

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/18/2015 through 10/24/2015**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PEEKAY BOUTIQUES INC	AUBURN, WA	10/22/2015	00749023-01	Pending
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GRAYBAR ELECTRIC CO INC	SAINT LOUIS, MO	10/22/2015	00749011-08	Not Disallowed
Number of Exemption Filings: 1				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
2 ROADS SHARES TR HANLON MANAGED INCOME FUND CLASS I	HAUPPAUGE, NY	10/23/2015	00749355-03	Registered
2 ROADS SHARES TR HANLON TACTICAL DIVIDEND & MOMENTUM FUND CLASS I	HAUPPAUGE, NY	10/23/2015	00749356-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1375 TECHNOLOGY PORTFOLIO SERIES 17	LISLE, IL	10/23/2015	00749353-05	Registered
RBC FUNDS TR RBC MID CAP VALUE FUND CLASS A	MINNEAPOLIS, MN	10/23/2015	00749119-03	Registered
UNIFIED SERIES TR IRON EQUITY PREMIUM INCOME FUND INSTITUTIONAL CLASS	INDIANAPOLIS, IN	10/23/2015	00749174-03	Registered
UNIFIED SERIES TR IRON EQUITY PREMIUM INCOME FUND INVESTOR CLASS	INDIANAPOLIS, IN	10/23/2015	00749175-03	Registered

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Firm Name	Location	Date Received	File Number	Status
1ST TR COMBINED SERIES 493 TX EX MUNICIPAL INCOME TR SERIES 289	WHEATON, IL	10/22/2015	00749027-05	Registered
FT 5711 CAPITAL STRENGTH PORTFOLIO SERIES 31	WHEATON, IL	10/22/2015	00749028-05	Registered
FT 5714 SABRIENT SMALL CAP GROWTH PORTFOLIO SERIES 8	WHEATON, IL	10/22/2015	00749024-05	Registered
FT 5718 BROOKMONT EQUITY DIVIDEND PORTFOLIO SERIES 5	WHEATON, IL	10/22/2015	00749031-05	Registered
FT 5719 HIGH YIELD INCOME CLOSED END PORTFOLIO SERIES 70	WHEATON, IL	10/22/2015	00749029-05	Registered
FT 5720 EQUITY CLOSED END PORTFOLIO SERIES 38	WHEATON, IL	10/22/2015	00749030-05	Registered
FT 5721 US ENERGY INDEPENDENCE PORTFOLIO SERIES 10	WHEATON, IL	10/22/2015	00749026-05	Registered
SMART TR ZACKS GARP COMPOSITE 35 TR SERIES 7	PARSIPPANY, NJ	10/22/2015	00749025-05	Registered
WORLD FUNDS TR TOREADOR EXPLORER FUND INVESTOR SHARES	RICHMOND, VA	10/22/2015	00749117-03	Registered
1ST TR COMBINED SERIES 494 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO INTERMEDIATE SERIES 12	WHEATON, IL	10/20/2015	00749040-05	Registered
FT 5683 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES JAPAN OPPORTUNITIES PORTFOLIO 2015 3	WHEATON, IL	10/20/2015	00749041-05	Registered
FT 5684 GLOBAL EQUITY BUY WRITE PORTFOLIO SERIES 4	WHEATON, IL	10/20/2015	00749033-05	Registered

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FT 5685 STRATEGIC INCOME CLOSED END PORTFOLIO SERIES 57	WHEATON, IL	10/20/2015	00749038-05	Registered
FT 5686 INFLATION HEDGE OPPORTUNITY PORTFOLIO SERIES 27	WHEATON, IL	10/20/2015	00749039-05	Registered
FT 5687 LTD DURATION FIXED INCOME ETF PORTFOLIO SERIES 12	WHEATON, IL	10/20/2015	00749034-05	Registered
FT 5688 STRATEGIC DIVIDEND SELECT PORTFOLIO SERIES 22	WHEATON, IL	10/20/2015	00749042-05	Registered
FT 5690 NASDAQ DIVIDEND ACHIEVERS 25 PORTFOLIO SERIES 5	WHEATON, IL	10/20/2015	00749035-05	Registered
FT 5710 HIGH DIVIDEND EQUITY ALLOCATION PORTFOLIO SERIES 17	WHEATON, IL	10/20/2015	00749037-05	Registered
FT 5712 SMID HIGH DIVIDEND PORTFOLIO SERIES 19	WHEATON, IL	10/20/2015	00749036-05	Registered
ADVISORS DISCIPLINED TR 1554 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 102	MONUMENT, CO	10/19/2015	00747800-05	Registered
CITY NATIONAL ROCHDALE FUNDS CITY NATIONAL ROCHDALE CA TX EX MONEY MARKET FUND SERVICING CLASS	BEVERLY HILLS, CA	10/19/2015	00747740-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1372 EUROPEAN CAPITAL STRENGTH & HEDGED CURRENCY PORTFOLIO SERIES 3	LISLE, IL	10/19/2015	00747801-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1373 MULTI ASSET GLOBAL DIVIDEND STRATEGY PORTFOLIO SERIES 3	LISLE, IL	10/19/2015	00747802-05	Registered

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Firm Name	Location	Date Received	File Number	Status
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1374 GLOBAL GROWTH PORTFOLIO SERIES 4	LISLE, IL	10/19/2015	00747799-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1374 RISING RATE DEFENSIVE EQUITY PORTFOLIO SERIES 4	LISLE, IL	10/19/2015	00747798-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1374 US 50 DIVIDEND STRATEGY PORTFOLIO SERIES 6	LISLE, IL	10/19/2015	00747797-05	Registered
INVESCO UNIT TR MUNICIPAL SERIES 1249 INVESTMENT GRADE MUNICIPAL TR 20 PLUS YEAR SERIES 183	DOWNERS GROVE, IL	10/19/2015	00747794-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1250 INVESTMENT GRADE MUNICIPAL TR 20 PLUS YEAR SERIES 184	DOWNERS GROVE, IL	10/19/2015	00747793-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1251 INSURED MUNICIPALS INCOME TR SERIES 684	DOWNERS GROVE, IL	10/19/2015	00747796-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1252 INSURED MUNICIPALS INCOME TR SERIES 685	DOWNERS GROVE, IL	10/19/2015	00747795-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 532 INVESTMENT GRADE CORPORATE TR 3 7 YEAR SERIES 12	DOWNERS GROVE, IL	10/19/2015	00747791-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 533 INVESTMENT GRADE CORPORATE TR 3 7 YEAR SERIES 13	DOWNERS GROVE, IL	10/19/2015	00747792-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 534 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 57	DOWNERS GROVE, IL	10/19/2015	00747790-05	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
INVESCO UNIT TR TAXABLE INCOME SERIES 535 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 58	DOWNERS GROVE, IL	10/19/2015	00747789-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 536 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 66	DOWNERS GROVE, IL	10/19/2015	00747788-05	Registered
INVESCO UNIT TR TAXABLE INCOME SERIES 537 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 67	DOWNERS GROVE, IL	10/19/2015	00747787-05	Pending-Cleared
INVESTMENT MANAGERS SERIES TR 2 GRIPMAN ABSOLUTE VALUE BALANCED FUND	MILWAUKEE, WI	10/19/2015	00747769-03	Registered
INVESTMENT MANAGERS SERIES TR ARISTOTLE SMALL CAP EQUITY FUND CLASS I SHARES	MILWAUKEE, WI	10/19/2015	00747768-03	Registered
INVESTMENT MANAGERS SERIES TR WCM INTERNATIONAL SMALL CAP GROWTH FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	10/19/2015	00747770-03	Pending-Cleared
Number of Investment Company Filings: 45				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FRED HIGH BLUFF TOWNHOMES LLC	MILWAUKEE, WI	10/23/2015	00749354-07	Filed
ARSENAL CAPITAL PARTNERS 4 LP	NEW YORK, NY	10/22/2015	00749022-07	Filed
DECATHLON ALPHA 3 LP	PARK CITY, UT	10/22/2015	00749009-07	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
GREENPOINT VOLATILITY OPPORTUNITIES FUND LLC	MADISON, WI	10/22/2015	00749335-07	Filed
AMERICAN ALTERNATIVE INVESTMENTS LLC	GREENWOOD, IN	10/21/2015	00749004-07	Filed
BATMAN HOLDINGS INC	SUNNYVALE, CA	10/21/2015	00749007-07	Filed
BREP 8 PRIVATE INVESTORS LLC	NEW YORK, NY	10/21/2015	00749000-07	Filed
CREDIBLE LABS INC	SAN FRANCISCO, CA	10/21/2015	00748996-07	Filed
GOLUB CAPITAL PARTNERS 10 LP	CHICAGO, IL	10/21/2015	00749006-07	Filed
MHPI 4 LLC	ORLANDO, FL	10/21/2015	00749003-07	Filed
PANCO STRATEGIC REAL ESTATE FUND 3 QP LP	NEW YORK, NY	10/21/2015	00749008-07	Filed
REALTYSHARES 97 LLC	LEWES, DE	10/21/2015	00748999-07	Filed
ROUNDTABLE HEALTHCARE INVESTORS 4 LP	LAKE FOREST, IL	10/21/2015	00749001-07	Filed
WINDOW ROCK CREDIT OPPORTUNITY FUND LLC	GILBERT, AZ	10/21/2015	00748997-07	Filed
ACON EQUITY PARTNERS 4 LP	WASHINGTON, DC	10/20/2015	00749032-07	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
1-800 WATER DAMAGE International, LLC / 1-800 WATER DAMAGE	Ann Arbor, MI	10/23/2015	611296	Registered
The Screenmobile Corporation / Screenmobile	Thousand Palms, CA	10/22/2015	611287	Registered
Fas-Tes Franchise Systems, LLC / Fas-Tes® and/or Fastestlabs®	San Antonio, TX	10/22/2015	611285	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
INTERIM HEALTHCARE INC / Interim Healthcare	SUNRISE, FL	10/22/2015	611302	Registered
Valbridge Property Advisors Franchising System, LLC / Valbridge Property Advisors	Naples, FL	10/20/2015	611280	Registered
IHA Franchising, LLC / IceBorn	Jacksonville Beach, FL	10/20/2015	611279	Registered
Team Sobelmans, LLC / Sobelmans Pub & Grill	Milwaukee, WI	10/20/2015	611278	Registered
INFINIUM REALTY GROUP INC / HELP-U-SELL REAL ESTATE	SARASOTA, FL	10/19/2015	611274	Registered
Number of Franchise Filings: 8				

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