

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/24/2016 through 1/30/2016**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
COLE OFFICE & INDUSTRIAL REIT CCIT 3 INC	PHOENIX, AZ	1/28/2016	00762946-01	Pending-Cleared
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BUSINESS DEVELOPMENT CORP OF AMERICA	NEW YORK, NY	1/28/2016	00762944-08	Not Disallowed
AMERICAN REALTY CAPITAL HEALTHCARE TR 3 INC	NEW YORK, NY	1/26/2016	00762332-08	Not Disallowed
REALTY FINANCE TR INC	NEW YORK, NY	1/26/2016	00762331-08	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
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI GLOBAL DYNAMIC ALLOCATION FUND CLASS R6	NEW YORK, NY	1/28/2016	00762274-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI INTERNATIONAL SMALL CAP FUND CLASS R6	NEW YORK, NY	1/28/2016	00762275-03	Registered
BARON INVESTMENT FUNDS TR BARON 5TH AVENUE GROWTH FUND R6 SHARES	NEW YORK, NY	1/28/2016	00762672-03	Registered
BARON INVESTMENT FUNDS TR BARON ASSET FUND R6 SHARES	NEW YORK, NY	1/28/2016	00762674-03	Registered

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BARON INVESTMENT FUNDS TR BARON GROWTH FUND R6 SHARES	NEW YORK, NY	1/28/2016	00762670-03	Registered
BARON INVESTMENT FUNDS TR BARON SMALL CAP FUND R6 SHARES	NEW YORK, NY	1/28/2016	00762671-03	Registered
BARON SELECT FUNDS BARON EMERGING MARKETS FUND R6 SHARES	NEW YORK, NY	1/28/2016	00762675-03	Registered
BARON SELECT FUNDS BARON REAL ESTATE FUND R6 SHARES	NEW YORK, NY	1/28/2016	00762673-03	Registered
DWS MONEY MARKET TR DAILY ASSETS FUND INSTITUTIONAL SHARES	CHICAGO, IL	1/28/2016	00762792-03	Registered
INVESTORS CASH TR TREASURY PORTFOLIO CAPITAL SHARES	CHICAGO, IL	1/28/2016	00762791-03	Registered
NORTHERN LIGHTS FUND TR 2 BALTER EUROPEAN L S SMALL CAP FUND INSTITUTIONAL CLASS	HAUPPAUGE, NY	1/28/2016	00763347-03	Registered
NORTHERN LIGHTS FUND TR 2 BALTER EVENT DRIVEN FUND INSTITUTIONAL CLASS	HAUPPAUGE, NY	1/28/2016	00763346-03	Registered
PRUDENTIAL SECTOR FUNDS INC PRUDENTIAL JENNISON HEALTH SCIENCES FUND CLASS Q	NEWARK, NJ	1/28/2016	00762668-03	Registered
SEI INSTITUTIONAL INVESTMENTS TR GLOBAL MANAGED VOLATILITY FUND CLASS A SHARES	OAKS, PA	1/28/2016	00762669-03	Registered
BLACKROCK EQUITY DIVIDEND FUND CLASS K SHARES	WILMINGTON, DE	1/27/2016	00762276-03	Pending-Cleared

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BLACKROCK FUNDS 2 BLACKROCK 20/80 TARGET ALLOCATION FUND CLASS K SHARES	WILMINGTON, DE	1/27/2016	00762278-03	Pending-Cleared
BLACKROCK FUNDS 2 BLACKROCK 40/60 TARGET ALLOCATION FUND CLASS K SHARES	WILMINGTON, DE	1/27/2016	00762280-03	Pending-Cleared
BLACKROCK FUNDS 2 BLACKROCK 60/40 TARGET ALLOCATION FUND CLASS K SHARES	WILMINGTON, DE	1/27/2016	00762283-03	Pending-Cleared
BLACKROCK FUNDS 2 BLACKROCK 80/20 TARGET ALLOCATION FUND CLASS K SHARES	WILMINGTON, DE	1/27/2016	00762279-03	Pending-Cleared
BLACKROCK FUNDS 2 BLACKROCK DYNAMIC HIGH INCOME PORTFOLIO CLASS K SHARES	WILMINGTON, DE	1/27/2016	00762281-03	Pending-Cleared
BLACKROCK FUNDS 2 BLACKROCK FLOATING RATE INCOME PORTFOLIO CLASS K SHARES	WILMINGTON, DE	1/27/2016	00762284-03	Pending-Cleared
BLACKROCK FUNDS 2 BLACKROCK STRATEGIC INCOME OPPORTUNITIES PORTFOLIO CLASS K SHARES	WILMINGTON, DE	1/27/2016	00762282-03	Pending-Cleared
BLACKROCK FUNDS 3 BLACKROCK COREALPHA BOND FUND CLASS K SHARES	SAN FRANCISCO, CA	1/27/2016	00762277-03	Pending-Cleared
BLACKROCK FUNDS BLACKROCK DISCIPLINED SMALL CAP CORE FUND CLASS K SHARES	WILMINGTON, DE	1/27/2016	00762289-03	Pending-Cleared
BLACKROCK FUNDS BLACKROCK GLOBAL LONG SHORT CREDIT FUND CLASS K SHARES	WILMINGTON, DE	1/27/2016	00762286-03	Pending-Cleared

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BLACKROCK FUNDS BLACKROCK GLOBAL LONG SHORT EQUITY FUND CLASS K SHARES	WILMINGTON, DE	1/27/2016	00762287-03	Pending-Cleared
BLACKROCK FUNDS BLACKROCK IMPACT US EQUITY FUND CLASS K SHARES	WILMINGTON, DE	1/27/2016	00762285-03	Pending-Cleared
BLACKROCK FUNDS MID CAP GROWTH EQUITY PORTFOLIO CLASS K SHARES	WILMINGTON, DE	1/27/2016	00762288-03	Pending-Cleared
GOLDMAN SACHS TR GOLDMAN SACHS INVESTOR MONEY MARKET FUND FST INSTITUTIONAL SHARES	CHICAGO, IL	1/27/2016	00762295-03	Pending-Cleared
GOLDMAN SACHS TR GOLDMAN SACHS INVESTOR MONEY MARKET FUND CLASS C SHARES	CHICAGO, IL	1/27/2016	00762293-03	Pending-Cleared
GOLDMAN SACHS TR GOLDMAN SACHS INVESTOR MONEY MARKET FUND CLASS A SHARES	CHICAGO, IL	1/27/2016	00762294-03	Pending-Cleared
GOLDMAN SACHS TR GOLDMAN SACHS INVESTOR MONEY MARKET FUND ADMINISTRATION SHARES	CHICAGO, IL	1/27/2016	00762292-03	Pending-Cleared
GREAT WEST FUNDS INC GREAT WEST GOLDMAN SACHS MID CAP VALUE FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	1/27/2016	00762291-03	Registered
GREAT WEST FUNDS INC GREAT WEST MFS INTERNATIONAL VALUE FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	1/27/2016	00762290-03	Registered
MONEY MARKET OBLIGATIONS TR FEDERATED GOVERNMENT OBLIGATIONS FUND CLASS R SHARES	WARRENDALE, PA	1/27/2016	00762788-03	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
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1381 US LOW VOLATILITY STRATEGY PORTFOLIO SERIES 14	LISLE, IL	1/26/2016	00762327-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1411 S&P DIVIDEND ARISTOCRATS SELECT 25 STRATEGY PORTFOLIO SERIES 2	LISLE, IL	1/26/2016	00762961-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1412 HEALTH CARE PORTFOLIO SERIES 20	LISLE, IL	1/26/2016	00762962-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1412 UTILITIES PORTFOLIO SERIES 23	LISLE, IL	1/26/2016	00762964-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1413 GLOBAL BALANCED INCOME BUILDER PORTFOLIO SERIES 7	LISLE, IL	1/26/2016	00762963-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1413 GUGGENHEIM BALANCED INCOME BUILDER PORTFOLIO SERIES 14	LISLE, IL	1/26/2016	00762965-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1426 FLAHERTY & CRUMRINE PREFERRED PORTFOLIO SERIES 38	LISLE, IL	1/26/2016	00762328-05	Registered
WASATCH FUNDS TR WASATCH EMERGING INDIA FUND INSTITUTIONAL CLASS SHARES	SALT LAKE CITY, UT	1/26/2016	00762145-03	Registered
WASATCH FUNDS TR WASATCH EMERGING MARKETS SMALL CAP FUND INSTITUTIONAL CLASS SHARES	SALT LAKE CITY, UT	1/26/2016	00762147-03	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
WASATCH FUNDS TR WASATCH FRONTIER EMERGING SMALL COUNTRIES FUND INSTITUTIONAL CLASS SHARES	SALT LAKE CITY, UT	1/26/2016	00762148-03	Registered
WASATCH FUNDS TR WASATCH GLOBAL OPPORTUNITIES FUND INSTITUTIONAL CLASS SHARES	SALT LAKE CITY, UT	1/26/2016	00762146-03	Registered
WASATCH FUNDS TR WASATCH INTERNATIONAL GROWTH FUND INSTITUTIONAL CLASS SHARES	SALT LAKE CITY, UT	1/26/2016	00762150-03	Registered
WASATCH FUNDS TR WASATCH INTERNATIONAL OPPORTUNITIES FUND INSTITUTIONAL CLASS SHARES	SALT LAKE CITY, UT	1/26/2016	00762149-03	Registered
WASATCH FUNDS TR WASATCH SMALL CAP GROWTH FUND INSTITUTIONAL CLASS SHARES	SALT LAKE CITY, UT	1/26/2016	00762152-03	Registered
WASATCH FUNDS TR WASATCH WORLD INNOVATORS FUND INSTITUTIONAL CLASS SHARES	SALT LAKE CITY, UT	1/26/2016	00762151-03	Registered
AMERICAN INDEPENDENCE FUNDS TR AI US INFLATION PROTECTED FUND PREMIER CLASS	NEW YORK, NY	1/25/2016	00763024-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS FINANCIAL SQUARE GOVERNMENT FUND CLASS R6 SHARES	CHICAGO, IL	1/25/2016	00762240-03	Registered
HSBC FUNDS HSBC GLOBAL EQUITY VOLATILITY FOCUSED FUND CLASS A	COLUMBUS, OH	1/25/2016	00762241-03	Registered
HSBC FUNDS HSBC GLOBAL EQUITY VOLATILITY FOCUSED FUND CLASS I	COLUMBUS, OH	1/25/2016	00762242-03	Registered

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Firm Name	Location	Date Received	File Number	Status
NORTHERN LIGHTS FUND TR 2 NORTH STAR BOND FUND CLASS I SHARES	HAUPPAUGE, NY	1/25/2016	00763070-03	Registered
Number of Investment Company Filings: 55				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ARC PROPERTY TR INC	CLIFTON, NJ	1/29/2016	00762310-07	Filed
BLUDIAGNOSTICS INC	MADISON, WI	1/29/2016	00762306-07	Filed
BLUE STAR SERVICE SOLUTIONS INC	ROCKVILLE, MD	1/29/2016	00762300-07	Filed
CANDLEWOOD STRUCTURED CREDIT HARVEST FUND LP	NEW YORK, NY	1/29/2016	00762299-07	Filed
CORMORANT PRIVATE HEALTHCARE FUND 1 LP	BOSTON, MA	1/29/2016	00762301-07	Filed
EBULLIENT INC	MADISON, WI	1/29/2016	00762298-07	Filed
GWM BELL REAL ESTATE LLC	SAN DIEGO, CA	1/29/2016	00762304-07	Filed
HEARTLAND INVESTMENT PARTNERS LLC	MARION, IA	1/29/2016	00762307-07	Filed
HITCHWOOD CAPITAL PARTNERS LP	NEW YORK, NY	1/29/2016	00762296-07	Filed
HOUND PARTNERS CONCENTRATED FUND LP	NEW YORK, NY	1/29/2016	00762297-07	Filed
HUCK & MIGUEL LLC	LOS ANGELES, CA	1/29/2016	00762311-07	Filed
KL SPECIAL OPPORTUNITIES FUND LP	GRAND CAYMAN, AA	1/29/2016	00762303-07	Filed
PATCH OF LAND LLC 201500001	LOS ANGELES, CA	1/29/2016	00762309-07	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
REALTYSHARES 179 LLC	LEWES, DE	1/29/2016	00762308-07	Filed
PULSE THERAPEUTICS INC	SAINT LOUIS, MO	1/28/2016	00762945-07	Filed
HB GOLF CLUB FOUNDERS GROUP LLC	EGG HARBOR, WI	1/27/2016	00762326-07	Filed
USFRT KINSTON PARTNERS 3 LP	KINSTON, NC	1/26/2016	00762330-07	Filed
SII INVESTMENTS INC WI	APPLETON, WI	1/25/2016	00763029-07	Filed
Number of Regulation D Notice Filings: 18				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Zounds Hearing Franchising, LLC / Zounds Hearing Center	Tempe, AZ	1/29/2016	612536	Registered
JDog Franchises, LLC / J Dog junk Removal & Hauling	Berwyn, PA	1/29/2016	612535	Registered
ABM Franchising Group, LLC / Line Service	Canonsburg, PA	1/29/2016	612543	Registered
ABM Franchising Group, LLC / TEGG	Canonsburg, PA	1/29/2016	612544	Registered
MATCAL INC / Wings Over	Westfield, MA	1/28/2016	612534	Registered
Pizzeria Uno Corporation / Uno Chicago Grill and Uno Due Go	West Roxbury, MA	1/28/2016	612532	Registered
DISCOVERY MAP INTERNATIONAL, INC. / Discovery Map	Waitsfield, VA	1/28/2016	612546	Incomplete
Metal Supermarkets Franchising America, Inc. / Metal Supermarkets	Mississauga ON L6T 4Z5, ON	1/28/2016	612542	Registered
FTS Holdings, LLC / Focused Tax Solutions	Brookfield, WI	1/27/2016	612531	Registered
Integrity Brands, LLC / Uncle Maddio's Pizza Joint	Atlanta, GA	1/26/2016	612529	Registered
Number of Franchise Filings: 10				

Corporate Take-Over Law Filings Made with DFI's Securities Division

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Takeover Filing Reference	Date Received
Number of Takeover Filings: 0	