

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/22/2016 through 5/28/2016**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
STONE RIDGE TR 5 STONE RIDGE ALTERNATIVE LENDING RISK PREMIUM FUND	MILWAUKEE, WI	5/23/2016	00772160-01	Incomplete
Number of Registration Filings: 1				

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
BNY MELLON FUNDS TR BNY MELLON INCOME STOCK FUND CLASS A SHARES	NEW YORK, NY	5/27/2016	00772335-03	Registered
BNY MELLON FUNDS TR BNY MELLON INCOME STOCK FUND CLASS C SHARES	NEW YORK, NY	5/27/2016	00772336-03	Registered
BNY MELLON FUNDS TR BNY MELLON INCOME STOCK FUND CLASS I SHARES	NEW YORK, NY	5/27/2016	00772337-03	Registered
BNY MELLON FUNDS TR BNY MELLON INCOME STOCK FUND CLASS Y SHARES	NEW YORK, NY	5/27/2016	00772338-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS STRATEGIC FACTOR ALLOCATION FUND INSTITUTIONAL SHARES	CHICAGO, IL	5/27/2016	00772340-03	Registered
LAZARD FUNDS INC LAZARD GLOBAL DYNAMIC MULTI ASSET PORTFOLIO OPEN SHARES	NEW YORK, NY	5/27/2016	00772280-03	Registered

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Firm Name	Location	Date Received	File Number	Status
LAZARD FUNDS INC LAZARD GLOBAL DYNAMIC MULTI ASSET PORTFOLIO INSTITUTIONAL SHARES	NEW YORK, NY	5/27/2016	00772279-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR QS INTERNATIONAL EQUITY FUND CLASS A2	BALTIMORE, MD	5/27/2016	00772339-03	Pending-Cleared
DEUTSCHE GLOBAL INTERNATIONAL FUND INC DEUTSCHE GLOBAL GROWTH FUND CLASS R6 SHARES	CHICAGO, IL	5/26/2016	00772276-03	Registered
DEUTSCHE INVESTMENT TR DEUTSCHE SMALL CAP CORE FUND INSTITUTIONAL CLASS	CHICAGO, IL	5/26/2016	00772278-03	Registered
DEUTSCHE INVESTMENT TR DEUTSCHE SMALL CAP CORE FUND CLASS R6 SHARES	CHICAGO, IL	5/26/2016	00772277-03	Registered
DEUTSCHE SECURITIES TR DEUTSCHE ENHANCED COMMODITY STRATEGY FUND CLASS R6 SHARES	CHICAGO, IL	5/26/2016	00772275-03	Registered
FRONTIER FUNDS FRONTIER SILK INVEST NEW HORIZONS FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	5/26/2016	00772291-03	Registered
FRONTIER FUNDS FRONTIER SILK INVEST NEW HORIZONS FUND SERVICE CLASS SHARES	MILWAUKEE, WI	5/26/2016	00772290-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN ESG ALL CAP CORE FUND CLASS A	BOSTON, MA	5/26/2016	00772179-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN ESG ALL CAP CORE FUND CLASS C	BOSTON, MA	5/26/2016	00772180-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN ESG ALL CAP CORE FUND CLASS I	BOSTON, MA	5/26/2016	00772181-03	Registered

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HANCOCK JOHN INVESTMENT TR HANCOCK JOHN ESG ALL CAP CORE FUND CLASS R6	BOSTON, MA	5/26/2016	00772182-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN ESG LARGE CAP CORE FUND CLASS R6	BOSTON, MA	5/26/2016	00772186-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN ESG LARGE CAP CORE FUND CLASS I	BOSTON, MA	5/26/2016	00772185-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN ESG LARGE CAP CORE FUND CLASS C	BOSTON, MA	5/26/2016	00772184-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN ESG LARGE CAP CORE FUND CLASS A	BOSTON, MA	5/26/2016	00772183-03	Registered
FT 6022 DIVIDEND INCOME PLUS PORTFOLIO SERIES 23	WHEATON, IL	5/25/2016	00772313-05	Registered
FT 6023 DORSEY WRIGHT RELATIVE STRENGTH DIVIDEND PORTFOLIO SERIES 22	WHEATON, IL	5/25/2016	00772317-05	Registered
FT 6024 MEGA CAP PORTFOLIO SERIES 40	WHEATON, IL	5/25/2016	00772312-05	Registered
FT 6026 HEALTH CARE SELECT PORTFOLIOS SERIES 41	WHEATON, IL	5/25/2016	00772310-05	Registered
FT 6027 UTILITIES SELECT PORTFOLIO SERIES 38	WHEATON, IL	5/25/2016	00772309-05	Registered
FT 6048 ALTERNATIVE INCOME PORTFOLIO SERIES 17	WHEATON, IL	5/25/2016	00772319-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 6054 GLOBAL BOND INCOME CLOSED END PORTFOLIO SERIES 21	WHEATON, IL	5/25/2016	00772314-05	Registered
FT 6055 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 66	WHEATON, IL	5/25/2016	00772318-05	Registered
FT 6056 SENIOR LOAN & DIVIDEND GROWERS PORTFOLIO SERIES 10	WHEATON, IL	5/25/2016	00772311-05	Registered
FT 6093 CORPORATE INVESTMENT GRADE LADDERED PORTFOLIO SERIES	WHEATON, IL	5/25/2016	00772316-05	Registered
FT 6095 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 105	WHEATON, IL	5/25/2016	00772315-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1342 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 45	LISLE, IL	5/25/2016	00772320-05	Registered
AB FIXED INCOME SHARES INC AB GOVERNMENT MONEY MARKET PORTFOLIO CLASS AB	NEW YORK, NY	5/23/2016	00771225-03	Registered
AB FIXED INCOME SHARES INC AB GOVERNMENT MONEY MARKET PORTFOLIO INSTITUTIONAL CLASS	NEW YORK, NY	5/23/2016	00771226-03	Pending-Cleared
JPMORGAN TR I JPMORGAN SMALL CAP CORE FUND CLASS A SHARES	NEW YORK, NY	5/23/2016	00771207-03	Registered
JPMORGAN TR I JPMORGAN SMALL CAP CORE FUND CLASS C SHARES	NEW YORK, NY	5/23/2016	00771208-03	Registered
JPMORGAN TR I JPMORGAN SMALL CAP CORE FUND CLASS R6 SHARES	NEW YORK, NY	5/23/2016	00771209-03	Registered

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Firm Name	Location	Date Received	File Number	Status
JPMORGAN TR I JPMORGAN SMALL CAP EQUITY FUND CLASS R6 SHARES	NEW YORK, NY	5/23/2016	00771210-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL CONCENTRATED PORTFOLIO CLASS C	NEW YORK, NY	5/23/2016	00771215-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL CONCENTRATED PORTFOLIO CLASS A	NEW YORK, NY	5/23/2016	00771214-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL CONCENTRATED PORTFOLIO CLASS I	NEW YORK, NY	5/23/2016	00771213-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL CONCENTRATED PORTFOLIO CLASS IS	NEW YORK, NY	5/23/2016	00771216-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL CORE PORTFOLIO CLASS A	NEW YORK, NY	5/23/2016	00771218-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL CORE PORTFOLIO CLASS C	NEW YORK, NY	5/23/2016	00771219-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL CORE PORTFOLIO CLASS I	NEW YORK, NY	5/23/2016	00771217-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL CORE PORTFOLIO CLASS IS	NEW YORK, NY	5/23/2016	00771220-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC US CORE PORTFOLIO CLASS A	NEW YORK, NY	5/23/2016	00771222-03	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
MORGAN STANLEY INSTITUTIONAL FUND INC US CORE PORTFOLIO CLASS I	NEW YORK, NY	5/23/2016	00771221-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC US CORE PORTFOLIO CLASS IS	NEW YORK, NY	5/23/2016	00771224-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC US CORE PORTFOLIO CLASS C	NEW YORK, NY	5/23/2016	00771223-03	Registered
OPPENHEIMER MACQUARIE GLOBAL INFRASTRUCTURE FUND CLASS A SHARES	DENVER, CO	5/23/2016	00771032-03	Registered
OPPENHEIMER MACQUARIE GLOBAL INFRASTRUCTURE FUND CLASS C SHARES	DENVER, CO	5/23/2016	00771033-03	Registered
OPPENHEIMER MACQUARIE GLOBAL INFRASTRUCTURE FUND CLASS I SHARES	DENVER, CO	5/23/2016	00771034-03	Registered
OPPENHEIMER MACQUARIE GLOBAL INFRASTRUCTURE FUND CLASS R SHARES	DENVER, CO	5/23/2016	00771035-03	Registered
OPPENHEIMER MACQUARIE GLOBAL INFRASTRUCTURE FUND CLASS Y SHARES	DENVER, CO	5/23/2016	00771036-03	Registered
VALUE LINE FUNDS INVESTMENT TR VALUE LINE DEFENSIVE STRATEGIES FUND INSTITUTIONAL CLASS	NEW YORK, NY	5/23/2016	00771212-03	Registered
VALUE LINE FUNDS INVESTMENT TR VALUE LINE DEFENSIVE STRATEGIES FUND INVESTOR CLASS	NEW YORK, NY	5/23/2016	00771211-03	Registered
Number of Investment Company Filings: 59				

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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
DELMAR PHARMACEUTICALS INC	VANCOUVER, ON	5/27/2016	00772281-07	Filed
DMP ACQUISITION LLC	NEW YORK, NY	5/27/2016	00772282-07	Filed
MEMPHIS HOTEL LLC	CHICAGO, IL	5/27/2016	00772287-07	Filed
MIDDLEFIELD BANC CORP	MIDDLEFIELD, OH	5/27/2016	00772283-07	Filed
PRIVATE LABEL SKIN LLC	NEW YORK, NY	5/27/2016	00772285-07	Filed
TIDAL PETROLEUM INC	SCHERTZ, TX	5/27/2016	00772284-07	Filed
VALERITAS HOLDINGS INC	BRIDGEWATER, NJ	5/27/2016	00772286-07	Filed
CANCER GENETICS INC	RUTHERFORD, NJ	5/26/2016	00772289-07	Filed
NEWSTONE CAPITAL PARTNERS 3 LP	DALLAS, TX	5/25/2016	00772321-07	Filed
LJM FUND LP	CHICAGO, IL	5/24/2016	00772322-07	Filed
CMK DG INCOME FUND LLC	BRENTWOOD, TN	5/23/2016	00772159-07	Filed
INTELLIGENT DIGITAL AVATARS INC	MEQUON, WI	5/23/2016	00772158-07	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
AEFC, Inc / Adam & Eve	Hillsborough, NC	5/27/2016	613658	Registered
VALPAK DIRECT MARKETING SYSTEMS INC / VALPAK	St. Petersburg, FL	5/27/2016	613657	Registered
ROYAL FRANCHISING INC / JANI KING OF MILWAUKEE	BROOKFIELD, WI	5/27/2016	613656	Registered
Scooter's Coffee, LLC / Scooter's Coffee	Omaha, NE	5/27/2016	613655	Registered
Good Feet Worldwide, LLC / GOOD FEET®	CARLSBAD, CA	5/26/2016	613653	Registered
PERSONA PIZZA HOLDINGS LLC	SANTA BARBARA, CA	5/26/2016	613650	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Hardee's Restuarants LLC / "Hardee's" and "Hardee's/Red Burrito"	St. Louis, MO	5/26/2016	613645	Registered
Hardee's Restaurants LLC / "Hardee's" and "Hardee's/Red Burrito"	St. Louis, MO	5/26/2016	613642	Registered
Carl's Jr. Restuarants LLC / "Carl's Jr." and " Carl's Jr./Green Burrito"	Carpinteria, CA	5/26/2016	613641	Registered
Hardee's Restaurants LLC / "Hardee's" and "Hardee's/Red Burrito"	St. Louis, MO	5/25/2016	613638	Registered
Carl's Jr. Restaurants LLC / "Carl's Jr." and "Carl's Jr./Green Burrito"	Carpinteria, CA	5/25/2016	613637	Registered
Pizza Hut, LLC / Pizza Hut - Traditional	Plano, TX	5/25/2016	613648	Registered
Pizza Hut, LLC / Pizza Hut - Express	Plano, TX	5/25/2016	613649	Registered
Oilerie USA, Inc. / Oilerie	Egg Harbor, WI	5/24/2016	613633	Registered
American Decorative Coatings, LLC / Concrete Craft	Orange, CA	5/23/2016	613631	Registered
PHYSICIANS WEIGHT LOSS CENTERS OF AMERICA INC / Physicians Weight Loss Centers	AKRON, OH	5/23/2016	613647	Registered
Number of Franchise Filings: 16				

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