

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/11/2016 through 9/17/2016**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ALLIANCE DEVELOPMENT FUND INC	COLORADO SPRINGS, CO	9/12/2016	00778899-02	Pending
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CROSSROADS COMMUNITY CHURCH OF SANTA CLARITA VALLEY	SANTA CLARITA, CA	9/12/2016	00780454-10	Not Disallowed
FOOTHILLS COMMUNITY CHURCH	MOLALLA, OR	9/12/2016	00780453-10	Not Disallowed
Number of Exemption Filings: 2				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
1ST TR COMBINED SERIES 538 TX EX MUNICIPAL INCOME TR 10 20 YEAR SERIES 27	WHEATON, IL	9/16/2016	00780362-05	Registered
FT 6246 MLP CLOSED END PORTFOLIO SERIES 13	WHEATON, IL	9/16/2016	00780365-05	Pending-Cleared
FT 6263 CYBERSECURITY PORTFOLIO SERIES 6	WHEATON, IL	9/16/2016	00780359-05	Registered
FT 6266 BALANCED INCOME SELECT PORTFOLIO SERIES 62	WHEATON, IL	9/16/2016	00780358-05	Pending-Cleared
FT 6281 AUTOMATED QUANTITATIVE ANALYSIS AQA PORTFOLIO SERIES 13	WHEATON, IL	9/16/2016	00780363-05	Pending-Cleared
FT 6282 DIVIDEND GROWTH PORTFOLIO SERIES 15	WHEATON, IL	9/16/2016	00780364-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FT 6306 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 56	WHEATON, IL	9/16/2016	00780361-05	Registered
FT 6308 TACTICAL ALPHA PORTFOLIO SERIES 10	WHEATON, IL	9/16/2016	00780360-05	Registered
2 ROADS SHARED TR LJM PRESERVATION & GROWTH FUND CLASS C SHARES	HAUPPAUGE, NY	9/15/2016	00779001-03	Registered
ADVISORS DISCIPLINED TR 1677 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 113	MONUMENT, CO	9/15/2016	00780556-05	Registered
ADVISORS DISCIPLINED TR 1717 COHEN & STEERS CONVERTIBLE & INCOME CLOSED END PORTFOLIO SERIES 2016 3	MONUMENT, CO	9/15/2016	00780546-05	Registered
ADVISORS DISCIPLINED TR 1717 COHEN & STEERS MLP MIDSTREAM & ENERGY INCOME CLOSED END PORTFOLIO SERIES 2016 3	MONUMENT, CO	9/15/2016	00780551-05	Registered
ADVISORS DISCIPLINED TR 1717 GLOBAL BASIC MATERIALS PORTFOLIO SERIES 2016 3	MONUMENT, CO	9/15/2016	00780545-05	Registered
ADVISORS DISCIPLINED TR 1718 BUSINESS DEVELOPMENT CO OPPORTUNITIES PORTFOLIO SERIES 2016 3	MONUMENT, CO	9/15/2016	00780552-05	Registered
ADVISORS DISCIPLINED TR 1718 REIT PORTFOLIO SERIES 2016 3 PORTFOLIO	MONUMENT, CO	9/15/2016	00780549-05	Registered
ADVISORS DISCIPLINED TR 1719 COHEN & STEERS PREFERRED INCOME OPPORTUNITIES PORTFOLIO SERIES 2016 3	MONUMENT, CO	9/15/2016	00780553-05	Registered

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ADVISORS DISCIPLINED TR 1719 UTILITIES PORTFOLIO SERIES 2016 3 HIMCO PORTFOLIO	MONUMENT, CO	9/15/2016	00780548-05	Registered
ADVISORS DISCIPLINED TR 1720 Q GARP PORTFOLIO SERIES 2016 3Q	MONUMENT, CO	9/15/2016	00780554-05	Registered
ADVISORS DISCIPLINED TR 1721 AGRI BUSINESS OPPORTUNITIES PORTFOLIO SERIES 2016 2	MONUMENT, CO	9/15/2016	00780555-05	Registered
ADVISORS DISCIPLINED TR 1721 SMALL MID CAP ADVANTAGE PORTFOLIO SERIES 2016 3	MONUMENT, CO	9/15/2016	00780547-05	Registered
ADVISORS DISCIPLINED TR 1722 AMERICAN RENAISSANCE PORTFOLIO SERIES 2016 3 CJL PORTFOLIO	MONUMENT, CO	9/15/2016	00780557-05	Pending-Cleared
CENTERSTONE INVESTORS TR CENTERSTONE INTERNATIONAL FUND CLASS A	OMAHA, NE	9/15/2016	00778995-03	Registered
CENTERSTONE INVESTORS TR CENTERSTONE INTERNATIONAL FUND CLASS C	OMAHA, NE	9/15/2016	00778996-03	Registered
CENTERSTONE INVESTORS TR CENTERSTONE INTERNATIONAL FUND CLASS I	OMAHA, NE	9/15/2016	00778997-03	Registered
CENTERSTONE INVESTORS TR CENTERSTONE INVESTORS FUND CLASS A	OMAHA, NE	9/15/2016	00778998-03	Registered
CENTERSTONE INVESTORS TR CENTERSTONE INVESTORS FUND CLASS C	OMAHA, NE	9/15/2016	00778999-03	Registered

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CENTERSTONE INVESTORS TR CENTERSTONE INVESTORS FUND CLASS I	OMAHA, NE	9/15/2016	00779000-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1507 TECHNOLOGICAL INNOVATION PORTFOLIO SERIES 7	LISLE, IL	9/15/2016	00780561-05	Pending-Cleared
MUTUAL FUND SERIES TR CATALYST SMH TOTAL RETURN INCOME FUND CLASS I	HAUPPAUGE, NY	9/15/2016	00779002-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE AMUNDI WORLD BOND FUND INSTITUTIONAL SERVICE CLASS	WEST ALLIS, WI	9/15/2016	00780592-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE AMUNDI WORLD BOND FUND INSTITUTIONAL CLASS	WEST ALLIS, WI	9/15/2016	00780589-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE AMUNDI WORLD BOND FUND CLASS C	WEST ALLIS, WI	9/15/2016	00780590-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE AMUNDI WORLD BOND FUND CLASS A	WEST ALLIS, WI	9/15/2016	00780591-03	Registered
NUVEEN UNIT INVESTMENT TR SERIES 158 NUVEEN CORE REAL ESTATE SECURITIES PORTFOLIO 3Q 2016	CHICAGO, IL	9/15/2016	00780550-05	Registered
NUVEEN UNIT INVESTMENT TR SERIES 159 NUVEEN NAJARIAN HEAT SEEKER PORTFOLIO 3Q 2016	CHICAGO, IL	9/15/2016	00780558-05	Registered
NUVEEN UNIT INVESTMENT TR SERIES 160 NUVEEN BALANCE SHEET STRENGTH PORTFOLIO 3Q 2016	CHICAGO, IL	9/15/2016	00780559-05	Registered

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NUVEEN UNIT INVESTMENT TR SERIES 162 NUVEEN ARK GENOMIC HEALTHCARE & BIOTECH PORTFOLIO 3Q 2016	CHICAGO, IL	9/15/2016	00780560-05	Pending-Cleared
FT 6240 GLOBAL AGRICULTURE PORTFOLIO SERIES 35	WHEATON, IL	9/14/2016	00780536-05	Registered
FT 6241 CAPITAL STRENGTH PORTFOLIO SERIES 35	WHEATON, IL	9/14/2016	00780534-05	Registered
FT 6262 BANKING OPPORTUNITY PORTFOLIO SERIES 23	WHEATON, IL	9/14/2016	00780535-05	Registered
FT 6314 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 80	WHEATON, IL	9/14/2016	00780537-05	Registered
CAVANAL HILL FUNDS GOVERNMENT SECURITIES MONEY MARKET FUND SELECT	COLUMBUS, OH	9/13/2016	00778828-03	Registered
GREEN CENTURY FUNDS GREEN CENTURY MSCI INTERNATIONAL INDEX FUND INDIVIDUAL INVESTOR CLASS	BOSTON, MA	9/13/2016	00780457-03	Pending-Cleared
GREEN CENTURY FUNDS GREEN CENTURY MSCI INTERNATIONAL INDEX FUND INSTITUTIONAL CLASS	BOSTON, MA	9/13/2016	00780456-03	Pending-Cleared
INVESCO UNIT TR SERIES 1700	DOWNERS GROVE, IL	9/13/2016	00780533-05	Pending-Cleared
INVESCO UNIT TR SERIES 1702 CLOSED END STRATEGY SELECT OPPORTUNITY PORTFOLIO 2016 4	DOWNERS GROVE, IL	9/13/2016	00780532-05	Pending-Cleared
INVESCO UNIT TR SERIES 1703	DOWNERS GROVE, IL	9/13/2016	00780531-05	Pending-Cleared
INVESCO UNIT TR SERIES 1706	DOWNERS GROVE, IL	9/13/2016	00780530-05	Pending-Cleared

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INVESCO UNIT TR SERIES 1707 TURNAROUND STRATEGY PORTFOLIO 2016 4	DOWNERS GROVE, IL	9/13/2016	00780529-05	Pending-Cleared
INVESCO UNIT TR SERIES 1708 BUYBACK LEADERS PORTFOLIO 2016 4	DOWNERS GROVE, IL	9/13/2016	00780528-05	Pending-Cleared
INVESCO UNIT TR SERIES 1709 AMERICAN INFRASTRUCTURE GROWTH PORTFOLIO 2016 4	DOWNERS GROVE, IL	9/13/2016	00780527-05	Pending-Cleared
INVESTMENT MANAGERS SERIES TR PALMER SQUARE SHORT DURATION INVESTMENT GRADE FUND	MILWAUKEE, WI	9/13/2016	00780455-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1504 DOW JONES VALUE DIVIDEND FOCUS PORTFOLIO SERIES 26	LISLE, IL	9/12/2016	00780450-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1504 GLOBAL 100 DIVIDEND STRATEGY PORTFOLIO SERIES 8	LISLE, IL	9/12/2016	00780448-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1510 BDC SCORECARD PORTFOLIO SERIES 5	LISLE, IL	9/12/2016	00780451-05	Registered
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN US EQUITY INDEX PUTWRITE STRATEGY FUND CLASS C SHARES	NEW YORK, NY	9/12/2016	00778807-03	Registered
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN US EQUITY INDEX PUTWRITE STRATEGY FUND CLASS A SHARES	NEW YORK, NY	9/12/2016	00778808-03	Registered

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NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN US EQUITY INDEX PUTWRITE STRATEGY FUND CLASS R6 SHARES	NEW YORK, NY	9/12/2016	00778810-03	Registered
NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN US EQUITY INDEX PUTWRITE STRATEGY FUND INSTITUTIONAL CLASS	NEW YORK, NY	9/12/2016	00778809-03	Registered
NUVEEN UNIT INVESTMENT TR SERIES 157 NUVEEN FORMULA 10 DOW PORTFOLIO 3Q 2016	CHICAGO, IL	9/12/2016	00780449-05	Registered
NUVEEN UNIT INVESTMENT TR SERIES 157 NUVEEN FORMULA 30 S & P PORTFOLIO 3Q 2016	CHICAGO, IL	9/12/2016	00780452-05	Registered
Number of Investment Company Filings: 61				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BION ENVIRONMENTAL TECHNOLOGIES INC	CRESTONE, CO	9/16/2016	00780405-07	Filed
BIOSTEM TECHNOLOGIES	OAKLAND PARK, FL	9/16/2016	00780400-07	Filed
COZY SERVICES LTD	PORTLAND, OR	9/16/2016	00780403-07	Filed
FD TIC INVESTORS LLC	DENVER, CO	9/16/2016	00780401-07	Filed
FRACTAL INDUSTRIES INC	RESTON, VA	9/16/2016	00780409-07	Filed
IDENTITY AUTOMATION INVESTMENT PARTNERS LLC	HOUSTON, TX	9/16/2016	00780398-07	Filed
LIVINGBRIDGE 6 LP	LONDON, AA	9/16/2016	00780402-07	Filed
MOBILEOFFER INC	CALABASAS, CA	9/16/2016	00780407-07	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
NAM SPECIAL SITUATIONS FUND 1 QP LLC	NEW YORK, NY	9/16/2016	00780408-07	Filed
PALMS WEEKLY PORTFOLIO LP	SCOTTSDALE, AZ	9/16/2016	00780404-07	Filed
SIMS MERRILL GARDENS 5 LLC	FAIRFIELD, CT	9/16/2016	00780406-07	Filed
SUGAR GROUP HOLDINGS LLC	CHICAGO, IL	9/16/2016	00780399-07	Filed
2 SIGMA RISK PREMIA ENHANCED FUND LP	NEW YORK, NY	9/15/2016	00780542-07	Filed
OCTAGON SENIOR SECURED CREDIT CAYMAN FUND LTD	GRAND CAYMAN, AA	9/15/2016	00780544-07	Filed
VEPF 6 FAF LP	SAN FRANCISCO, CA	9/15/2016	00780541-07	Filed
VFF 3 FAF LP	SAN FRANCISCO, CA	9/15/2016	00780543-07	Filed
PARALLAX FUND LP	SAN FRANCISCO, CA	9/14/2016	00780538-07	Filed
MALTA OFFSHORE LTD	GRAND CAYMAN, AA	9/12/2016	00778898-07	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
DetailXPerts Franchise Systems, LLC / DetailXPerts	Detroit, MI	9/17/2016	614021	Registered
The Growler Guys, LLC / The Growler Guys	Bend, OR	9/16/2016	614019	Registered
Happy Tax Franchising, LLC / Happy Tax (Area Representative)	Miami Beach, FL	9/16/2016	614018	Registered
Happy Tax Franchising, LLC / Happy Tax (Unit)	Miami Beach, FL	9/16/2016	614017	Registered
Measure Nationwide, LLC / Measure	Washington, DC	9/12/2016	614009	Registered
Number of Franchise Filings: 5				

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