

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 11/15/2015 through 11/21/2015**

<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>
TRITON PACIFIC INVESTMENT CORP INC	LOS ANGELES, CA	11/20/2015	00753515-02	Incomplete
UNITED CHURCH OF CHRIST CORNERSTONE FUND INC	CLEVELAND, OH	11/19/2015	00752913-02	Registered
<b>Number of Registration Filings: 2</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>
1ST TR COMBINED SERIES 496 TX EX MUNICIPAL INCOME TR INTERMEDIATE SERIES 20	WHEATON, IL	11/19/2015	00752925-05	Registered
FT 5729 EUROPEAN DEEP VALUE DIVIDEND PORTFOLIO SERIES 8	WHEATON, IL	11/19/2015	00752921-05	Registered
FT 5730 TECHNOLOGY DIVIDEND PORTFOLIO SERIES 15	WHEATON, IL	11/19/2015	00752923-05	Registered
FT 5731 REIT GROWTH & INCOME PLUS PORTFOLIO SERIES 25	WHEATON, IL	11/19/2015	00752922-05	Registered
FT 5738 RICHARD BERNSTEIN ADVISORS QUALITY INCOME PORTFOLIO SERIES 19	WHEATON, IL	11/19/2015	00752930-05	Registered
FT 5739 MULTI SECTOR INCOME PORTFOLIO SERIES 29	WHEATON, IL	11/19/2015	00752924-05	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
FT 5740 GLOBAL DEEP VALUE DIVIDEND PORTFOLIO SERIES 8	WHEATON, IL	11/19/2015	00752918-05	Registered
FT 5743 EQUITY INCOME PORTFOLIO SERIES 49	WHEATON, IL	11/19/2015	00752927-05	Registered
FT 5748 TAX ADVANTAGED MUNICIPAL CLOSED END PORTFOLIO SERIES 45	WHEATON, IL	11/19/2015	00752929-05	Registered
FT 5751 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 64	WHEATON, IL	11/19/2015	00752926-05	Registered
FT 5761 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 51	WHEATON, IL	11/19/2015	00752928-05	Registered
SMART TR HIGH 20 DIVIDEND STRATEGY TR SERIES 12	PARSIPPANY, NJ	11/19/2015	00752920-05	Registered
SMART TR ZACKS DIVERSIFIED EQUITY & CORPORATE BOND TR SERIES 10	PARSIPPANY, NJ	11/19/2015	00752919-05	Registered
AMCAP FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751327-03	Registered
AMERICAN BALANCED FUND CLASS R 5E	SAN FRANCISCO, CA	11/18/2015	00751361-03	Registered
AMERICAN FUNDS DEVELOPING WORLD GROWTH & INCOME FUND CLASS R 5E	SAN FRANCISCO, CA	11/18/2015	00751350-03	Registered
AMERICAN FUNDS FUNDAMENTAL INVESTORS FUNDAMENTAL INVESTORS CLASS R 5E	SAN FRANCISCO, CA	11/18/2015	00751335-03	Registered
AMERICAN FUNDS GLOBAL BALANCED FUND CLASS R 5E	IRVINE, CA	11/18/2015	00751346-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AMERICAN FUNDS INCOME SERIES US GOVERNMENT SECURITIES FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751371-03	Registered
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R 5E	IRVINE, CA	11/18/2015	00751352-03	Registered
AMERICAN FUNDS MONEY MARKET FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751340-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS R 5E	SAN FRANCISCO, CA	11/18/2015	00751344-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS PRESERVATION PORTFOLIO SM CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751366-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS GLOBAL GROWTH PORTFOLIO SM CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751356-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS GROWTH PORTFOLIO SM CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751358-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS GROWTH & INCOME PORTFOLIO SM CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751360-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS INCOME PORTFOLIO SM CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751364-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES SM AMERICAN FUNDS BALANCED PORTFOLIOSM CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751362-03	Registered

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<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>
AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO SERIES AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO MODERATE CLASS R 5E	IRVINE, CA	11/18/2015	00751370-03	Registered
AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO SERIES AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO ENHANCED CLASS R 5E	IRVINE, CA	11/18/2015	00751372-03	Registered
AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO SERIES AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO CONSERVATIVE CLASS R 5E	IRVINE, CA	11/18/2015	00751368-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2010 TARGET DATE RETIREMENT FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751347-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2015 TARGET DATE RETIREMENT FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751369-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2035 TARGET DATE RETIREMENT FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751330-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2045 TARGET DATE RETIREMENT FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751334-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2025 TARGET DATE RETIREMENT FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751326-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751336-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751342-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2040 TARGET DATE RETIREMENT FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751332-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2030 TARGET DATE RETIREMENT FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751328-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2060 TARGET DATE RETIREMENT FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751354-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2020 TARGET DATE RETIREMENT FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751349-03	Registered
AMERICAN HIGH INCOME TR CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751329-03	Registered
AMERICAN MUTUAL FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751351-03	Registered
BOND FUND OF AMERICA CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751341-03	Registered
CAPITAL INCOME BUILDER CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751331-03	Registered
CAPITAL WORLD BOND FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751367-03	Registered
CAPITAL WORLD GROWTH & INCOME FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751333-03	Registered
EUROPACIFIC GROWTH FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751353-03	Registered

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GROWTH FUND OF AMERICA CLASS R 5E	SAN FRANCISCO, CA	11/18/2015	00751357-03	Registered
GUIDESTONE FUNDS AGGRESSIVE ALLOCATION FUND INSTITUTIONAL CLASS	DALLAS, TX	11/18/2015	00751376-03	Registered
GUIDESTONE FUNDS BALANCED ALLOCATION FUND INSTITUTIONAL CLASS	DALLAS, TX	11/18/2015	00751373-03	Registered
GUIDESTONE FUNDS CONSERVATIVE ALLOCATION FUND INSTITUTIONAL CLASS	DALLAS, TX	11/18/2015	00751375-03	Registered
GUIDESTONE FUNDS GROWTH ALLOCATION FUND INSTITUTIONAL CLASS	DALLAS, TX	11/18/2015	00751374-03	Registered
INCOME FUND OF AMERICA CLASS R 5E	SAN FRANCISCO, CA	11/18/2015	00751343-03	Registered
INTERMEDIATE BOND FUND OF AMERICA CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751363-03	Registered
INTERNATIONAL GROWTH & INCOME FUND CLASS R 5E	SAN FRANCISCO, CA	11/18/2015	00751338-03	Registered
INVESTMENT CO OF AMERICA CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751365-03	Registered
NEW ECONOMY FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751345-03	Registered
NEW PERSPECTIVE FUND CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751337-03	Registered
NEW WORLD FUND INC CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751355-03	Registered
SHORT TERM BOND FUND OF AMERICA CLASS R 5E	LOS ANGELES, CA	11/18/2015	00751359-03	Registered
SMALLCAP WORLD FUND INC CLASS R 5E	SAN FRANCISCO, CA	11/18/2015	00751339-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
WA MUTUAL INVESTORS FUND CLASS R 5E	IRVINE, CA	11/18/2015	00751348-03	Registered
INVESCO UNIT TR SERIES 1614 POWERSHARES SMART BETA GROWTH PORTFOLIO 2016 1	DOWNERS GROVE, IL	11/17/2015	00752596-05	Pending-Cleared
INVESCO UNIT TR SERIES 1614 POWERSHARES SMART BETA GROWTH & INCOME PORTFOLIO 2016 1	DOWNERS GROVE, IL	11/17/2015	00752595-05	Pending-Cleared
INVESCO UNIT TR SERIES 1614 POWERSHARES SMART BETA INCOME PORTFOLIO 2016 1	DOWNERS GROVE, IL	11/17/2015	00752594-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 522 HIGH YIELD CORPORATE TR 4 7 YEAR SERIES 4	DOWNERS GROVE, IL	11/17/2015	00752593-05	Registered
INVESCO UNIT TR TAXABLE INCOME SERIES 538 INVESTMENT GRADE INCOME TR 7 13 YEAR SERIES 53	DOWNERS GROVE, IL	11/17/2015	00752591-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 539 INVESTMENT GRADE INCOME TR 7 13 YEAR SERIES 54	DOWNERS GROVE, IL	11/17/2015	00752592-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1550 BAHL & GAYNOR INCOME GROWTH PORTFOLIO SERIES 2015 4Q	MONUMENT, CO	11/16/2015	00751425-05	Registered
ADVISORS DISCIPLINED TR 1551 TACTICAL PLUS CLOSED END PORTFOLIO 15 MONTH SERIES 2015 4Q	MONUMENT, CO	11/16/2015	00751424-05	Registered
ADVISORS DISCIPLINED TR 1552 AEROSPACE DEFENSE OPPORTUNITIES PORTFOLIO SERIES 2015 2	MONUMENT, CO	11/16/2015	00751423-05	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ADVISORS DISCIPLINED TR 1553 VALUE ARCHITECTS RECURRING REVENUE SCORE PORTFOLIO SERIES 2015 2	MONUMENT, CO	11/16/2015	00751422-05	Registered
ADVISORS DISCIPLINED TR 1555 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 103	MONUMENT, CO	11/16/2015	00751421-05	Registered
ADVISORS INNER CIRCLE FUND 2 CHAMPLAIN EMERGING MARKETS FUND ADVISOR SHARES	BOSTON, MA	11/16/2015	00751135-03	Registered
ASPIRATION FUNDS ASPIRATION REDWOOD FUND	ROCKY MOUNT, NC	11/16/2015	00752931-03	Registered
COHEN & STEERS LOW DURATION PREFERRED & INCOME FUND INC CLASS Z	NEW YORK, NY	11/16/2015	00751132-03	Pending-Cleared
COHEN & STEERS LOW DURATION PREFERRED & INCOME FUND INC CLASS R	NEW YORK, NY	11/16/2015	00751131-03	Pending-Cleared
COHEN & STEERS LOW DURATION PREFERRED & INCOME FUND INC CLASS C	NEW YORK, NY	11/16/2015	00751133-03	Pending-Cleared
COHEN & STEERS LOW DURATION PREFERRED & INCOME FUND INC CLASS A	NEW YORK, NY	11/16/2015	00751130-03	Pending-Cleared
COHEN & STEERS LOW DURATION PREFERRED & INCOME FUND INC CLASS I	NEW YORK, NY	11/16/2015	00751134-03	Pending-Cleared
FORUM FUNDS ABSOLUTE CAPITAL OPPORTUNITIES FUND INSTITUTIONAL SHARES	PORTLAND, ME	11/16/2015	00752936-03	Pending-Cleared
FT 5754 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 52	WHEATON, IL	11/16/2015	00751382-05	Registered

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<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>
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1383 GUGGENHEIM EMERGING MARKETS DIVIDEND STRATEGY PORTFOLIO SERIES 16	LISLE, IL	11/16/2015	00751420-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1383 UNDERVALUED TOP PICKS PORTFOLIO SERIES 7	LISLE, IL	11/16/2015	00751419-05	Registered
GUGGENHEIM FUNDS TR GUGGENHEIM DIVERSIFIED INCOME FUND INSTITUTIONAL CLASS	ROCKVILLE, MD	11/16/2015	00752934-03	Pending-Cleared
GUGGENHEIM FUNDS TR GUGGENHEIM DIVERSIFIED INCOME FUND A CLASS	ROCKVILLE, MD	11/16/2015	00752932-03	Pending-Cleared
GUGGENHEIM FUNDS TR GUGGENHEIM DIVERSIFIED INCOME FUND C CLASS	ROCKVILLE, MD	11/16/2015	00752933-03	Pending-Cleared
GUGGENHEIM FUNDS TR GUGGENHEIM DIVERSIFIED INCOME FUND P CLASS	ROCKVILLE, MD	11/16/2015	00752935-03	Pending-Cleared
<b>Number of Investment Company Filings: 90</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>
AG DIRECT LENDING FUND LP	NEW YORK, NY	11/19/2015	00751428-07	Filed
AG ENERGY CREDIT OPPORTUNITIES FUND LP	NEW YORK, NY	11/19/2015	00751429-07	Filed
AMERICAN GENE TECHNOLOGIES INTERNATIONAL INC	ROCKVILLE, MD	11/19/2015	00751437-07	Filed
GEMINI HEALTH LLC	SAUSALITO, CA	11/19/2015	00751435-07	Filed

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<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>
GENESIS DRILLING PROGRAM 8 LP	GETZVILLE, NY	11/19/2015	00752916-07	Filed
ICONIQ ACCESS 49 LP	SAN FRANCISCO, CA	11/19/2015	00751431-07	Filed
KBS GROWTH & INCOME REIT INC	NEWPORT BEACH, CA	11/19/2015	00752915-07	Filed
MULTI ADVISOR FUNDS ENERGY INFRASTRUCTURE FUND EAGLE GLOBAL ADVISORS LLC	CHICAGO, IL	11/19/2015	00751433-07	Filed
NORTHERN LIGHTS GROUP INC	BARRINGTON, IL	11/19/2015	00752914-07	Filed
PENSATO EUROPA FUND LTD	GEORGE TOWN, GRAND CAYMAN, AA	11/19/2015	00751434-07	Filed
SE 3 INVESTORS LLC	WOBURN, MA	11/19/2015	00751430-07	Filed
MARSHALL WACE FUNDS LP MW EUREKA US FUND	KY1-9005, AA	11/18/2015	00752611-07	Filed
CENTANA GROWTH PARTNERS LP	NEW YORK, NY	11/17/2015	00751427-07	Filed
FRAZIER HEALTHCARE GROWTH BUYOUT FUND 8 LP	SEATTLE, WA	11/17/2015	00751426-07	Filed
PRNIZE CORP	NEWPORT BEACH, CA	11/17/2015	00752597-07	Filed
FOREST SPRING APT VENTURE LLC	NORTHRIDGE, CA	11/16/2015	00753247-07	Filed
GRAND CREST HOLDINGS LLC	NORFOLK, VA	11/16/2015	00751381-07	Filed
MCPC LLC	WAUKESHA, WI	11/16/2015	00751379-07	Filed
MULLEN TECHNOLOGIES INC	LA HABRA HEIGHTS, CA	11/16/2015	00753249-07	Filed
SCS HOLDCO LLC	NEW YORK, NY	11/16/2015	00751380-07	Filed

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<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>
VISIUM HEALTHCARE PARTNERS ASP FUND SERIES OF ALTERNATIVE STRATEGIES PRIVATE EQUITY PLATFORM LLC	CHARLOTTE, NC	11/16/2015	00753248-07	Filed
<b>Number of Regulation D Notice Filings: 21</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>
Kahala Franchising, L.L.C. / Maui Wowi	Scottsdale, AZ	11/20/2015	611393	Registered
True Rest Franchising, LLC / True REST	Coronado, CA	11/19/2015	611373	Registered
Maximized Living Health Centers, LLC / MAXIMIZED LIVING (New Franchises)	Celebration, FL	11/19/2015	611372	Registered
The Halal Guys Franchise Inc. / The Halal Guys	Hackensack, NJ	11/19/2015	611371	Registered
US Cryotherapy Franchising, LLC / US Cryotherapy	Roseville, CA	11/19/2015	611402	Registered
CBD FRANCHISING, INC. / CLOSETS BY DESIGN	CYPRESS, CA	11/18/2015	611369	Registered
G.J. Gardner Homes (USA) PTY LTD / G.J. Gardner Homes	Mooloolaba, QLD	11/18/2015	611408	Registered
Recycled Granite Franchise, LLC	Saint John, IN	11/18/2015	611401	Registered
My Place Hotels of America, LLC / My Place	Aberdeen, SD	11/17/2015	611358	Registered
Fava World Franchising, LLC.	Appleton, WI	11/15/2015	611354	Registered
<b>Number of Franchise Filings: 10</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>	