

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/29/2015 through 12/5/2015**

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
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	DULLES, VA	12/2/2015	00754786-08	Not Disallowed
ROLLING HILLS COMMUNITY CHURCH	TUALATIN, OR	11/30/2015	00754629-10	Not Disallowed
TRUTH TABERNACLE OF BAKERSFIELD	BAKERSFIELD, CA	11/30/2015	00754628-10	Not Disallowed
Number of Exemption Filings: 3				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 5770 INTERNATIONAL HIGH DIVIDEND EQUITY PORTFOLIO SERIES 23	WHEATON, IL	12/4/2015	00754832-05	Registered
FT 5793 CHAIKIN LOW BETA GROWTH PORTFOLIO SERIES	WHEATON, IL	12/4/2015	00754834-05	Pending-Cleared
FT 5817 AEROSPACE & DEFENSE PORTFOLIO SERIES 13	WHEATON, IL	12/4/2015	00754833-05	Registered
GENERAL GOVERNMENT SECURITIES MONEY MARKET FUNDS INC GENERAL TREASURY PRIME MONEY MARKET FUND DREYFUS CLASS	NEW YORK, NY	12/4/2015	00754909-03	Registered
NORTHERN LIGHTS FUND TR 2 FORMULA FOLIOS US EQUITY FUND INSTITUTIONAL CLASS	HAUPPAUGE, NY	12/4/2015	00754831-03	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
TIAA CREF FUNDS BOND FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754970-03	Registered
TIAA CREF FUNDS BOND INDEX FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754917-03	Registered
TIAA CREF FUNDS BOND PLUS FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754936-03	Registered
TIAA CREF FUNDS ENHANCED INTERNATIONAL EQUITY INDEX FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754913-03	Registered
TIAA CREF FUNDS ENHANCED LARGE CAP GROWTH INDEX FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754911-03	Registered
TIAA CREF FUNDS ENHANCED LARGE CAP VALUE INDEX FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754915-03	Registered
TIAA CREF FUNDS EQUITY INDEX FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754946-03	Registered
TIAA CREF FUNDS GROWTH & INCOME FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754942-03	Registered
TIAA CREF FUNDS HIGH YIELD FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754938-03	Registered
TIAA CREF FUNDS INFLATION LINKED BOND FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754926-03	Registered
TIAA CREF FUNDS INTERNATIONAL EQUITY FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754912-03	Registered
TIAA CREF FUNDS INTERNATIONAL EQUITY INDEX FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754922-03	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
TIAA CREF FUNDS LARGE CAP GROWTH FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754954-03	Registered
TIAA CREF FUNDS LARGE CAP GROWTH INDEX FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754966-03	Registered
TIAA CREF FUNDS LARGE CAP VALUE FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754958-03	Registered
TIAA CREF FUNDS LARGE CAP VALUE INDEX FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754918-03	Registered
TIAA CREF FUNDS LIFECYCLE 2045 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754940-03	Registered
TIAA CREF FUNDS LIFECYCLE 2050 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754972-03	Registered
TIAA CREF FUNDS LIFECYCLE 2055 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754943-03	Registered
TIAA CREF FUNDS LIFECYCLE 2060 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754965-03	Registered
TIAA CREF FUNDS LIFECYCLE FUNDS 2010 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754928-03	Registered
TIAA CREF FUNDS LIFECYCLE FUNDS 2015 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754962-03	Registered
TIAA CREF FUNDS LIFECYCLE FUNDS 2020 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754930-03	Registered
TIAA CREF FUNDS LIFECYCLE FUNDS 2025 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754952-03	Registered

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Firm Name	Location	Date Received	File Number	Status
TIAA CREF FUNDS LIFECYCLE FUNDS 2030 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754932-03	Registered
TIAA CREF FUNDS LIFECYCLE FUNDS 2035 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754968-03	Registered
TIAA CREF FUNDS LIFECYCLE FUNDS 2040 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754934-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX 2010 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754919-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX 2015 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754921-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX 2020 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754923-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX 2025 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754925-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX 2030 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754927-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX 2035 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754929-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX 2040 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754931-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX 2045 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754933-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX 2050 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754935-03	Registered

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Firm Name	Location	Date Received	File Number	Status
TIAA CREF FUNDS LIFECYCLE INDEX 2055 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754945-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX 2060 FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754967-03	Registered
TIAA CREF FUNDS LIFECYCLE INDEX RETIREMENT INCOME FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754937-03	Registered
TIAA CREF FUNDS LIFECYCLE RETIREMENT INCOME FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754910-03	Registered
TIAA CREF FUNDS LIFESTYLE AGGRESSIVE GROWTH FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754949-03	Registered
TIAA CREF FUNDS LIFESTYLE CONSERVATIVE FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754951-03	Registered
TIAA CREF FUNDS LIFESTYLE GROWTH FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754953-03	Registered
TIAA CREF FUNDS LIFESTYLE INCOME FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754955-03	Registered
TIAA CREF FUNDS LIFESTYLE MODERATE FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754957-03	Registered
TIAA CREF FUNDS MID CAP GROWTH FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754914-03	Registered
TIAA CREF FUNDS MID CAP VALUE FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754944-03	Registered
TIAA CREF FUNDS MONEY MARKET FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754950-03	Registered

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Firm Name	Location	Date Received	File Number	Status
TIAA CREF FUNDS REAL ESTATE SECURITIES FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754948-03	Registered
TIAA CREF FUNDS S&P 500 INDEX FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754920-03	Registered
TIAA CREF FUNDS SHORT TERM BOND FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754964-03	Registered
TIAA CREF FUNDS SMALL CAP BLEND INDEX FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754960-03	Registered
TIAA CREF FUNDS SMALL CAP EQUITY FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754916-03	Registered
TIAA CREF FUNDS SOCIAL CHOICE EQUITY FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754924-03	Registered
TIAA CREF FUNDS TIAA CREF EMERGING MARKETS DEBT FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754963-03	Registered
TIAA CREF FUNDS TIAA CREF EMERGING MARKETS EQUITY FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754939-03	Registered
TIAA CREF FUNDS TIAA CREF EMERGING MARKETS EQUITY INDEX FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754941-03	Registered
TIAA CREF FUNDS TIAA CREF GLOBAL NATURAL RESOURCES FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754947-03	Registered
TIAA CREF FUNDS TIAA CREF INTERNATIONAL OPPORTUNITIES FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754961-03	Registered
TIAA CREF FUNDS TIAA CREF SHORT TERM BOND INDEX FUND ADVISOR FUND	NEW YORK, NY	12/4/2015	00754969-03	Registered

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TIAA CREF FUNDS TIAA CREF SOCIAL CHOICE BOND FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754959-03	Registered
TIAA CREF FUNDS TIAA CREF SOCIAL CHOICE INTERNATIONAL EQUITY FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754971-03	Registered
TIAA CREF FUNDS TIAA CREF SOCIAL CHOICE LOW CARBON EQUITY FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754973-03	Registered
TIAA CREF FUNDS TX EX BOND FUND ADVISOR CLASS	NEW YORK, NY	12/4/2015	00754956-03	Registered
VALUE LINE FUNDS INVESTMENT TR WORTHINGTON VALUE LINE DYNAMIC OPPORTUNITY FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/4/2015	00754799-03	Registered
1ST TR COMBINED SERIES 497 TX EX MUNICIPAL INCOME TR 10 20 YEAR SERIES 21	WHEATON, IL	12/3/2015	00754822-05	Registered
ADVISORS DISCIPLINED TR 1556 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 104	MONUMENT, CO	12/3/2015	00754818-05	Registered
ADVISORS DISCIPLINED TR 1611 INCOME QUALITY COVERED CALL PORTFOLIO SERIES 2015 4Q	MONUMENT, CO	12/3/2015	00754817-05	Registered
FT 5764 HEALTH CARE SELECT PORTFOLIO SERIES 39	WHEATON, IL	12/3/2015	00754805-05	Registered
FT 5765 MEGA CAP PORTFOLIO SERIES 38	WHEATON, IL	12/3/2015	00754806-05	Registered
FT 5774 HOMEBUILDERS RECOVERY SELECT PORTFOLIO SERIES 12	WHEATON, IL	12/3/2015	00754809-05	Registered

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FT 5794 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES AMERICAN INDUSTRIAL RENAISSANCE 2015 4	WHEATON, IL	12/3/2015	00754824-05	Registered
FT 5803 MUNICIPAL ADVANTAGE CLOSED END & ETF PORTFOLIO SERIES 31	WHEATON, IL	12/3/2015	00754807-05	Registered
FT 5805 JANUARY EFFECT PLUS PORTFOLIO SERIES 5	WHEATON, IL	12/3/2015	00754823-05	Registered
FT 5879 DOW TARGET 10 DEC 15 TERM 1 9 17	WHEATON, IL	12/3/2015	00754808-05	Registered
FT 5882 TARGET BUYBACK PORTFOLIO SERIES 3	WHEATON, IL	12/3/2015	00754821-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1388 INCOME & TREASURY LTD DURATION PORTFOLIO OF FUNDS SERIES 46	LISLE, IL	12/3/2015	00754816-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1389 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 58	LISLE, IL	12/3/2015	00754820-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1390 BULLETSHARES HIGH YIELD LOW DURATION 2017 2020 BOND LADDER PORTFOLIO OF ETFS	LISLE, IL	12/3/2015	00754814-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1391 COVERED CALL & INCOME PORTFOLIO OF CEFS SERIES 36	LISLE, IL	12/3/2015	00754810-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1391 EQUITY & INCOME PORTFOLIO OF CEFS SERIES 39	LISLE, IL	12/3/2015	00754813-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1397 UBS CHECK A MONTH LIST EQUITY ADVISORY GROUP 2015 3 SERIES 3	LISLE, IL	12/3/2015	00754812-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1399 GUGGENHEIM SELECT QUALITY MUNICIPAL PORTFOLIO SERIES 4	LISLE, IL	12/3/2015	00754819-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1402 LARGE CAP CORE PORTFOLIO SERIES 25	LISLE, IL	12/3/2015	00754815-05	Registered
INCAPITAL UNIT TR SERIES 108 EUROPEAN DIVIDEND BUILDERS PORTFOLIO 4Q 2015	CHICAGO, IL	12/3/2015	00754811-05	Registered
NORTHERN LIGHTS FUND TR 3 SWAN DEFINED RISK EMERGING MARKETS FUND CLASS C SHARES	HAUPPAUGE, NY	12/3/2015	00754825-03	Registered
BNY MELLON ABSOLUTE INSIGHT FUNDS INC BNY MELLON ABSOLUTE INSIGHT MULTI STRATEGY FUND CLASS C	NEW YORK, NY	12/2/2015	00754498-03	Registered
BNY MELLON ABSOLUTE INSIGHT FUNDS INC BNY MELLON ABSOLUTE INSIGHT MULTI STRATEGY FUND CLASS I	NEW YORK, NY	12/2/2015	00754497-03	Registered
BNY MELLON ABSOLUTE INSIGHT FUNDS INC BNY MELLON ABSOLUTE INSIGHT MULTI STRATEGY FUND CLASS A	NEW YORK, NY	12/2/2015	00754496-03	Registered
BNY MELLON ABSOLUTE INSIGHT FUNDS INC BNY MELLON ABSOLUTE INSIGHT MULTI STRATEGY FUND CLASS Y	NEW YORK, NY	12/2/2015	00754499-03	Registered
INVESCO UNIT TR SERIES 1565 BOFA MERRILL LYNCH GLOBAL WATER PICKS PORTFOLIO SERIES 3	DOWNERS GROVE, IL	12/2/2015	00754857-05	Registered
INVESCO UNIT TR SERIES 1616 2016 OUTLOOK STRATEGY PORTFOLIO SERIES 1	DOWNERS GROVE, IL	12/2/2015	00754858-05	Registered

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
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INVESCO UNIT TR SERIES 1617 DOW JONES SELECT DIVIDEND INDEX STRATEGY PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754860-05	Pending-Cleared
INVESCO UNIT TR SERIES 1617 EAFE SELECT 20 PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754859-05	Pending-Cleared
INVESCO UNIT TR SERIES 1617 GLOBAL 45 DIVIDEND STRATEGY PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754863-05	Pending-Cleared
INVESCO UNIT TR SERIES 1617 SELECT 10 INDUSTRIAL PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754864-05	Pending-Cleared
INVESCO UNIT TR SERIES 1617 SELECT S&P CORE PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754862-05	Pending-Cleared
INVESCO UNIT TR SERIES 1617 SELECT S&P INDUSTRIAL PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754861-05	Pending-Cleared
INVESCO UNIT TR SERIES 1618 CLOSED END STRATEGY COVERED CALL INCOME PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754865-05	Pending-Cleared
INVESCO UNIT TR SERIES 1618 CLOSED END STRATEGY MASTER INCOME PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754866-05	Pending-Cleared
INVESCO UNIT TR SERIES 1618 CLOSED END STRATEGY MASTER MUNICIPAL INCOME PORTFOLIO NATIONAL SERIES 2016 1	DOWNERS GROVE, IL	12/2/2015	00754867-05	Pending-Cleared
INVESCO UNIT TR SERIES 1618 CLOSED END STRATEGY VALUE EQUITY & INCOME PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754868-05	Pending-Cleared
INVESCO UNIT TR SERIES 1619 NORTH AMERICAN RAIL PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754869-05	Pending-Cleared

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INVESCO UNIT TR SERIES 1620 ALL CAP CORE STRATEGY 2016 1	DOWNERS GROVE, IL	12/2/2015	00754870-05	Pending-Cleared
INVESCO UNIT TR SERIES 1620 DIVIDEND INCOME LEADERS STRATEGY PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754875-05	Pending-Cleared
INVESCO UNIT TR SERIES 1620 LARGE CAP CORE STRATEGY 2016 1	DOWNERS GROVE, IL	12/2/2015	00754871-05	Pending-Cleared
INVESCO UNIT TR SERIES 1620 MID CAP CORE STRATEGY 2016 1	DOWNERS GROVE, IL	12/2/2015	00754872-05	Pending-Cleared
INVESCO UNIT TR SERIES 1620 S&P POWERPICKS PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754874-05	Pending-Cleared
INVESCO UNIT TR SERIES 1620 SMALL CAP CORE STRATEGY 2016 1	DOWNERS GROVE, IL	12/2/2015	00754873-05	Pending-Cleared
INVESCO UNIT TR SERIES 1621 CENTRAL EQUITY TR DIVERSIFIED INCOME SERIES 2016 1	DOWNERS GROVE, IL	12/2/2015	00754876-05	Pending-Cleared
INVESCO UNIT TR SERIES 1622 DIVIDEND INCOME & VALUE PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754877-05	Pending-Cleared
INVESCO UNIT TR SERIES 1623 CLOSED END STRATEGY GLOBAL INCOME PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754879-05	Pending-Cleared
INVESCO UNIT TR SERIES 1623 CLOSED END STRATEGY SENIOR LOAN & LTD DURATION PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754878-05	Pending-Cleared
INVESCO UNIT TR SERIES 1624 BUYBACK LEADERS PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754880-05	Pending-Cleared

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INVESCO UNIT TR SERIES 1625 AMERICAN INFRASTRUCTURE GROWTH PORTFOLIO 2016 1	DOWNERS GROVE, IL	12/2/2015	00754881-05	Pending-Cleared
MADISON FUNDS TARGET RETIREMENT 2020 FUND CLASS R6 SHARES	MADISON, WI	12/2/2015	00754494-03	Registered
CULLEN FUNDS TR CULLEN ENHANCED EQUITY INCOME FUND CLASS C	NEW YORK, NY	12/1/2015	00754415-03	Registered
CULLEN FUNDS TR CULLEN ENHANCED EQUITY INCOME FUND CLASS I	NEW YORK, NY	12/1/2015	00754416-03	Registered
CULLEN FUNDS TR CULLEN ENHANCED EQUITY INCOME FUND RETAIL CLASS	NEW YORK, NY	12/1/2015	00754414-03	Registered
NATIXIS FUNDS TR 2 ASG DYNAMIC ALLOCATION FUND CLASS A	BOSTON, MA	12/1/2015	00754444-03	Registered
NATIXIS FUNDS TR 2 ASG DYNAMIC ALLOCATION FUND CLASS C	BOSTON, MA	12/1/2015	00754445-03	Registered
NATIXIS FUNDS TR 2 ASG DYNAMIC ALLOCATION FUND CLASS Y	BOSTON, MA	12/1/2015	00754446-03	Registered
PENN CAPITAL FUNDS TR PENN CAPITAL HIGH YIELD FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/1/2015	00754417-03	Registered
PENN CAPITAL FUNDS TR PENN CAPITAL HIGH YIELD FUND INVESTOR CLASS	MILWAUKEE, WI	12/1/2015	00754418-03	Registered
PENN CAPITAL FUNDS TR PENN CAPITAL SENIOR FLOATING RATE INCOME FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/1/2015	00754419-03	Registered

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PENN CAPITAL FUNDS TR PENN CAPITAL SENIOR FLOATING RATE INCOME FUND INVESTOR CLASS	MILWAUKEE, WI	12/1/2015	00754420-03	Registered
PENN CAPITAL FUNDS TR PENN CAPITAL SMALL MID CAP EQUITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/1/2015	00754421-03	Registered
PENN CAPITAL FUNDS TR PENN CAPITAL SMALL MID CAP EQUITY FUND INVESTOR CLASS	MILWAUKEE, WI	12/1/2015	00754422-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA GLOBAL LONG SHORT EQUITY CLASS A SHARES	ST. PETERSBURG, FL	12/1/2015	00754411-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA GLOBAL LONG SHORT EQUITY CLASS I SHARES	ST. PETERSBURG, FL	12/1/2015	00754412-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA GLOBAL LONG SHORT EQUITY CLASS I2 SHARES	ST. PETERSBURG, FL	12/1/2015	00754413-03	Registered
AB CAP FUND INC AB ASIA EX JAPAN EQUITY PORTFOLIO ADVISOR CLASS	NEW YORK, NY	11/30/2015	00755539-03	Pending-Cleared
AB CAP FUND INC AB ASIA EX JAPAN EQUITY PORTFOLIO CLASS A	NEW YORK, NY	11/30/2015	00755538-03	Pending-Cleared
AB CAP FUND INC AB ASIA EX JAPAN EQUITY PORTFOLIO CLASS C	NEW YORK, NY	11/30/2015	00755541-03	Pending-Cleared
ADVISORS INNER CIRCLE FUND 3 CHIRON CAPITAL ALLOCATION FUND CLASS I SHARES	OAKS, PA	11/30/2015	00753981-03	Registered

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INCAPITAL UNIT TR SERIES 106 NUVEEN NWQ GLOBAL DIVIDEND VALUE PORTFOLIO SERIES 3	CHICAGO, IL	11/30/2015	00754631-05	Registered
INVESTMENT MANAGERS SERIES TR OAK RIDGE DYNAMIC SMALL CAP FUND CLASS A	MILWAUKEE, WI	11/30/2015	00754503-03	Registered
INVESTMENT MANAGERS SERIES TR OAK RIDGE DYNAMIC SMALL CAP FUND CLASS I	MILWAUKEE, WI	11/30/2015	00754504-03	Registered
INVESTMENT MANAGERS SERIES TR OAK RIDGE INTERNATIONAL SMALL CAP FUND CLASS A	MILWAUKEE, WI	11/30/2015	00754505-03	Registered
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN DIVIDEND GROWTH FUND CLASS A	NEW YORK, NY	11/30/2015	00755535-03	Registered
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN DIVIDEND GROWTH FUND INSTITUTIONAL CLASS	NEW YORK, NY	11/30/2015	00755537-03	Registered
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN DIVIDEND GROWTH FUND CLASS C	NEW YORK, NY	11/30/2015	00755536-03	Registered
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN DIVIDEND GROWTH FUND CLASS R6	NEW YORK, NY	11/30/2015	00755540-03	Registered
OPPENHEIMER SMALL CAP VALUE FUND CLASS A SHARES	DENVER, CO	11/30/2015	00753415-03	Registered
OPPENHEIMER SMALL CAP VALUE FUND CLASS C SHARES	DENVER, CO	11/30/2015	00753416-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/29/2015 through 12/5/2015**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
OPPENHEIMER SMALL CAP VALUE FUND CLASS I SHARES	DENVER, CO	11/30/2015	00753417-03	Registered
OPPENHEIMER SMALL CAP VALUE FUND CLASS R SHARES	DENVER, CO	11/30/2015	00753418-03	Registered
OPPENHEIMER SMALL CAP VALUE FUND CLASS Y SHARES	DENVER, CO	11/30/2015	00753419-03	Registered
RYDEX SERIES FUNDS DOW JONES INDUSTRIAL AVERAGE FUND A CLASS SHARES	ROCKVILLE, MD	11/30/2015	00754886-03	Registered
RYDEX SERIES FUNDS DOW JONES INDUSTRIAL AVERAGE FUND C CLASS SHARES	ROCKVILLE, MD	11/30/2015	00754887-03	Registered
RYDEX SERIES FUNDS DOW JONES INDUSTRIAL AVERAGE FUND H CLASS SHARES	ROCKVILLE, MD	11/30/2015	00754888-03	Registered
TR FOR ADVISED PORTFOLIOS ZIEGLER FAMCO COVERED CALL FUND CLASS C	MILWAUKEE, WI	11/30/2015	00754646-03	Registered
TR FOR ADVISED PORTFOLIOS ZIEGLER FAMCO COVERED CALL FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	11/30/2015	00754645-03	Registered
TR FOR ADVISED PORTFOLIOS ZIEGLER FAMCO COVERED CALL FUND CLASS A	MILWAUKEE, WI	11/30/2015	00754647-03	Registered
TSC UITS 17 TSC BP CAPITAL TWINLINE ENERGY & INDUSTRIAL RENAISSANCE PORTFOLIO 4Q 2015	BOSTON, MA	11/30/2015	00754632-05	Registered
Number of Investment Company Filings: 160				

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/29/2015 through 12/5/2015**

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
2700 NOVATION PARKWAY LLC	MADISON, WI	12/4/2015	00754885-07	Filed
DAIRYVATIVE TECHNOLOGIES LLC	MARKESAN, WI	12/4/2015	00754883-07	Filed
EMPIRE AT BUTLER NORTH LLC	SCOTTSDALE, AZ	12/4/2015	00754829-07	Filed
MCCALLUM PORTFOLIO LLC	RICHMOND, VA	12/4/2015	00754884-07	Filed
STRATHSPEY CROWN HOLDINGS LLC	NEWPORT BEACH, CA	12/4/2015	00754882-07	Filed
WARBURG PINCUS PRIVATE EQUITY 12 LP	NEW YORK, NY	12/4/2015	00754835-07	Filed
HEW TEX DORSOGNA JOINT VENTURE	HOUSTON, TX	12/3/2015	00754801-07	Filed
NU STAR NETWORKS INC	COLUMBIA, MD	12/3/2015	00754803-07	Filed
WHEAT CAPITAL MANAGEMENT LLC	FT LAUDERDALE, FL	12/3/2015	00754802-07	Filed
BLUE MOUNTAIN CREDIT ALTERNATIVES FUND LTD	NEW YORK, NY	12/2/2015	00754790-07	Filed
BLUEMOUNTAIN CAIS CA LP	NEW YORK, NY	12/2/2015	00754792-07	Filed
BLUEMOUNTAIN CAIS CA LTD	NEW YORK, NY	12/2/2015	00754788-07	Filed
BLUEMOUNTAIN EQUITY ALTERNATIVES FUND LP	NEW YORK, NY	12/2/2015	00754794-07	Filed
K1 CO INVEST FUND LP	EL SEGUNDO, CA	12/2/2015	00754787-07	Filed
BLUE MOUNTAIN CREDIT ALTERNATIVES FUND LP	NEW YORK, NY	12/1/2015	00754427-07	Filed
CHARLOTTE STUDENT HOUSING DST	OAK BROOK, IL	12/1/2015	00754426-07	Filed
EB5 CAPITAL JOBS FUND 9 LP	BETHESDA, MD	12/1/2015	00754429-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/29/2015 through 12/5/2015**

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BROOKWOOD SABADELL INVESTORS LLC	BEVERLY, MA	11/30/2015	00753270-07	Filed
FMR LLC	BOSTON, MA	11/30/2015	00753272-07	Filed
SE 1501 JACKSON OMAHA LLC	CHICAGO, IL	11/30/2015	00753271-07	Filed
Number of Regulation D Notice Filings: 20				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Arby's Franchisor, LLC / Arby's	Atlanta, GA	12/4/2015	611416	Registered
SSV Franchising LLC / School Spirit Vending	Stephenville, TX	12/2/2015	611410	Registered
Hilton Franchise Holding LLC / Tru by Hilton	McLean, VA	12/1/2015	611409	Registered
Solid Holdings, LLC / SOLID	Charlotte, NC	12/1/2015	611421	Registered
Creative Colors International, Inc. / Creative Colors International	Mokena, IL	11/30/2015	611407	Registered
Number of Franchise Filings: 5				

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