

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/11/2015 through 10/17/2015**

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

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
ADVISORS DISCIPLINED TR 1532 GLOBAL INFLATION GROWTH PORTFOLIO SERIES 2015 2	MONUMENT, CO	10/16/2015	00747747-05	Registered
ADVISORS DISCIPLINED TR 1533 UBIQUITOUS PORTFOLIO SERIES 2015 2	MONUMENT, CO	10/16/2015	00747748-05	Registered
ADVISORS DISCIPLINED TR 1534 BLUE CHIP COVERED CALL PORTFOLIO 15 MONTH SERIES 2015 4Q	MONUMENT, CO	10/16/2015	00747749-05	Registered
ADVISORS DISCIPLINED TR 1535 STEELPATH MLP & INCOME PORTFOLIO SERIES 2015 4 OFI STEELPATH PORTFOLIO	MONUMENT, CO	10/16/2015	00747750-05	Registered
FEDERATED INCOME SECURITIES TR FEDERATED ENHANCED TREASURY INCOME FUND	WARRENDALE, PA	10/16/2015	00747551-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1370 GUGGENHEIM BALANCED INCOME BUILDER PORTFOLIO SERIES 13	LISLE, IL	10/16/2015	00747751-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1371 GUGGENHEIM REIT PORTFOLIO SERIES 13	LISLE, IL	10/16/2015	00747752-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1371 MULTINATIONAL TITANS PORTFOLIO SERIES 9	LISLE, IL	10/16/2015	00747756-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1371 PRECIOUS METALS & MINERS PORTFOLIO SERIES 9	LISLE, IL	10/16/2015	00747757-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1376 S&P DIVIDEND ARISTOCRATS SELECT 25 STRATEGY PORTFOLIO SERIES 1	LISLE, IL	10/16/2015	00747753-05	Registered
INCAPITAL UNIT TR SERIES 98 PROSPECT RISING RATES BENEFICIARIES PORTFOLIO SERIES 2	CHICAGO, IL	10/16/2015	00747754-05	Registered
INCAPITAL UNIT TR SERIES 99 ARGUS MODERN INNOVATORS SERIES 5	CHICAGO, IL	10/16/2015	00747755-05	Registered
TR FOR PROFESSIONAL MANAGERS SCHOONER HEDGED ALTERNATIVE INCOME FUND CLASS A SHARES	MILWAUKEE, WI	10/15/2015	00747459-03	Registered
FT 5677 UBS EQUITY HORIZON LIST 2015 2016 SERIES	WHEATON, IL	10/14/2015	00747447-05	Registered
FT 5689 NATURAL GAS PORTFOLIO SERIES 25	WHEATON, IL	10/14/2015	00747443-05	Registered
FT 5691 BOFA MERRILL LYNCH CYBERSECURITY PORTFOLIO SERIES 4	WHEATON, IL	10/14/2015	00747445-05	Registered
FT 5695 60 40 STRATEGIC ALLOCATION PORT 4Q 15 TERM 1 17 17	WHEATON, IL	10/14/2015	00747450-05	Registered

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FT 5695 75 25 STRATEGIC ALLOCATION PORT 4Q 15 TERM 1 17 17	WHEATON, IL	10/14/2015	00747451-05	Registered
FT 5696 MARKET STRENGTH ALLOCATION PLUS PORTFOLIO SERIES 26	WHEATON, IL	10/14/2015	00747444-05	Pending-Cleared
FT 5697 1ST TR ETF ALLOCATION PORTFOLIO SERIES 14	WHEATON, IL	10/14/2015	00747441-05	Registered
FT 5698 MARKET STRENGTH ALLOCATION SELECT PORTFOLIO SERIES 20	WHEATON, IL	10/14/2015	00747448-05	Registered
FT 5704 BALANCED INCOME SELECT PORTFOLIO SERIES 56	WHEATON, IL	10/14/2015	00747442-05	Registered
FT 5706 BALANCED INCOME PORTFOLIO SERIES 50	WHEATON, IL	10/14/2015	00747449-05	Registered
FT 5707 BIOTECHNOLOGY PORTFOLIO SERIES 30	WHEATON, IL	10/14/2015	00747440-05	Registered
FT 5708 CYCLICAL STRENGTH PORTFOLIO SERIES 11	WHEATON, IL	10/14/2015	00747446-05	Registered
ARTISAN PARTNERS FUNDS INC ARTISAN GLOBAL EQUITY FUND INSTITUTIONAL SHARE CLASS	MILWAUKEE, WI	10/13/2015	00747363-03	Registered
FINANCIAL INVESTORS TR EMERALD INSIGHTS FUND INSTITUTIONAL CLASS	DENVER, CO	10/13/2015	00747365-03	Registered
FINANCIAL INVESTORS TR EMERALD SMALL CAP VALUE FUND CLASS A	DENVER, CO	10/13/2015	00747364-03	Registered
FINANCIAL INVESTORS TR GRANDEUR PEAK GLOBAL MICRO CAP FUND INSTITUTIONAL CLASS	DENVER, CO	10/13/2015	00747367-03	Registered

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FT 5705 DORSEY WRIGHT RELATIVE STRENGTH TOP 50 SERIES 20	WHEATON, IL	10/13/2015	00747373-05	Registered
FT 5716 MARKET STRENGTH EQUITY & INCOME ALLOCATION PORTFOLIO SERIES	WHEATON, IL	10/13/2015	00747372-05	Registered
UNDISCOVERED MANAGERS FUNDS JPMORGAN REALTY INCOME FUND CLASS R6 SHARES	NEW YORK, NY	10/13/2015	00747366-03	Pending-Cleared
ADVISORS DISCIPLINED TR 1483 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 101	MONUMENT, CO	10/12/2015	00747132-05	Registered
ADVISORS DISCIPLINED TR 1519 ENHANCED EQUITY INCOME PORTFOLIO 15 MONTH SERIES 2015 4Q	MONUMENT, CO	10/12/2015	00747133-05	Registered
ADVISORS DISCIPLINED TR 1520 BEST IDEAS STRATEGY PORTFOLIO SERIES 2015 4Q HIMCO PORTFOLIO	MONUMENT, CO	10/12/2015	00747145-05	Registered
ADVISORS DISCIPLINED TR 1521 BRAND FAVORITES FOCUS PORTFOLIO SERIES 2015 4Q	MONUMENT, CO	10/12/2015	00747146-05	Registered
ADVISORS DISCIPLINED TR 1522 STRATEGIC HIGH 50 Q 50 DIVIDEND & GROWTH PORTFOLIO SERIES 2015 4Q	MONUMENT, CO	10/12/2015	00747147-05	Registered
ADVISORS DISCIPLINED TR 1523 DIVIDEND RULER PORTFOLIO SERIES 2015D	MONUMENT, CO	10/12/2015	00747148-05	Registered
ADVISORS DISCIPLINED TR 1524 ANGELS PORTFOLIO SERIES 2015 4Q	MONUMENT, CO	10/12/2015	00747149-05	Registered

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ADVISORS DISCIPLINED TR 1525 BALANCED PORTFOLIO 15 MONTH SERIES 2015 4Q	MONUMENT, CO	10/12/2015	00747144-05	Registered
ADVISORS DISCIPLINED TR 1526 TACTICAL INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2015 4Q	MONUMENT, CO	10/12/2015	00747150-05	Registered
ADVISORS DISCIPLINED TR 1527 SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2015 4Q	MONUMENT, CO	10/12/2015	00747151-05	Registered
ADVISORS DISCIPLINED TR 1528 GLOBAL COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO 15 MONTH SERIES 2015 4Q	MONUMENT, CO	10/12/2015	00747160-05	Registered
ADVISORS DISCIPLINED TR 1529 GLOBAL DIVIDEND STRATEGY PORTFOLIO SERIES 2015 4Q HIMCO PORTFOLIO	MONUMENT, CO	10/12/2015	00747152-05	Registered
ADVISORS DISCIPLINED TR 1530 NASDAQ Q 50 INDEXSM PORTFOLIO SERIES 2015 4Q	MONUMENT, CO	10/12/2015	00747153-05	Registered
ADVISORS DISCIPLINED TR 1531 BULLDOG PORTFOLIO SERIES 2015 4Q CJL PORTFOLIO	MONUMENT, CO	10/12/2015	00747154-05	Registered
FORUM FUNDS GOLDEN SMALL CAP CORE FUND INSTITUTIONAL SHARES	PORTLAND, ME	10/12/2015	00747512-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1368 ALTERNATIVE INCOME PORTFOLIO SERIES 5	LISLE, IL	10/12/2015	00747157-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1369 FINANCIALS PORTFOLIO SERIES 5	LISLE, IL	10/12/2015	00747156-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1369 GUGGENHEIM US HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 18	LISLE, IL	10/12/2015	00747159-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1369 GUGGENHEIM US SMID HIGH DIVIDEND PORTFOLIO SERIES 18	LISLE, IL	10/12/2015	00747158-05	Registered
SARATOGA ADVANTAGE TR JAMES ALPHA YORKVILLE MLP PORTFOLIO CLASS A SHARES	HAUPPAUGE, NY	10/12/2015	00747143-03	Registered
Number of Investment Company Filings: 52				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AEA INVESTORS FUND 6 LP	NEW YORK, NY	10/16/2015	00747746-07	Filed
BLACK CAP HALCYON LLC	MILWAUKEE, WI	10/16/2015	00747745-07	Filed
KENMORE 455 LLC	LYNNWOOD, WA	10/16/2015	00747742-07	Filed
TERVIVA BIOENERGY INC	OAKLAND, CA	10/16/2015	00747743-07	Filed
COVENANT APARTMENT FUND 8 LP	NASHVILLE, TN	10/15/2015	00747457-07	Filed
GLAMHIVE INC	SEATTLE, WA	10/15/2015	00747496-07	Filed
HC STAFFING GROUP HOLDINGS INC	BOSTON, MA	10/15/2015	00747503-07	Filed
INDUSTRY VENTURES PARTNERSHIP HOLDINGS 4 LP	SAN FRANCISCO, CA	10/15/2015	00747498-07	Filed
NB AVALON DST	ALISO VIEJO, CA	10/15/2015	00747497-07	Filed
REALTYSHARES 126 LLC	LEWES, DE	10/15/2015	00747499-07	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
REALTYSHARES 137 LLC	LEWES, DE	10/15/2015	00747501-07	Filed
ALICE LEGACY 2200 ACRE DRILLING & DEVELOPMENT LP	BOWLING GREEN, KY	10/13/2015	00747405-07	Filed
LARSON CAPITAL FUND 3 LLC	SAINT LOUIS, MO	10/13/2015	00747371-07	Filed
SHAMROCK CAPITAL GROWTH FUND 4 LP	LOS ANGELES, CA	10/12/2015	00747141-07	Filed
SLCP GRISWOLD LLC	DALLAS, TX	10/12/2015	00747142-07	Filed
Number of Regulation D Notice Filings: 15				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Maui Tacos International, Inc. / Maui Tacos	Larchmont, NY	10/16/2015	611294	Registered
1 800 FLOWERS.COM FRANCHISE CO INC / 1-800-FLOWERS; 1-800-FLOWERS.COM (Standard)	CARLE PLACE, NY	10/15/2015	611301	Registered
MMI BUSINESS BROKERS LLC / Sunbelt Business Brokers	INDEPENDENCE, OH	10/15/2015	611297	Registered
Mr Brews Taphouse International, LLC / Mr Brews Taphouse	Madison, WI	10/14/2015	611257	Registered
PAYLESS CAR SALES INC	Parsippany, NJ	10/14/2015	611258	Registered
PAYLESS CAR RENTAL SYSTEMS INC / Payless Car Rental Systems Inc	PARSIPPANY, NJ	10/14/2015	611256	Registered
BUDGET RENT A CAR SYSTEM INC / Budget Rent A Car System Inc.	PARSIPPANY, NJ	10/14/2015	611255	Registered
AVIS RENT A CAR SYSTEM, LLC	PARSIPPANY, NJ	10/14/2015	611254	Registered
Bbdotq USA, Inc. / bb.q Chicken Bistro	For Lee, NJ	10/14/2015	611263	Registered
Legend Larry's Franchising, LLC / Legend Larry's	Sheboygan Falls, WI	10/13/2015	611251	Registered
Fazoli's Franchising Systems, LLC / Fazoli's Restaurant	Lexington, KY	10/13/2015	611250	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
FRONTIER ADJUSTERS INC	Phoenix, AZ	10/13/2015	611261	Registered
VALSPAR CORPORATION / Guardsman FurniturePro	Minneapolis, MN	10/12/2015	611259	Registered
Number of Franchise Filings: 13				

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