registration Filings: 2 | | | | |

| 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 |
| FRANKLIN FUND ALLOCATOR SERIES FRANKLIN PAYOUT 2017 FUND ADVISOR CLASS | SAN MATEO, CA | 6/1/2015 | 00738427-03 | Registered |
| FRANKLIN FUND ALLOCATOR SERIES FRANKLIN PAYOUT 2017 FUND CLASS R6 | SAN MATEO, CA | 6/1/2015 | 00738424-03 | Registered |
| FRANKLIN FUND ALLOCATOR SERIES FRANKLIN PAYOUT 2018 FUND CLASS R6 | SAN MATEO, CA | 6/1/2015 | 00738419-03 | Registered |
| FRANKLIN FUND ALLOCATOR SERIES FRANKLIN PAYOUT 2018 FUND ADVISOR CLASS | SAN MATEO, CA | 6/1/2015 | 00738428-03 | Registered |
| FRANKLIN FUND ALLOCATOR SERIES FRANKLIN PAYOUT 2019 FUND CLASS R6 | SAN MATEO, CA | 6/1/2015 | 00738422-03 | Registered |
| FRANKLIN FUND ALLOCATOR SERIES FRANKLIN PAYOUT 2019 FUND ADVISOR CLASS | SAN MATEO, CA | 6/1/2015 | 00738423-03 | 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 |
| FRANKLIN FUND ALLOCATOR SERIES FRANKLIN PAYOUT 2020 FUND CLASS R6 | SAN MATEO, CA | 6/1/2015 | 00738425-03 | Registered |
| FRANKLIN FUND ALLOCATOR SERIES FRANKLIN PAYOUT 2020 FUND ADVISOR CLASS | SAN MATEO, CA | 6/1/2015 | 00738420-03 | Registered |
| FRANKLIN FUND ALLOCATOR SERIES FRANKLIN PAYOUT 2021 FUND ADVISOR CLASS | SAN MATEO, CA | 6/1/2015 | 00738421-03 | Registered |
| FRANKLIN FUND ALLOCATOR SERIES FRANKLIN PAYOUT 2021 FUND CLASS R6 | SAN MATEO, CA | 6/1/2015 | 00738426-03 | Registered |
| STARBOARD INVESTMENT TR RX DIVIDEND INCOME FUND INSTITUTIONAL CLASS SHARES | ROCKY MOUNT, NC | 6/1/2015 | 00738412-03 | Registered |
| STARBOARD INVESTMENT TR RX DYNAMIC GROWTH FUND INSTITUTIONAL CLASS SHARES | ROCKY MOUNT, NC | 6/1/2015 | 00738411-03 | Registered |
| STARBOARD INVESTMENT TR RX DYNAMIC TOTAL RETURN FUND INSTITUTIONAL CLASS SHARES | ROCKY MOUNT, NC | 6/1/2015 | 00738413-03 | Registered |
| STARBOARD INVESTMENT TR RX HIGH INCOME FUND INSTITUTIONAL CLASS SHARES | ROCKY MOUNT, NC | 6/1/2015 | 00738414-03 | Registered |
| STARBOARD INVESTMENT TR RX NON TRADITIONAL FUND INSTITUTIONAL CLASS SHARES | ROCKY MOUNT, NC | 6/1/2015 | 00738415-03 | Registered |
| STARBOARD INVESTMENT TR RX PREMIER MANAGERS FUND INSTITUTIONAL CLASS SHARES | ROCKY MOUNT, NC | 6/1/2015 | 00738416-03 | Registered |
| STARBOARD INVESTMENT TR RX TRADITIONAL EQUITY FUND INSTITUTIONAL CLASS SHARES | ROCKY MOUNT, NC | 6/1/2015 | 00738417-03 | Registered |

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|---|--------------------|----------------------|--------------------|-----------------|
| Firm Name | Location | Date Received | File Number | Status |
| STARBOARD INVESTMENT TR RX TRADITIONAL FIXED INCOME FUND INSTITUTIONAL CLASS SHARES | ROCKY MOUNT, NC | 6/1/2015 | 00738418-03 | Registered |
| DREYFUS STOCK FUNDS DREYFUS INTERNATIONAL EQUITY FUND CLASS Y | NEW YORK, NY | 5/29/2015 | 00738380-03 | Registered |
| GUIDESTONE FUNDS INTERNATIONAL EQUITY INDEX FUND INSTITUTIONAL CLASS | DALLAS, TX | 5/29/2015 | 00738381-03 | Pending-Cleared |
| MONEY MARKET OBLIGATIONS TR FEDERATED CA MUNICIPAL CASH TR INVESTMENT SHARES | WARRENDALE, PA | 5/29/2015 | 00738383-03 | Registered |
| MONEY MARKET OBLIGATIONS TR FEDERATED GOVERNMENT OBLIGATIONS FUND CASH 2 SHARES | WARRENDALE, PA | 5/29/2015 | 00738385-03 | Registered |
| MONEY MARKET OBLIGATIONS TR FEDERATED GOVERNMENT OBLIGATIONS FUND CASH SERIES SHARES | WARRENDALE, PA | 5/29/2015 | 00738384-03 | Registered |
| MONEY MARKET OBLIGATIONS TR FEDERATED MUNICIPAL OBLIGATIONS FUND CASH SERIES SHARES | WARRENDALE, PA | 5/29/2015 | 00738387-03 | Registered |
| MONEY MARKET OBLIGATIONS TR FEDERATED MUNICIPAL OBLIGATIONS FUND TR SHARES | WARRENDALE, PA | 5/29/2015 | 00738388-03 | Registered |
| MONEY MARKET OBLIGATIONS TR FEDERATED MUNICIPAL OBLIGATIONS FUND INVESTMENT SHARES | WARRENDALE, PA | 5/29/2015 | 00738389-03 | Registered |
| MONEY MARKET OBLIGATIONS TR FEDERATED MUNICIPAL OBLIGATIONS FUND CASH 2 SHARES | WARRENDALE, PA | 5/29/2015 | 00738386-03 | 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 |
| MONEY MARKET OBLIGATIONS TR FEDERATED PRIME CASH OBLIGATIONS FUND CLASS R SHARES | WARRENDALE, PA | 5/29/2015 | 00738394-03 | Registered |
| MONEY MARKET OBLIGATIONS TR FEDERATED PRIME CASH OBLIGATIONS FUND TR SHARES | WARRENDALE, PA | 5/29/2015 | 00738391-03 | Registered |
| MONEY MARKET OBLIGATIONS TR FEDERATED PRIME CASH OBLIGATIONS FUND AUTOMATED SHARES | WARRENDALE, PA | 5/29/2015 | 00738390-03 | Registered |
| MONEY MARKET OBLIGATIONS TR FEDERATED PRIME CASH OBLIGATIONS FUND CASH SERIES SHARES | WARRENDALE, PA | 5/29/2015 | 00738393-03 | Registered |
| MONEY MARKET OBLIGATIONS TR FEDERATED PRIME CASH OBLIGATIONS FUND CASH 2 SHARES | WARRENDALE, PA | 5/29/2015 | 00738392-03 | Registered |
| MONEY MARKET OBLIGATIONS TR FEDERATED TR FOR US TREASURY OBLIGATIONS CASH 2 SHARES | WARRENDALE, PA | 5/29/2015 | 00738395-03 | Registered |
| MONEY MARKET OBLIGATIONS TR FEDERATED TR FOR US TREASURY OBLIGATIONS CASH SERIES SHARES | WARRENDALE, PA | 5/29/2015 | 00738396-03 | Registered |
| COLUMBIA FUNDS SERIES TR 2 COLUMBIA FLOATING RATE FUND CLASS Y | BOSTON, MA | 5/28/2015 | 00738329-03 | Registered |
| COLUMBIA FUNDS SERIES TR 2 COLUMBIA LARGE CORE QUANTITATIVE FUND CLASS Y | BOSTON, MA | 5/28/2015 | 00738334-03 | Registered |
| COLUMBIA FUNDS SERIES TR 2 COLUMBIA LARGE GROWTH QUANTITATIVE FUND CLASS Y | BOSTON, MA | 5/28/2015 | 00738331-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| COLUMBIA FUNDS SERIES TR 2 COLUMBIA LARGE GROWTH QUANTITATIVE FUND CLASS R4 | BOSTON, MA | 5/28/2015 | 00738333-03 | Registered |
| COLUMBIA FUNDS SERIES TR 2 COLUMBIA LARGE VALUE QUANTITATIVE FUND CLASS Y | BOSTON, MA | 5/28/2015 | 00738332-03 | Registered |
| COLUMBIA FUNDS SERIES TR 2 COLUMBIA LARGE VALUE QUANTITATIVE FUND CLASS R5 | BOSTON, MA | 5/28/2015 | 00738330-03 | Registered |
| COLUMBIA FUNDS SERIES TR 2 COLUMBIA LARGE VALUE QUANTITATIVE FUND CLASS R4 | BOSTON, MA | 5/28/2015 | 00738335-03 | Registered |
| LAZARD FUNDS INC LAZARD EMERGING MARKETS EQUITY ADVANTAGE PORTFOLIO OPEN SHARES | NEW YORK, NY | 5/28/2015 | 00738164-03 | Registered |
| LAZARD FUNDS INC LAZARD EMERGING MARKETS EQUITY ADVANTAGE PORTFOLIO INSTITUTIONAL SHARES | NEW YORK, NY | 5/28/2015 | 00738163-03 | Registered |
| LAZARD FUNDS INC LAZARD INTERNATIONAL EQUITY ADVANTAGE PORTFOLIO OPEN SHARES | NEW YORK, NY | 5/28/2015 | 00738160-03 | Registered |
| LAZARD FUNDS INC LAZARD INTERNATIONAL EQUITY ADVANTAGE PORTFOLIO INSTITUTIONAL SHARES | NEW YORK, NY | 5/28/2015 | 00738159-03 | Registered |
| LAZARD FUNDS INC LAZARD MANAGED EQUITY VOLATILITY PORTFOLIO OPEN SHARES | NEW YORK, NY | 5/28/2015 | 00738162-03 | Registered |
| LAZARD FUNDS INC LAZARD MANAGED EQUITY VOLATILITY PORTFOLIO INSTITUTIONAL SHARES | NEW YORK, NY | 5/28/2015 | 00738161-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| 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 EMERGING MARKETS FUND CLASS C | NEWPORT BEACH, CA | 5/28/2015 | 00738175-03 | Pending-Cleared |
| 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 P | NEWPORT BEACH, CA | 5/28/2015 | 00738177-03 | 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 EX US FUND CLASS A | NEWPORT BEACH, CA | 5/28/2015 | 00738181-03 | 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 A | NEWPORT BEACH, CA | 5/28/2015 | 00738187-03 | Pending-Cleared |

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| Firm Name | Location | Date Received | File Number | Status |
| 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 INTERNATIONAL FUND INSTITUTIONAL CLASS | NEWPORT BEACH, CA | 5/28/2015 | 00738179-03 | Pending-Cleared |
| PIMCO EQUITY SERIES PIMCO RAE FUNDAMENTAL INTERNATIONAL FUND CLASS A | NEWPORT BEACH, CA | 5/28/2015 | 00738165-03 | 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 CLASS C | NEWPORT BEACH, CA | 5/28/2015 | 00738178-03 | 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 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 |

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| Firm Name | Location | Date Received | File Number | Status |
| 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 C | NEWPORT BEACH, CA | 5/28/2015 | 00738171-03 | Pending-Cleared |
| TRANSAMERICA FUNDS TRANSAMERICA BOND CLASS R6 | ST. PETERSBURG, FL | 5/28/2015 | 00738147-03 | Registered |
| TRANSAMERICA FUNDS TRANSAMERICA DIVIDEND FOCUSED CLASS R6 | ST. PETERSBURG, FL | 5/28/2015 | 00738148-03 | Registered |
| TRANSAMERICA FUNDS TRANSAMERICA EMERGING MARKETS DEBT CLASS R6 | ST. PETERSBURG, FL | 5/28/2015 | 00738149-03 | Registered |
| TRANSAMERICA FUNDS TRANSAMERICA FLEXIBLE INCOME CLASS R6 | ST. PETERSBURG, FL | 5/28/2015 | 00738146-03 | Registered |
| TRANSAMERICA FUNDS TRANSAMERICA GLOBAL EQUITY CLASS R6 | ST. PETERSBURG, FL | 5/28/2015 | 00738150-03 | Registered |
| TRANSAMERICA FUNDS TRANSAMERICA GROWTH CLASS R6 | ST. PETERSBURG, FL | 5/28/2015 | 00738151-03 | Registered |
| TRANSAMERICA FUNDS TRANSAMERICA HIGH YIELD BOND CLASS R6 | ST. PETERSBURG, FL | 5/28/2015 | 00738152-03 | Registered |
| TRANSAMERICA FUNDS TRANSAMERICA INTERNATIONAL EQUITY CLASS R6 | ST. PETERSBURG, FL | 5/28/2015 | 00738153-03 | Registered |
| TRANSAMERICA FUNDS TRANSAMERICA LARGE CAP VALUE CLASS R6 | ST. PETERSBURG, FL | 5/28/2015 | 00738154-03 | Registered |
| TRANSAMERICA FUNDS TRANSAMERICA MULTI MANAGED BALANCED CLASS R6 | ST. PETERSBURG, FL | 5/28/2015 | 00738155-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| TRANSAMERICA FUNDS TRANSAMERICA MULTI MANAGER ALTERNATIVE STRATEGIES PORTFOLIO CLASS R6 | ST. PETERSBURG, FL | 5/28/2015 | 00738156-03 | Registered |
| TRANSAMERICA FUNDS TRANSAMERICA SHORT TERM BOND CLASS R6 | ST. PETERSBURG, FL | 5/28/2015 | 00738157-03 | Registered |
| TRANSAMERICA FUNDS TRANSAMERICA SMALL MID CAP VALUE CLASS R6 | ST. PETERSBURG, FL | 5/28/2015 | 00738158-03 | Registered |
| 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 | Registered |
| MANNING & NAPIER FUND INC QUALITY EQUITY SERIES CLASS S | FAIRPORT, NY | 5/27/2015 | 00738142-03 | Registered |
| TARGET PORTFOLIO TR PRUDENTIAL CORPORATE BOND FUND CLASS A | NEWARK, NJ | 5/27/2015 | 00738137-03 | Registered |
| TARGET PORTFOLIO TR PRUDENTIAL CORPORATE BOND FUND CLASS C | NEWARK, NJ | 5/27/2015 | 00738138-03 | Registered |
| TARGET PORTFOLIO TR PRUDENTIAL CORPORATE BOND FUND CLASS Q | NEWARK, NJ | 5/27/2015 | 00738140-03 | Registered |
| TARGET PORTFOLIO TR PRUDENTIAL CORPORATE BOND FUND CLASS R | NEWARK, NJ | 5/27/2015 | 00738139-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| 1ST TR COMBINED SERIES 480 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO 10 20 YEAR SERIES 18 | WHEATON, IL | 5/26/2015 | 00738439-05 | Registered |
| BLACKROCK FUNDS BLACKROCK MSCI WORLD INDEX FUND INSTITUTIONAL SHARES | WILMINGTON, DE | 5/26/2015 | 00737621-03 | Registered |
| FT 5444 INTERNATIONAL CAPITAL STRENGTH PORTFOLIO SERIES 25 | WHEATON, IL | 5/26/2015 | 00738441-05 | Registered |
| FT 5444 SMID CAPITAL STRENGTH PORTFOLIO SERIES 25 | WHEATON, IL | 5/26/2015 | 00738440-05 | Registered |
| FT 5445 REIT GROWTH & INCOME PLUS PORTFOLIO SERIES 23 | WHEATON, IL | 5/26/2015 | 00738436-05 | Registered |
| FT 5446 EMERGING MARKETS STRENGTH PORTFOLIO SERIES 27 | WHEATON, IL | 5/26/2015 | 00738438-05 | Registered |
| FT 5518 TOP PICKS MAY 2015 PORTFOLIO | WHEATON, IL | 5/26/2015 | 00738437-05 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1316 DIVIDEND GROWTH PORTFOLIO SERIES 7 | LISLE, IL | 5/26/2015 | 00738433-05 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1316 DIVIDEND STRENGTH PORTFOLIO SERIES 17 | LISLE, IL | 5/26/2015 | 00738434-05 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1317 INCOME & TREASURY LTD DURATION PORTFOLIO OF FUNDS SERIES 43 | LISLE, IL | 5/26/2015 | 00738432-05 | Registered |
| LEGG MASON GLOBAL ASSET MANAGEMENT TR MARTIN CURRIE EMERGING MARKETS FUND CLASS IS | BALTIMORE, MD | 5/26/2015 | 00737619-03 | Registered |

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| 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 FI | BALTIMORE, MD | 5/26/2015 | 00737620-03 | Registered |
| NORTHERN LIGHTS FUND TR 2 PCS COMMODITY STRATEGY FUND CLASS C SHARES | HAUPPAUGE, NY | 5/26/2015 | 00738431-03 | 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 E | SEATTLE, WA | 5/26/2015 | 00737615-03 | 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 |
| Number of Investment Company Filings: 110 | | | | |

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|-------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| NTX INVESTMENTS LLC | SAN FRANCISCO, CA | 5/29/2015 | 00738462-07 | Filed |
| MDS ENERGY PARTNERS LP | KITTANNING, PA | 5/28/2015 | 00738336-07 | Filed |
| SE TUCSON DST | CHICAGO, IL | 5/28/2015 | 00738337-07 | Filed |
| WILD HOLDINGS LLC | NEW YORK, NY | 5/28/2015 | 00738456-07 | Filed |

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| AUSTIN LAKESHORE MULTIFAMILY DST | OAK BROOK, IL | 5/27/2015 | 00738447-07 | Filed |
| SHELL MIDSTREAM PARTNERS LP | HOUSTON, TX | 5/27/2015 | 00738448-07 | Filed |
| WAVELAND RESOURCE PARTNERS 3 LP | IRVINE, CA | 5/27/2015 | 00738455-07 | Filed |
| CONESTOGA TR | WASHINGTON, DC | 5/26/2015 | 00738443-07 | Filed |
| RIDGEPORT PARTNERS OPERATOR 1 LLC | CHICAGO, IL | 5/26/2015 | 00738444-07 | Filed |
| SIVIA OPPORTUNITIES LP SERIES 1 | SAN FRANCISCO, CA | 5/26/2015 | 00738446-07 | Filed |
| VO2 PARTNERS 4 LLC | NEW YORK, NY | 5/26/2015 | 00738445-07 | Filed |
| Number of Regulation D Notice Filings: 11 | | | | |

| Franchise Law Filings Made with DFI's Securities Division | | | | |
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| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| THE BARBERSHOP A HAIR SALON FOR MEN | DEPERE, WI | 6/5/2015 | 609806 | Registered |
| SCA FRANCHISING CORP / SCA Appraisal Services | BURBANK, CA | 6/5/2015 | 609805 | Registered |
| Yogurt Mountain Franchising, LLC / Yogurt Mountain | Birmingham, AL | 6/4/2015 | 609802 | Registered |
| Exercise Coach USA, LLC / The Exercise Coach | Lake Zurich, IL | 6/4/2015 | 609801 | Registered |
| Servpro Industries, Inc. | Gallatin, TN | 6/4/2015 | 609800 | Registered |
| GWB ENTERPRISES INC / Fantastic Sams Hair Salons | EAU CLAIRE, WI | 6/3/2015 | 609799 | Registered |
| Captain D's, LLC / Captain D's | Nashville, TN | 6/3/2015 | 609798 | Registered |
| Seniors Helping Seniors, LLC / Seniors Helping Seniors | Wyomissing Hills, PA | 6/3/2015 | 609796 | Registered |
| GYMBOREE PLAY PROGRAMS INC / GYMBOREE PLAY PROGRAMS, INC.; GYMBOREE | SAN FRANCISCO, CA | 6/2/2015 | 609786 | Registered |
| 1-800-GOT-JUNK? LLC / 1-800-GOT-JUNK? | Vancouver, BC | 6/1/2015 | 609784 | Registered |
| COVERALL NORTH AMERICA, INC. | DEERFIELD BEACH, FL | 6/1/2015 | 609783 | Registered |

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|--|----------------------------|----------------------|--------------------|---------------|
| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| CARL'S JR. RESTAURANTS, LLC / Carl's Jr./Green Burrito - TR | CARPINTERIA, CA | 6/1/2015 | 609788 | Registered |
| CARL'S JR. RESTAURANTS, LLC / Carl's Jr./Green Burrito - NT | CARPINTERIA, CA | 6/1/2015 | 609789 | Registered |
| HARDEES Restaurant, LLC / Hardee's/Red Burrito - AA | ST LOUIS, MO | 6/1/2015 | 609791 | Registered |
| HARDEES Restaurant, LLC / Hardee's/Red Burrito - NT | ST LOUIS, MO | 6/1/2015 | 609790 | Registered |
| HARDEES Restaurant, LLC / Hardee's/Red Burrito - SLA | ST LOUIS, MO | 6/1/2015 | 609792 | Registered |
| Kiosk Concepts, Inc. / The Original Soup MAN | Staten Island, NY | 6/1/2015 | 609787 | Registered |
| 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 |
| K&N MOBILE FRANCHISES INC / K & N Mobile Distribution Systems | FORT WORTH, TX | 5/27/2015 | 609795 | Registered |
| 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 |
| Iron Tribe Franchise, LLC / Iron Tribe Fitness | Birmingham, AL | 5/26/2015 | 609794 | Registered |
| THG Franchise Group, LLC / Tap House Grill Addictive Food/Creative Brews | Palatine, IL | 5/26/2015 | 609793 | Registered |
| Number of Franchise Filings: 29 | | | | |

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