

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 8/21/2016 through 8/27/2016**

<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>
<b>Number of Registration Filings: 0</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>
<b>Number of Exemption Filings: 0</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>
LEGG MASON PARTNERS INSTITUTIONAL TR WESTERN ASSET INSTITUTIONAL GOVERNMENT RESERVES CLASS L	NEW YORK, NY	8/26/2016	00777342-03	Registered
MFS SERIES TR XII MFS LIFETIME 2020 FUND CLASS R6 SHARES	BOSTON, MA	8/25/2016	00777302-03	Pending-Cleared
MFS SERIES TR XII MFS LIFETIME 2025 FUND CLASS R6 SHARES	BOSTON, MA	8/25/2016	00777299-03	Pending-Cleared
MFS SERIES TR XII MFS LIFETIME 2030 FUND CLASS R6 SHARES	BOSTON, MA	8/25/2016	00777300-03	Pending-Cleared
MFS SERIES TR XII MFS LIFETIME 2035 FUND CLASS R6 SHARES	BOSTON, MA	8/25/2016	00777301-03	Pending-Cleared
MFS SERIES TR XII MFS LIFETIME 2040 FUND CLASS R6 SHARES	BOSTON, MA	8/25/2016	00777304-03	Pending-Cleared
MFS SERIES TR XII MFS LIFETIME 2045 FUND CLASS R6 SHARES	BOSTON, MA	8/25/2016	00777303-03	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
MFS SERIES TR XII MFS LIFETIME 2050 FUND CLASS R6 SHARES	BOSTON, MA	8/25/2016	00777297-03	Pending-Cleared
MFS SERIES TR XII MFS LIFETIME 2055 FUND CLASS R6 SHARES	BOSTON, MA	8/25/2016	00777305-03	Pending-Cleared
MFS SERIES TR XII MFS LIFETIME INCOME FUND CLASS R6 SHARES	BOSTON, MA	8/25/2016	00777298-03	Pending-Cleared
FT 6192 MEGA CAP PORTFOLIO SERIES 41	WHEATON, IL	8/24/2016	00777337-05	Registered
FT 6196 TOP PICKS AUGUST 2016 PORTFOLIO	WHEATON, IL	8/24/2016	00777340-05	Registered
FT 6198 UTILITIES SELECT PORTFOLIO SERIES 39	WHEATON, IL	8/24/2016	00777341-05	Registered
FT 6209 CHAIKIN LOW BETA GROWTH PORTFOLIO SERIES 4	WHEATON, IL	8/24/2016	00777338-05	Registered
FT 6252 STONEBRIDGE PREFERRED INCOME PORTFOLIO SERIES 6	WHEATON, IL	8/24/2016	00777336-05	Registered
FT 6257 CORE 3 CLOSED END ALLOCATION PORTFOLIO SERIES 25	WHEATON, IL	8/24/2016	00777339-05	Registered
SMART TR 263 SMART TR PORTFOLIO OF CLOSED END FUND OPPORTUNITIES TR SERIES 10	PARSIPPANY, NJ	8/24/2016	00777335-05	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2010 INDEX FUND INSTITUTIONAL SHARES	SAN FRANCISCO, CA	8/23/2016	00777245-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2010 INDEX FUND INVESTOR SHARES	SAN FRANCISCO, CA	8/23/2016	00777236-03	Registered

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SCHWAB CAPITAL TR SCHWAB TARGET 2015 INDEX FUND INSTITUTIONAL SHARES	SAN FRANCISCO, CA	8/23/2016	00777253-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2015 INDEX FUND INVESTOR SHARES	SAN FRANCISCO, CA	8/23/2016	00777233-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2020 INDEX FUND INSTITUTIONAL SHARES	SAN FRANCISCO, CA	8/23/2016	00777238-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2020 INDEX FUND INVESTOR SHARES	SAN FRANCISCO, CA	8/23/2016	00777247-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2025 INDEX FUND INSTITUTIONAL SHARES	SAN FRANCISCO, CA	8/23/2016	00777241-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2025 INDEX FUND INVESTOR SHARES	SAN FRANCISCO, CA	8/23/2016	00777251-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2030 INDEX FUND INSTITUTIONAL SHARES	SAN FRANCISCO, CA	8/23/2016	00777243-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2030 INDEX FUND INVESTOR SHARES	SAN FRANCISCO, CA	8/23/2016	00777249-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2035 INDEX FUND INSTITUTIONAL SHARES	SAN FRANCISCO, CA	8/23/2016	00777234-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2035 INDEX FUND INVESTOR SHARES	SAN FRANCISCO, CA	8/23/2016	00777235-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2040 INDEX FUND INSTITUTIONAL SHARES	SAN FRANCISCO, CA	8/23/2016	00777237-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
SCHWAB CAPITAL TR SCHWAB TARGET 2040 INDEX FUND INVESTOR SHARES	SAN FRANCISCO, CA	8/23/2016	00777240-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2045 INDEX FUND INSTITUTIONAL SHARES	SAN FRANCISCO, CA	8/23/2016	00777242-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2045 INDEX FUND INVESTOR SHARES	SAN FRANCISCO, CA	8/23/2016	00777244-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2050 INDEX FUND INSTITUTIONAL SHARES	SAN FRANCISCO, CA	8/23/2016	00777246-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2050 INDEX FUND INVESTOR SHARES	SAN FRANCISCO, CA	8/23/2016	00777248-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2055 INDEX FUND INSTITUTIONAL SHARES	SAN FRANCISCO, CA	8/23/2016	00777250-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2055 INDEX FUND INVESTOR SHARES	SAN FRANCISCO, CA	8/23/2016	00777252-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2060 FUND	SAN FRANCISCO, CA	8/23/2016	00777232-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2060 INDEX FUND INSTITUTIONAL SHARES	SAN FRANCISCO, CA	8/23/2016	00777254-03	Registered
SCHWAB CAPITAL TR SCHWAB TARGET 2060 INDEX FUND INVESTOR SHARES	SAN FRANCISCO, CA	8/23/2016	00777239-03	Registered
JPMORGAN TR I JPMORGAN SMARTRETIREMENT 2060 FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	8/22/2016	00777035-03	Registered

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<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>
JPMORGAN TR I JPMORGAN SMARTRETIREMENT 2060 FUND CLASS A SHARES	NEW YORK, NY	8/22/2016	00777032-03	Registered
JPMORGAN TR I JPMORGAN SMARTRETIREMENT 2060 FUND CLASS C SHARES	NEW YORK, NY	8/22/2016	00777033-03	Registered
JPMORGAN TR I JPMORGAN SMARTRETIREMENT 2060 FUND CLASS R2 SHARES	NEW YORK, NY	8/22/2016	00777036-03	Registered
JPMORGAN TR I JPMORGAN SMARTRETIREMENT 2060 FUND CLASS R3 SHARES	NEW YORK, NY	8/22/2016	00777037-03	Registered
JPMORGAN TR I JPMORGAN SMARTRETIREMENT 2060 FUND CLASS R4 SHARES	NEW YORK, NY	8/22/2016	00777038-03	Registered
JPMORGAN TR I JPMORGAN SMARTRETIREMENT 2060 FUND CLASS R6 SHARES	NEW YORK, NY	8/22/2016	00777039-03	Registered
JPMORGAN TR I JPMORGAN SMARTRETIREMENT 2060 FUND SELECT CLASS SHARES	NEW YORK, NY	8/22/2016	00777034-03	Registered
JPMORGAN TR I JPMORGAN SMARTRETIREMENT BLEND 2060 FUND SELECT CLASS SHARES	NEW YORK, NY	8/22/2016	00777029-03	Registered
JPMORGAN TR I JPMORGAN SMARTRETIREMENT BLEND 2060 FUND CLASS R6 SHARES	NEW YORK, NY	8/22/2016	00777031-03	Registered
JPMORGAN TR I JPMORGAN SMARTRETIREMENT BLEND 2060 FUND CLASS R5 SHARES	NEW YORK, NY	8/22/2016	00777030-03	Registered
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENT INCOME FUND LIFESTYLE 1 CLASS R6	BOSTON, MA	8/22/2016	00777022-03	Pending-Cleared

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<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>
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2020 FUND CLASS R6	BOSTON, MA	8/22/2016	00777023-03	Pending-Cleared
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2025 FUND CLASS R6	BOSTON, MA	8/22/2016	00777024-03	Pending-Cleared
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2030 FUND CLASS R6	BOSTON, MA	8/22/2016	00777025-03	Pending-Cleared
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2035 FUND CLASS R6	BOSTON, MA	8/22/2016	00777026-03	Pending-Cleared
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2040 FUND CLASS R6	BOSTON, MA	8/22/2016	00777027-03	Pending-Cleared
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2045 FUND CLASS R6	BOSTON, MA	8/22/2016	00777028-03	Pending-Cleared
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2050 FUND CLASS R6	BOSTON, MA	8/22/2016	00777019-03	Pending-Cleared
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2055 FUND CLASS R6	BOSTON, MA	8/22/2016	00777020-03	Pending-Cleared
PUTNAM RETIREMENTREADY FUNDS PUTNAM RETIREMENTREADY 2060 FUND CLASS R6	BOSTON, MA	8/22/2016	00777021-03	Pending-Cleared
<b>Number of Investment Company Filings: 61</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>
AG ENERGY PARTNERS 2 LP	NEW YORK, NY	8/26/2016	00777312-07	Filed
BEBOP SENSORS INC	BERKELEY, CA	8/26/2016	00777317-07	Filed
BIOVENTRIX INC	SAN RAMON, CA	8/26/2016	00777316-07	Filed
CMB SOUTHEAST INFRASTRUCTURE INVESTMENT GROUP 54 LP	ROCK ISLAND, IL	8/26/2016	00777308-07	Filed
HYDE PARK VENTURE PARTNERS FUND 2 AFFILIATES LP	CHICAGO, IL	8/26/2016	00777309-07	Filed
IMBED BIOSCIENCES INC	MADISON, WI	8/26/2016	00777319-07	Filed
INSTAMOTOR INC	SAN FRANCISCO, CA	8/26/2016	00777315-07	Filed
IRONSIDES DIRECT INVESTMENT FUND 4 LP	ANDOVER, MA	8/26/2016	00777311-07	Filed
IRONSIDES PARTNERSHIP FUND 4 LP	ANDOVER, MA	8/26/2016	00777310-07	Filed
KOOTENAY SILVER INC	VANCOUVER, BC	8/26/2016	00777306-07	Filed
PC 3 PZL AIV 6 LP	CHARLOTTE, NC	8/26/2016	00777307-07	Filed
TIDAL PETROLEUM INC	SCHERTZ, TX	8/26/2016	00777314-07	Filed
ELITE AVIATION PRODUCTS INC	IRVINE, CA	8/25/2016	00777321-07	Filed
ELITE AVIATION PRODUCTS INC	IRVINE, CA	8/25/2016	00777325-07	Filed
MATERIA INC	PASADENA, CA	8/22/2016	00777123-07	Filed
<b>Number of Regulation D Notice Filings: 15</b>				

**All Securities Law, Franchise Law, and Take-Over Law Filings  
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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>
SmallBizPros, Inc. d/b/a Padgett Business Services / Padgett Business Services	Athens, GA	8/26/2016	613979	Registered
DANCE WORKS OF WI LLC	PEWAUKEE, WI	8/26/2016	613978	Registered
BoConcept Franchise, Inc.	Bayonne, NJ	8/26/2016	613975	Registered
Dickey's Barbecue Restaurants, Inc. / Dickey's Barbecue Pit	Plano, TX	8/26/2016	613974	Registered
M & T Pizza Incorporated / Carbone's Pizzeria and Carbone's Pizza	St. Paul, MN	8/25/2016	613972	Registered
INTERFACE FINANCIAL CORP. / The Interface Financial Group	Bethesda, MD	8/24/2016	613971	Registered
GET LOCKSMITH INC / Get Locksmith	Las Vegas, NV	8/24/2016	613970	Registered
<b>Number of Franchise Filings: 7</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>	