

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

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
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
Number of Registration Filings: 3				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
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
Number of Exemption Filings: 3				

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

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
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

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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
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
Number of Regulation D Notice Filings: 19				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
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

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
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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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
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
Number of Franchise Filings: 47				

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

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

Takeover Filing Reference	Date Received
Number of Takeover Filings: 0	