

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 3/19/2017 through 3/25/2017**

<b>Securities Law Registration Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
GLOBAL CHRISTIAN MINISTRIES INC	RICHMOND HILL, NY	3/21/2017	00800706-02	Pending
RELATIVE VALUE FUND CIA CLASS SHARES	MILWAUKEE, WI	3/20/2017	00800687-01	Pending
RELATIVE VALUE FUND PEAK ALLIANCE CLASS SHARES	MILWAUKEE, WI	3/20/2017	00800688-01	Pending
<b>Number of Registration Filings: 3</b>				

<b>Securities Law Exemption Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ROYAL HAWAIIAN ORCHARDS LP	HILO, HI	3/23/2017	00801337-08	Not Disallowed
DAYSTAR CHRISTIAN FELLOWSHIP	GREENSBORO, NC	3/20/2017	00800705-10	Not Disallowed
FEEL WORLD INC	BROOMFIELD, CO	3/20/2017	00800689-25	Filed
<b>Number of Exemption Filings: 3</b>				

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AC ALTERNATIVES INCOME FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801190-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AC ALTERNATIVES LONG SHORT FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801191-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY REAL ESTATE FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801203-03	Pending-Cleared

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AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY SMALL CAP VALUE FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801205-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY LARGE CO VALUE FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801196-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY GLOBAL REAL ESTATE FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801195-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY EQUITY INCOME FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801193-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY VALUE FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801207-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY SMALL CAP VALUE FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801204-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY GLOBAL REAL ESTATE FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801194-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY REAL ESTATE FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801202-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY EQUITY INCOME FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801192-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY VALUE FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801206-03	Pending-Cleared

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AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY MID CAP VALUE FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801197-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY MID CAP VALUE FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801201-03	Pending-Cleared
AMERICAN CENTURY GOVERNMENT INCOME TR AMERICAN CENTURY INFLATION ADJUSTED BOND FUND I CLASS	KANSAS CITY, MO	3/24/2017	00801199-03	Pending-Cleared
AMERICAN CENTURY GOVERNMENT INCOME TR AMERICAN CENTURY INFLATION ADJUSTED BOND FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801180-03	Pending-Cleared
AMERICAN CENTURY GOVERNMENT INCOME TR AMERICAN CENTURY GINNIE MAE FUND I CLASS	KANSAS CITY, MO	3/24/2017	00801189-03	Pending-Cleared
AMERICAN CENTURY GOVERNMENT INCOME TR AMERICAN CENTURY GOVERNMENT BOND FUND I CLASS	KANSAS CITY, MO	3/24/2017	00801198-03	Pending-Cleared
AMERICAN CENTURY GOVERNMENT INCOME TR AMERICAN CENTURY SHORT TERM GOVERNMENT FUND I CLASS	KANSAS CITY, MO	3/24/2017	00801181-03	Pending-Cleared
AMERICAN CENTURY GROWTH FUNDS INC AMERICAN CENTURY ADAPTIVE ALL CAP FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801200-03	Pending-Cleared
AMERICAN CENTURY INTERNATIONAL BOND FUNDS AMERICAN CENTURY EMERGING MARKETS DEBT FUND I CLASS	KANSAS CITY, MO	3/24/2017	00801175-03	Pending-Cleared
AMERICAN CENTURY INTERNATIONAL BOND FUNDS AMERICAN CENTURY GLOBAL BOND FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801165-03	Pending-Cleared

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AMERICAN CENTURY INTERNATIONAL BOND FUNDS AMERICAN CENTURY INTERNATIONAL BOND FUND I CLASS	KANSAS CITY, MO	3/24/2017	00801166-03	Pending-Cleared
AMERICAN CENTURY INTERNATIONAL BOND FUNDS AMERICAN CENTURY GLOBAL BOND FUND I CLASS	KANSAS CITY, MO	3/24/2017	00801164-03	Pending-Cleared
AMERICAN CENTURY INTERNATIONAL BOND FUNDS AMERICAN CENTURY EMERGING MARKETS DEBT FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801163-03	Pending-Cleared
AMERICAN CENTURY INTERNATIONAL BOND FUNDS AMERICAN CENTURY INTERNATIONAL BOND FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801167-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY CORE PLUS FUND I CLASS	KANSAS CITY, MO	3/24/2017	00801168-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY DIVERSIFIED BOND FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801160-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY DIVERSIFIED BOND FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801169-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY HIGH YIELD FUND I CLASS	KANSAS CITY, MO	3/24/2017	00801182-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY HIGH YIELD FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801176-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY SHORT DURATION STRATEGIC INCOME FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801186-03	Pending-Cleared

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AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY SHORT DURATION STRATEGIC INCOME FUND I CLASS	KANSAS CITY, MO	3/24/2017	00801184-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY SHORT DURATION FUND I CLASS	KANSAS CITY, MO	3/24/2017	00801185-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY SHORT DURATION INFLATION PROTECTION BOND FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801183-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY SHORT DURATION INFLATION PROTECTION BOND FUND I CLASS	KANSAS CITY, MO	3/24/2017	00801177-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY STRATEGIC INCOME FUND I CLASS	KANSAS CITY, MO	3/24/2017	00801187-03	Pending-Cleared
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY STRATEGIC INCOME FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801188-03	Pending-Cleared
AMERICAN CENTURY MUNICIPAL TR AMERICAN CENTURY HIGH YIELD MUNICIPAL FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801138-03	Pending-Cleared
AMERICAN CENTURY MUNICIPAL TR AMERICAN CENTURY INTERMEDIATE TERM TAX FREE BOND FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801139-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY SUSTAINABLE EQUITY FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801141-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY SUSTAINABLE EQUITY FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801140-03	Pending-Cleared

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AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY BALANCED FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801170-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY GROWTH FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801171-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY GROWTH FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801172-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY HERITAGE FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801161-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY HERITAGE FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801178-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY SELECT FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801162-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY SELECT FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801179-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY SMALL CAP GROWTH FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801173-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY SMALL CAP GROWTH FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801174-03	Pending-Cleared
AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY ULTRA FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801103-03	Pending-Cleared

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AMERICAN CENTURY MUTUAL FUNDS INC AMERICAN CENTURY ULTRA FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801142-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AC ALTERNATIVES EMERGING OPPORTUNITIES TOTAL RETURN FUND I	KANSAS CITY, MO	3/24/2017	00801150-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AC ALTERNATIVES EQUITY MARKET NEUTRAL FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801153-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AC ALTERNATIVES EMERGING OPPORTUNITIES TOTAL RETURN FUND Y	KANSAS CITY, MO	3/24/2017	00801151-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AC ALTERNATIVES EQUITY MARKET NEUTRAL FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801152-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AMERICAN CENTURY INCOME & GROWTH FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801157-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AMERICAN CENTURY EQUITY GROWTH FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801156-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AMERICAN CENTURY SMALL CO FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801159-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AMERICAN CENTURY DISCIPLINED GROWTH FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801155-03	Pending-Cleared

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AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AMERICAN CENTURY MULTI ASSET REAL RETURN FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801158-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS INC AMERICAN CENTURY DISCIPLINED GROWTH FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801154-03	Pending-Cleared
AMERICAN CENTURY STRATEGIC ASSET ALLOCATIONS INC AMERICAN CENTURY STRATEGIC ALLOCATION MODERATE FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801147-03	Pending-Cleared
AMERICAN CENTURY STRATEGIC ASSET ALLOCATIONS INC AMERICAN CENTURY MULTI ASSET INCOME FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801143-03	Pending-Cleared
AMERICAN CENTURY STRATEGIC ASSET ALLOCATIONS INC AMERICAN CENTURY STRATEGIC ALLOCATION CONSERVATIVE FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801146-03	Pending-Cleared
AMERICAN CENTURY STRATEGIC ASSET ALLOCATIONS INC AMERICAN CENTURY MULTI ASSET INCOME FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801144-03	Pending-Cleared
AMERICAN CENTURY STRATEGIC ASSET ALLOCATIONS INC AMERICAN CENTURY STRATEGIC ALLOCATION AGGRESSIVE FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801145-03	Pending-Cleared
AMERICAN CENTURY WORLD MUTUAL FUNDS INC AMERICAN CENTURY INTERNATIONAL DISCOVERY FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801114-03	Pending-Cleared



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AMERICAN CENTURY WORLD MUTUAL FUNDS INC AMERICAN CENTURY INTERNATIONAL GROWTH FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801122-03	Pending-Cleared
AMERICAN CENTURY WORLD MUTUAL FUNDS INC AMERICAN CENTURY EMERGING MARKETS FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801149-03	Pending-Cleared
AMERICAN CENTURY WORLD MUTUAL FUNDS INC AMERICAN CENTURY INTERNATIONAL GROWTH FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801118-03	Pending-Cleared
AMERICAN CENTURY WORLD MUTUAL FUNDS INC AMERICAN CENTURY GLOBAL GROWTH FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801108-03	Pending-Cleared
AMERICAN CENTURY WORLD MUTUAL FUNDS INC AMERICAN CENTURY GLOBAL GROWTH FUND Y CLASS	KANSAS CITY, MO	3/24/2017	00801111-03	Pending-Cleared
AMERICAN CENTURY WORLD MUTUAL FUNDS INC AMERICAN CENTURY EMERGING MARKETS FUND R5 CLASS	KANSAS CITY, MO	3/24/2017	00801148-03	Pending-Cleared
DEUTSCHE INSTITUTIONAL FUNDS DEUTSCHE EAFE EQUITY INDEX FUND CLASS R6 SHARES	CHICAGO, IL	3/24/2017	00801099-03	Registered
DEUTSCHE INSTITUTIONAL FUNDS DEUTSCHE EQUITY 500 INDEX FUND CLASS R6 SHARES	CHICAGO, IL	3/24/2017	00801101-03	Registered
DEUTSCHE INSTITUTIONAL FUNDS DEUTSCHE S&P 500 INDEX FUND CLASS R6 SHARES	CHICAGO, IL	3/24/2017	00801100-03	Registered

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DEUTSCHE INSTITUTIONAL FUNDS DEUTSCHE US BOND INDEX FUND CLASS R6 SHARES	CHICAGO, IL	3/24/2017	00801098-03	Registered
ICON FUNDS ICON INDUSTRIALS FUND CLASS A SHARES	GREENWOOD VILLAGE, CO	3/24/2017	00800754-03	Registered
LORD ABBETT AFFILIATED FUND INC CLASS F3	JERSEY CITY, NJ	3/24/2017	00801124-03	Registered
LORD ABBETT BOND DEBENTURE FUND INC CLASS F3	JERSEY CITY, NJ	3/24/2017	00801104-03	Pending-Cleared
LORD ABBETT DEVELOPING GROWTH FUND INC CLASS F3	JERSEY CITY, NJ	3/24/2017	00801105-03	Registered
LORD ABBETT EQUITY TR LORD ABBETT CALIBRATED LARGE CAP VALUE FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801128-03	Registered
LORD ABBETT EQUITY TR LORD ABBETT CALIBRATED MID CAP VALUE FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801129-03	Registered
LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS CORPORATE DEBT FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801121-03	Pending-Cleared
LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS LOCAL BOND FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801109-03	Pending-Cleared
LORD ABBETT GLOBAL FUND INC LORD ABBETT EMERGING MARKETS CURRENCY FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801107-03	Pending-Cleared
LORD ABBETT GLOBAL FUND INC LORD ABBETT MULTI ASSET GLOBAL OPPORTUNITY FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801126-03	Pending-Cleared

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LORD ABBETT MID CAP STOCK FUND INC CLASS F3	JERSEY CITY, NJ	3/24/2017	00801130-03	Pending-Cleared
LORD ABBETT MUNICIPAL INCOME FUND INC LORD ABBETT INTERMEDIATE TAX FREE FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801132-03	Registered
LORD ABBETT MUNICIPAL INCOME FUND INC LORD ABBETT AMT FREE MUNICIPAL BOND FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801125-03	Registered
LORD ABBETT MUNICIPAL INCOME FUND INC LORD ABBETT CA TAX FREE INCOME FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801127-03	Registered
LORD ABBETT MUNICIPAL INCOME FUND INC LORD ABBETT HIGH YIELD MUNICIPAL BOND FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801102-03	Registered
LORD ABBETT MUNICIPAL INCOME FUND INC LORD ABBETT NATIONAL TAX FREE INCOME FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801133-03	Registered
LORD ABBETT MUNICIPAL INCOME FUND INC LORD ABBETT NJ TAX FREE INCOME FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801134-03	Registered
LORD ABBETT MUNICIPAL INCOME FUND INC LORD ABBETT NY TAX FREE INCOME FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801135-03	Registered
LORD ABBETT MUNICIPAL INCOME FUND INC LORD ABBETT SHORT DURATION HIGH YIELD MUNICIPAL BOND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801136-03	Registered
LORD ABBETT MUNICIPAL INCOME FUND INC LORD ABBETT SHORT DURATION TAX FREE FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801137-03	Registered

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LORD ABBETT RESEARCH FUND INC LORD ABBETT CALIBRATED DIVIDEND GROWTH FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801131-03	Pending-Cleared
LORD ABBETT RESEARCH FUND INC LORD ABBETT GROWTH OPPORTUNITIES FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801106-03	Pending-Cleared
LORD ABBETT RESEARCH FUND INC LORD ABBETT SMALL CAP VALUE SERIES CLASS F3	JERSEY CITY, NJ	3/24/2017	00801110-03	Pending-Cleared
LORD ABBETT SECURITIES TR LORD ABBETT ALPHA STRATEGY FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801112-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT FUNDAMENTAL EQUITY FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801113-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT GLOBAL CORE EQUITY FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801115-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT GROWTH LEADERS FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801116-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT INTERNATIONAL OPPORTUNITIES FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801120-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT INTERNATIONAL CORE EQUITY FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801117-03	Registered
LORD ABBETT SECURITIES TR LORD ABBETT INTERNATIONAL DIVIDEND INCOME FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801119-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
LORD ABBETT SECURITIES TR LORD ABBETT VALUE OPPORTUNITIES FUND CLASS F3	JERSEY CITY, NJ	3/24/2017	00801123-03	Registered
USCF MUTUAL FUNDS TR USCF COMMODITY STRATEGY FUND CLASS A	OAKLAND, CA	3/24/2017	00800755-03	Registered
USCF MUTUAL FUNDS TR USCF COMMODITY STRATEGY FUND CLASS I	OAKLAND, CA	3/24/2017	00800756-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CONVERTIBLE FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801023-03	Pending-Cleared
LORD ABBETT INVESTMENT TR LORD ABBETT CORE FIXED INCOME FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801024-03	Pending-Cleared
LORD ABBETT INVESTMENT TR LORD ABBETT CORE PLUS BOND FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801025-03	Pending-Cleared
LORD ABBETT INVESTMENT TR LORD ABBETT DIVERSIFIED EQUITY STRATEGY FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801026-03	Pending-Cleared
LORD ABBETT INVESTMENT TR LORD ABBETT FLOATING RATE FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801027-03	Pending-Cleared
LORD ABBETT INVESTMENT TR LORD ABBETT HIGH YIELD FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801028-03	Pending-Cleared
LORD ABBETT INVESTMENT TR LORD ABBETT INCOME FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801029-03	Pending-Cleared
LORD ABBETT INVESTMENT TR LORD ABBETT INFLATION FOCUSED FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801031-03	Pending-Cleared

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<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
LORD ABBETT INVESTMENT TR LORD ABBETT MULTI ASSET BALANCED OPPORTUNITY FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801032-03	Pending-Cleared
LORD ABBETT INVESTMENT TR LORD ABBETT MULTI ASSET GROWTH FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801033-03	Pending-Cleared
LORD ABBETT INVESTMENT TR LORD ABBETT MULTI ASSET INCOME FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801030-03	Pending-Cleared
LORD ABBETT INVESTMENT TR LORD ABBETT SHORT DURATION INCOME FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801034-03	Pending-Cleared
LORD ABBETT INVESTMENT TR LORD ABBETT TOTAL RETURN FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801035-03	Pending-Cleared
LORD ABBETT INVESTMENT TR LORD ABBETT ULTRA SHORT BOND FUND CLASS F3	JERSEY CITY, NJ	3/23/2017	00801036-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA HIGH YIELD BOND CLASS R SHARES	ST. PETERSBURG, FL	3/23/2017	00801012-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA HIGH YIELD BOND CLASS R4 SHARES	ST. PETERSBURG, FL	3/23/2017	00801013-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA INTERMEDIATE BOND CLASS R SHARES	ST. PETERSBURG, FL	3/23/2017	00801014-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA INTERMEDIATE BOND CLASS R4 SHARES	ST. PETERSBURG, FL	3/23/2017	00801017-03	Registered

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<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
TRANSAMERICA FUNDS TRANSAMERICA MID CAP VALUE OPPORTUNITIES CLASS R4 SHARES	ST. PETERSBURG, FL	3/23/2017	00801016-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA MID CAP VALUE OPPORTUNITIES CLASS R SHARES	ST. PETERSBURG, FL	3/23/2017	00801015-03	Registered
SCM TR SHELTON TACTICAL CREDIT FUND INVESTOR CLASS	HAUPPAUGE, NY	3/22/2017	00800708-03	Registered
MUTUAL FUND SERIES TR CAMELOT EXCALIBUR SMALL CAP INCOME FUND CLSS I	HAUPPAUGE, NY	3/21/2017	00800548-03	Registered
MUTUAL FUND SERIES TR CAMELOT PREMIUM RETURN FUND CLASS I	HAUPPAUGE, NY	3/21/2017	00800547-03	Registered
1ST TR COMBINED SERIES 553 TX EX MUNICIPAL INCOME TR INTERMEDIATE SERIES 29	WHEATON, IL	3/20/2017	00800682-05	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ALPHA QUANT CORE FUND INSTITUTIONAL CLASS	IRVING, TX	3/20/2017	00800742-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ALPHA QUANT CORE FUND INVESTOR CLASS	IRVING, TX	3/20/2017	00800746-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ALPHA QUANT CORE FUND Y CLASS	IRVING, TX	3/20/2017	00800750-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ALPHA QUANT DIVIDEND FUND INSTITUTIONAL CLASS	IRVING, TX	3/20/2017	00800743-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ALPHA QUANT DIVIDEND FUND INVESTOR CLASS	IRVING, TX	3/20/2017	00800747-03	Registered

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<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AMERICAN BEACON FUNDS AMERICAN BEACON ALPHA QUANT DIVIDEND FUND Y CLASS	IRVING, TX	3/20/2017	00800751-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ALPHA QUANT QUALITY FUND INSTITUTIONAL CLASS	IRVING, TX	3/20/2017	00800744-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ALPHA QUANT QUALITY FUND INVESTOR CLASS	IRVING, TX	3/20/2017	00800748-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ALPHA QUANT QUALITY FUND Y CLASS	IRVING, TX	3/20/2017	00800752-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ALPHA QUANT VALUE FUND INSTITUTIONAL CLASS	IRVING, TX	3/20/2017	00800745-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ALPHA QUANT VALUE FUND INVESTOR CLASS	IRVING, TX	3/20/2017	00800749-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ALPHA QUANT VALUE FUND Y CLASS	IRVING, TX	3/20/2017	00800753-03	Registered
FT 6621 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 45	WHEATON, IL	3/20/2017	00800683-05	Registered
SMART TR 302 SMART TR PREFERRED PLUS TR SERIES 3	PARSIPPANY, NJ	3/20/2017	00800680-05	Registered
SMART TR 303 SMART TR HIGH 20 DIVIDEND STRATEGY TR SERIES 16	PARSIPPANY, NJ	3/20/2017	00800681-05	Registered



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<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
WESTCHESTER CAPITAL FUNDS WCM ALTERNATIVES EVENT DRIVEN FUND INVESTOR CLASS SHARES	MILWAUKEE, WI	3/20/2017	00800692-03	Registered
<b>Number of Investment Company Filings: 153</b>				

<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ANDIUM INC	NEW YORK, NY	3/24/2017	00801305-07	Filed
CRYSTAL LAKE FL APARTMENTS DST	PASADENA, CA	3/24/2017	00801303-07	Filed
DOUBLE BLACK DIAMOND LP	DALLAS, TX	3/24/2017	00801307-07	Filed
EUROPEAN HEDGE FUND LLC	NEW YORK, NY	3/24/2017	00801304-07	Filed
FOUNDERSCLUB KNB LLC	SAN FRANCISCO, CA	3/24/2017	00801300-07	Filed
IINTOO TALLAHASSEE WENDOVER LP	NEW YORK, NY	3/24/2017	00801298-07	Filed
INNOVATION X HOLDINGS 2 LLC	NEW YORK, NY	3/24/2017	00801309-07	Filed
INNOVATION X HOLDINGS QP LLC MAGIC LEAP SERIES 1	NEW YORK, NY	3/24/2017	00801310-07	Filed
INNOVATION X HOLDINGS QP LLC SNAP SERIES 1	NEW YORK, NY	3/24/2017	00801308-07	Filed
LANDMARK DIVIDEND GROWTH FUND J LLC	EL SEGUNDO, CA	3/24/2017	00801317-07	Filed
MARLIN EQUITY VA LP	HERMOSA BEACH, CA	3/24/2017	00801316-07	Filed
POLAR LONG SHORT FUND US LP	TORONTO, ON	3/24/2017	00801315-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings  
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<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
PREALTYSHARES PREF PROJECTS LLC SERIES D	LEWES, DE	3/24/2017	00801318-07	Filed
REALTYSHARES 260 LLC	LEWES, DE	3/24/2017	00801313-07	Filed
STAGECOACH COMMUNITIES LLC	BOULDER, CO	3/24/2017	00801301-07	Filed
UEX CORP	VANCOUVER, BC	3/24/2017	00801312-07	Filed
ACTIVORTHO INC	PLYMOUTH, MN	3/23/2017	00801330-07	Filed
INTRINSIC EDGE PARTNERS LP	CHICAGO, IL	3/20/2017	00800691-07	Filed
PASSCO BLOCKS DST	IRVINE, CA	3/20/2017	00800684-07	Filed
<b>Number of Regulation D Notice Filings: 19</b>				

<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Blink Fitness Franchising, Inc. / BLINK®	New York, NY	3/24/2017	615684	Registered
SPRING GREEN LAWN CARE CORP	PLAINFIELD, IL	3/24/2017	615683	Registered
Pump It Up Holdings, LLC / Pump It Up	Scottsdale, AZ	3/24/2017	615682	Registered
Property Management Business Solutions, LLC / Real Property Management	Salt Lake City, UT	3/24/2017	615680	Registered
KFC US, LLC / Kentucky Fried Chicken, KFC (Express)	Louisville, KY	3/24/2017	615681	Registered
TeamLogic, Inc. / TeamLogicIT	Mission Viejo, CA	3/24/2017	615679	Registered
Sir Speedy, Inc. / Sir Speedy Printing	Mission Viejo, CA	3/24/2017	615678	Registered
Great Clips, Inc. / Great Clips	Minneapolis, MN	3/24/2017	615677	Registered
SERENDIPTY LABS FRANCHISE INTERNATIONAL, LLC / Serendipity Labs	Rye, NY	3/24/2017	615676	Registered
WEICHERT REAL ESTATE AFFILIATES INC / Weichert Realtors	MORRIS PLAINS, NJ	3/24/2017	615675	Registered
Pro One Janitorial, Inc. / Pro One Janitorial	Green Bay, WI	3/24/2017	615672	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
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<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
EXPRESS SERVICES INC / Express Employment Professionals	OKLAHOMA CITY, OK	3/24/2017	615671	Registered
American Dairy Queen Corporation / DQ Grill & Chill® franchise	Minneapolis, MN	3/24/2017	615670	Registered
American Dairy Queen Corporation / DQ Grill & Chill® franchise	Minneapolis, MN	3/24/2017	615669	Registered
Moran Industries Inc. / Mr. Transmission/Milex Complete Auto Care	Midlothian, IL	3/24/2017	615668	Registered
MJ MK Enterprises LLC / Deka Lash	McMurray, PA	3/24/2017	615667	Registered
KFC US, LLC / Kentucky Fried Chicken, KFC (Traditional)	Louisville, KY	3/23/2017	615666	Registered
BounceU HOLDINGS LLC / BOUNCEU	Scottsdale, AZ	3/23/2017	615665	Registered
Cafe and Bakery Group, LLC / Apple Spice	Salt Lake City, UT	3/23/2017	615664	Registered
NPM Franchising, LLC / Earthwise Pet Supply	Wenatchee, WA	3/23/2017	615663	Registered
MASSAGE LUXE INTERNATIONAL LLC / MassageLuXe	FENTON, MO	3/23/2017	615662	Registered
GrandStay Hospitality, LLC / GrandStay Residential Suites, Crossings by GrandStay, GrandStay conference centers, GrandStay Hotel & Suites	Brooklyn Park, MN	3/23/2017	615661	Registered
Pool Scouts Franchising, LLC	Virginia Beach, VA	3/23/2017	615660	Registered
AMERIPRISE FINANCIAL SERVICES, INC. / The Personal Advisors of Ameriprise Financial	Minneapolis, MN	3/23/2017	615659	Registered
The Joint Corp. / The Joint Chiropractic (RD)	Scottsdale, AZ	3/23/2017	615658	Registered
True Value Specialty Company, LLC / True Value Rental	Chicago, IL	3/23/2017	615657	Registered
Canine Dimensions Franchising, LLC / Canine Dimensions	Marlton, NJ	3/22/2017	615655	Registered
Budget Blinds, LLC / Budget Blinds	Orange, CA	3/22/2017	615654	Registered
Great Food and Friends, LLC / Firenza	Sarasota, FL	3/22/2017	614653	Registered
Tom's Urban Franchising LLC / Tom's Urban or Tom's Urban 24	Denver, CO	3/22/2017	614652	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
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<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Breadsmith Franchising, Inc. / Breadsmith	Whitefish Bay, WI	3/22/2017	614651	Registered
Culinary Management Services, Inc. / Falbo Bros Pizzeria	Burnsville, MN	3/22/2017	614650	Registered
Camp Bow Wow Franchising, Inc. / "Camp Bow Wow" "Behavior Buddies" "Home Buddies by Camp Bow Wow"	Westminster, CO	3/22/2017	614649	Registered
WKSA, LLC / WKSA	TOMBALL, TX	3/22/2017	614648	Registered
HomeSmart International, LLC / HomeSmart	Scottsdale, AZ	3/21/2017	614647	Registered
PIRTEK USA LLC / Pirtek	ROCKLEDGE, FL	3/21/2017	614646	Registered
TGI Fridays Franchisor, LLC / TGI Fridays	Dallas, TX	3/21/2017	614645	Registered
CoreLife Eatery Franchisor, LLC / CoreLife Eatery	Endicott, NY	3/21/2017	614644	Registered
GOSH ENTERPRISES INC / Charley's	COLUMBUS, OH	3/21/2017	614641	Registered
HEALTHSOURCE CHIROPRACTIC INC / HealthSource Chiropractic Single-Unit Clinics	Avon, OH	3/21/2017	614640	Registered
CP Franchising, LLC / Cruise Planners	Coral Springs, FL	3/21/2017	614639	Registered
USA-MDT Company, LLC / USA Mobile Drug Testing	Lutz, FL	3/21/2017	614638	Registered
National Internet Corporation / "WSI ICE", "WSI IM" "WSI and Globe Design", "WSI", WSI Internet Marketing", "WSI Internet Consulting & Education" and "National Internet Corporation"	Lewes, DE	3/20/2017	614636	Registered
Certified Restoration DryCleaning Network LLC / CRDN or Certified Restoration DryCleaning Network	Berkley, MI	3/20/2017	614635	Registered
Liquid Capital of America Corp. / Liquid Capital (PDO Franchise)	Irving, TX	3/20/2017	614633	Registered
NewPoint Franchisor, LLC / Homes & Land; Estates & Homes	TALLAHASSEE, FL	3/20/2017	614631	Registered
Tailored Living, LLC / Tailored Living	Orange, CA	3/19/2017	614628	Registered
<b>Number of Franchise Filings: 47</b>				

**Corporate Take-Over Law Filings Made with DFI's Securities Division**

**All Securities Law, Franchise Law, and Take-Over Law Filings  
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Takeover Filing Reference	Date Received
<b>Number of Takeover Filings: 0</b>	