

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/13/2015 through 12/19/2015**

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
1ST BAPTIST CHURCH OF ROYAL PALM BEACH FL INC	ROYAL PALM BEACH, FL	12/18/2015	00758935-10	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
FEDERATED EQUITY FUNDS FEDERATED KAUFMANN SMALL CAP FUND INSTITUTIONAL SHARES	WARRENDALE, PA	12/18/2015	00758437-03	Pending-Cleared
IVY FUNDS IVY TARGETED RETURN BOND FUND CLASS A SHARES	SHAWNEE MISSION, KS	12/18/2015	00758432-03	Pending-Cleared
IVY FUNDS IVY TARGETED RETURN BOND FUND CLASS C SHARES	SHAWNEE MISSION, KS	12/18/2015	00758433-03	Pending-Cleared
IVY FUNDS IVY TARGETED RETURN BOND FUND CLASS I SHARES	SHAWNEE MISSION, KS	12/18/2015	00758434-03	Pending-Cleared
IVY FUNDS IVY TARGETED RETURN BOND FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	12/18/2015	00758435-03	Pending-Cleared
IVY FUNDS IVY TARGETED RETURN BOND FUND CLASS Y SHARES	SHAWNEE MISSION, KS	12/18/2015	00758436-03	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
VOYA SEPARATE PORTFOLIOS TR VOYA IN RETIREMENT FUND CLASS A	SCOTTSDALE, AZ	12/18/2015	00758473-03	Registered
VOYA SEPARATE PORTFOLIOS TR VOYA TARGET RETIREMENT 2020 FUND CLASS A	SCOTTSDALE, AZ	12/18/2015	00758475-03	Registered
VOYA SEPARATE PORTFOLIOS TR VOYA TARGET RETIREMENT 2025 FUND CLASS A	SCOTTSDALE, AZ	12/18/2015	00758474-03	Registered
VOYA SEPARATE PORTFOLIOS TR VOYA TARGET RETIREMENT 2030 FUND CLASS A	SCOTTSDALE, AZ	12/18/2015	00758476-03	Registered
VOYA SEPARATE PORTFOLIOS TR VOYA TARGET RETIREMENT 2035 FUND CLASS A	SCOTTSDALE, AZ	12/18/2015	00758477-03	Registered
VOYA SEPARATE PORTFOLIOS TR VOYA TARGET RETIREMENT 2040 FUND CLASS A	SCOTTSDALE, AZ	12/18/2015	00758482-03	Registered
VOYA SEPARATE PORTFOLIOS TR VOYA TARGET RETIREMENT 2045 FUND CLASS A	SCOTTSDALE, AZ	12/18/2015	00758480-03	Registered
VOYA SEPARATE PORTFOLIOS TR VOYA TARGET RETIREMENT 2050 FUND CLASS A	SCOTTSDALE, AZ	12/18/2015	00758478-03	Registered
VOYA SEPARATE PORTFOLIOS TR VOYA TARGET RETIREMENT 2055 FUND CLASS A	SCOTTSDALE, AZ	12/18/2015	00758479-03	Registered
VOYA SEPARATE PORTFOLIOS TR VOYA TARGET RETIREMENT 2060 FUND CLASS I	SCOTTSDALE, AZ	12/18/2015	00758483-03	Registered

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Firm Name	Location	Date Received	File Number	Status
VOYA SEPARATE PORTFOLIOS TR VOYA TARGET RETIREMENT 2060 FUND CLASS A	SCOTTSDALE, AZ	12/18/2015	00758481-03	Registered
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL CO FUND CLASS R6 SHARES	HOUSTON, TX	12/17/2015	00758336-03	Registered
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL CO FUND CLASS A SHARES	HOUSTON, TX	12/17/2015	00758333-03	Registered
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL CO FUND CLASS R SHARES	HOUSTON, TX	12/17/2015	00758337-03	Registered
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL CO FUND CLASS C SHARES	HOUSTON, TX	12/17/2015	00758334-03	Registered
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL CO FUND CLASS Y SHARES	HOUSTON, TX	12/17/2015	00758338-03	Registered
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL CO FUND CLASS R5 SHARES	HOUSTON, TX	12/17/2015	00758335-03	Registered
FINANCIAL INVESTORS TR ALPS METIS GLOBAL MICRO CAP FUND CLASS I	DENVER, CO	12/17/2015	00758313-03	Registered
FINANCIAL INVESTORS TR ALPS METIS GLOBAL MICRO CAP FUND CLASS C	DENVER, CO	12/17/2015	00758312-03	Registered

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Firm Name	Location	Date Received	File Number	Status
FINANCIAL INVESTORS TR ALPS METIS GLOBAL MICRO CAP FUND CLASS A	DENVER, CO	12/17/2015	00758311-03	Registered
FT 5772 CORE 3 CLOSED END ALLOCATION PORTFOLIO SERIES 22	WHEATON, IL	12/17/2015	00758909-05	Pending-Cleared
FT 5781 DIVIDEND STRENGTH PORTFOLIO SERIES 30	WHEATON, IL	12/17/2015	00758914-05	Pending-Cleared
FT 5783 TECHNOLOGY SELECT PORTFOLIO SERIES 59	WHEATON, IL	12/17/2015	00758912-05	Pending-Cleared
FT 5798 GLOBAL DIVIDEND PORTFOLIO SERIES 45	WHEATON, IL	12/17/2015	00758913-05	Pending-Cleared
FT 5838 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 71	WHEATON, IL	12/17/2015	00758910-05	Pending-Cleared
PENN CAPITAL FUNDS TR PENN CAPITAL SMALL CAP EQUITY FUND INVESTOR CLASS	MILWAUKEE, WI	12/17/2015	00758916-03	Registered
PENN CAPITAL FUNDS TR PENN CAPITAL SMALL CAP EQUITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/17/2015	00758915-03	Registered
PIMCO FUNDS PIMCO MONEY MARKET FUND CLASS M	NEWPORT BEACH, CA	12/17/2015	00758310-03	Registered
PIMCO FUNDS PIMCO SHORT ASSET INVESTMENT FUND CLASS M	NEWPORT BEACH, CA	12/17/2015	00758314-03	Registered
SMART TR ARGUS DIVIDEND GROWERS TOTAL RETURN TR SERIES 7	PARSIPPANY, NJ	12/17/2015	00758911-05	Pending-Cleared
SMART TR MORNINGSTAR DIVIDEND YIELD FOCUS TR SERIES 12	PARSIPPANY, NJ	12/17/2015	00758907-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
SMART TR TAX ADVANTAGED GROWTH & INCOME TR SERIES 9	PARSIPPANY, NJ	12/17/2015	00758908-05	Pending-Cleared
1ST TR COMBINED SERIES 500 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO LONG TERM SERIES 19	WHEATON, IL	12/16/2015	00758193-05	Registered
FT 5773 CLOUD COMPUTING PORTFOLIO SERIES 14	WHEATON, IL	12/16/2015	00758188-05	Pending-Cleared
FT 5782 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 52	WHEATON, IL	12/16/2015	00758196-05	Registered
FT 5788 BALANCED INCOME EQUITY & ETF PORTFOLIO SERIES 17	WHEATON, IL	12/16/2015	00758189-05	Registered
FT 5789 SENIOR LOAN CLOSED END & ETF PORTFOLIO SERIES 11	WHEATON, IL	12/16/2015	00758197-05	Registered
FT 5790 STRATEGIC INCOME SELECT CLOSED END PORTFOLIO SERIES 25	WHEATON, IL	12/16/2015	00758199-05	Registered
FT 5796 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 102	WHEATON, IL	12/16/2015	00758198-05	Registered
FT 5806 STIFEL BEST PICKS DECEMBER 2015	WHEATON, IL	12/16/2015	00758200-05	Registered
FT 5809 GLOBAL AGRICULTURE PORTFOLIO SERIES 33	WHEATON, IL	12/16/2015	00758194-05	Registered
FT 5810 SENIOR LOAN SELECT CLOSED END PORTFOLIO SERIES 18	WHEATON, IL	12/16/2015	00758187-05	Registered
FT 5811 LTD DURATION FIXED INCOME ETF PORTFOLIO SERIES 13	WHEATON, IL	12/16/2015	00758191-05	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
FT 5815 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES EUROPE OPPORTUNITIES PORTFOLIO 2015 3	WHEATON, IL	12/16/2015	00758195-05	Registered
FT 5837 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 53	WHEATON, IL	12/16/2015	00758192-05	Registered
SMART TR STRATEGIC GROWTH & INCOME TR SERIES 8	PARSIPPANY, NJ	12/16/2015	00758190-05	Pending-Cleared
WORLD FUNDS TR TOREADOR INTERNATIONAL FUND INVESTOR CLASS	RICHMOND, VA	12/16/2015	00758274-03	Registered
ASTON FUNDS ASTON VALUE PARTNERS ASIA DIVIDEND FUND CLASS I SHARES	CHICAGO, IL	12/15/2015	00758184-03	Registered
ASTON FUNDS ASTON VALUE PARTNERS ASIA DIVIDEND FUND CLASS N SHARES	CHICAGO, IL	12/15/2015	00758185-03	Registered
INCAPITAL UNIT TR SERIES 109 NUVEEN CORE REAL ESTATE SECURITIES PORTFOLIO 4Q 2015	CHICAGO, IL	12/15/2015	00758279-05	Registered
INCAPITAL UNIT TR SERIES 110 INCAPITAL NAJARIAN HEAT SEEKER PORTFOLIO 4Q 2015	CHICAGO, IL	12/15/2015	00758280-05	Registered
WORLD FUNDS TR UNION STREET PARTNERS VALUE FUND CLASS C SHARES	RICHMOND, VA	12/15/2015	00758186-03	Registered
ADVISORS SERIES TR SEMPER MBS TOTAL RETURN FUND CLASS A	MILWAUKEE, WI	12/14/2015	00758903-03	Registered
EATON VANCE GROWTH TR EATON VANCE FOCUSED GLOBAL OPPORTUNITIES FUND CLASS I SHARES	BOSTON, MA	12/14/2015	00758228-03	Registered

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Firm Name	Location	Date Received	File Number	Status
EATON VANCE GROWTH TR EATON VANCE FOCUSED INTERNATIONAL OPPORTUNITIES FUND CLASS I SHARES	BOSTON, MA	12/14/2015	00758229-03	Registered
EATON VANCE GROWTH TR EATON VANCE INTERNATIONAL SMALL CAP FUND CLASS I SHARES	BOSTON, MA	12/14/2015	00758231-03	Registered
EATON VANCE GROWTH TR EATON VANCE INTERNATIONAL SMALL CAP FUND CLASS A SHARES	BOSTON, MA	12/14/2015	00758230-03	Registered
NORTHERN LIGHTS FUND TR 2 BALTER DISCRETIONARY GLOBAL MACRO FUND INVESTOR CLASS	HAUPPAUGE, NY	12/14/2015	00755719-03	Registered
Number of Investment Company Filings: 64				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CAPITAL BANCORP INC	ROCKVILLE, MD	12/18/2015	00758516-07	Filed
COLONY DISTRESSED CREDIT & SPECIAL SITUATIONS FUND 4 LP	LOS ANGELES, CA	12/18/2015	00758522-07	Filed
DERIVATIX 1ST OPTION FUND LP	BETHANY BEACH, DE	12/18/2015	00758517-07	Filed
EATSTREET IN	MADISON, WI	12/18/2015	00758511-07	Filed
FUNDERSCLUB CM7 LLC	SAN FRANCISCO, CA	12/18/2015	00758523-07	Filed
HYDE PARK VENTURE PARTNERS FUND 2 LP	CHICAGO, IL	12/18/2015	00758515-07	Filed
IGENOMX INTERNATIONAL GENOMICS CORP	CARLSBAD, CA	12/18/2015	00758521-07	Filed
PARK AINSLIE LLC	CHICAGO, IL	12/18/2015	00758513-07	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
PARTNERS FOR PAYMENT RELIEF DE 2 LLC	NEWTOWN SQ, PA	12/18/2015	00758518-07	Filed
PORTER BEND ARCH 3 JOINT VENTURE	FRISCO, TX	12/18/2015	00758514-07	Filed
SANIBEL RESORT HOLDINGS LLC	ATLANTA, GA	12/18/2015	00758520-07	Filed
WEFUNDS VOIQ 1 SERIES OF WEFUNDS LLC	CAMBRIDGE, MA	12/18/2015	00758512-07	Filed
FREEPORT 1ST LEIN LOAN FUND 3 OFFSHORE LP	CHICAGO, IL	12/17/2015	00758904-07	Filed
JUHL RENEWABLE ASSETS INC	PIPESTONE, MN	12/17/2015	00758906-07	Filed
MN IMAGING & ENGINEERING LLC	TONKA BAY, MN	12/15/2015	00758277-07	Filed
BRAHMAN PARTNERS 4 LP	NEW YORK, NY	12/14/2015	00755757-07	Filed
GENESIS DRILLING PROGRAM 9 LP	GETZVILLE, NY	12/14/2015	00755720-07	Filed
JONES FINANCIAL CO LLLP	DES PERES, MO	12/14/2015	00755759-07	Filed
OAKTREE HIGH INCOME CONVERTIBLE FUND 2 LP	LOS ANGELES, CA	12/14/2015	00755756-07	Filed
PINEY ISLAND INVESTORS LLC	CUMMING, GA	12/14/2015	00755721-07	Filed
RANCHO CORDOVA RETAIL CENTER LLC	OAK BROOK, IL	12/14/2015	00755758-07	Filed
SHOPOFF LAND FUND 4 LP	IRVINE, CA	12/14/2015	00755755-07	Filed
Number of Regulation D Notice Filings: 22				

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
WoodSpring Hotels Franchise Services LLC / Value Place	Wichita, KS	12/18/2015	611460	Registered
Sonic Franchising LLC / Sonic Drive-In	Oklahoma City, OK	12/18/2015	611459	Registered
SLS Franchise Systems, LLC / Scotts LawnService	Maryville, OH	12/18/2015	611465	Registered
Westin Hotel Management, L.P. / Westin	Stamford, CT	12/17/2015	611450	Registered
Atlanta Bread Company International, Inc. / Atlanta Bread Company	Smyrna, GA	12/17/2015	611467	Registered
Legacy Franchise Group, LLC / Country Kitchen Restaurants	Madison, WI	12/17/2015	611466	Registered
Max Brenner Franchising, LLC / Max Brenner	New York, NY	12/16/2015	611448	Registered
SANDLER SYSTEMS INC / SANDLER TRAINING	Owings Mills, MD	12/16/2015	611447	Registered
SKF Franchising Inc / Stem for Kids	Raleigh, NC	12/15/2015	611445	Registered
Champs Chicken Franchising LLC	Holts Summit, MO	12/14/2015	611452	Registered
NextHome, Inc. / NextHome	Pleasanton, CA	12/14/2015	611451	Registered
Number of Franchise Filings: 11				

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