

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/17/2016 through 1/23/2016**

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
Number of Exemption Filings: 0				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
DE GROUP GLOBAL & INTERNATIONAL FUNDS DE MACQUARIE ASIA SELECT FUND CLASS C	PHILADELPHIA, PA	1/22/2016	00762129-03	Registered
DE GROUP GLOBAL & INTERNATIONAL FUNDS DE MACQUARIE ASIA SELECT FUND CLASS A	PHILADELPHIA, PA	1/22/2016	00762128-03	Registered
DE GROUP GLOBAL & INTERNATIONAL FUNDS DE MACQUARIE ASIA SELECT FUND INSTITUTIONAL CLASS	PHILADELPHIA, PA	1/22/2016	00762130-03	Registered
GABELLI MONEY MARKET FUNDS GABELLI US TREASURY MONEY MARKET FUND CLASS C SHARES	RYE, NY	1/22/2016	00762126-03	Registered
GABELLI MONEY MARKET FUNDS GABELLI US TREASURY MONEY MARKET FUND CLASS A SHARES	RYE, NY	1/22/2016	00762127-03	Registered
HARBOR FUNDS HARBOR INTERNATIONAL SMALL CAP FUND INSTITUTIONAL CLASS	CHICAGO, IL	1/22/2016	00762118-03	Registered

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Firm Name	Location	Date Received	File Number	Status
HARBOR FUNDS HARBOR INTERNATIONAL SMALL CAP FUND ADMINISTRATIVE CLASS	CHICAGO, IL	1/22/2016	00762117-03	Registered
HARBOR FUNDS HARBOR INTERNATIONAL SMALL CAP FUND INVESTOR CLASS	CHICAGO, IL	1/22/2016	00762119-03	Registered
HARBOR FUNDS HARBOR INTERNATIONAL SMALL CAP FUND RETIREMENT CLASS	CHICAGO, IL	1/22/2016	00762120-03	Registered
1ST TR COMBINED SERIES 505 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO INTERMEDIATE SERIES 14	WHEATON, IL	1/21/2016	00763018-05	Registered
ADVISORS DISCIPLINED TR 1590 FINANCIAL OPPORTUNITIES PORTFOLIO SERIES 2016 1	MONUMENT, CO	1/21/2016	00762960-05	Registered
ADVISORS SERIES TR SCHARF BALANCED OPPORTUNITY FUND RETAIL CLASS	MILWAUKEE, WI	1/21/2016	00762996-03	Registered
ELKHORN UNIT TR SERIES 9 ELKHORN HIGH YIELD DIVIDEND ARISTOCRATS SELECT PORTFOLIO SERIES 2	WHEATON, IL	1/21/2016	00762966-05	Registered
FT 5830 CAPITAL STRENGTH PORTFOLIO SERIES 32	WHEATON, IL	1/21/2016	00763021-05	Registered
FT 5831 HIGH DIVIDEND EQUITY ALLOCATION PORTFOLIO SERIES 18	WHEATON, IL	1/21/2016	00763022-05	Registered
FT 5832 SMID HIGH DIVIDEND PORTFOLIO SERIES 20	WHEATON, IL	1/21/2016	00763011-05	Registered
FT 5833 SABRIENT SMALL CAP GROWTH PORTFOLIO SERIES 9	WHEATON, IL	1/21/2016	00763023-05	Registered
FT 5846 BROOKMONT EQUITY DIVIDEND PORTFOLIO SERIES 6	WHEATON, IL	1/21/2016	00763016-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 5855 US ENERGY INDEPENDENCE PORTFOLIO SERIES 11	WHEATON, IL	1/21/2016	00763017-05	Registered
FT 5872 MUNICIPAL INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 35	WHEATON, IL	1/21/2016	00763015-05	Registered
FT 5885 MUNICIPAL ADVANTAGE CLOSED END & ETF PORTFOLIO SERIES 32	WHEATON, IL	1/21/2016	00763014-05	Registered
FT 5886 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 54	WHEATON, IL	1/21/2016	00763020-05	Registered
FT 5892 GLOBAL EQUITY INCOME CLOSED END PORTFOLIO SERIES 46	WHEATON, IL	1/21/2016	00763012-05	Registered
FT 5895 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 72	WHEATON, IL	1/21/2016	00763013-05	Registered
PRICE T ROWE QUANTITATIVE MANAGEMENT FUNDS INC PRICE T ROWE QM US VALUE EQUITY FUND	BALTIMORE, MA	1/21/2016	00762656-03	Registered
PRICE T ROWE QUANTITATIVE MANAGEMENT FUNDS INC PRICE T ROWE QM US SMALL & MID CAP CORE EQUITY FUND	BALTIMORE, MA	1/21/2016	00762659-03	Registered
PRICE T ROWE QUANTITATIVE MANAGEMENT FUNDS INC PRICE T ROWE QM US SMALL & MID CAP CORE EQUITY FUND I CLASS	BALTIMORE, MA	1/21/2016	00762653-03	Registered
PRICE T ROWE QUANTITATIVE MANAGEMENT FUNDS INC PRICE T ROWE QM US VALUE EQUITY FUND ADVISOR CLASS	BALTIMORE, MA	1/21/2016	00762657-03	Registered

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PRICE T ROWE QUANTITATIVE MANAGEMENT FUNDS INC PRICE T ROWE QM US VALUE EQUITY FUND I CLASS	BALTIMORE, MA	1/21/2016	00762658-03	Registered
PRICE T ROWE QUANTITATIVE MANAGEMENT FUNDS INC PRICE T ROWE QM GLOBAL EQUITY FUND PTRQMGEF ADVISOR CLASS	BALTIMORE, MA	1/21/2016	00762655-03	Registered
PRICE T ROWE QUANTITATIVE MANAGEMENT FUNDS INC PRICE T ROWE QM US SMALL & MID CAP CORE EQUITY FUND PTRQMUSSMCEF ADVISOR	BALTIMORE, MA	1/21/2016	00762660-03	Registered
PRICE T ROWE QUANTITATIVE MANAGEMENT FUNDS INC PRICE T ROWE QM GLOBAL EQUITY FUND	BALTIMORE, MA	1/21/2016	00762654-03	Registered
PRICE T ROWE QUANTITATIVE MANAGEMENT FUNDS INC PRICE T ROWE QM GLOBAL EQUITY FUND PTRQMGEF I CLASS	BALTIMORE, MA	1/21/2016	00762661-03	Registered
PRICE T ROWE RETIREMENT FUNDS INC PRICE T ROWE TARGET 2005 FUND PRICE T ROWE TARGET 2005 FUND I CLASS	BALTIMORE, MA	1/21/2016	00762641-03	Pending-Cleared
PRICE T ROWE RETIREMENT FUNDS INC PRICE T ROWE TARGET 2010 FUND PRICE T ROWE TARGET 2010 FUND I CLASS	BALTIMORE, MA	1/21/2016	00762642-03	Pending-Cleared
PRICE T ROWE RETIREMENT FUNDS INC PRICE T ROWE TARGET 2015 FUND PRICE T ROWE TARGET 2015 FUND I CLASS	BALTIMORE, MA	1/21/2016	00762643-03	Pending-Cleared
PRICE T ROWE RETIREMENT FUNDS INC PRICE T ROWE TARGET 2020 FUND PRICE T ROWE TARGET 2020 FUND I CLASS	BALTIMORE, MA	1/21/2016	00762644-03	Pending-Cleared

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PRICE T ROWE RETIREMENT FUNDS INC PRICE T ROWE TARGET 2025 FUND PRICE T ROWE TARGET 2025 FUND I CLASS	BALTIMORE, MA	1/21/2016	00762645-03	Pending-Cleared
PRICE T ROWE RETIREMENT FUNDS INC PRICE T ROWE TARGET 2030 FUND PRICE T ROWE TARGET 2030 FUND I CLASS	BALTIMORE, MA	1/21/2016	00762646-03	Pending-Cleared
PRICE T ROWE RETIREMENT FUNDS INC PRICE T ROWE TARGET 2035 FUND PRICE T ROWE TARGET 2035 FUND I CLASS	BALTIMORE, MA	1/21/2016	00762647-03	Pending-Cleared
PRICE T ROWE RETIREMENT FUNDS INC PRICE T ROWE TARGET 2040 FUND PRICE T ROWE TARGET 2040 FUND I CLASS	BALTIMORE, MA	1/21/2016	00762648-03	Pending-Cleared
PRICE T ROWE RETIREMENT FUNDS INC PRICE T ROWE TARGET 2045 FUND PRICE T ROWE TARGET 2045 FUND I CLASS	BALTIMORE, MA	1/21/2016	00762649-03	Pending-Cleared
PRICE T ROWE RETIREMENT FUNDS INC PRICE T ROWE TARGET 2050 FUND PRICE T ROWE TARGET 2050 FUND I CLASS	BALTIMORE, MA	1/21/2016	00762650-03	Pending-Cleared
PRICE T ROWE RETIREMENT FUNDS INC PRICE T ROWE TARGET 2055 FUND PRICE T ROWE TARGET 2055 FUND I CLASS	BALTIMORE, MA	1/21/2016	00762651-03	Pending-Cleared
PRICE T ROWE RETIREMENT FUNDS INC PRICE T ROWE TARGET 2060 FUND PRICE T ROWE TARGET 2060 FUND I CLASS	BALTIMORE, MA	1/21/2016	00762652-03	Pending-Cleared
SMART TR 222 SMART TR PORTFOLIO OF CLOSED END FUND OPPORTUNITIES TR SERIES 9	PARSIPPANY, NJ	1/21/2016	00763019-05	Registered
SMART TR 234 SMART TR MILLER HOWARD NORTH AMERICAN ENERGY OPPORTUNITIES TR SERIES 1	PARSIPPANY, NJ	1/21/2016	00763010-05	Registered

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
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VICTORY PORTFOLIOS 2 VICTORY CEMP US EQ INCOME ENHANCED VOLATILITY WTD INDEX FUND CLASS I	BROOKLYN, OH	1/21/2016	00762100-03	Registered
GPS FUNDS 2 GUIDEPATH FLEXIBLE INCOME ALLOCATION FUND SERVICE SHARES	MILWAUKEE, WI	1/20/2016	00761946-03	Registered
GPS FUNDS 2 GUIDEPATH TACTICAL ALLOCATION FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	1/20/2016	00761947-03	Registered
1290 FUNDS 1290 GAMCO SMALL MID CAP VALUE FUND CLASS I	NEW YORK, NY	1/19/2016	00761657-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1341 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 44	LISLE, IL	1/19/2016	00762071-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1408 EUROPEAN CAPITAL STRENGTH & HEDGED CURRENCY PORTFOLIO SERIES 4	LISLE, IL	1/19/2016	00762072-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1409 MULTI ASSET GLOBAL DIVIDEND STRATEGY PORTFOLIO SERIES 4	LISLE, IL	1/19/2016	00762073-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1410 US 50 DIVIDEND STRATEGY PORTFOLIO SERIES 7	LISLE, IL	1/19/2016	00762074-05	Registered
INVESCO UNIT TR MUNICIPAL SERIES 1259 INVESTMENT GRADE MUNICIPAL TR 20 PLUS YEAR SERIES 185	DOWNERS GROVE, IL	1/19/2016	00762056-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1260 INSURED MUNICIPALS INCOME TR SERIES 686	DOWNERS GROVE, IL	1/19/2016	00762055-05	Pending-Cleared

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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 MUNICIPAL SERIES 1261 INSURED MUNICIPALS INCOME TR SERIES 687	DOWNERS GROVE, IL	1/19/2016	00762054-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1262 QUALITY MUNICIPAL INCOME TR 10 20 YEAR SERIES 89	DOWNERS GROVE, IL	1/19/2016	00762053-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1263 INVESTMENT GRADE MUNICIPAL TR 10 20 YEAR SERIES 9	DOWNERS GROVE, IL	1/19/2016	00762052-05	Pending-Cleared
INVESCO UNIT TR SERIES 1635 LARGE CAP VALUE STRATEGY 2016 1	DOWNERS GROVE, IL	1/19/2016	00762047-05	Pending-Cleared
INVESCO UNIT TR SERIES 1647 BIG DEBATES 2016 PORTFOLIO	DOWNERS GROVE, IL	1/19/2016	00762046-05	Registered
INVESCO UNIT TR TAXABLE INCOME SERIES 547 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 59	DOWNERS GROVE, IL	1/19/2016	00762051-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 548 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 60	DOWNERS GROVE, IL	1/19/2016	00762050-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 549 INVESTMENT GRADE INCOME TR 7 13 YEAR SERIES 55	DOWNERS GROVE, IL	1/19/2016	00762048-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 550 INVESTMENT GRADE INCOME TR 7 13 YEAR SERIES 56	DOWNERS GROVE, IL	1/19/2016	00762049-05	Pending-Cleared
Number of Investment Company Filings: 66				

**All Securities Law, Franchise Law, and Take-Over Law Filings
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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
ALPHA CORE STRATEGIES FUND	CHICAGO, IL	1/22/2016	00762081-07	Filed
HGI BSW FUND 5 LLC	NORFOLK, VA	1/22/2016	00762998-07	Filed
HUGHES EQUIPMENT CO LLC	COLUMBUS, WI	1/22/2016	00762080-07	Filed
ICONIQ ACCESS 12 LP	SAN FRANCISCO, CA	1/22/2016	00762083-07	Filed
ICONIQ ACCESS 33 LP	SAN FRANCISCO, CA	1/22/2016	00762084-07	Filed
REALTYSHARES 79 LLC	LEWES, DE	1/22/2016	00762082-07	Filed
RETAIL PORTFOLIO 2 DST	OAK BROOK, IL	1/22/2016	00763000-07	Filed
ROCKWOOD CAPITAL REAL ESTATE PARTNERS FUND 10 LP	NEW YORK, NY	1/21/2016	00762959-07	Filed
CNL GROWTH PROPERTIES 2 LLC	ORLANDO, FL	1/20/2016	00761948-07	Filed
LEVEL FUNDED HEALTH PARTNERS LLC	LAKE FOREST, IL	1/20/2016	00762958-07	Filed
1609 FUND LTD	HAMILTON, HM 12, AA	1/19/2016	00761986-07	Filed
VO2 PARTNERS 5 LLC	NEW YORK, NY	1/19/2016	00762063-07	Filed
Number of Regulation D Notice Filings: 12				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Profile Franchising, LLC / Profile Sanford	Sioux Falls, SD	1/22/2016	612524	Registered
Town Planner Franchising, Inc. / Town Planner	Richfield, OH	1/22/2016	612522	Registered
IMG Universe, LLC / Miss Universe; Miss Universe Organization; Miss USA	New York, NY	1/22/2016	612526	Registered
IMG Universe, LLC / Miss Universe; Miss Universe Organization; Miss Teen USA	New York, NY	1/22/2016	612533	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
THE HBH FRANCHISE COMPANY, LLC / HoneyBaked Ham Co. and The HoneyBaked Ham Co. and Cafe	Alphretta, GA	1/21/2016	612520	Registered
Qdoba Restaurant Corporation / "Qdoba®" "Qdoba Mexican Eats™"	Lakewood, CO	1/21/2016	612519	Registered
Happy Joe's Franchising, Inc. / Happy Joes Pizza and Ice Cream Parlor	Bettendorf, IA	1/21/2016	612527	Registered
C.Alb Franchising, Inc. / Camille Albane, Camille Albane Paris	Beverly, MA	1/19/2016	611518	Registered
Dessange Franchising, LLC / Dessange, Dessange Paris	Beverly, MA	1/19/2016	611516	Registered
Perfection Bakeries, Inc. / Aunt Millie's Bakeries	Fort Wayne, IN	1/19/2016	612528	Registered
Number of Franchise Filings: 10				

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