

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/20/2015 through 9/26/2015**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ARCHSTONE ALTERNATIVE SOLUTIONS FUND CLASS A SHARES	NEW YORK, NY	9/21/2015	00746071-01	Registered
ARCHSTONE ALTERNATIVE SOLUTIONS FUND CLASS I SHARES	NEW YORK, NY	9/21/2015	00746070-01	Registered
RESOURCE APARTMENT REIT 3 INC	PHILADELPHIA, PA	9/21/2015	00746115-01	Pending-Cleared
Number of Registration Filings: 3				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GRIFFIN CAPITAL ESSENTIAL ASSET REIT INC	EL SEGUNDO, CA	9/23/2015	00746368-08	Not Disallowed
TRINITY PLACE HOLDINGS INC	NEW YORK, NY	9/23/2015	00746372-08	Not Disallowed
Number of Exemption Filings: 2				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1561 COHEN & STEERS MLP MIDSTREAM & ENERGY INCOME CLOSED END PORTFOLIO SERIES 2015 3	MONUMENT, CO	9/25/2015	00746649-05	Registered
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC 1 CHOICE 2060 PORTFOLIO A CLASS	KANSAS CITY, MO	9/25/2015	00746455-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/20/2015 through 9/26/2015**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC 1 CHOICE 2060 PORTFOLIO R6 R6 CLASS	KANSAS CITY, MO	9/25/2015	00746460-03	Registered
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC 1 CHOICE 2060 PORTFOLIO R CLASS	KANSAS CITY, MO	9/25/2015	00746459-03	Registered
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC 1 CHOICE 2060 PORTFOLIO INVESTOR CLASS	KANSAS CITY, MO	9/25/2015	00746458-03	Registered
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC 1 CHOICE 2060 PORTFOLIO INSTITUTIONAL CLASS	KANSAS CITY, MO	9/25/2015	00746457-03	Registered
AMERICAN CENTURY ASSET ALLOCATION PORTFOLIOS INC 1 CHOICE 2060 PORTFOLIO C CLASS	KANSAS CITY, MO	9/25/2015	00746456-03	Registered
FT 5654 SABRIENT DEFENSIVE EQUITY PORTFOLIO SERIES 5	WHEATON, IL	9/25/2015	00746361-05	Registered
FT 5655 DEFENSIVE EQUITY PORTFOLIO SERIES 34	WHEATON, IL	9/25/2015	00746360-05	Registered
FT 5666 TACTICAL ALPHA PORTFOLIO SERIES 6	WHEATON, IL	9/25/2015	00746365-05	Registered
FT 5667 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 37	WHEATON, IL	9/25/2015	00746367-05	Registered
FT 5670 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 47	WHEATON, IL	9/25/2015	00746362-05	Registered
FT 5671 BANKING OPPORTUNITY PORTFOLIO SERIES 19	WHEATON, IL	9/25/2015	00746358-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/20/2015 through 9/26/2015**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 5672 CYBERSECURITY PORTFOLIO SERIES 3	WHEATON, IL	9/25/2015	00746364-05	Registered
FT 5681 MUNICIPAL INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 33	WHEATON, IL	9/25/2015	00746359-05	Registered
FT 5692 GLOBAL DIVIDEND PORTFOLIO SERIES 44	WHEATON, IL	9/25/2015	00746363-05	Registered
FT 5709 PREFERRED INCOME PORTFOLIO SERIES 75	WHEATON, IL	9/25/2015	00746366-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1365 DOW 10 PORTFOLIO SERIES 23	LISLE, IL	9/25/2015	00746648-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1365 GUGGENHEIM INTERNATIONAL DIVIDEND STRATEGY PORTFOLIO SERIES 29	LISLE, IL	9/25/2015	00746647-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1365 QUALITY DIVIDEND STRATEGY PORTFOLIO SERIES 14	LISLE, IL	9/25/2015	00746646-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1365 ZACKS RANK STRONG BUY 50 STRATEGY PORTFOLIO SERIES 5	LISLE, IL	9/25/2015	00746645-05	Registered
IVY FUNDS IVY APOLLO MULTI ASSET INCOME FUND CLASS A SHARES	SHAWNEE MISSION, KS	9/25/2015	00746445-03	Registered
IVY FUNDS IVY APOLLO MULTI ASSET INCOME FUND CLASS C SHARES	SHAWNEE MISSION, KS	9/25/2015	00746446-03	Registered
IVY FUNDS IVY APOLLO MULTI ASSET INCOME FUND CLASS I SHARES	SHAWNEE MISSION, KS	9/25/2015	00746447-03	Registered
IVY FUNDS IVY APOLLO MULTI ASSET INCOME FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	9/25/2015	00746448-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/20/2015 through 9/26/2015**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
IVY FUNDS IVY APOLLO MULTI ASSET INCOME FUND CLASS Y SHARES	SHAWNEE MISSION, KS	9/25/2015	00746449-03	Registered
IVY FUNDS IVY APOLLO STRATEGIC INCOME FUND CLASS A SHARES	SHAWNEE MISSION, KS	9/25/2015	00746450-03	Registered
IVY FUNDS IVY APOLLO STRATEGIC INCOME FUND CLASS C SHARES	SHAWNEE MISSION, KS	9/25/2015	00746451-03	Registered
IVY FUNDS IVY APOLLO STRATEGIC INCOME FUND CLASS I SHARES	SHAWNEE MISSION, KS	9/25/2015	00746452-03	Registered
IVY FUNDS IVY APOLLO STRATEGIC INCOME FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	9/25/2015	00746453-03	Registered
IVY FUNDS IVY APOLLO STRATEGIC INCOME FUND CLASS Y SHARES	SHAWNEE MISSION, KS	9/25/2015	00746454-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS GLOBAL INFRASTRUCTURE FUND INSTITUTIONAL SHARES	CHICAGO, IL	9/24/2015	00746343-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS GLOBAL INFRASTRUCTURE FUND CLASS C SHARES	CHICAGO, IL	9/24/2015	00746342-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS GLOBAL INFRASTRUCTURE FUND CLASS R SHARES	CHICAGO, IL	9/24/2015	00746345-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS GLOBAL INFRASTRUCTURE FUND CLASS A SHARES	CHICAGO, IL	9/24/2015	00746341-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS GLOBAL INFRASTRUCTURE FUND CLASS R6 SHARES	CHICAGO, IL	9/24/2015	00746346-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/20/2015 through 9/26/2015**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GOLDMAN SACHS TR GOLDMAN SACHS GLOBAL INFRASTRUCTURE FUND CLASS IR SHARES	CHICAGO, IL	9/24/2015	00746344-03	Registered
PRINCIPAL FUNDS INC EDGE MIDCAP FUND INSTITUTIONAL CLASS	DES MOINES, IA	9/24/2015	00746340-03	Registered
NORTHERN LIGHTS FUND TR 2 BALTER LONG SHORT EQUITY FUND INSTITUTIONAL CLASS	HAUPPAUGE, NY	9/23/2015	00746426-03	Registered
SMART TR ARGUS DIVIDEND GROWERS TOTAL RETURN TR SERIES 6	PARISIPPANY, NJ	9/23/2015	00746371-05	Registered
SMART TR DYNAMIC SECTOR INCOME TR SERIES 13	PARISIPPANY, NJ	9/23/2015	00746369-05	Registered
SMART TR MORNINGSTAR DIVIDEND YIELD FOCUS TR SERIES 11	PARISIPPANY, NJ	9/23/2015	00746370-05	Registered
1ST TR COMBINED SERIES 490 TX EX MUNICIPAL INCOME TR 10 20 YEAR SERIES 20	WHEATON, IL	9/22/2015	00746102-05	Registered
1ST TR COMBINED SERIES 492 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO LONG TERM SERIES 18	WHEATON, IL	9/22/2015	00746104-05	Registered
BROWN CAPITAL MANAGEMENT MUTUAL FUNDS BROWN CAPITAL MANAGEMENT INTERNATIONAL SMALL CO FUND INSTITUTIONAL SHARES	BALTIMORE, MD	9/22/2015	00746296-03	Registered
BROWN CAPITAL MANAGEMENT MUTUAL FUNDS BROWN CAPITAL MANAGEMENT INTERNATIONAL SMALL CO FUND INVESTOR SHARES	BALTIMORE, MD	9/22/2015	00746297-03	Registered
COHEN & STEERS INTERNATIONAL REALTY FUND INC CLASS R	NEW YORK, NY	9/22/2015	00746294-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/20/2015 through 9/26/2015**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
COHEN & STEERS INTERNATIONAL REALTY FUND INC CLASS Z	NEW YORK, NY	9/22/2015	00746295-03	Registered
FINANCIAL INVESTORS TR EMERALD SMALL CAP VALUE FUND INSTITUTIONAL CLASS	DENVER, CO	9/22/2015	00746293-03	Registered
FT 5652 EQUITY INCOME SELECT PORTFOLIO SERIES 46	WHEATON, IL	9/22/2015	00746103-05	Registered
FT 5653 TECHNOLOGY SELECT PORTFOLIO SERIES 58	WHEATON, IL	9/22/2015	00746105-05	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON GROSVENOR LONG SHORT FUND A CLASS	IRVING, TX	9/21/2015	00746260-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON GROSVENOR LONG SHORT FUND INVESTOR CLASS	IRVING, TX	9/21/2015	00746257-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON GROSVENOR LONG SHORT FUND C CLASS	IRVING, TX	9/21/2015	00746261-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON GROSVENOR LONG SHORT FUND Y CLASS	IRVING, TX	9/21/2015	00746258-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON GROSVENOR LONG SHORT FUND INSTITUTIONAL CLASS	IRVING, TX	9/21/2015	00746262-03	Registered
FORWARD FUNDS FORWARD FRONTIER STRATEGY FUND ADVISOR CLASS	SAN, F	9/21/2015	00746259-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/20/2015 through 9/26/2015**

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 OAK RIDGE INTERNATIONAL SMALL CAP FUND CLASS I	MILWAUKEE, WI	9/21/2015	00746072-03	Registered
Number of Investment Company Filings: 58				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
11 JAMES INC	BROOKLYN, NY	9/25/2015	00746355-07	Filed
H SOURCE HOLDINGS LTD	VANCOUVER, BC	9/25/2015	00746644-07	Filed
WOODBIDGE MORTGAGE INVESTMENT FUND 3 LLC	SHERMAN OAKS, CA	9/25/2015	00746650-07	Filed
CBT FINANCIAL CORP	CLEARFIELD, PA	9/24/2015	00746642-07	Filed
IN INTEGRATED CIRCUITS LLC	SOUTH BEND, IN	9/24/2015	00746641-07	Filed
ROUNDTABLE HEALTHCARE CAPITAL PARTNERS 3	LAKE FOREST, IL	9/24/2015	00746640-07	Filed
ROUNDTABLE HEALTHCARE PARTNERS 4 LP	LAKE FOREST, IL	9/24/2015	00746639-07	Filed
T&E INVESTMENT GROUP LLC	MIDLOTHIAN, TX	9/22/2015	00746101-07	Filed
BAIRD PRINCIPAL GROUP PARTNERS FUND 1 LP	MILWAUKEE, WI	9/21/2015	00746114-07	Filed
GIGA ENTERTAINMENT MEDIA INC	LAKE SUCCESS, NY	9/21/2015	00746064-07	Filed
Number of Regulation D Notice Filings: 10				

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/20/2015 through 9/26/2015**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Tri-Way Cleaning Services, Inc. / Hood Guyz	Pembroke Pines, FL	9/26/2015	611199	Registered
MEDICAP PHARMACIES INCORPORATED / Medicap Pharmacy	Dublin, OH	9/25/2015	611195	Registered
MEDICINE SHOPPE INTERNATIONAL, INC. / The Medicine Shoppe, Medicine Shoppe	Dublin, OH	9/25/2015	611194	Registered
Upward Unlimited / Upward Sports	Spartanburg, SC	9/25/2015	611207	Registered
Qualicare of America Inc. / Qualicare	Southfield, MI	9/24/2015	611192	Registered
LONG JOHN SILVERS LLC / Long John Silver's	LOUISVILLE, KY	9/24/2015	611206	Registered
NPM Franchising, LLC / EarthWise Pet Supply	Canby, OR	9/23/2015	611191	Registered
World of Beer Franchising, Inc. / World of Beer	Tampa, FL	9/23/2015	611190	Registered
F45 Training Incorporated / F45 Training	Los Angeles, CA	9/23/2015	611189	Registered
ADVANCED FRESH CONCEPTS FRANCHISE CORP / AFC, Southern Tsunami	RANCHO DOMINGUEZ, CA	9/23/2015	611202	Registered
BRINKER INTERNATIONAL PAYROLL LP / Chili's Grill & Bar	DALLAS, TX	9/21/2015	611185	Registered
Number of Franchise Filings: 11				

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