

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2016 through 3/5/2016**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
DIVIDEND CAPITAL ENERGY INFRASTRUCTURE LLC	DENVER, CO	3/4/2016	00766438-01	Pending
BAPTIST GENERAL CONFERENCE CORNERSTONE FUND DBA CONVERGE CORNERSTONE FUND	ARLINGTON HTS, IL	3/2/2016	00766441-02	Pending
GRANT PARK FUTURES FUND LP	CHICAGO, IL	3/2/2016	00766439-01	Pending
GREATER ST MATTHEW BAPTIST CHURCH	HOUSTON, TX	2/29/2016	00766241-02	Registered
NATIONAL COVENANT PROPERTIES	CHICAGO, IL	2/29/2016	00766242-02	Pending
Number of Registration Filings: 5				

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
RBB FUND INC CAMPBELL CORE CARRY FUND INSTITUTIONAL SHARES	WILMINGTON, DE	3/4/2016	00766312-03	Registered
VANGUARD MALVERN FUNDS VANGUARD CORE BOND FUND ADMIRAL SHARES	VALLEY FORGE, PA	3/4/2016	00766433-03	Registered
VANGUARD MALVERN FUNDS VANGUARD CORE BOND FUND INVESTOR CLASS	VALLEY FORGE, PA	3/4/2016	00766432-03	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
VANGUARD MALVERN FUNDS VANGUARD EMERGING MARKETS BOND FUND ADMIRAL SHARES	VALLEY FORGE, PA	3/4/2016	00766435-03	Registered
VANGUARD MALVERN FUNDS VANGUARD EMERGING MARKETS BOND FUND INVESTOR SHARES	VALLEY FORGE, PA	3/4/2016	00766434-03	Registered
1ST TR COMBINED SERIES 510 TX EX MUNICIPAL INCOME TR 10 20 YEAR SERIES 23	WHEATON, IL	3/3/2016	00766449-05	Registered
CITIZENSSELECT FUNDS DREYFUS INSTITUTIONAL PREFERRED TREASURY MONEY MARKET FUND INSTITUTIONAL SHARES	NEW YORK, NY	3/3/2016	00766289-03	Registered
CITIZENSSELECT FUNDS DREYFUS PRIME MONEY MARKET FUND CLASS A SHARES	NEW YORK, NY	3/3/2016	00766290-03	Registered
FT 5913 HOMEBUILDERS RECOVERY SELECT PORTFOLIO SERIES 13	WHEATON, IL	3/3/2016	00766446-05	Registered
FT 5923 TACTICAL ALPHA PORTFOLIO SERIES 8	WHEATON, IL	3/3/2016	00766448-05	Registered
FT 5953 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 55	WHEATON, IL	3/3/2016	00766447-05	Registered
FT 6030 TARGET DIVERSIFIED GLOBAL ALLOCATION PORTFOLIO SERIES 19	WHEATON, IL	3/3/2016	00766445-05	Registered
FT 6039 DOW TARGET 10 MAR 16 TERM 4 7 17	WHEATON, IL	3/3/2016	00766444-05	Registered
SMART TR 227 SMART TR CEFA SELECT BDC TR SERIES 6	PARSIPPANY, NJ	3/3/2016	00766443-05	Registered

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Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1408 MUNICIPAL CLOSED END PORTFOLIO SERIES 2016 1	MONUMENT, CO	3/1/2016	00766249-05	Registered
ADVISORS DISCIPLINED TR 1614 SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO 2 YR SERIES 2016 1	MONUMENT, CO	3/1/2016	00766251-05	Registered
ADVISORS DISCIPLINED TR 1615 HEALTH CARE OPPORTUNITIES PORTFOLIO SERIES 2016 1	MONUMENT, CO	3/1/2016	00766252-05	Registered
ADVISORS DISCIPLINED TR 1616 BUSINESS DEVELOPMENT COMPANY OPPORTUNITIES PORTFOLIO SERIES 2106 1	MONUMENT, CO	3/1/2016	00766253-05	Registered
ADVISORS DISCIPLINED TR 1622 REIT PORTFOLIO SERIES 2016 1 HIMCO PORTFOLIO	MONUMENT, CO	3/1/2016	00766248-05	Registered
ADVISORS DISCIPLINED TR 1628 ADVISORS CORPORATE TR INVESTMENT GRADE 3 7 YEAR SERIES 3 HIMCO PORTFOLIO	MONUMENT, CO	3/1/2016	00766250-05	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA OVERSEAS VALUE FUND CLASS R	BOSTON, MA	3/1/2016	00766175-03	Registered
FT 5911 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 103	WHEATON, IL	3/1/2016	00766255-05	Registered
FT 5924 RICHARD BERNSTEIN ADVISORS GLOBAL DIVIDEND KINGS SERIES 17	WHEATON, IL	3/1/2016	00766254-05	Registered
FT 5925 CHAIKIN LOW BETA GROWTH PORTFOLIO SERIES 2	WHEATON, IL	3/1/2016	00766256-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1427 LARGE CAP CORE PORTFOLIO SERIES 26	LISLE, IL	3/1/2016	00766244-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1428 INCOME & TREASURY LTD DURATION PORTFOLIO OF FUNDS SERIES 47	LISLE, IL	3/1/2016	00766245-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1429 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 60	LISLE, IL	3/1/2016	00766246-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1437 GUGGENHEIM INVESTMENT GRADE CORPORATE TR 3 7 YEAR SERIES 3	LISLE, IL	3/1/2016	00766243-05	Registered
INCAPITAL UNIT TR SERIES 120 NUVEEN TRADEWINDS GLOBAL ENERGY REVOLUTION PORTFOLIO SERIES 3	CHICAGO, IL	3/1/2016	00766247-05	Registered
MUTUAL FUND SERIES TR CATALYST MILLBURN HEDGE STRATEGY FUND CLASS A	HAUPPAUGE, NY	3/1/2016	00766259-03	Registered
REALTY CAPITAL INCOME FUNDS TR AR CAPITAL GLOBAL REAL ESTATE INCOME FUND ADVISOR CLASS SHARES	HAUPPAUGE, NY	3/1/2016	00766260-03	Registered
STARBOARD INVESTMENT TR QCI BALANCED FUND INSTITUTIONAL CLASS SHARES	ROCKY MOUNT, NC	3/1/2016	00766305-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA EUROPEAN EQUITY FUND CLASS Y	BOSTON, MA	2/29/2016	00766161-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA US GOVERNMENT MORTGAGE FUND CLASS R	BOSTON, MA	2/29/2016	00766160-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA GLOBAL TECHNOLOGY GROWTH FUND CLASS Y	BOSTON, MA	2/29/2016	00766159-03	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
MAINSTAY FUNDS MAINSTAY COMMON STOCK FUND CLASS R3	NEW YORK, NY	2/29/2016	00766154-03	Registered
MAINSTAY FUNDS MAINSTAY HIGH YIELD CORPORATE BOND FUND CLASS R3	NEW YORK, NY	2/29/2016	00766157-03	Registered
MAINSTAY FUNDS MAINSTAY INCOME BUILDER FUND CLASS R3	NEW YORK, NY	2/29/2016	00766155-03	Registered
MAINSTAY FUNDS MAINSTAY UNCONSTRAINED BOND FUND CLASS R3	NEW YORK, NY	2/29/2016	00766156-03	Registered
MAINSTAY FUNDS TR MAINSTAY CONSERVATIVE ALLOCATION FUND CLASS R3	NEW YORK, NY	2/29/2016	00766147-03	Registered
MAINSTAY FUNDS TR MAINSTAY EPOCH GLOBAL EQUITY YIELD FUND CLASS R3	NEW YORK, NY	2/29/2016	00766150-03	Registered
MAINSTAY FUNDS TR MAINSTAY EPOCH US SMALL CAP FUND CLASS R3	NEW YORK, NY	2/29/2016	00766158-03	Registered
MAINSTAY FUNDS TR MAINSTAY FLOATING RATE FUND CLASS R3	NEW YORK, NY	2/29/2016	00766152-03	Registered
MAINSTAY FUNDS TR MAINSTAY GROWTH ALLOCATION FUND CLASS R3	NEW YORK, NY	2/29/2016	00766149-03	Registered
MAINSTAY FUNDS TR MAINSTAY MODERATE ALLOCATION FUND CLASS R3	NEW YORK, NY	2/29/2016	00766151-03	Registered
MAINSTAY FUNDS TR MAINSTAY MODERATE GROWTH ALLOCATION FUND CLASS R3	NEW YORK, NY	2/29/2016	00766153-03	Registered

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Firm Name	Location	Date Received	File Number	Status
MAINSTAY FUNDS TR MAINSTAY SHORT DURATION HIGH YIELD FUND CLASS R3	NEW YORK, NY	2/29/2016	00766148-03	Registered
MAINSTAY FUNDS TR MAINSTAY TOTAL RETURN BOND FUND CLASS R3	NEW YORK, NY	2/29/2016	00766146-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE EMERGING MARKETS DEBT FUND CLASS C	WEST ALLIS, WI	2/29/2016	00766237-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE EMERGING MARKETS DEBT FUND CLASS A	WEST ALLIS, WI	2/29/2016	00766236-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE EMERGING MARKETS DEBT FUND INSTITUTIONAL CLASS	WEST ALLIS, WI	2/29/2016	00766238-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE EMERGING MARKETS DEBT FUND INSTITUTIONAL SERVICE CLASS	WEST ALLIS, WI	2/29/2016	00766239-03	Registered
PRINCIPAL FUNDS INC GLOBAL REAL ESTATE SECURITIES FUND CLASS R 4	DES MOINES, IA	2/29/2016	00766162-03	Registered
PRINCIPAL FUNDS INC GLOBAL REAL ESTATE SECURITIES FUND CLASS R 3	DES MOINES, IA	2/29/2016	00766163-03	Registered
PRINCIPAL FUNDS INC GLOBAL REAL ESTATE SECURITIES FUND CLASS R 5	DES MOINES, IA	2/29/2016	00766164-03	Registered
Number of Investment Company Filings: 55				

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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
ARC PROPERTY TR INC	CLIFTON, NJ	3/4/2016	00766264-07	Filed
CHICAGO EQUITY ADVISORS FUND 1 LP	SCHAUMBURG, IL	3/4/2016	00766275-07	Filed
CIRCLE ON CENTRAL LLC	SCOTTSDALE, AZ	3/4/2016	00766262-07	Filed
DEGREED INC	SAN FRANCISCO, CA	3/4/2016	00766265-07	Filed
GARNET 3 D 2016 JOINT VENTURE	SAN ANTONIO, TX	3/4/2016	00766266-07	Filed
INNOVATION X HOLDINGS LLC	NEW YORK, NY	3/4/2016	00766267-07	Filed
INNOVATION X HOLDINGS QP LLC	NEW YORK, NY	3/4/2016	00766269-07	Filed
MORTGAGE COLLABORATIVE COOPERATIVE	SAN DIEGO, CA	3/4/2016	00766273-07	Filed
PHARMACIELO LTD	TORONTO, ON	3/4/2016	00766271-07	Filed
PRIORIA ROBOTICS HOLDINGS INC	GAINESVILLE, FL	3/4/2016	00766277-07	Filed
REALTYSHARES 152 LLC	LEWES, DE	3/4/2016	00766263-07	Filed
DOVER STREET 9 CAYMAN FUND LP	BOSTON, MA	3/3/2016	00766451-07	Filed
NEUROVANCE INC	CAMBRIDGE, MA	3/3/2016	00766450-07	Filed
COTTONWOOD RESIDENTIAL INC	SALT LAKE CITY, UT	3/2/2016	00766440-07	Filed
MOJO FUND LLC	LAKE WORTH, FL	3/1/2016	00766258-07	Filed
WHEELS UP PARTNERS HOLDINGS LLC	NEW YORK, NY	3/1/2016	00766257-07	Filed
LBM MANAGEMENT HOLDINGS LLC	GREEN BAY, WI	2/29/2016	00766199-07	Filed
Number of Regulation D Notice Filings: 17				

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Restoration 1 Franchise Holding, LLC / Restoration 1	Waco, TX	3/4/2016	612627	Registered
RE/MAX North Central, Inc. / RE/MAX	Bloomington, MN	3/4/2016	612626	Registered
Mathnasium Center Licensing, LLC / Mathnasium, Mathnasium The Math Learning Center, Mathnasium Learning Centers, and Mathnasium Centers	Los Angeles, CA	3/4/2016	612625	Registered
MidiCi Group LLC / MIDICI	Encino, CA	3/4/2016	612624	Registered
PACCAR Leasing Company, a division of PACCAR Financial Corp.	Bellevue, WA	3/4/2016	612620	Registered
PAPA JOHNS INTERNATIONAL INC / Papa John's	LOUISVILLE, KY	3/4/2016	612662	Registered
101 Mobility Franchise Systems, LLC / 101 Mobility	Wilmington, NC	3/3/2016	612618	Registered
Blink Fitness Franchising, Inc. / BLINK®	New York, NY	3/3/2016	612617	Registered
POSTNET INTERNATIONAL FRANCHISE CORP / PostNet	Denver, CO	3/2/2016	612616	Registered
Stanley Industrial & Automotive, LLC / Mac Tools	Westerville, OH	3/2/2016	612621	Registered
MONICAL PIZZA CORP	BRADLEY, IL	3/1/2016	612622	Registered
PIRTEK USA LLC / Pirtek	ROCKLEDGE, FL	2/29/2016	612615	Registered
WILD BIRDS UNLIMITED INC	Carmel, IN	2/29/2016	612613	Registered
Number of Franchise Filings: 13				

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