

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 6/26/2016 through 7/2/2016**

<b>Securities Law Registration Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
CROSSROADS COMMUNITY CHURCH OF SANTA CLARITA VALLEY	SANTA CLARITA, CA	6/30/2016	00773907-02	Pending
GREENBACKER RENEWABLE ENERGY CO LLC	NEW YORK, NY	6/27/2016	00773770-01	Pending
<b>Number of Registration Filings: 2</b>				

<b>Securities Law Exemption Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
SITKA SALMON LLC	GALESBURG, IL	7/1/2016	00774015-23	Filed
KISH BANCORP INC	BELLEVILLE, PA	6/27/2016	00773745-08	Not Disallowed
<b>Number of Exemption Filings: 2</b>				

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
DOUBLELINE FUNDS TR DOUBLELINE ULTRA SHORT BOND FUND CLASS I SHARES	WEST ALLIS, WI	7/1/2016	00774010-03	Registered
DOUBLELINE FUNDS TR DOUBLELINE ULTRA SHORT BOND FUND CLASS N SHARES	WEST ALLIS, WI	7/1/2016	00774011-03	Registered
FT 6128 STONEBRIDGE PREFERRED INCOME PORTFOLIO SERIES 4	WHEATON, IL	7/1/2016	00774001-05	Registered
FT 6130 MULTI SECTOR INCOME PORTFOLIO SERIES 32	WHEATON, IL	7/1/2016	00774008-05	Registered
FT 6141 BALANCED INCOME EQUITY & ETF PORTFOLIO SERIES 20	WHEATON, IL	7/1/2016	00774006-05	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
FT 6157 US REVENUE PORTFOLIO SERIES 7	WHEATON, IL	7/1/2016	00774003-05	Registered
FT 6201 CONTENT LEADERS OPPORTUNITY PORTFOLIO SERIES 2	WHEATON, IL	7/1/2016	00774002-05	Registered
FT 6202 CONTENT LEADERS PORTFOLIO SERIES 2	WHEATON, IL	7/1/2016	00774009-05	Registered
FT 6221 BIOTECHNOLOGY PORTFOLIO SERIES 33	WHEATON, IL	7/1/2016	00774005-05	Registered
FT 6222 DORSEY WRIGHT RELATIVE STRENGTH TOP 50 SERIES 23	WHEATON, IL	7/1/2016	00774004-05	Registered
FT 6229 DOW TARGET 10 JULY 16 TERM 8 9 17	WHEATON, IL	7/1/2016	00774007-05	Registered
JPMORGAN TR 2 JPMORGAN MUNICIPAL MONEY MARKET FUND EAGLE CLASS SHARES	NEW YORK, NY	7/1/2016	00773955-03	Registered
JPMORGAN TR I JPMORGAN CA MUNICIPAL MONEY MARKET FUND EAGLE CLASS SHARES	NEW YORK, NY	7/1/2016	00773953-03	Registered
JPMORGAN TR I JPMORGAN NY MUNICIPAL MONEY MARKET FUND EAGLE CLASS SHARES	NEW YORK, NY	7/1/2016	00773954-03	Registered
MANAGER DIRECTED PORTFOLIOS HOOD RIVER SMALL CAP GROWTH FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	7/1/2016	00774018-03	Registered
MANAGER DIRECTED PORTFOLIOS HOOD RIVER SMALL CAP GROWTH FUND INVESTOR SHARES	WEST ALLIS, WI	7/1/2016	00774017-03	Registered
MANAGER DIRECTED PORTFOLIOS MAR VISTA STRATEGIC GROWTH FUND INSTITUTIONAL SHARES	WEST ALLIS, WI	7/1/2016	00774016-03	Registered

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SIT MUTUAL FUNDS INC SIT ESG GROWTH FUND CLASS I	MINNEAPOLIS, MN	7/1/2016	00773886-03	Registered
SIT MUTUAL FUNDS INC SIT ESG GROWTH FUND CLASS S	MINNEAPOLIS, MN	7/1/2016	00773887-03	Registered
SMART TR 249 SMART TR ARGUS DIVIDEND GROWERS TOTAL RETURN TR SERIES 9	PARSIPPANY, NJ	6/30/2016	00773905-05	Registered
SMART TR 250 SMART TR MORNINGSTAR DIVIDEND YIELD FOCUS TR SERIES 14	PARSIPPANY, NJ	6/30/2016	00773906-05	Registered
STERLING CAPITAL FUNDS STERLING CAPITAL STRATTON SMALL CAP VALUE FUND A SHARES	RALEIGH, NC	6/30/2016	00773848-03	Registered
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO GLOBAL SUSTAINABLE EQUITY FUND CLASS R6 SHARES	HOUSTON, TX	6/29/2016	00773829-03	Registered
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO GLOBAL SUSTAINABLE EQUITY FUND CLASS A SHARES	HOUSTON, TX	6/29/2016	00773826-03	Registered
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO GLOBAL SUSTAINABLE EQUITY FUND CLASS R SHARES	HOUSTON, TX	6/29/2016	00773830-03	Registered
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO GLOBAL SUSTAINABLE EQUITY FUND CLASS Y SHARES	HOUSTON, TX	6/29/2016	00773831-03	Registered

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AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO GLOBAL SUSTAINABLE EQUITY FUND CLASS R5 SHARES	HOUSTON, TX	6/29/2016	00773828-03	Registered
AIM INTERNATIONAL MUTUAL FUNDS INVESCO INTERNATIONAL MUTUAL FUNDS INVESCO GLOBAL SUSTAINABLE EQUITY FUND CLASS C SHARES	HOUSTON, TX	6/29/2016	00773827-03	Registered
DE GROUP EQUITY FUNDS 4 DE SMALL CAP GROWTH FUND INSTITUTIONAL CLASS	PHILADELPHIA, PA	6/29/2016	00773803-03	Registered
DE GROUP EQUITY FUNDS 4 DE SMALL CAP GROWTH FUND CLASS A	PHILADELPHIA, PA	6/29/2016	00773802-03	Registered
DE GROUP EQUITY FUNDS 4 DE SMALL CAP GROWTH FUND CLASS C	PHILADELPHIA, PA	6/29/2016	00773804-03	Registered
DE GROUP EQUITY FUNDS 4 DE SMALL CAP GROWTH FUND CLASS R	PHILADELPHIA, PA	6/29/2016	00773805-03	Registered
MAINSTAY FUNDS TR MAINSTAY EPOCH CAPITAL GROWTH FUND INVESTOR CLASS	NEW YORK, NY	6/29/2016	00773813-03	Registered
MAINSTAY FUNDS TR MAINSTAY EPOCH CAPITAL GROWTH FUND CLASS A	NEW YORK, NY	6/29/2016	00773810-03	Registered
MAINSTAY FUNDS TR MAINSTAY EPOCH CAPITAL GROWTH FUND CLASS C	NEW YORK, NY	6/29/2016	00773812-03	Registered
MAINSTAY FUNDS TR MAINSTAY EPOCH CAPITAL GROWTH FUND CLASS I	NEW YORK, NY	6/29/2016	00773811-03	Registered
NUVEEN INVESTMENT FUNDS INC NUVEEN GLOBAL INFRASTRUCTURE FUND CLASS R6	CHIGACO, IL	6/29/2016	00773806-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
NUVEEN INVESTMENT FUNDS INC NUVEEN REAL ASSET INCOME FUND CLASS R6	CHIGACO, IL	6/29/2016	00773808-03	Registered
NUVEEN INVESTMENT FUNDS INC NUVEEN SMALL CAP GROWTH OPPORTUNITIES FUND CLASS R6	CHIGACO, IL	6/29/2016	00773807-03	Registered
NUVEEN INVESTMENT FUNDS INC NUVEEN SMALL CAP VALUE FUND CLASS R6	CHIGACO, IL	6/29/2016	00773809-03	Registered
NUVEEN INVESTMENT TR 2 NUVEEN INTERNATIONAL GROWTH FUND CLASS R6	CHIGACO, IL	6/29/2016	00773818-03	Registered
NUVEEN INVESTMENT TR 2 NUVEEN SYMPHONY LOW VOLATILITY EQUITY FUND CLASS R6 SHARES	CHIGACO, IL	6/29/2016	00773816-03	Registered
NUVEEN INVESTMENT TR 3 NUVEEN SYMPHONY HIGH YIELD BOND FUND CLASS R6	CHIGACO, IL	6/29/2016	00773820-03	Registered
NUVEEN INVESTMENT TR 5 NUVEEN NWQ FLEXIBLE INCOME FUND CLASS R6	CHIGACO, IL	6/29/2016	00773824-03	Registered
NUVEEN INVESTMENT TR 5 NUVEEN PREFERRED SECURITIES FUND CLASS R6	CHIGACO, IL	6/29/2016	00773822-03	Registered
NUVEEN INVESTMENT TR NUVEEN CONCENTRATED CORE FUND CLASS R6	CHIGACO, IL	6/29/2016	00773823-03	Registered
NUVEEN INVESTMENT TR NUVEEN LARGE CAP CORE FUND CLASS R6	CHIGACO, IL	6/29/2016	00773819-03	Registered
NUVEEN INVESTMENT TR NUVEEN LARGE CAP GROWTH FUND CLASS R6	CHIGACO, IL	6/29/2016	00773821-03	Registered
NUVEEN INVESTMENT TR NUVEEN LARGE CAP VALUE FUND CLASS R6 SHARES	CHIGACO, IL	6/29/2016	00773825-03	Registered

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NUVEEN INVESTMENT TR NUVEEN NWQ SMALL MID CAP VALUE FUND CLASS R6 SHARES	CHIGACO, IL	6/29/2016	00773817-03	Registered
NUVEEN MUNICIPAL TR NUVEEN ALL AMERICAN MUNICIPAL BOND FUND CLASS R6	CHIGACO, IL	6/29/2016	00773814-03	Registered
NUVEEN MUNICIPAL TR NUVEEN HIGH YIELD MUNICIPAL BOND FUND CLASS R6	CHIGACO, IL	6/29/2016	00773815-03	Registered
NUVEEN UNIT INVESTMENT TR SERIES 145 NUVEEN TIAA ESG GLOBAL DIVIDEND PORTFOLIO 3Q 2016	CHICAGO, IL	6/29/2016	00773900-05	Registered
SERIES PORTFOLIOS TR APPLETON EQUITY GROWTH FUND	WEST ALLIS, WI	6/29/2016	00773901-03	Registered
INVESCO UNIT TR SERIES 1672 DIVIDEND SUSTAINABILITY PORTFOLIO 2016 3	DOWNERS GROVE, IL	6/28/2016	00773888-05	Pending-Cleared
INVESCO UNIT TR SERIES 1672 EUROPEAN DIVIDEND SUSTAINABILITY PORTFOLIO 2016 3	DOWNERS GROVE, IL	6/28/2016	00773890-05	Pending-Cleared
INVESCO UNIT TR SERIES 1672 GLOBAL DIVIDEND SUSTAINABILITY PORTFOLIO 2016 3	DOWNERS GROVE, IL	6/28/2016	00773891-05	Pending-Cleared
INVESCO UNIT TR SERIES 1672 INTERNATIONAL DIVIDEND SUSTAINABILITY PORTFOLIO 2016 3	DOWNERS GROVE, IL	6/28/2016	00773889-05	Pending-Cleared
INVESCO UNIT TR SERIES 1673 CLOSED END STRATEGY DISCOUNT OPPORTUNITY PORTFOLIO 2016 3	DOWNERS GROVE, IL	6/28/2016	00773892-05	Pending-Cleared

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INVESCO UNIT TR SERIES 1688 DIVERSIFIED HEALTHCARE PORTFOLIO 2016 3	DOWNERS GROVE, IL	6/28/2016	00773894-05	Pending-Cleared
INVESCO UNIT TR SERIES 1688 ENERGY PORTFOLIO 2016 3	DOWNERS GROVE, IL	6/28/2016	00773895-05	Pending-Cleared
INVESCO UNIT TR SERIES 1688 FINANCIAL INSTITUTIONS PORTFOLIO 2016 3	DOWNERS GROVE, IL	6/28/2016	00773896-05	Pending-Cleared
INVESCO UNIT TR SERIES 1688 REIT INCOME PORTFOLIO 2016 3	DOWNERS GROVE, IL	6/28/2016	00773893-05	Pending-Cleared
INVESCO UNIT TR SERIES 1688 UTILITY INCOME PORTFOLIO 2016 3	DOWNERS GROVE, IL	6/28/2016	00773897-05	Pending-Cleared
CITY NATIONAL ROCHDALE FUNDS CITY NATIONAL ROCHDALE EMERGING MARKETS FUND CLASS Y	BEVERLY HILLS, CA	6/27/2016	00773744-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1476 FLOATING RATE & DIVIDEND GROWTH PORTFOLIO SERIES 12	LISLE, IL	6/27/2016	00773750-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1480 DOW 10 PORTFOLIO SERIES 26	LISLE, IL	6/27/2016	00773747-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1480 GUGGENHEIM INTERNATIONAL DIVIDEND STRATEGY PORTFOLIO SERIES 32	LISLE, IL	6/27/2016	00773748-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1480 QUALITY DIVIDEND STRATEGY PORTFOLIO SERIES 17	LISLE, IL	6/27/2016	00773749-05	Registered
<b>Number of Investment Company Filings: 69</b>				

**All Securities Law, Franchise Law, and Take-Over Law Filings  
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<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
CLEAN ENERGY CAPITAL FUND 2 LLC	LOUISVILLE, CO	6/30/2016	00773903-07	Filed
AFFINITY PORTFOLIO FUNDING LLC	FAIRFIELD, CT	6/29/2016	00773847-07	Filed
GMI PALMDALE HOSPITALITY LP	IRVING, TX	6/29/2016	00773832-07	Filed
GSO CREDIT ALPHA ANNEX FUND B LP	NEW YORK, NY	6/29/2016	00773899-07	Filed
JOLIET 55 LODGING ASSOC EXT LLC	MIDDLETON, WI	6/29/2016	00773836-07	Filed
JUNIPER CAPITAL 2 LP	HOUSTON, TX	6/29/2016	00773840-07	Filed
METROMARKE MULTIFAMILY FUND 2 LP	RICHARDSON, TX	6/29/2016	00773837-07	Filed
MPE PARTNERS 2 LP	CLEVELAND, OH	6/29/2016	00773841-07	Filed
PEER STREET FUNDING LLC	MANHATTAN BCH, CA	6/29/2016	00773845-07	Filed
PRIME MERIDIAN INCOME FUND LP	RENO, NV	6/29/2016	00773838-07	Filed
REALTY MOGUL CO	LOS ANGELES, CA	6/29/2016	00773843-07	Filed
REALTYSHARES 199 LLC	LEWES, DE	6/29/2016	00773842-07	Filed
RIDEBIDZ INC	AGOURA, CA	6/29/2016	00773833-07	Filed
WESTMINSTER REALTY PARTNERS 2	LAKE FOREST, IL	6/29/2016	00773835-07	Filed
REALTERM LOGISTICS FUND 2 LP	CAPE SAINT CLAIRE, MD	6/28/2016	00773898-07	Filed
EMG WHITE STAR COINVESTMENT LLP	DALLAS, TX	6/27/2016	00773768-07	Filed
<b>Number of Regulation D Notice Filings: 16</b>				

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<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Kahala Franchising, L.L.C. / Surf City Squeeze	Scottsdale, AZ	7/2/2016	613816	Registered
Kahala Franchising, L.L.C. / Samurai Sam's Teriyaki Grill	Scottsdale, AZ	7/1/2016	613809	Registered
Kahala Franchising, L.L.C. / Pinkberry	Scottsdale, AZ	7/1/2016	613808	Registered
Kahala Franchising, L.L.C. / NrGize Lifestyle Cafe	Scottsdale, AZ	7/1/2016	613807	Registered
Kahala Franchising, L.L.C. / Kahala Coffee Traders	Scottsdale, AZ	7/1/2016	613806	Registered
Kahala Franchising, L.L.C. / Great Steak	Scottsdale, AZ	7/1/2016	613805	Registered
Kahala Franchising, L.L.C. / Cold Stone Creamery	Scottsdale, AZ	7/1/2016	613804	Registered
Kahala Franchising, L.L.C. / Blimpie	Scottsdale, AZ	7/1/2016	613803	Registered
Kahala Franchising, L.L.C. / Planet Smoothie	Scottsdale, AZ	7/1/2016	613801	Registered
Midas International Corporation; Speedee Worldwide Corporation / Midas/Speedee Shop	Palm Beach Gardens, FL	7/1/2016	613796	Registered
Midas International Corporation / Midas Shop	Palm Beach Gardens, FL	7/1/2016	613795	Registered
Big O Tires, LLC / Big O Tires (PDF)	Palm Beach Gardens, FL	7/1/2016	613794	Registered
Big O Tires, LLC / Business Format Franchise	Palm Beach Gardens, FL	7/1/2016	613793	Registered
FOCUS FRANCHISING, INC. / JANI-KING OF MADISON	MADISON, WI	7/1/2016	613792	Registered
Gold's Gym Franchising LLC / Gold's Gym	Dallas, TX	6/30/2016	613787	Registered
Service Team of Professionals, Inc / S.T.O.P.	Kansas City, MO	6/30/2016	613743	Registered
Jake's Franchising, LLC / Wayback Burgers	Cheshire, CT	6/29/2016	613766	Registered
HCAFRANCHISE CORP / Home Care Assistance 1-866-4-LiveIn	Palo Alto, CA	6/29/2016	613764	Registered
Old Chicago Franchising LLC / Old Chicago	Broomfield, CO	6/29/2016	613762	Registered
OFW Brands LLC	Pewaukee, WI	6/29/2016	613760	Registered
NITELITES FRANCHISE SYSTEMS INC / NITELITES	FRANKLIN, OH	6/28/2016	613756	Registered
Hyatt Franchising, L.L.C. / The Unbound Collection by Hyatt	Chicago, IL	6/28/2016	613755	Registered

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Shoney's North America, LLC / Shoney's USA, LLC	Nashville, GA	6/28/2016	613753	Registered
<b>Number of Franchise Filings: 23</b>				

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