

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 6/22/2015 through 7/3/2015**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ACAP STRATEGIC FUND CLASS W	NEW YORK, NY	6/30/2015	00739996-01	Registered
WEST ORLANDO BAPTIST CHURCH INC WINTER GARDEN FL	OCOEE, FL	6/29/2015	00740122-02	Pending
MVP REIT 2 INC	SAN DIEGO, CA	6/26/2015	00740106-01	Pending
EVANSTON ALTERNATIVE OPPORTUNITIES FUND CLASS A SHARES	EVANSTON, IL	6/25/2015	00739587-01	Registered
ALTEGRIS KKR COMMITMENTS MASTER FUND	PARSIPPANY, NJ	6/22/2015	00739473-02	Registered
STONE RIDGE TR 3 STONE RIDGE ALL ASSET VALUE VARIANCE RISK PREMIUM FUND	MILWAUKEE, WI	6/22/2015	00739474-02	Registered
Number of Registration Filings: 6				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
LAKELAND COMMUNITY CHURCH INC	LAKE GENEVA, WI	6/26/2015	00740103-10	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
GREAT WEST FUNDS INC GREAT WEST LOOMIS SAYLES BOND FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/2/2015	00740080-03	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
GREAT WEST FUNDS INC GREAT WEST AGGRESSIVE PROFILE 2 FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740047-03	Registered
GREAT WEST FUNDS INC GREAT WEST CONSERVATIVE PROFILE 2 FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740063-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2015 FUND 2 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740055-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2015 FUND 3 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740065-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2015 FUND 1 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740061-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2025 FUND 2 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740046-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2025 FUND 3 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740048-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2025 FUND 1 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740057-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2035 FUND 2 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740052-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2035 FUND 3 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740054-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2035 FUND 1 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740050-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2045 FUND 1 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740056-03	Registered

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Firm Name	Location	Date Received	File Number	Status
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2045 FUND 2 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740058-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2045 FUND 3 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740060-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2055 FUND 1 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740062-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2055 FUND 2 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740064-03	Registered
GREAT WEST FUNDS INC GREAT WEST LIFETIME 2055 FUND 3 INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740066-03	Registered
GREAT WEST FUNDS INC GREAT WEST MODERATE PROFILE 2 FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740049-03	Registered
GREAT WEST FUNDS INC GREAT WEST MODERATELY AGGRESSIVE PROFILE 2 FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740059-03	Registered
GREAT WEST FUNDS INC GREAT WEST MODERATELY CONSERVATIVE PROFILE 2 FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740051-03	Registered
GREAT WEST FUNDS INC GREAT WEST PRICE T ROWE MID CAP GROWTH FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740053-03	Registered
GREAT WEST FUNDS INC GREAT WEST S&P 500B INDEX FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740067-03	Registered
GREAT WEST FUNDS INC GREAT WEST SECUREFOUNDATIONB BALANCED FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/1/2015	00740068-03	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
JANUS INVESTMENT FUND JANUS ADAPTIVE GLOBAL ALLOCATION FUND CLASS D SHARES	DENVER, CO	7/1/2015	00740074-03	Registered
JANUS INVESTMENT FUND JANUS ADAPTIVE GLOBAL ALLOCATION FUND CLASS A SHARES	DENVER, CO	7/1/2015	00740070-03	Registered
JANUS INVESTMENT FUND JANUS ADAPTIVE GLOBAL ALLOCATION FUND CLASS T SHARES	DENVER, CO	7/1/2015	00740075-03	Registered
JANUS INVESTMENT FUND JANUS ADAPTIVE GLOBAL ALLOCATION FUND CLASS N SHARES	DENVER, CO	7/1/2015	00740069-03	Registered
JANUS INVESTMENT FUND JANUS ADAPTIVE GLOBAL ALLOCATION FUND CLASS I SHARES	DENVER, CO	7/1/2015	00740071-03	Registered
JANUS INVESTMENT FUND JANUS ADAPTIVE GLOBAL ALLOCATION FUND CLASS C SHARES	DENVER, CO	7/1/2015	00740072-03	Registered
JANUS INVESTMENT FUND JANUS ADAPTIVE GLOBAL ALLOCATION FUND CLASS S SHARES	DENVER, CO	7/1/2015	00740073-03	Registered
MERIDIAN FUND INC MERIDIAN CONTRARIAN FUND CLASS C SHARES	DENVER, CO	7/1/2015	00740076-03	Registered
MERIDIAN FUND INC MERIDIAN EQUITY INCOME FUND CLASS C SHARES	DENVER, CO	7/1/2015	00740077-03	Registered
MERIDIAN FUND INC MERIDIAN GROWTH FUND CLASS C SHARES	DENVER, CO	7/1/2015	00740078-03	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
MERIDIAN FUND INC MERIDIAN SMALL CAP GROWTH FUND CLASS C SHARES	DENVER, CO	7/1/2015	00740079-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA OVERSEAS VALUE FUND CLASS Y	BOSTON, MA	6/30/2015	00739995-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA OVERSEAS VALUE FUND CLASS R5	BOSTON, MA	6/30/2015	00739993-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA OVERSEAS VALUE FUND CLASS R4	BOSTON, MA	6/30/2015	00739994-03	Pending-Cleared
FT 5528 DIVIDEND & INCOME SELECT CLOSED END PORTFOLIO SERIES 50	WHEATON, IL	6/30/2015	00740108-05	Registered
FT 5537 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 36	WHEATON, IL	6/30/2015	00740107-05	Registered
FT 5570 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 100	WHEATON, IL	6/30/2015	00740109-05	Registered
MEEDER FUNDS DIVIDEND OPPORTUNITIES FUND	DUBLIN, OH	6/30/2015	00739997-03	Pending-Cleared
AB CAP FUND INC AB SMALL CAP GROWTH PORTFOLIO CLASS Z	NEW YORK, NY	6/29/2015	00739970-03	Pending-Cleared
AB LARGE CAP GROWTH FUND INC CLASS Z	NEW YORK, NY	6/29/2015	00739966-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON IONIC STRATEGIC ARBITRAGE FUND INVESTOR CLASS	IRVING, TX	6/29/2015	00739962-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON IONIC STRATEGIC ARBITRAGE FUND INST CLASS	IRVING, TX	6/29/2015	00739961-03	Pending-Cleared

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AMERICAN BEACON FUNDS AMERICAN BEACON IONIC STRATEGIC ARBITRAGE FUND Y CLASS	IRVING, TX	6/29/2015	00739965-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON IONIC STRATEGIC ARBITRAGE FUND C CLASS	IRVING, TX	6/29/2015	00739964-03	Pending-Cleared
AMERICAN BEACON FUNDS AMERICAN BEACON IONIC STRATEGIC ARBITRAGE FUND A CLASS	IRVING, TX	6/29/2015	00739963-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA LARGE CAP ENHANCED CORE FUND CLASS R4	BOSTON, MA	6/29/2015	00739881-03	Pending-Cleared
FUNDVANTAGE TR RIVINGTON DIVERSIFIED GLOBAL EQUITY FUND BY WHV CLASS I SHARES	WILMINGTON, DE	6/29/2015	00739885-03	Pending-Cleared
FUNDVANTAGE TR RIVINGTON DIVERSIFIED GLOBAL EQUITY FUND BY WHV CLASS A SHARES	WILMINGTON, DE	6/29/2015	00739883-03	Pending-Cleared
FUNDVANTAGE TR RIVINGTON DIVERSIFIED INTERNATIONAL EQUITY FUND BY WHV CLASS A SHARES	WILMINGTON, DE	6/29/2015	00739882-03	Pending-Cleared
FUNDVANTAGE TR RIVINGTON DIVERSIFIED INTERNATIONAL EQUITY FUND BY WHV CLASS I SHARES	WILMINGTON, DE	6/29/2015	00739884-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1326 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 59	LISLE, IL	6/29/2015	00740116-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1329 DOW 10 PORTFOLIO SERIES 22	LISLE, IL	6/29/2015	00740117-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1329 GUGGENHEIM INTERNATIONAL DIVIDEND STRATEGY PORTFOLIO SERIES 28	LISLE, IL	6/29/2015	00740112-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1329 QUALITY DIVIDEND STRATEGY PORTFOLIO SERIES 13	LISLE, IL	6/29/2015	00740118-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1329 ZACKS RANK STRONG BUY 50 STRATEGY PORTFOLIO SERIES 4	LISLE, IL	6/29/2015	00740111-05	Registered
PIMCO FUNDS PIMCO REAL RETURN LTD DURATION FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	6/29/2015	00739967-03	Registered
PIMCO FUNDS PIMCO REAL RETURN LTD DURATION FUND CLASS D	NEWPORT BEACH, CA	6/29/2015	00739968-03	Registered
PIMCO FUNDS PIMCO REAL RETURN LTD DURATION FUND CLASS P	NEWPORT BEACH, CA	6/29/2015	00739969-03	Registered
SA FUNDS INVESTMENT TR SA WORLDWIDE MODERATE GROWTH FUND	SAN JOSE, CA	6/29/2015	00739971-03	Pending-Cleared
TSC UITS 14 TSC DOW STRATEGIC 10 PORTFOLIO 3Q 2015	BOSTON, MA	6/29/2015	00740114-05	Registered
TSC UITS 14 TSC SABRIENT EARNINGS ADVANTAGE PORTFOLIO 3Q 2015	BOSTON, MA	6/29/2015	00740113-05	Registered
TSC UITS 14 TSC ZACKS DIVIDEND LEADERS PORTFOLIO 3Q 2015	BOSTON, MA	6/29/2015	00740115-05	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2060 FUND CLASS C	SAN FRANCISCO, CA	6/29/2015	00739940-03	Pending-Cleared

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WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2060 FUND CLASS R	SAN FRANCISCO, CA	6/29/2015	00739942-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2060 FUND CLASS A	SAN FRANCISCO, CA	6/29/2015	00739936-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2060 FUND ADMINISTRATOR CLASS	SAN FRANCISCO, CA	6/29/2015	00739938-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2060 FUND CLASS R4	SAN FRANCISCO, CA	6/29/2015	00739944-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DOW JONES TARGET 2060 FUND CLASS R6	SAN FRANCISCO, CA	6/29/2015	00739946-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2055 FUND CLASS C	SAN FRANCISCO, CA	6/29/2015	00739918-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET TODAY FUND CLASS R4	SAN FRANCISCO, CA	6/29/2015	00739892-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2045 FUND CLASS C	SAN FRANCISCO, CA	6/29/2015	00739923-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2060 FUND CLASS C	SAN FRANCISCO, CA	6/29/2015	00739928-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2060 FUND CLASS R4	SAN FRANCISCO, CA	6/29/2015	00739932-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2025 FUND CLASS R	SAN FRANCISCO, CA	6/29/2015	00739903-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2030 FUND CLASS A	SAN FRANCISCO, CA	6/29/2015	00739907-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2040 FUND CLASS C	SAN FRANCISCO, CA	6/29/2015	00739939-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET TODAY FUND CLASS R6	SAN FRANCISCO, CA	6/29/2015	00739889-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2020 FUND CLASS R	SAN FRANCISCO, CA	6/29/2015	00739898-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2030 FUND CLASS R	SAN FRANCISCO, CA	6/29/2015	00739909-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2040 FUND CLASS R6	SAN FRANCISCO, CA	6/29/2015	00739921-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2040 FUND CLASS R4	SAN FRANCISCO, CA	6/29/2015	00739933-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2050 FUND CLASS R6	SAN FRANCISCO, CA	6/29/2015	00739914-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET TODAY FUND CLASS A	SAN FRANCISCO, CA	6/29/2015	00739886-03	Pending-Cleared

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WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2040 FUND CLASS R	SAN FRANCISCO, CA	6/29/2015	00739919-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2055 FUND CLASS R	SAN FRANCISCO, CA	6/29/2015	00739920-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2020 FUND CLASS A	SAN FRANCISCO, CA	6/29/2015	00739896-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2045 FUND CLASS R6	SAN FRANCISCO, CA	6/29/2015	00739941-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2045 FUND CLASS R	SAN FRANCISCO, CA	6/29/2015	00739935-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2015 FUND CLASS R	SAN FRANCISCO, CA	6/29/2015	00739893-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2025 FUND CLASS A	SAN FRANCISCO, CA	6/29/2015	00739901-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2050 FUND CLASS R4	SAN FRANCISCO, CA	6/29/2015	00739912-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2055 FUND CLASS R6	SAN FRANCISCO, CA	6/29/2015	00739924-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2060 FUND CLASS R6	SAN FRANCISCO, CA	6/29/2015	00739934-03	Pending-Cleared

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WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2025 FUND CLASS R6	SAN FRANCISCO, CA	6/29/2015	00739905-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2050 FUND CLASS R	SAN FRANCISCO, CA	6/29/2015	00739910-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2035 FUND CLASS R4	SAN FRANCISCO, CA	6/29/2015	00739915-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2045 FUND CLASS A	SAN FRANCISCO, CA	6/29/2015	00739943-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2020 FUND CLASS R6	SAN FRANCISCO, CA	6/29/2015	00739900-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2015 FUND CLASS R6	SAN FRANCISCO, CA	6/29/2015	00739887-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2015 FUND CLASS C	SAN FRANCISCO, CA	6/29/2015	00739890-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2060 FUND CLASS A	SAN FRANCISCO, CA	6/29/2015	00739926-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2060 FUND CLASS R	SAN FRANCISCO, CA	6/29/2015	00739930-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET TODAY FUND CLASS C	SAN FRANCISCO, CA	6/29/2015	00739895-03	Pending-Cleared

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WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2015 FUND CLASS A	SAN FRANCISCO, CA	6/29/2015	00739894-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2025 FUND CLASS R4	SAN FRANCISCO, CA	6/29/2015	00739904-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2035 FUND CLASS C	SAN FRANCISCO, CA	6/29/2015	00739913-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2045 FUND CLASS R4	SAN FRANCISCO, CA	6/29/2015	00739925-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2030 FUND CLASS R4	SAN FRANCISCO, CA	6/29/2015	00739937-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2020 FUND CLASS C	SAN FRANCISCO, CA	6/29/2015	00739897-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2050 FUND CLASS C	SAN FRANCISCO, CA	6/29/2015	00739908-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2040 FUND CLASS A	SAN FRANCISCO, CA	6/29/2015	00739917-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2035 FUND CLASS A	SAN FRANCISCO, CA	6/29/2015	00739929-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET TODAY FUND CLASS R	SAN FRANCISCO, CA	6/29/2015	00739888-03	Pending-Cleared

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WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2015 FUND CLASS R4	SAN FRANCISCO, CA	6/29/2015	00739891-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2035 FUND CLASS R	SAN FRANCISCO, CA	6/29/2015	00739945-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2020 FUND CLASS R4	SAN FRANCISCO, CA	6/29/2015	00739899-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2055 FUND CLASS R4	SAN FRANCISCO, CA	6/29/2015	00739922-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2030 FUND CLASS C	SAN FRANCISCO, CA	6/29/2015	00739927-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2035 FUND CLASS R6	SAN FRANCISCO, CA	6/29/2015	00739931-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2025 FUND CLASS C	SAN FRANCISCO, CA	6/29/2015	00739902-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2050 FUND CLASS A	SAN FRANCISCO, CA	6/29/2015	00739906-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2030 FUND CLASS R6	SAN FRANCISCO, CA	6/29/2015	00739911-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE DYNAMIC TARGET 2055 FUND CLASS A	SAN FRANCISCO, CA	6/29/2015	00739916-03	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
ADVISORS INNER CIRCLE FUND 2 KOPERNIK INTERNATIONAL FUND CLASS I SHARES	BOSTON, MA	6/26/2015	00739865-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR I COLUMBIA GLOBAL UNCONSTRAINED BOND FUND CLASS R5	BOSTON, MA	6/26/2015	00739860-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR I COLUMBIA GLOBAL UNCONSTRAINED BOND FUND CLASS Z	BOSTON, MA	6/26/2015	00739863-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR I COLUMBIA GLOBAL UNCONSTRAINED BOND FUND CLASS C	BOSTON, MA	6/26/2015	00739859-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR I COLUMBIA GLOBAL UNCONSTRAINED BOND FUND CLASS W	BOSTON, MA	6/26/2015	00739861-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR I COLUMBIA GLOBAL UNCONSTRAINED BOND FUND CLASS R4	BOSTON, MA	6/26/2015	00739862-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR I COLUMBIA GLOBAL UNCONSTRAINED BOND FUND CLASS A	BOSTON, MA	6/26/2015	00739858-03	Pending-Cleared
FT 5495 SABRIENT DEFENSIVE EQUITY PORTFOLIO SERIES 4	WHEATON, IL	6/26/2015	00740094-05	Registered
FT 5524 GLOBAL AGRICULTURE PORTFOLIO SERIES 32	WHEATON, IL	6/26/2015	00740091-05	Registered
FT 5525 CLOUD COMPUTING PORTFOLIO SERIES 13	WHEATON, IL	6/26/2015	00740092-05	Registered
FT 5526 TACTICAL ALPHA PORTFOLIO SERIES 5	WHEATON, IL	6/26/2015	00740101-05	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 5527 CORE 3 QUALIFIED CLOSED END ALLOCATION PORTFOLIO SERIES 10	WHEATON, IL	6/26/2015	00740096-05	Registered
FT 5529 CORE 3 CLOSED END ALLOCATION PORTFOLIO SERIES 21	WHEATON, IL	6/26/2015	00740100-05	Registered
FT 5536 US EQUITY CLOSED END PORTFOLIO SERIES 17	WHEATON, IL	6/26/2015	00740093-05	Registered
FT 5539 DEFENSIVE EQUITY PORTFOLIO SERIES 33	WHEATON, IL	6/26/2015	00740102-05	Registered
FT 5562 MLP CLOSED END PORTFOLIO SERIES 6	WHEATON, IL	6/26/2015	00740095-05	Registered
FT 5571 TACTICAL INCOME PORTFOLIO SERIES 38	WHEATON, IL	6/26/2015	00740090-05	Registered
JAMES ADVANTAGE FUNDS JAMES AGGRESSIVE ALLOCATION FUND	DENVER, CO	6/26/2015	00739857-03	Pending-Cleared
LOOMIS SAYLES FUNDS 2 LOOMIS SAYLES SMALL MID CAP GROWTH FUND INSTITUTIONAL CLASS	BOSTON, MA	6/26/2015	00739866-03	Pending-Cleared
LORD ABBETT AFFILIATED FUND INC CLASS R4	JERSEY CITY, NJ	6/26/2015	00739724-03	Registered
LORD ABBETT AFFILIATED FUND INC CLASS R5	JERSEY CITY, NJ	6/26/2015	00739725-03	Registered
LORD ABBETT AFFILIATED FUND INC CLASS R6	JERSEY CITY, NJ	6/26/2015	00739726-03	Registered
LORD ABBETT BOND DEBENTURE FUND INC CLASS R4	JERSEY CITY, NJ	6/26/2015	00739728-03	Registered
LORD ABBETT BOND DEBENTURE FUND INC CLASS R5	JERSEY CITY, NJ	6/26/2015	00739729-03	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
LORD ABBETT BOND DEBENTURE FUND INC CLASS R6	JERSEY CITY, NJ	6/26/2015	00739730-03	Registered
LORD ABBETT DEVELOPING GROWTH FUND INC CLASS R4	JERSEY CITY, NJ	6/26/2015	00739727-03	Registered
LORD ABBETT DEVELOPING GROWTH FUND INC CLASS R5	JERSEY CITY, NJ	6/26/2015	00739732-03	Registered
LORD ABBETT DEVELOPING GROWTH FUND INC CLASS R6	JERSEY CITY, NJ	6/26/2015	00739731-03	Registered
LORD ABBETT EQUITY TR LORD ABBETT CALIBRATED LARGE CAP VALUE FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739733-03	Registered
LORD ABBETT EQUITY TR LORD ABBETT CALIBRATED LARGE CAP VALUE FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739735-03	Registered
LORD ABBETT EQUITY TR LORD ABBETT CALIBRATED LARGE CAP VALUE FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739734-03	Registered
LORD ABBETT EQUITY TR LORD ABBETT CALIBRATED MID CAP VALUE FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739738-03	Registered
LORD ABBETT EQUITY TR LORD ABBETT CALIBRATED MID CAP VALUE FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739737-03	Registered
LORD ABBETT EQUITY TR LORD ABBETT CALIBRATED MID CAP VALUE FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739736-03	Registered
LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS LOCAL BOND FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739742-03	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
LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS LOCAL BOND FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739750-03	Registered
LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS CORPORATE DEBT FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739739-03	Registered
LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS CURRENCY FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739747-03	Registered
LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS CORPORATE DEBT FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739740-03	Registered
LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS CURRENCY FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739748-03	Registered
LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS LOCAL BOND FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739743-03	Registered
LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS CURRENCY FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739749-03	Registered
LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS CORPORATE DEBT FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739741-03	Registered
LORD ABBETT GLOBAL FUND INC LORD ABBETT MULTI ASSET GLOBAL OPPORTUNITY FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739744-03	Registered
LORD ABBETT GLOBAL FUND INC LORD ABBETT MULTI ASSET GLOBAL OPPORTUNITY FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739746-03	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
LORD ABBETT GLOBAL FUND INC LORD ABBETT MULTI ASSET GLOBAL OPPORTUNITY FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739745-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CONVERTIBLE FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739751-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CONVERTIBLE FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739753-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CONVERTIBLE FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739752-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CORE FIXED INCOME FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739756-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CORE FIXED INCOME FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739755-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CORE FIXED INCOME FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739754-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT DIVERSIFIED EQUITY STRATEGY FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739760-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT DIVERSIFIED EQUITY STRATEGY FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739762-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT DIVERSIFIED EQUITY STRATEGY FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739761-03	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
LORD ABBETT INVESTMENT TR LORD ABBETT FLOATING RATE FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739763-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT FLOATING RATE FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739765-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT FLOATING RATE FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739764-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT HIGH YIELD FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739720-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT HIGH YIELD FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739770-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT HIGH YIELD FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739721-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT INCOME FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739722-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT INCOME FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739771-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT INCOME FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739772-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT INFLATION FOCUSED FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739767-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT INFLATION FOCUSED FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739766-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT INFLATION FOCUSED FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739785-03	Registered

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Firm Name	Location	Date Received	File Number	Status
LORD ABBETT INVESTMENT TR LORD ABBETT MULTI ASSET BALANCED OPPORTUNITY FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739759-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT MULTI ASSET BALANCED OPPORTUNITY FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739757-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT MULTI ASSET BALANCED OPPORTUNITY FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739758-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT MULTI ASSET GROWTH FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739769-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT MULTI ASSET GROWTH FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739773-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT MULTI ASSET GROWTH FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739768-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT MULTI ASSET INCOME FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739775-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT MULTI ASSET INCOME FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739774-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT MULTI ASSET INCOME FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739776-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT SHORT DURATION INCOME FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739777-03	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
LORD ABBETT INVESTMENT TR LORD ABBETT SHORT DURATION INCOME FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739723-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT SHORT DURATION INCOME FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739778-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT TOTAL RETURN FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739781-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT TOTAL RETURN FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739780-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT TOTAL RETURN FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739779-03	Registered
LORD ABBETT MID CAP STOCK FUND INC CLASS R4	JERSEY CITY, NJ	6/26/2015	00739782-03	Registered
LORD ABBETT MID CAP STOCK FUND INC CLASS R5	JERSEY CITY, NJ	6/26/2015	00739783-03	Registered
LORD ABBETT MID CAP STOCK FUND INC CLASS R6	JERSEY CITY, NJ	6/26/2015	00739784-03	Registered
LORD ABBETT RESEARCH FUND INC LORD ABBETT CALIBRATED DIVIDEND GROWTH FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739788-03	Registered
LORD ABBETT RESEARCH FUND INC LORD ABBETT CALIBRATED DIVIDEND GROWTH FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739787-03	Registered
LORD ABBETT RESEARCH FUND INC LORD ABBETT CALIBRATED DIVIDEND GROWTH FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739786-03	Registered

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Firm Name	Location	Date Received	File Number	Status
LORD ABBETT RESEARCH FUND INC LORD ABBETT GROWTH OPPORTUNITIES FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739791-03	Registered
LORD ABBETT RESEARCH FUND INC LORD ABBETT GROWTH OPPORTUNITIES FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739789-03	Registered
LORD ABBETT RESEARCH FUND INC LORD ABBETT GROWTH OPPORTUNITIES FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739790-03	Registered
LORD ABBETT RESEARCH FUND INC LORD ABBETT SMALL CAP VALUE SERIES CLASS R5	JERSEY CITY, NJ	6/26/2015	00739793-03	Registered
LORD ABBETT RESEARCH FUND INC LORD ABBETT SMALL CAP VALUE SERIES CLASS R4	JERSEY CITY, NJ	6/26/2015	00739792-03	Registered
LORD ABBETT RESEARCH FUND INC LORD ABBETT SMALL CAP VALUE SERIES CLASS R6	JERSEY CITY, NJ	6/26/2015	00739794-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT ALPHA STRATEGY FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739796-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT ALPHA STRATEGY FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739797-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT ALPHA STRATEGY FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739795-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT FUNDAMENTAL EQUITY FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739799-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT FUNDAMENTAL EQUITY FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739800-03	Registered

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LORD ABBETT SECURITIES TR LORD ABBETT FUNDAMENTAL EQUITY FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739798-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT GROWTH LEADERS FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739804-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT GROWTH LEADERS FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739806-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT GROWTH LEADERS FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739805-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT INTERNATIONAL OPPORTUNITIES FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739810-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT INTERNATIONAL OPPORTUNITIES FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739811-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT INTERNATIONAL OPPORTUNITIES FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739812-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT INTERNATIONAL CORE EQUITY FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739803-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT INTERNATIONAL CORE EQUITY FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739801-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT INTERNATIONAL CORE EQUITY FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739802-03	Registered

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LORD ABBETT SECURITIES TR LORD ABBETT INTERNATIONAL DIVIDEND INCOME FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739807-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT INTERNATIONAL DIVIDEND INCOME FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739809-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT INTERNATIONAL DIVIDEND INCOME FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739808-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT VALUE OPPORTUNITIES FUND CLASS R4	JERSEY CITY, NJ	6/26/2015	00739813-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT VALUE OPPORTUNITIES FUND CLASS R6	JERSEY CITY, NJ	6/26/2015	00739815-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT VALUE OPPORTUNITIES FUND CLASS R5	JERSEY CITY, NJ	6/26/2015	00739814-03	Registered
PUTNAM FUNDS TR PUTNAM SMALL CAP GROWTH FUND CLASS R6	BOSTON, MA	6/26/2015	00739868-03	Pending-Cleared
PUTNAM INVESTMENT FUNDS PUTNAM RESEARCH FUND CLASS R6	BOSTON, MA	6/26/2015	00739867-03	Pending-Cleared
SMART TR ARGUS DIVIDEND GROWERS TOTAL RETURN TR SERIES 5	PARSIPPANY, NJ	6/26/2015	00740099-05	Registered
SMART TR CEFA SELECT BDC TR SERIES 4	PARSIPPANY, NJ	6/26/2015	00740097-05	Pending-Cleared
SMART TR DEFENSIVE 50 EQUITIES TR SERIES 4	PARSIPPANY, NJ	6/26/2015	00740098-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE GOVERNMENT MONEY MARKET FUND SELECT CLASS	SAN FRANCISCO, CA	6/26/2015	00739864-03	Pending-Cleared
CONTEXT CAPITAL FUNDS CONTEXT MACRO OPPORTUNITIES FUND INSTITUTIONAL SHARES	PORTLAND, ME	6/25/2015	00739576-03	Registered
CONTEXT CAPITAL FUNDS CONTEXT MACRO OPPORTUNITIES FUND INVESTOR SHARES	PORTLAND, ME	6/25/2015	00739574-03	Registered
CONTEXT CAPITAL FUNDS CONTEXT MACRO OPPORTUNITIES FUND ADVISORY SHARES	PORTLAND, ME	6/25/2015	00739575-03	Registered
PIONEER ASSET ALLOCATION TR PIONEER SOLUTIONS BALANCED FUND CLASS R	BOSTON, MA	6/25/2015	00739583-03	Pending-Cleared
PIONEER ASSET ALLOCATION TR PIONEER SOLUTIONS CONSERVATIVE FUND CLASS R	BOSTON, MA	6/25/2015	00739582-03	Pending-Cleared
PIONEER ASSET ALLOCATION TR PIONEER SOLUTIONS GROWTH FUND CLASS R	BOSTON, MA	6/25/2015	00739584-03	Pending-Cleared
PIONEER SERIES TR 4 PIONEER CLASSIC BALANCED FUND CLASS R SHARES	BOSTON, MA	6/25/2015	00739586-03	Pending-Cleared
PIONEER SERIES TR 5 PIONEER GLOBAL EQUITY FUND CLASS R SHARES	BOSTON, MA	6/25/2015	00739585-03	Pending-Cleared
GOLDMAN SACHS TR 2 GOLDMAN SACHS MULTI MANAGER GLOBAL EQUITY FUND INSTITUTIONAL SHARES	NEW YORK, NY	6/24/2015	00739569-03	Registered

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GOLDMAN SACHS TR 2 GOLDMAN SACHS MULTI MANAGER REAL ASSETS STRATEGY FUND INSTITUTIONAL SHARES	NEW YORK, NY	6/24/2015	00739568-03	Registered
HC CAPITAL TR ESG GROWTH PORTFOLIO HC STRATEGIC SHARES	WEST CONSHOHOCKE N, PA	6/24/2015	00739572-03	Pending-Cleared
LEGG MASON PARTNERS INCOME TR WESTERN ASSET ULTRA SHORT OBLIGATIONS FUND CLASS IS	NEW YORK, NY	6/24/2015	00739571-03	Registered
LEGG MASON PARTNERS INCOME TR WESTERN ASSET ULTRA SHORT OBLIGATIONS FUND CLASS I	NEW YORK, NY	6/24/2015	00739570-03	Registered
1ST TR COMBINED SERIES 481 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO INTERMEDIATE SERIES 10	WHEATON, IL	6/23/2015	00739410-05	Registered
FT 5496 EQUITY INCOME SELECT PORTFOLIO SERIES 45	WHEATON, IL	6/23/2015	00739415-05	Registered
FT 5510 STRATEGIC INCOME SELECT CLOSED END PORTFOLIO SERIES 23	WHEATON, IL	6/23/2015	00739409-05	Registered
FT 5511 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES EUROPE OPPORTUNITIES PORTFOLIO 2015 2	WHEATON, IL	6/23/2015	00739411-05	Registered
FT 5512 PROFOUND ISRAELI EQUITY PORTFOLIO SERIES 2	WHEATON, IL	6/23/2015	00739417-05	Registered
FT 5513 TARGET BUYBACK PORTFOLIO SERIES	WHEATON, IL	6/23/2015	00739413-05	Registered
FT 5523 TECHNOLOGY SELECT PORTFOLIO SERIES 57	WHEATON, IL	6/23/2015	00739412-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 5534 DEEP VALUE DIVIDEND PORTFOLIO SERIES 7	WHEATON, IL	6/23/2015	00739418-05	Registered
FT 5535 DIVIDEND STRENGTH PORTFOLIO SERIES 28	WHEATON, IL	6/23/2015	00739416-05	Registered
FT 5561 ALTERNATIVE INCOME PORTFOLIO SERIES 13	WHEATON, IL	6/23/2015	00739414-05	Registered
INVESCO UNIT TR MUNICIPAL SERIES 1241 INSURED MUNICIPALS INCOME TR SERIES 682	DOWNERS GROVE, IL	6/23/2015	00739459-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1242 INSURED MUNICIPALS INCOME TR SERIES 683	DOWNERS GROVE, IL	6/23/2015	00739458-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1243 QUALITY MUNICIPAL INCOME TR 10 20 YEAR SERIES 87	DOWNERS GROVE, IL	6/23/2015	00739460-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1244 QUALITY MUNICIPAL INCOME TR 10 20 YEAR SERIES 88	DOWNERS GROVE, IL	6/23/2015	00739461-05	Pending-Cleared
INVESCO UNIT TR SERIES 1567 CLOSED END STRATEGY DISCOUNT OPPORTUNITY PORTFOLIO 2015 3	DOWNERS GROVE, IL	6/23/2015	00739468-05	Pending-Cleared
INVESCO UNIT TR SERIES 1572 PREFERRED OPPORTUNITY PORTFOLIO 2015 3	DOWNERS GROVE, IL	6/23/2015	00739469-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 518 INVESTMENT GRADE CORPORATE TR 5 8 YEAR SERIES 10	DOWNERS GROVE, IL	6/23/2015	00739462-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
INVESCO UNIT TR TAXABLE INCOME SERIES 519 INVESTMENT GRADE CORPORATE TR 5 8 YEAR SERIES 11	DOWNERS GROVE, IL	6/23/2015	00739463-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 520 INVESTMENT GRADE CORPORATE TR 3 7 YEAR SERIES 7	DOWNERS GROVE, IL	6/23/2015	00739464-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 521 INVESTMENT GRADE CORPORATE TR 3 7 YEAR SERIES 8	DOWNERS GROVE, IL	6/23/2015	00739465-05	Pending-Cleared
MORGAN STANLEY GLOBAL INVESTMENT SOLUTIONS UNCOMMON VALUES GROWTH & INCOME SERIES 2015	PURCHASE, NY	6/23/2015	00739466-05	Pending-Cleared
MORGAN STANLEY GLOBAL INVESTMENT SOLUTIONS UNCOMMON VALUES TR 2015 SERIES	PURCHASE, NY	6/23/2015	00739467-05	Pending-Cleared
ARTISAN PARTNERS FUNDS INC ARTISAN DEVELOPING WORLD FUND ADVISOR SHARES	MILWAUKEE, WI	6/22/2015	00739377-03	Registered
ARTISAN PARTNERS FUNDS INC ARTISAN DEVELOPING WORLD FUND INVESTOR SHARES	MILWAUKEE, WI	6/22/2015	00739378-03	Registered
ARTISAN PARTNERS FUNDS INC ARTISAN DEVELOPING WORLD FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	6/22/2015	00739379-03	Registered
BABSON CAPITAL FUNDS TR BABSON ACTIVE SHORT DURATION BOND FUND CLASS I	CHARLOTTE, NC	6/22/2015	00739372-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON ACTIVE SHORT DURATION BOND FUND CLASS C	CHARLOTTE, NC	6/22/2015	00739371-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
BABSON CAPITAL FUNDS TR BABSON ACTIVE SHORT DURATION BOND FUND CLASS A	CHARLOTTE, NC	6/22/2015	00739370-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON ACTIVE SHORT DURATION BOND FUND CLASS Y	CHARLOTTE, NC	6/22/2015	00739373-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON EMERGING MARKETS DEBT BLENDED TOTAL RETURN FUND CLASS A	CHARLOTTE, NC	6/22/2015	00739381-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON EMERGING MARKETS DEBT BLENDED TOTAL RETURN FUND CLASS C	CHARLOTTE, NC	6/22/2015	00739382-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON EMERGING MARKETS DEBT BLENDED TOTAL RETURN FUND CLASS Y	CHARLOTTE, NC	6/22/2015	00739384-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON EMERGING MARKETS DEBT BLENDED TOTAL RETURN FUND CLASS I	CHARLOTTE, NC	6/22/2015	00739383-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON EMERGING MARKETS LOCAL CURRENCY DEBT FUND CLASS C	CHARLOTTE, NC	6/22/2015	00739386-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON EMERGING MARKETS LOCAL CURRENCY DEBT FUND CLASS Y	CHARLOTTE, NC	6/22/2015	00739388-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON EMERGING MARKETS LOCAL CURRENCY DEBT FUND CLASS I	CHARLOTTE, NC	6/22/2015	00739387-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON EMERGING MARKETS LOCAL CURRENCY DEBT FUND CLASS A	CHARLOTTE, NC	6/22/2015	00739385-03	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
BABSON CAPITAL FUNDS TR BABSON GLOBAL HIGH YIELD FUND CLASS A	CHARLOTTE, NC	6/22/2015	00739389-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON GLOBAL HIGH YIELD FUND CLASS Y	CHARLOTTE, NC	6/22/2015	00739392-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON GLOBAL HIGH YIELD FUND CLASS I	CHARLOTTE, NC	6/22/2015	00739391-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON GLOBAL HIGH YIELD FUND CLASS C	CHARLOTTE, NC	6/22/2015	00739390-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON TOTAL RETURN BOND FUND CLASS C	CHARLOTTE, NC	6/22/2015	00739375-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON TOTAL RETURN BOND FUND CLASS I	CHARLOTTE, NC	6/22/2015	00739376-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON TOTAL RETURN BOND FUND CLASS Y	CHARLOTTE, NC	6/22/2015	00739380-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON TOTAL RETURN BOND FUND CLASS A	CHARLOTTE, NC	6/22/2015	00739374-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON US HIGH YIELD FUND CLASS A	CHARLOTTE, NC	6/22/2015	00739393-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON US HIGH YIELD FUND CLASS C	CHARLOTTE, NC	6/22/2015	00739394-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON US HIGH YIELD FUND CLASS I	CHARLOTTE, NC	6/22/2015	00739395-03	Pending-Cleared
BABSON CAPITAL FUNDS TR BABSON US HIGH YIELD FUND CLASS Y	CHARLOTTE, NC	6/22/2015	00739396-03	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
FT 5508 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 50	WHEATON, IL	6/22/2015	00739475-05	Registered
Number of Investment Company Filings: 311				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GULF SOUTH ENERGY PARTNERS 2015 A LP	NEW ORLEANS, LA	7/2/2015	00740129-07	Filed
MDS 2015 MARCELLUS SHALE DEVELOPMENT LP	KITTANNING, PA	7/2/2015	00740130-07	Filed
MLG PF SOUTHLAKE CO INVESTOR LLC	BROOKFIELD, WI	7/2/2015	00740128-07	Filed
NEUROVANCE INC	CAMBRIDGE, MA	6/30/2015	00740110-07	Filed
PREMIERE AUCTIONS GROUP LLC	POLK, OH	6/29/2015	00740127-07	Filed
CONNOR GROUP DEBT FUND 6 LLC	MIAMISBURG, OH	6/26/2015	00740089-07	Filed
AESSF 3 PRIVATE INVESTORS LLC	NEW YORK, NY	6/25/2015	00739594-07	Filed
COLD SPRING PARTNERS FUND LP	NEW YORK, NY	6/25/2015	00739593-07	Filed
ENCORE ENERGY INC	LOS ANGELES, CA	6/25/2015	00739588-07	Filed
MONEDA LATIN AMERICAN EQUITIES FUND DE LP	NEW YORK, NY	6/25/2015	00739591-07	Filed
VALENCIA TECHNOLOGIES CORP	VALENCIA, CA	6/25/2015	00739589-07	Filed
WOLF RIVER PROSPECT PARTNERS	HENDERSONVLL E, TN	6/25/2015	00739592-07	Filed
EFFICIENT US FUNDS LLC	WARRENVILLE, IL	6/24/2015	00739472-07	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
NETSUITE INC	SAN MATEO, CA	6/24/2015	00739470-07	Filed
SUTHERLAND ASSET MANAGEMENT CORP	NEW YORK, NY	6/24/2015	00739471-07	Filed
WESTGATE APT VENTURE LLC	NORTHRIDGE, CA	6/22/2015	00739477-07	Filed
Number of Regulation D Notice Filings: 16				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
HM Franchise, Inc. / Hotel Makeover	Spring, TX	7/2/2015	609903	Registered
Jake's Franchising, LLC / Wayback Burgers	Cheshire, CT	7/2/2015	609902	Registered
The Kase Partners USA Inc. / The Kase Area Representative	New York, NY	7/2/2015	609901	Registered
The Kase Partners USA Inc. / The Kase	New York, NY	7/2/2015	609900	Registered
D.P. Dough Franchising, LLC / D.P. Dough	Columbus, OH	7/1/2015	609895	Registered
Pizza Your Way Development Company LLC / My Pie	Scottsdale, AZ	6/30/2015	609889	Registered
PIZZA YOUR WAY DEVELOPMENT COMPANY LLC / MY PIE (Area Representative)	Scottsdale, AZ	6/30/2015	609888	Registered
FOCUS FRANCHISING, INC. / JANI-KING OF MADISON	MADISON, WI	6/29/2015	609877	Registered
SandalStone Ventures, Inc. / Vanguard Cleaning Systems of SE Wisconsin	Greenfield, WI	6/25/2015	609862	Registered
AMARNANI FRANCHISE INC / ALOHA	North Brunswick, NJ	6/25/2015	609861	Registered
SUPERVALU INC. / Cub Foods	Eden Prairie, MN	6/25/2015	609860	Registered
Creative World Schools Franchising Company, Inc. / Creative World School	Bonita Springs, FL	6/24/2015	609857	Registered
Drive N Style, LLC / Drive N Style	Charlotte, NC	6/24/2015	609872	Registered
SYLVAN LEARNING INC / Sylvan Learning Center	BALTIMORE, MD	6/24/2015	609873	Registered
Gold's Gym Franchising LLC / Gold's Gym	Dallas, TX	6/23/2015	609855	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Gold's Gym Franchising, LLC / Gold's Gym	Dallas, TX	6/23/2015	609854	Registered
LED Franchising, LLC / LED Source	Wellington, FL	6/23/2015	609853	Registered
Back to Black Driveway Sealcoating Franchising, LLC	Roberts, WI	6/23/2015	609852	Registered
FARRELL'S EXTREME BODYSHAPING, INC. / Farrell's eXtreme Bodyshaping®	WEST DES MOINES, IA	6/23/2015	609851	Registered
Falbo Bros Franchising, LLC / Falbo Bros Pizzeria	Madison, WI	6/23/2015	609850	Registered
TUTORING CLUB LLC / Tutoring Club	HENDERSON, NV	6/22/2015	609849	Registered
Kahala Franchising, L.L.C. / TacoTime	Scottsdale, AZ	6/22/2015	609848	Registered
Kahala Franchising, L.L.C. / Great Steak	Scottsdale, AZ	6/22/2015	609847	Registered
Kahala Franchising, L.L.C. / Surf City Squeeze	Scottsdale, AZ	6/22/2015	609846	Registered
Kahala Franchising, L.L.C. / Samurai Sam's Teriyaki Grill	Scottsdale, AZ	6/22/2015	609845	Registered
Kahala Franchising, L.L.C. / Cold Stone Creamery	Scottsdale, AZ	6/22/2015	609844	Registered
Kahala Franchising, L.L.C. / Nrgize Lifestyle Cafe	Scottsdale, AZ	6/22/2015	609842	Registered
Kahala Franchising, L.L.C. / Blimpie	Scottsdale, AZ	6/22/2015	609841	Registered
DetailXPerts Franchise Systems, LLC / DetailXPerts	Detroit, MI	6/22/2015	609840	Registered
TAF FRANCHISING / THE ATHLETES FOOT	Atlanta, GA	6/22/2015	609871	Registered
Number of Franchise Filings: 30				

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