

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 11/1/2015 through 11/7/2015**

<b>Securities Law Registration Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
MOODY NATIONAL REIT 1 INC	HOUSTON, TX	11/6/2015	00750970-01	Registered
AMG PANTHEON FUND LLC ADVISORY CLASS	GREENWICH, CT	11/2/2015	00750223-01	Registered
AMG PANTHEON FUND LLC INSTITUTIONAL CLASS	GREENWICH, CT	11/2/2015	00750224-01	Registered
AMG PANTHEON FUND LLC INSTITUTIONAL PLUS CLASS	GREENWICH, CT	11/2/2015	00750225-01	Registered
<b>Number of Registration Filings: 4</b>				

<b>Securities Law Exemption Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
<b>Number of Exemption Filings: 0</b>				

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ADVISORONE FUNDS HORIZON ACTIVE RISK ASSIST FUND CLASS A SHARES	HAUPPAUGE, NY	11/6/2015	00750968-03	Registered
AMERICAFIRST QUANTITATIVE FUNDS AMERICAFIRST QUANTITATIVE STRATEGIES FUND CLASS I	HAUPPAUGE, NY	11/6/2015	00750964-03	Registered
DUNHAM FUNDS DUNHAM DYNAMIC MACRO FUND CLASS N SHARES	HAUPPAUGE, NY	11/6/2015	00750969-03	Registered

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DUNHAM FUNDS DUNHAM FOCUSED LARGE CAP GROWTH FUND CLASS N SHARES	HAUPPAUGE, NY	11/6/2015	00750962-03	Registered
EQUINOX FUNDS TR EQUINOX ASPECT CORE DIVERSIFIED STRATEGY FUND CLASS I SHARES	HAUPPAUGE, NY	11/6/2015	00750965-03	Registered
EQUINOX FUNDS TR EQUINOX IPM SYSTEMATIC MACRO FUND CLASS I SHARES	HAUPPAUGE, NY	11/6/2015	00750961-03	Registered
MUTUAL FUND SERIES TR CATALYST MACRO STRATEGY FUND CLASS C	HAUPPAUGE, NY	11/6/2015	00750963-03	Registered
MUTUAL FUND SERIES TR DAY HAGAN TACTICAL DIVIDEND FUND CLASS C	HAUPPAUGE, NY	11/6/2015	00750967-03	Registered
MUTUAL FUND SERIES TR DAY HAGAN TACTICAL DIVIDEND FUND CLASS A	HAUPPAUGE, NY	11/6/2015	00750966-03	Registered
ADVISORS DISCIPLINED TR 1538 VALUE ARCHITECTS FLEX CORE PORTFOLIO SERIES 2015 2	MONUMENT, CO	11/5/2015	00750258-05	Registered
FT 5722 TACTICAL INCOME PORTFOLIO SERIES 40	WHEATON, IL	11/5/2015	00750350-05	Registered
FT 5723 DIVERSIFIED INCOME & GROWTH PORTFOLIO WINTER 2015 SERIES	WHEATON, IL	11/5/2015	00750346-05	Registered
FT 5734 STRATEGIC DIVIDEND PLUS PORTFOLIO SERIES 25	WHEATON, IL	11/5/2015	00750347-05	Registered
FT 5745 US EQUITY CLOSED END PORTFOLIO SERIES 18	WHEATON, IL	11/5/2015	00750345-05	Registered
FT 5752 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 70	WHEATON, IL	11/5/2015	00750348-05	Registered

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FT 5819 DOW TARGET 10 NOV 15 TERM 12 9 16	WHEATON, IL	11/5/2015	00750349-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1377 BARROW AMERICAN TOP 40 MID CAP PORTFOLIO SERIES 1	LISLE, IL	11/5/2015	00750259-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1378 INFRASTRUCTURE & MLP PORTFOLIO CEFS SERIES 24	LISLE, IL	11/5/2015	00750265-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1378 NATIONAL MUNICIPAL PORTFOLIO CEFS SERIES 29	LISLE, IL	11/5/2015	00750260-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1378 SENIOR LOAN & INCOME PORTFOLIO CEFS SERIES 28	LISLE, IL	11/5/2015	00750266-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1379 FLAHERTY & CRUMRINE PREFERRED PORTFOLIO SERIES 37	LISLE, IL	11/5/2015	00750261-05	Registered
INCAPITAL UNIT TR SERIES 100 ZACKS SELECT EQUITIES BLEND PORTFOLIO 4Q 2015	CHICAGO, IL	11/5/2015	00750263-05	Registered
INCAPITAL UNIT TR SERIES 100 ZACKS SELECT EQUITY INCOME PORTFOLIO 4Q 2015	CHICAGO, IL	11/5/2015	00750264-05	Registered
INCAPITAL UNIT TR SERIES 107 INTERNATIONAL DIVIDEND SEEKER PORTFOLIO 4Q 2015	CHICAGO, IL	11/5/2015	00750262-05	Pending-Cleared
SMART TR ENHANCED VALUE 2 TR SERIES 13	PARSIPPANY, NJ	11/5/2015	00750344-05	Pending-Cleared
1ST TR SERIES FUND 1ST TR AQA EQUITY FUND CLASS A	WHEATON, IL	11/3/2015	00750232-03	Registered

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1ST TR SERIES FUND 1ST TR AQA EQUITY FUND CLASS C	WHEATON, IL	11/3/2015	00750233-03	Registered
1ST TR SERIES FUND 1ST TR AQA EQUITY FUND CLASS I	WHEATON, IL	11/3/2015	00750234-03	Registered
DIREXION FUNDS DIREXION MONTHLY 25 PLUS YEAR TREASURY BEAR 1 10 FUND INVESTOR CLASS	MILWAUKEE, WI	11/3/2015	00750242-03	Registered
DIREXION FUNDS DIREXION MONTHLY 25 PLUS YEAR TREASURY BULL 1 2 10 FUND INVESTOR CLASS	MILWAUKEE, WI	11/3/2015	00750243-03	Registered
EATON VANCE UNIT TR SERIES 1 EATON VANCE DIVIDEND FORTITUDE PORTFOLIO SERIES 1	BOSTON, MA	11/3/2015	00750241-05	Registered
EATON VANCE UNIT TR SERIES 1 EATON VANCE MEGATRENDS PORTFOLIO SERIES 1	BOSTON, MA	11/3/2015	00750239-05	Registered
EATON VANCE UNIT TR SERIES 1 EATON VANCE MERGER & ACQUISITION TARGETS PORTFOLIO SERIES 1	BOSTON, MA	11/3/2015	00750240-05	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE AMUNDI GLOBAL HIGH YIELD FUND INSTITUTIONAL CLASS	WEST ALLIS, WI	11/3/2015	00750244-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE AMUNDI GLOBAL HIGH YIELD FUND CLASS A	WEST ALLIS, WI	11/3/2015	00750247-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE AMUNDI GLOBAL HIGH YIELD FUND INSTITUTIONAL SERVICE CLASS	WEST ALLIS, WI	11/3/2015	00750245-03	Registered

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NATIONWIDE MUTUAL FUNDS NATIONWIDE AMUNDI GLOBAL HIGH YIELD FUND CLASS C	WEST ALLIS, WI	11/3/2015	00750246-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE AMUNDI STRATEGIC INCOME FUND INSTITUTIONAL CLASS	WEST ALLIS, WI	11/3/2015	00750250-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE AMUNDI STRATEGIC INCOME FUND CLASS C	WEST ALLIS, WI	11/3/2015	00750249-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE AMUNDI STRATEGIC INCOME FUND INSTITUTIONAL SERVICE CLASS	WEST ALLIS, WI	11/3/2015	00750251-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE AMUNDI STRATEGIC INCOME FUND CLASS A	WEST ALLIS, WI	11/3/2015	00750248-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 3 PRUDENTIAL GLOBAL ABSOLUTE RETURN BOND FUND CLASS Z	NEWARK, NJ	11/3/2015	00750238-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 3 PRUDENTIAL GLOBAL ABSOLUTE RETURN BOND FUND CLASS C	NEWARK, NJ	11/3/2015	00750236-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 3 PRUDENTIAL GLOBAL ABSOLUTE RETURN BOND FUND CLASS A	NEWARK, NJ	11/3/2015	00750235-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 3 PRUDENTIAL GLOBAL ABSOLUTE RETURN BOND FUND CLASS Q	NEWARK, NJ	11/3/2015	00750237-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS EQUITY OPPORTUNITIES FUND CLASS C SHARES	LONDON, UK	11/2/2015	00750220-03	Registered

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ASHMORE FUNDS ASHMORE EMERGING MARKETS EQUITY OPPORTUNITIES FUND INSTITUTIONAL CLASS SHARES	LONDON, UK	11/2/2015	00750221-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS EQUITY OPPORTUNITIES FUND CLASS A SHARES	LONDON, UK	11/2/2015	00750219-03	Registered
ASTON FUNDS ASTON RIVER ROAD FOCUSED ABSOLUTE VALUE FUND CLASS N SHARES	CHICAGO, IL	11/2/2015	00750218-03	Registered
ASTON FUNDS ASTON RIVER ROAD FOCUSED ABSOLUTE VALUE FUND CLASS I SHARES	CHICAGO, IL	11/2/2015	00750217-03	Registered
LEGG MASON PARTNERS EQUITY TR CLEARBRIDGE SUSTAINABILITY LEADERS FUND CLASS A	NEW YORK, NY	11/2/2015	00750222-03	Registered
<b>Number of Investment Company Filings: 51</b>				

<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
INRANGE SYSTEMS INC	ALTOONA, PA	11/6/2015	00750957-07	Filed
PEGASUS SUSTAINABILITY SOLUTIONS INC	FITCHBURG, WI	11/6/2015	00750954-07	Filed
BROOKFIELD LAKES ACQUISITION CO LLC	MILWAUKEE, WI	11/5/2015	00750360-07	Filed
CONAM MULTIFAMILY ACQUISITION FUND LLC	SAN DIEGO, CA	11/5/2015	00750359-07	Filed
CONNOR GROUP DEBT FUND 7 LLC	MIAMISBURG, OH	11/5/2015	00750351-07	Filed
IN2BONES USA LLC	MEMPHIS, TN	11/5/2015	00750357-07	Filed

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
LAZARUS PARTNERS KAMINARIO LLLP	DENVER, CO	11/5/2015	00750354-07	Filed
PINNACLE INVESTMENT CORP	NEW YORK, NY	11/5/2015	00750356-07	Filed
REALTYSHARES 134 LLC	LEWES, DE	11/5/2015	00750361-07	Filed
REALTYSHARES 171 LLC	LEWES, DE	11/5/2015	00750353-07	Filed
RVUE HOLDINGS INC	OAKBROOK TER, IL	11/5/2015	00750352-07	Filed
VIP PARTNERS 5 LLC	ELMHURST, IL	11/5/2015	00750355-07	Filed
<b>Number of Regulation D Notice Filings: 12</b>				

<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Restoration 1 Franchise Holding, LLC / Restoration 1	Pompano Beach, FL	11/6/2015	611338	Registered
Apex Energy Group, LLC / Apex Energy Solutions	Zionsville, IN	11/6/2015	611336	Registered
DIRECTBUY INC / DirectBuy	MERRILLVILLE, IN	11/2/2015	611328	Registered
GLORIA JEAN'S GOURMET COFFEES FRANCHISING CORP. / Gloria Jean's Coffees	Santa Fe Springs, CA	11/2/2015	611329	Registered
<b>Number of Franchise Filings: 4</b>				

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