

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/16/2015 through 8/22/2015**

| Securities Law Registration Filings Made with DFI's Securities Division | | | | |
|--|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| HILL CAPITAL CORP | SAINT PAUL, MN | 8/21/2015 | 00743770-02 | Pending |
| Number of Registration Filings: 1 | | | | |

| Securities Law Exemption Filings Made with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| Number of Exemption Filings: 0 | | | | |

| Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division | | | | |
|---|----------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| BLACKROCK FUNDS 3 BLACKROCK DISCIPLINED INTERNATIONAL FUND CLASS K SHARES | SAN FRANCISCO, CA | 8/21/2015 | 00743476-03 | Registered |
| BLACKROCK FUNDS 3 BLACKROCK DISCIPLINED INTERNATIONAL FUND INSTITUTIONAL SHARES | SAN FRANCISCO, CA | 8/21/2015 | 00743475-03 | Registered |
| BLACKROCK FUNDS 3 BLACKROCK DISCIPLINED INTERNATIONAL FUND INVESTOR A SHARES | SAN FRANCISCO, CA | 8/21/2015 | 00743474-03 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1353 FLOATING RATE & DIVIDEND GROWTH PORTFOLIO SERIES 9 | LISLE, IL | 8/21/2015 | 00743463-05 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1354 DIVIDEND STRENGTH PORTFOLIO SERIES 18 | LISLE, IL | 8/21/2015 | 00743461-05 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1354 LARGE CAP CORE PORTFOLIO SERIES 24 | LISLE, IL | 8/21/2015 | 00743460-05 | Registered |

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/16/2015 through 8/22/2015**

| Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1355 TOTAL INCOME PORTFOLIO SERIES 6 | LISLE, IL | 8/21/2015 | 00743462-05 | Registered |
| PRINCIPAL FUNDS INC CA MUNICIPAL FUND CLASS P | DES MOINES, IA | 8/21/2015 | 00743480-03 | Registered |
| PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2015 FUND CLASS R 6 | DES MOINES, IA | 8/21/2015 | 00743484-03 | Registered |
| PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2020 FUND CLASS R 6 | DES MOINES, IA | 8/21/2015 | 00743485-03 | Registered |
| PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2025 FUND CLASS R 6 | DES MOINES, IA | 8/21/2015 | 00743487-03 | Registered |
| PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2030 FUND CLASS R 6 | DES MOINES, IA | 8/21/2015 | 00743491-03 | Registered |
| PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2035 FUND CLASS R 6 | DES MOINES, IA | 8/21/2015 | 00743489-03 | Registered |
| PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2040 FUND CLASS R 6 | DES MOINES, IA | 8/21/2015 | 00743493-03 | Registered |
| PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2045 FUND CLASS R 6 | DES MOINES, IA | 8/21/2015 | 00743486-03 | Registered |
| PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2050 FUND CLASS R 6 | DES MOINES, IA | 8/21/2015 | 00743488-03 | Registered |
| PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2055 FUND CLASS R 6 | DES MOINES, IA | 8/21/2015 | 00743490-03 | Registered |
| PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID 2060 FUND CLASS R 6 | DES MOINES, IA | 8/21/2015 | 00743492-03 | Registered |

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/16/2015 through 8/22/2015**

| Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| PRINCIPAL FUNDS INC PRINCIPAL LIFETIME HYBRID INCOME FUND CLASS R 6 | DES MOINES, IA | 8/21/2015 | 00743494-03 | Registered |
| PRINCIPAL FUNDS INC SAM BALANCED PORTFOLIO CLASS P | DES MOINES, IA | 8/21/2015 | 00743477-03 | Registered |
| PRINCIPAL FUNDS INC SAM CONSERVATIVE BALANCED PORTFOLIO CLASS P | DES MOINES, IA | 8/21/2015 | 00743478-03 | Registered |
| PRINCIPAL FUNDS INC SAM CONSERVATIVE GROWTH PORTFOLIO CLASS P | DES MOINES, IA | 8/21/2015 | 00743479-03 | Registered |
| PRINCIPAL FUNDS INC SAM FLEXIBLE INCOME PORTFOLIO CLASS P | DES MOINES, IA | 8/21/2015 | 00743483-03 | Registered |
| PRINCIPAL FUNDS INC SAM STRATEGIC GROWTH PORTFOLIO CLASS P | DES MOINES, IA | 8/21/2015 | 00743481-03 | Registered |
| PRINCIPAL FUNDS INC TX EX BOND FUND CLASS P | DES MOINES, IA | 8/21/2015 | 00743482-03 | Registered |
| 1ST TR COMBINED SERIES 488 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO INTERMEDIATE SERIES 11 | WHEATON, IL | 8/20/2015 | 00743780-05 | Registered |
| FT 5586 CORE HOLDINGS GROWTH TR 2015 FALL SERIES | WHEATON, IL | 8/20/2015 | 00743781-05 | Registered |
| FT 5602 TOP PICKS AUGUST 2015 PORTFOLIO | WHEATON, IL | 8/20/2015 | 00743782-05 | Registered |
| FT 5606 INTERNATIONAL CAPITAL STRENGTH PORTFOLIO SERIES 26 | WHEATON, IL | 8/20/2015 | 00743784-05 | Registered |
| FT 5606 SMID CAPITAL STRENGTH PORTFOLIO SERIES 26 | WHEATON, IL | 8/20/2015 | 00743785-05 | Registered |

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/16/2015 through 8/22/2015**

| Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| FT 5607 REIT GROWTH & INCOME PLUS PORTFOLIO SERIES 24 | WHEATON, IL | 8/20/2015 | 00743783-05 | Registered |
| FT 5608 RICHARD BERNSTEIN ADVISORS QUALITY INCOME PORTFOLIO SERIES 18 | WHEATON, IL | 8/20/2015 | 00743776-05 | Registered |
| FT 5609 GLOBAL DEEP VALUE DIVIDEND PORTFOLIO SERIES 7 | WHEATON, IL | 8/20/2015 | 00743774-05 | Registered |
| FT 5621 EUROPEAN DEEP VALUE DIVIDEND PORTFOLIO SERIES 7 | WHEATON, IL | 8/20/2015 | 00743779-05 | Registered |
| FT 5622 MULTI SECTOR INCOME PORTFOLIO SERIES 28 | WHEATON, IL | 8/20/2015 | 00743773-05 | Registered |
| FT 5630 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 63 | WHEATON, IL | 8/20/2015 | 00743775-05 | Registered |
| SMART TR PORTFOLIO CLOSED END FUND OPPORTUNITIES TR SERIES 8 | PARSIPPANY, NJ | 8/20/2015 | 00743778-05 | Registered |
| SMART TR TAX ADVANTAGED GROWTH & INCOME TR SERIES 8 | PARSIPPANY, NJ | 8/20/2015 | 00743777-05 | Registered |
| ADVISORS DISCIPLINED TR 1481 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 99 | MONUMENT, CO | 8/19/2015 | 00742815-05 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1352 GUGGENHEIM EMERGING MARKETS DIVIDEND STRATEGY PORTFOLIO SERIES 15 | LISLE, IL | 8/19/2015 | 00742814-05 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1352 UNDERVALUED TOP PICKS PORTFOLIO SERIES 6 | LISLE, IL | 8/19/2015 | 00742813-05 | Registered |

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/16/2015 through 8/22/2015**

| Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division | | | | |
|---|-------------------|----------------------|--------------------|-----------------|
| Firm Name | Location | Date Received | File Number | Status |
| INVESTMENT MANAGERS SERIES TR ADVISORY RESEARCH MLP & EQUITY FUND CLASS I | MILWAUKEE, WI | 8/19/2015 | 00742819-03 | Pending-Cleared |
| INVESTMENT MANAGERS SERIES TR ADVISORY RESEARCH MLP & EQUITY FUND CLASS C | MILWAUKEE, WI | 8/19/2015 | 00742820-03 | Pending-Cleared |
| INVESTMENT MANAGERS SERIES TR ADVISORY RESEARCH MLP & EQUITY FUND CLASS A | MILWAUKEE, WI | 8/19/2015 | 00742818-03 | Pending-Cleared |
| SMART TR SUSTAINABLE IMPACT INVESTING TR SERIES 3 | PARSIPPANY, NJ | 8/19/2015 | 00743432-05 | Registered |
| BURNHAM INVESTORS TR BURNHAM FINANCIAL LONG SHORT FUND CLASS I | NEW YORK, NY | 8/18/2015 | 00742888-03 | Registered |
| INVESCO UNIT TR SERIES 1579 MARKET OPPORTUNITIES PORTFOLIO LOW OIL BENEFICIARIES 2015 3 | DOWNERS GROVE, IL | 8/18/2015 | 00743422-05 | Pending-Cleared |
| INVESCO UNIT TR SERIES 1595 NORTH AMERICAN RAIL PORTFOLIO 2015 3 | DOWNERS GROVE, IL | 8/18/2015 | 00743421-05 | Registered |
| INVESCO UNIT TR TAXABLE INCOME SERIES 526 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 64 | DOWNERS GROVE, IL | 8/18/2015 | 00743423-05 | Pending-Cleared |
| INVESCO UNIT TR TAXABLE INCOME SERIES 527 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 65 | DOWNERS GROVE, IL | 8/18/2015 | 00743424-05 | Pending-Cleared |
| INVESCO UNIT TR TAXABLE INCOME SERIES 528 INVESTMENT GRADE INCOME TR 7 13 YEAR SERIES 51 | DOWNERS GROVE, IL | 8/18/2015 | 00743425-05 | Pending-Cleared |

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/16/2015 through 8/22/2015**

| Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division | | | | |
|---|-------------------|----------------------|--------------------|-----------------|
| Firm Name | Location | Date Received | File Number | Status |
| INVESCO UNIT TR TAXABLE INCOME SERIES 529 INVESTMENT GRADE INCOME TR 7 13 YEAR SERIES 52 | DOWNERS GROVE, IL | 8/18/2015 | 00743426-05 | Pending-Cleared |
| INVESCO UNIT TR TAXABLE INCOME SERIES 530 INVESTMENT GRADE CORPORATE TR 3 7 YEAR SERIES 9 | DOWNERS GROVE, IL | 8/18/2015 | 00743419-05 | Pending-Cleared |
| INVESCO UNIT TR TAXABLE INCOME SERIES 531 INVESTMENT GRADE CORPORATE TR 3 7 YEAR SERIES 10 | DOWNERS GROVE, IL | 8/18/2015 | 00743420-05 | Pending-Cleared |
| FT 5605 EMERGING MARKETS STRENGTH PORTFOLIO SERIES 28 | WHEATON, IL | 8/17/2015 | 00743411-05 | Registered |
| FT 5614 INTEREST RATE HEDGE & ETF PORTFOLIO SERIES 10 | WHEATON, IL | 8/17/2015 | 00743412-05 | Registered |
| FT 5618 RICHARD BERNSTEIN ADVISORS QUALITY INCOME BUY WRITE PORTFOLIO SERIES 2 | WHEATON, IL | 8/17/2015 | 00743413-05 | Registered |
| FT 5620 GLOBAL EQUITY INCOME CLOSED END PORTFOLIO SERIES 44 | WHEATON, IL | 8/17/2015 | 00743410-05 | Registered |
| STATE STREET INSTITUTIONAL INVESTMENT TR STATE STREET EMERGING MARKETS EQUITY INDEX FUND CLASS K | BOSTON, MA | 8/17/2015 | 00742871-03 | Pending-Cleared |
| Number of Investment Company Filings: 59 | | | | |

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| 1475 WA AVENUE ASSOC LLC | BLUE BELL, PA | 8/20/2015 | 00743788-07 | Filed |

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/16/2015 through 8/22/2015**

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|-------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| BAYBOSTON CAPITAL LP | NEWTON CENTER, MA | 8/20/2015 | 00743768-07 | Filed |
| BLUEMOUNTAIN SUMMIT OPPORTUNITIES FUND 2 US LP | NEW YORK, NY | 8/20/2015 | 00743786-07 | Filed |
| EXCELLERE CAPITAL FUND 3 LP | DENVER, CO | 8/20/2015 | 00743769-07 | Filed |
| FUNDERSCLUB 5TU LLC | SAN FRANCISCO, CA | 8/20/2015 | 00743766-07 | Filed |
| GLOBAL ASSET BACKED OPPORTUNITIES CAYMAN LP | GRAND CAYMAN, AA | 8/20/2015 | 00743764-07 | Filed |
| GLOBAL ASSET BACKED OPPORTUNITIES LP | NEW YORK, NY | 8/20/2015 | 00743762-07 | Filed |
| LABSTYLE INNOVATIONS CORP | CAESAREA, AA | 8/20/2015 | 00743761-07 | Filed |
| MOGL LOYALTY SERVICES INC | SAN DIEGO, CA | 8/20/2015 | 00743760-07 | Filed |
| ONCOSYNERGY 1 FUND SERIES OF WEFUNDS LLC | CAMBRIDGE, MA | 8/20/2015 | 00743759-07 | Filed |
| USAGM TOPCO LLC | NEW YORK, NY | 8/20/2015 | 00743767-07 | Filed |
| MOSAIC REAL ESTATE CREDIT LLC | LOS ANGELES, CA | 8/19/2015 | 00743429-07 | Filed |
| ADVANCED TECHNOLOGY SELECT FUND 2 LLC | NEW YORK, NY | 8/18/2015 | 00743428-07 | Filed |
| RENT COLLEGE PADS INC | MILWAUKEE, WI | 8/18/2015 | 00743427-07 | Filed |
| ALICE LEGACY 2200 ACRE DRILLING & DEVELOPMENT LP | BOWLING GREEN, KY | 8/17/2015 | 00743405-07 | Filed |
| AMCRETE TOMBALL LLC | NORTHRIDGE, CA | 8/17/2015 | 00743408-07 | Filed |
| IRVING PLACE CAPITAL PARTNERS 3 SPV LP | NEW YORK, NY | 8/17/2015 | 00743409-07 | Filed |

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/16/2015 through 8/22/2015**

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| NORTH HAVEN ENERGY CAPITAL FUND NON US WEALTH MANAGEMENT FEEDER LP | NEW YORK, NY | 8/17/2015 | 00743407-07 | Filed |
| NORTH HAVEN ENERGY CAPITAL FUND US WEALTH MANAGEMENT FEEDER LP | NEW YORK, NY | 8/17/2015 | 00743406-07 | 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 |
| Heits Building Services, Inc. / HEITS | Hackensack, NJ | 8/21/2015 | 611100 | Registered |
| Gokhale Method Institute, Inc. | Stanford, CA | 8/21/2015 | 611099 | Registered |
| VFUSA, LLC / VOM FASS | Madison, WI | 8/20/2015 | 611097 | Registered |
| MERLIN FRANCHISOR SPV LLC / MERLIN 200,000 MILES SHOP | Charlotte, NC | 8/20/2015 | 611096 | Registered |
| DRIVE N STYLE FRANCHISOR SPV LLC / DRIVE N STYLE® | Charlotte, NC | 8/20/2015 | 611095 | Registered |
| BoConcept Franchise, Inc / BoConcept | Bayonne, NJ | 8/19/2015 | 611094 | Registered |
| NMC Franchising, L.L.C. / National Maintenance Contractors | Spokane, WA | 8/19/2015 | 611085 | Registered |
| Holiday Park Partners, LLC / Famous Toastery | Davidson, NC | 8/19/2015 | 611084 | Registered |
| BOJANGLES INTERNATIONAL LLC / Bojangles' Famous Chicken N' Biscuits | CHARLOTTE, NC | 8/19/2015 | 611083 | Registered |
| MEINEKE FRANCHISOR SPV LLC / MEINEKE® | Charlotte, NC | 8/19/2015 | 611082 | Registered |
| MAACO FRANCHISOR SPV LLC / MAACO, MAACO COLLISION REPAIR & AUTO PAINTING, MAACO AUTO PAINTING & BODYWORKS | Charlotte, NC | 8/19/2015 | 611081 | Registered |
| 1-800-RADIATOR FRANCHISOR SPV LLC / 1-800-RADIATOR & A/C® | Benicia, CA | 8/19/2015 | 611080 | Registered |
| OMEX INTERNATIONAL INC / OMEX | CAMP HILL, PA | 8/19/2015 | 611079 | Registered |

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/16/2015 through 8/22/2015**

| Franchise Law Filings Made with DFI's Securities Division | | | | |
|--|-----------------|----------------------|--------------------|---------------|
| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| Face to Face Franchising, LLC | Austin, TX | 8/18/2015 | 611077 | Registered |
| Red Lion Hotels Franchising, Inc. | Spokane, WA | 8/18/2015 | 611076 | Registered |
| Number of Franchise Filings: 15 | | | | |

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