

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/22/2015 through 11/28/2015**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AMERICAN BAPTIST EXTENSION CORP	KING OF PRUSSA, PA	11/27/2015	00754782-02	Registered
ITASI CREDIT CORP	OAK BROOK, IL	11/27/2015	00754783-01	Pending
BOARD OF CHURCH EXTENSION OF DISCIPLES OF CHRIST INC	INDIANAPOLIS, IN	11/24/2015	00753528-02	Registered
Number of Registration Filings: 3				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
RESURRECTION BAPTIST CHURCH	SCHERTZ, TX	11/27/2015	00754784-08	Pending
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
BAIRD FUNDS INC BAIRD SMALL MID CAP VALUE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	11/27/2015	00754742-03	Pending-Cleared
BAIRD FUNDS INC BAIRD SMALL MID CAP VALUE FUND INVESTOR CLASS	MILWAUKEE, WI	11/27/2015	00754743-03	Pending-Cleared
FT 5768 ALTERNATIVE INCOME PORTFOLIO SERIES 15	WHEATON, IL	11/27/2015	00754746-05	Registered
GUINNESS ATKINSON FUNDS GLOBAL INNOVATORS FUND INSTITUTIONAL CLASS	GARDEN CITY, NY	11/27/2015	00754747-03	Registered

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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
MATTHEWS INTERNATIONAL FUNDS MATTHEWS ASIA VALUE FUND INVESTOR CLASS SHARES	SAN FRANCISCO, CA	11/27/2015	00753530-03	Pending-Cleared
MATTHEWS INTERNATIONAL FUNDS MATTHEWS ASIA VALUE FUND INSTITUTIONAL CLASS SHARES	SAN FRANCISCO, CA	11/27/2015	00753529-03	Pending-Cleared
SMART TR ADELANTE REIT GROWTH & INCOME TR SERIES 8	PARSIPPANY, NJ	11/27/2015	00754745-05	Registered
SMART TR TAX FREE INCOME TR SERIES 21	PARSIPPANY, NJ	11/27/2015	00754744-05	Registered
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY US GOVERNMENT MONEY MARKET FUND C CLASS	KANSAS CITY, MO	11/25/2015	00753413-03	Registered
AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY US GOVERNMENT MONEY MARKET FUND A CLASS	KANSAS CITY, MO	11/25/2015	00753414-03	Registered
BLACKROCK FUNDS BLACKROCK MIDCAP INDEX FUND INVESTOR A SHARES	WILMINGTON, DE	11/25/2015	00753494-03	Registered
BLACKROCK FUNDS BLACKROCK MSCI ASIA EX JAPAN INDEX FUND CLASS K SHARES	WILMINGTON, DE	11/25/2015	00753496-03	Registered
BLACKROCK FUNDS BLACKROCK MSCI WORLD INDEX FUND CLASS K SHARES	WILMINGTON, DE	11/25/2015	00753495-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR MARTIN CURRIE INTERNATIONAL UNCONSTRAINED EQUITY FUND CLASS IS	BALTIMORE, MD	11/25/2015	00753493-03	Registered

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LEGG MASON GLOBAL ASSET MANAGEMENT TR MARTIN CURRIE INTERNATIONAL UNCONSTRAINED EQUITY FUND CLASS I	BALTIMORE, MD	11/25/2015	00753492-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR MARTIN CURRIE INTERNATIONAL UNCONSTRAINED EQUITY FUND CLASS A	BALTIMORE, MD	11/25/2015	00753491-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR QS GLOBAL MARKET NEUTRAL FUND CLASS A	BALTIMORE, MD	11/25/2015	00753490-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR QS GLOBAL MARKET NEUTRAL FUND CLASS IS	BALTIMORE, MD	11/25/2015	00753489-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR QS GLOBAL MARKET NEUTRAL FUND CLASS I	BALTIMORE, MD	11/25/2015	00753488-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CORE PLUS BOND FUND CLASS A	JERSEY CITY, NJ	11/25/2015	00753404-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CORE PLUS BOND FUND CLASS R2	JERSEY CITY, NJ	11/25/2015	00753408-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CORE PLUS BOND FUND CLASS R6	JERSEY CITY, NJ	11/25/2015	00753412-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CORE PLUS BOND FUND CLASS I	JERSEY CITY, NJ	11/25/2015	00753407-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CORE PLUS BOND FUND CLASS R5	JERSEY CITY, NJ	11/25/2015	00753411-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CORE PLUS BOND FUND CLASS C	JERSEY CITY, NJ	11/25/2015	00753405-03	Registered

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Firm Name	Location	Date Received	File Number	Status
LORD ABBETT INVESTMENT TR LORD ABBETT CORE PLUS BOND FUND CLASS R3	JERSEY CITY, NJ	11/25/2015	00753409-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CORE PLUS BOND FUND CLASS F	JERSEY CITY, NJ	11/25/2015	00753406-03	Registered
LORD ABBETT INVESTMENT TR LORD ABBETT CORE PLUS BOND FUND CLASS R4	JERSEY CITY, NJ	11/25/2015	00753410-03	Registered
PIONEER SERIES TR 4 PIONEER CLASSIC BALANCED FUND CLASS K SHARES	BOSTON, MA	11/25/2015	00753487-03	Registered
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2060 FUND CLASS M SHARES	BOSTON, MA	11/25/2015	00753485-03	Registered
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2060 FUND CLASS Y SHARES	BOSTON, MA	11/25/2015	00753486-03	Registered
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2060 FUND CLASS A SHARES	BOSTON, MA	11/25/2015	00753481-03	Registered
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2060 FUND CLASS C SHARES	BOSTON, MA	11/25/2015	00753483-03	Registered
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2060 FUND CLASS B SHARES	BOSTON, MA	11/25/2015	00753482-03	Registered
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2060 FUND CLASS R SHARES	BOSTON, MA	11/25/2015	00753484-03	Registered

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Firm Name	Location	Date Received	File Number	Status
TETON WESTWOOD FUNDS TETON WESTWOOD SMALLCAP EQUITY FUND CLASS I SHARES	RYE, NY	11/25/2015	00753497-03	Registered
ABERDEEN FUNDS ABERDEEN JAPANESE EQUITIES FUND CLASS A	PHILADELPHIA, PA	11/24/2015	00753944-03	Registered
ABERDEEN FUNDS ABERDEEN JAPANESE EQUITIES FUND CLASS C	PHILADELPHIA, PA	11/24/2015	00753946-03	Registered
ABERDEEN FUNDS ABERDEEN JAPANESE EQUITIES FUND CLASS R	PHILADELPHIA, PA	11/24/2015	00753947-03	Registered
ABERDEEN FUNDS ABERDEEN JAPANESE EQUITIES FUND INSTITUTIONAL	PHILADELPHIA, PA	11/24/2015	00753948-03	Registered
ABERDEEN FUNDS ABERDEEN JAPANESE EQUITIES FUND INSTITUTIONAL SERVICE	PHILADELPHIA, PA	11/24/2015	00753945-03	Registered
FT 5741 UTILITIES SELECT PORTFOLIO SERIES 36	WHEATON, IL	11/24/2015	00753522-05	Registered
FT 5742 TOP PICKS NOVEMBER 2015 PORTFOLIO	WHEATON, IL	11/24/2015	00753518-05	Registered
FT 5750 SABRIENT RISING RATE PORTFOLIO SERIES 3	WHEATON, IL	11/24/2015	00753517-05	Registered
FT 5762 SENIOR LOAN & DIVIDEND GROWERS PORTFOLIO SERIES 8	WHEATON, IL	11/24/2015	00753516-05	Registered
FT 5763 FINANCIALS SLECT PORTFOLIO SERIES 53	WHEATON, IL	11/24/2015	00753523-05	Registered
FT 5766 DORSEY WRIGHT RELATIVE STRENGTH DIVIDEND PORTFOLIO SERIES 20	WHEATON, IL	11/24/2015	00753519-05	Registered

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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
FT 5767 DIVERSIFIED HIGH INCOME CLOSED END PORTFOLIO SERIES 22	WHEATON, IL	11/24/2015	00753520-05	Registered
FT 5769 DIVIDEND INCOME PLUS PORTFOLIO SERIES 21	WHEATON, IL	11/24/2015	00753524-05	Registered
FT 5785 TACTICAL ALPHA PORTFOLIO SERIES 7	WHEATON, IL	11/24/2015	00753521-05	Registered
FT 5802 MUNICIPAL INCOME & DIVIDEND GROWERS PORTFOLIO SERIES 6	WHEATON, IL	11/24/2015	00753526-05	Registered
FT 5804 CORPORATE HIGH INCOME PORTFOLIO SERIES 17	WHEATON, IL	11/24/2015	00753525-05	Registered
GOLDMAN SACHS TR GOLDMAN SACHS FINANCIAL SQUARE FEDERAL INSTRUMENTS FUND FST SELECT SHARES	CHICAGO, IL	11/24/2015	00753227-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS FINANCIAL SQUARE FEDERAL INSTRUMENTS FUND FST PREMIER SHARES	CHICAGO, IL	11/24/2015	00753225-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS FINANCIAL SQUARE FEDERAL INSTRUMENTS FUND FST SHARES	CHICAGO, IL	11/24/2015	00753222-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS FINANCIAL SQUARE FEDERAL INSTRUMENTS FUND FST CASH MANAGEMENT SHARES	CHICAGO, IL	11/24/2015	00753228-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS FINANCIAL SQUARE FEDERAL INSTRUMENTS FUND FST CAPITAL SHARES	CHICAGO, IL	11/24/2015	00753224-03	Registered

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GOLDMAN SACHS TR GOLDMAN SACHS FINANCIAL SQUARE FEDERAL INSTRUMENTS FUND FST SERVICE SHARES	CHICAGO, IL	11/24/2015	00753229-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS FINANCIAL SQUARE FEDERAL INSTRUMENTS FUND FST PREFERRED SHARES	CHICAGO, IL	11/24/2015	00753223-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS FINANCIAL SQUARE FEDERAL INSTRUMENTS FUND FST ADMINISTRATION SHARES	CHICAGO, IL	11/24/2015	00753226-03	Registered
HENDERSON GLOBAL FUNDS HENDERSON ALL ASSET FUND CLASS R6 SHARES	CHICAGO, IL	11/24/2015	00753955-03	Registered
HENDERSON GLOBAL FUNDS HENDERSON DIVIDEND & INCOME BUILDER FUND CLASS R6 SHARES	CHICAGO, IL	11/24/2015	00753956-03	Registered
HENDERSON GLOBAL FUNDS HENDERSON EMERGING MARKETS FUND CLASS R6 SHARES	CHICAGO, IL	11/24/2015	00753954-03	Registered
HENDERSON GLOBAL FUNDS HENDERSON EUROPEAN FOCUS FUND CLASS R6 SHARES	CHICAGO, IL	11/24/2015	00753949-03	Registered
HENDERSON GLOBAL FUNDS HENDERSON GLOBAL EQUITY INCOME FUND CLASS R6 SHARES	CHICAGO, IL	11/24/2015	00753953-03	Registered
HENDERSON GLOBAL FUNDS HENDERSON GLOBAL TECHNOLOGY FUND CLASS R6 SHARES	CHICAGO, IL	11/24/2015	00753950-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
HENDERSON GLOBAL FUNDS HENDERSON HIGH YIELD OPPORTUNITIES FUND CLASS R6 SHARES	CHICAGO, IL	11/24/2015	00753957-03	Registered
HENDERSON GLOBAL FUNDS HENDERSON INTERNATIONAL LONG SHORT EQUITY FUND CLASS R6 SHARES	CHICAGO, IL	11/24/2015	00753960-03	Registered
HENDERSON GLOBAL FUNDS HENDERSON INTERNATIONAL OPPORTUNITIES FUND CLASS R6 SHARES	CHICAGO, IL	11/24/2015	00753951-03	Registered
HENDERSON GLOBAL FUNDS HENDERSON INTERNATIONAL SELECT EQUITY FUND CLASS R6 SHARES	CHICAGO, IL	11/24/2015	00753959-03	Registered
HENDERSON GLOBAL FUNDS HENDERSON STRATEGIC INCOME FUND CLASS R6 SHARES	CHICAGO, IL	11/24/2015	00753952-03	Registered
HENDERSON GLOBAL FUNDS HENDERSON UNCONSTRAINED BOND FUND CLASS R6 SHARES	CHICAGO, IL	11/24/2015	00753958-03	Registered
HENDERSON GLOBAL FUNDS HENDERSON US GROWTH OPPORTUNITIES FUND CLASS R6 SHARES	CHICAGO, IL	11/24/2015	00753961-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2060 FUND CLASS R5	ENFIELD, CT	11/24/2015	00753968-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2060 FUND CLASS I	ENFIELD, CT	11/24/2015	00753965-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2060 FUND CLASS R4	ENFIELD, CT	11/24/2015	00753967-03	Registered

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Firm Name	Location	Date Received	File Number	Status
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2060 FUND SERVICE CLASS	ENFIELD, CT	11/24/2015	00753962-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2060 FUND ADMINISTRATIVE CLASS	ENFIELD, CT	11/24/2015	00753964-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2060 FUND CLASS A	ENFIELD, CT	11/24/2015	00753963-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL RETIRESMART 2060 FUND CLASS R3	ENFIELD, CT	11/24/2015	00753966-03	Registered
NORTHERN LIGHTS FUND TR PACIFIC FINANCIAL FLEXIBLE GROWTH & INCOME FUND INVESTOR CLASS SHARES	HAUPPAUGE, NY	11/24/2015	00753267-03	Registered
NORTHERN LIGHTS FUND TR PACIFIC FINANCIAL FLEXIBLE GROWTH & INCOME FUND INSTITUTIONAL CLASS SHARES	HAUPPAUGE, NY	11/24/2015	00753266-03	Registered
PIMCO FUNDS PIMCO STOCKSPLUS ABSOLUTE RETURN FUND CLASS R	NEWPORT BEACH, CA	11/24/2015	00753970-03	Registered
PIMCO FUNDS PIMCO STOCKSPLUSR INTERNATIONAL FUND US DOLLAR HEDGED CLASS R	NEWPORT BEACH, CA	11/24/2015	00753969-03	Registered
PIMCO FUNDS PIMCO STOCKSPLUSR SMALL FUND CLASS R	NEWPORT BEACH, CA	11/24/2015	00753971-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1384 DIVIDEND GROWTH PORTFOLIO SERIES 8	LISLE, IL	11/23/2015	00753501-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1384 DIVIDEND STRENGTH PORTFOLIO SERIES 19	LISLE, IL	11/23/2015	00753500-05	Registered

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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
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1385 FLOATING RATE & DIVIDEND GROWTH PORTFOLIO SERIES 10	LISLE, IL	11/23/2015	00753502-05	Registered
Number of Investment Company Filings: 88				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GENEVA CAPITAL LLC	ALEXANDRIA, MN	11/27/2015	00754739-07	Filed
NEXTILITY INC	WASHINGTON, DC	11/27/2015	00754738-07	Filed
GENESIS INNOVATION GROUP LLC	MISSOULA, MT	11/25/2015	00753230-07	Filed
SKYSPECS INC	ANN ARBOR, MI	11/24/2015	00753527-07	Filed
QVIVR INC	FREMONT, CA	11/23/2015	00753499-07	Filed
US RETINA LLC	PENSACOLA, FL	11/23/2015	00753498-07	Filed
Number of Regulation D Notice Filings: 6				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Phenix Salon Suites Franchising, LLC / Phenix Salon Suites	Colorado Springs, CO	11/27/2015	611417	Registered
Couch Clarity Franchising, Inc. / Couch Clarity	Villa Park, IL	11/25/2015	611406	Registered
Learning Express, Inc. / Learning Express	Devens, MA	11/23/2015	611394	Registered
Libertana, LLC / Libertana	Beverly Hills, CA	11/23/2015	611404	Registered
Number of Franchise Filings: 4				

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

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Number of Takeover Filings: 0