

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/13/2016 through 11/19/2016**

| Securities Law Registration Filings Made with DFI's Securities Division | | | | |
|--|------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| CROSSPOINT CITY CHURCH INC | CHICAGO, IL | 11/16/2016 | 00787114-02 | Pending |
| BOARD OF CHURCH EXTENSION OF DISCIPLES OF CHRIST INC | INDIANAPOLIS, IN | 11/14/2016 | 00787030-02 | Registered |
| Number of Registration Filings: 2 | | | | |

| Securities Law Exemption Filings Made with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|----------------|
| Firm Name | Location | Date Received | File Number | Status |
| BANCORP OF NEW GLARUS INC | NEW GLARUS, WI | 11/15/2016 | 00787052-08 | Not Disallowed |
| Number of Exemption Filings: 1 | | | | |

| Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| FT 6328 UTILITIES SELECT PORTFOLIO SERIES 40 | WHEATON, IL | 11/18/2016 | 00787454-05 | Registered |
| FT 6369 SABRIENT DIVIDEND PORTFOLIO SERIES 16 | WHEATON, IL | 11/18/2016 | 00787451-05 | Registered |
| FT 6370 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 81 | WHEATON, IL | 11/18/2016 | 00787453-05 | Registered |
| FT 6404 MUNICIPAL ADVANTAGE CLOSED END & ETF PORTFOLIO SERIES 39 | WHEATON, IL | 11/18/2016 | 00787452-05 | Registered |
| RBC FUNDS TR RBC EMERGING MARKETS EQUITY FUND CLASS R6 | MINNEAPOLIS, MN | 11/18/2016 | 00785531-03 | Registered |
| RBC FUNDS TR RBC GLOBAL OPPORTUNITIES FUND CLASS R6 | MINNEAPOLIS, MN | 11/18/2016 | 00785534-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| RBC FUNDS TR RBC INTERNATIONAL OPPORTUNITIES FUND CLASS R6 | MINNEAPOLIS, MN | 11/18/2016 | 00785536-03 | Registered |
| RBC FUNDS TR RBC SMALL CAP CORE FUND CLASS R6 | MINNEAPOLIS, MN | 11/18/2016 | 00785533-03 | Registered |
| RBC FUNDS TR RBC SMALL CAP VALUE FUND CLASS R6 | MINNEAPOLIS, MN | 11/18/2016 | 00785532-03 | Registered |
| RBC FUNDS TR RBC SMID CAP GROWTH FUND CLASS R6 | MINNEAPOLIS, MN | 11/18/2016 | 00785535-03 | Registered |
| SMART TR 280 SMART TR HIGH 20 DIVIDEND STRATEGY TR SERIES 15 | PARISIPPANY, NJ | 11/18/2016 | 00787455-05 | Registered |
| SMART TR 281 SMART TR SUSTAINABLE IMPACT INVESTING TR SERIES 8 | PARISIPPANY, NJ | 11/18/2016 | 00787456-05 | Registered |
| PRINCIPAL FUNDS INC HIGH YIELD FUND CLASS R 6 | DES MOINES, IA | 11/17/2016 | 00787409-03 | Registered |
| PRINCIPAL FUNDS INC INTERNATIONAL EMERGING MARKETS FUND CLASS R 6 | DES MOINES, IA | 11/17/2016 | 00787407-03 | Registered |
| PRINCIPAL FUNDS INC INTERNATIONAL FUND I CLASS R 6 | DES MOINES, IA | 11/17/2016 | 00787406-03 | Registered |
| PRINCIPAL FUNDS INC MIDCAP FUND CLASS R 6 | DES MOINES, IA | 11/17/2016 | 00787411-03 | Registered |
| PRINCIPAL FUNDS INC MIDCAP S&P 400 INDEX FUND CLASS R 6 | DES MOINES, IA | 11/17/2016 | 00787405-03 | Registered |
| PRINCIPAL FUNDS INC REAL ESTATE SECURITIES FUND CLASS R 6 | DES MOINES, IA | 11/17/2016 | 00787408-03 | Registered |

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| PRINCIPAL FUNDS INC SMALLCAP FUND CLASS R 6 | DES MOINES, IA | 11/17/2016 | 00787412-03 | Registered |
| PRINCIPAL FUNDS INC SMALLCAP S&P 600 INDEX FUND CLASS R 6 | DES MOINES, IA | 11/17/2016 | 00787410-03 | Registered |
| WILLIAMSBURG INVESTMENT TR DAVENPORT BALANCED INCOME FUND | CINCINNATI, OH | 11/17/2016 | 00787427-03 | Registered |
| ADVISORS DISCIPLINED TR 1740 ADVISORS CORE EQUITY STRATEGY PORTFOLIO SERIES 2016 4Q | MONUMENT, CO | 11/16/2016 | 00787064-05 | Registered |
| ADVISORS DISCIPLINED TR 1740 BAHL & GAYNOR INCOME GROWTH PORTFOLIO SERIES 2016 4Q | MONUMENT, CO | 11/16/2016 | 00787058-05 | Registered |
| ADVISORS DISCIPLINED TR 1740 DIVIDEND ADVANTAGE PORTFOLIO SERIES 2016 4Q | MONUMENT, CO | 11/16/2016 | 00787056-05 | Registered |
| ADVISORS DISCIPLINED TR 1740 DOW VALUE 10 PORTFOLIO SERIES 2016 4Q | MONUMENT, CO | 11/16/2016 | 00787054-05 | Registered |
| ADVISORS DISCIPLINED TR 1740 EUROPEAN SELECT PORTFOLIO SERIES 2016 4Q CJL PORTFOLIO | MONUMENT, CO | 11/16/2016 | 00787055-05 | Registered |
| ADVISORS DISCIPLINED TR 1740 INTERNATIONAL HIGH 30 DIVIDEND PORTFOLIO SERIES 2016 4Q | MONUMENT, CO | 11/16/2016 | 00787068-05 | Registered |
| ADVISORS DISCIPLINED TR 1740 MINIMUM VOLATILITY EQUITY INCOME PORTFOLIO SERIES 2016 4Q HIMCO PORTFOLIO | MONUMENT, CO | 11/16/2016 | 00787067-05 | Registered |
| ADVISORS DISCIPLINED TR 1740 STRATEGIC HIGH 80 DIVIDEND PORTFOLIO SERIES 2016 4Q | MONUMENT, CO | 11/16/2016 | 00787071-05 | Registered |

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| ADVISORS DISCIPLINED TR 1741 AEROSPACE DEFENSE OPPORTUNITIES PORTFOLIO SERIES 2016 3 | MONUMENT, CO | 11/16/2016 | 00787072-05 | Registered |
| ADVISORS DISCIPLINED TR 1741 BLUE CHIP PORTFOLIO SERIES 2016 4 | MONUMENT, CO | 11/16/2016 | 00787057-05 | Registered |
| ADVISORS DISCIPLINED TR 1741 ENERGY OPPORTUNITIES PORTFOLIO SERIES 2016 4 | MONUMENT, CO | 11/16/2016 | 00787059-05 | Registered |
| ADVISORS DISCIPLINED TR 1744 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 115 | MONUMENT, CO | 11/16/2016 | 00787061-05 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1538 GUGGENHEIM EMERGING MARKETS DIVIDEND STRATEGY PORTFOLIO SERIES 20 | LISLE, IL | 11/16/2016 | 00787063-05 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1538 UNDERVALUED TOP PICKS PORTFOLIO SERIES 11 | LISLE, IL | 11/16/2016 | 00787069-05 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1539 DIVIDEND GROWTH PORTFOLIO SERIES 10 | LISLE, IL | 11/16/2016 | 00787066-05 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1540 DIVIDEND STRENGTH PORTFOLIO SERIES 23 | LISLE, IL | 11/16/2016 | 00787065-05 | Registered |
| INVESCO UNIT TR MUNICIPAL SERIES 1285 INVESTMENT GRADE MUNICIPAL TR 10 20 YEAR SERIES 12 | DOWNERS GROVE, IL | 11/16/2016 | 00787111-05 | Pending-Cleared |
| INVESCO UNIT TR MUNICIPAL SERIES 1286 INSURED MUNICIPALS INCOME TR SERIES 693 | DOWNERS GROVE, IL | 11/16/2016 | 00787110-05 | Pending-Cleared |

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| INVESCO UNIT TR SERIES 1719 NEW WORLD LEADERS PORTFOLIO 2016 4 | DOWNERS GROVE, IL | 11/16/2016 | 00787109-05 | Pending-Cleared |
| INVESCO UNIT TR SERIES 1720 | DOWNERS GROVE, IL | 11/16/2016 | 00787108-05 | Pending-Cleared |
| INVESCO UNIT TR SERIES 1721 | DOWNERS GROVE, IL | 11/16/2016 | 00787106-05 | Pending-Cleared |
| INVESCO UNIT TR SERIES 1722 | DOWNERS GROVE, IL | 11/16/2016 | 00787107-05 | Pending-Cleared |
| INVESCO UNIT TR SERIES 1723 AMERICAN INNOVATION LEADERS PORTFOLIO 2016 4 | DOWNERS GROVE, IL | 11/16/2016 | 00787105-05 | Pending-Cleared |
| INVESCO UNIT TR SERIES 1724 GLOBAL TECHNOLOGY LEADERS PORTFOLIO 2017 1 | DOWNERS GROVE, IL | 11/16/2016 | 00787104-05 | Pending-Cleared |
| NUVEEN UNIT INVESTMENT TR SERIES 170 NUVEEN ARGUS INTERNATIONAL DIVIDEND SEEKER PORTFOLIO 4Q 2016 | CHICAGO, IL | 11/16/2016 | 00787062-05 | Registered |
| NUVEEN UNIT INVESTMENT TR SERIES 171 NUVEEN PROSPECT ENERGY & POWER INCOME PORTFOLIO 4Q 2016 | CHICAGO, IL | 11/16/2016 | 00787070-05 | Registered |
| NUVEEN UNIT INVESTMENT TR SERIES 171 NUVEEN PROSPECT INCOME FINANCE PORTFOLIO 4Q 2016 | CHICAGO, IL | 11/16/2016 | 00787060-05 | Pending-Cleared |
| ANCORA FUNDS ANCORA THELEN SMALL MID CAP FUND CLASS I | CLEVELAND, OH | 11/15/2016 | 00787053-03 | Registered |
| 1290 FUNDS 1290 GLOBAL TALENTS FUND CLASS I | NEW YORK, NY | 11/14/2016 | 00785491-03 | Registered |
| 1290 FUNDS 1290 HIGH YIELD BOND FUND CLASS I | NEW YORK, NY | 11/14/2016 | 00785489-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| 1290 FUNDS 1290 MULTI ALTERNATIVE STRATEGIES FUND CLASS I | NEW YORK, NY | 11/14/2016 | 00785498-03 | Registered |
| 1290 FUNDS 1290 SMARTBETA EQUITY FUND CLASS I | NEW YORK, NY | 11/14/2016 | 00785499-03 | Registered |
| 1290 FUNDS 1290 UNCONSTRAINED BOND MANAGERS FUND CLASS I | NEW YORK, NY | 11/14/2016 | 00785490-03 | Registered |
| 1ST TR COMBINED SERIES 544 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO INTERMEDIATE SERIES 21 | WHEATON, IL | 11/14/2016 | 00787034-05 | Registered |
| FT 6327 INTERNATIONAL HIGH DIVIDEND EQUITY PORTFOLIO SERIES 27 | WHEATON, IL | 11/14/2016 | 00787031-05 | Registered |
| FT 6362 MEGA CAP PORTFOLIO SERIES 42 | WHEATON, IL | 11/14/2016 | 00787033-05 | Registered |
| FT 6365 GLOBAL EQUITY INCOME CLOSED END PORTFOLIO SERIES 51 | WHEATON, IL | 11/14/2016 | 00787032-05 | Registered |
| FT 6366 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 57 | WHEATON, IL | 11/14/2016 | 00787041-05 | Registered |
| FT 6374 EQUITY INCOME PORTFOLIO SERIES 53 | WHEATON, IL | 11/14/2016 | 00787036-05 | Registered |
| FT 6375 DIVIDEND INCOME PLUS PORTFOLIO SERIES 25 | WHEATON, IL | 11/14/2016 | 00787037-05 | Registered |
| FT 6376 DORSEY WRIGHT RELATIVE STRENGTH DIVIDEND PORTFOLIO SERIES 24 | WHEATON, IL | 11/14/2016 | 00787038-05 | Registered |
| FT 6378 HEALTH CARE SELECT PORTFOLIO SERIES 43 | WHEATON, IL | 11/14/2016 | 00787040-05 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| FT 6407 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 110 | WHEATON, IL | 11/14/2016 | 00787039-05 | Registered |
| FT 6408 ELECTION PORTFOLIO 2016 SERIES | WHEATON, IL | 11/14/2016 | 00787035-05 | Registered |
| GLENMEDE FUND INC SECURED OPTIONS PORTFOLIO INSTITUTIONAL SHARES | BOSTON, MA | 11/14/2016 | 00785492-03 | Registered |
| JPMORGAN TR I JPMORGAN INTERNATIONAL DISCOVERY FUND CLASS A SHARES | NEW YORK, NY | 11/14/2016 | 00785493-03 | Registered |
| JPMORGAN TR I JPMORGAN INTERNATIONAL DISCOVERY FUND CLASS C SHARES | NEW YORK, NY | 11/14/2016 | 00785494-03 | Registered |
| JPMORGAN TR I JPMORGAN INTERNATIONAL DISCOVERY FUND CLASS R5 SHARES | NEW YORK, NY | 11/14/2016 | 00785495-03 | Registered |
| JPMORGAN TR I JPMORGAN INTERNATIONAL DISCOVERY FUND CLASS R6 SHARES | NEW YORK, NY | 11/14/2016 | 00785496-03 | Registered |
| JPMORGAN TR I JPMORGAN INTERNATIONAL DISCOVERY FUND SELECT CLASS SHARES | NEW YORK, NY | 11/14/2016 | 00785497-03 | Registered |
| Number of Investment Company Filings: 71 | | | | |

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|----------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| 3RD PRIME ALPHA FUND LP | NEW YORK, NY | 11/18/2016 | 00788257-07 | Filed |
| AMK GLOBAL OPPORTUNITIES FUND LP | PLEASANT PRAIRIE, WI | 11/18/2016 | 00788260-07 | Filed |
| ATEL GROWTH CAPITAL FUND 10 LLC | SAN FRANCISCO, CA | 11/18/2016 | 00788267-07 | Filed |

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|---|------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| CAROUSEL CAPITAL PARTNERS 5 LP | CHARLOTTE, NC | 11/18/2016 | 00788252-07 | Filed |
| CLEARCOVER INC | CHICAGO, IL | 11/18/2016 | 00787328-07 | Filed |
| COLONY DISTRESSED CREDIT 4 ACCESS ASP FUND A SERIES OF ALTERNATIVE STRATEGIES PRIVATE EQUITY PLATFORM LLC | CHARLOTTE, NC | 11/18/2016 | 00788265-07 | Filed |
| EPIC HEALTH LLC | MIAMI, FL | 11/18/2016 | 00787331-07 | Filed |
| FEDERATED PRIME PRIVATE LIQUIDITY FUND | WARRENDALE, PA | 11/18/2016 | 00788263-07 | Filed |
| GRAND ENERGY INC | ADDISON, TX | 11/18/2016 | 00788256-07 | Filed |
| GREEN BAY BREWING CO | GREEN BAY, WI | 11/18/2016 | 00787329-07 | Filed |
| LUBERT ADLER LARAMAR URBAN NEIGHBORHOOD FUND LP | ATLANTA, GA | 11/18/2016 | 00788254-07 | Filed |
| MANAGECORE LLC | BROOKFIELD, WI | 11/18/2016 | 00788253-07 | Filed |
| MEIF 5 CO INVEST LP | LONDON, AA | 11/18/2016 | 00788266-07 | Filed |
| MELODY HEALTH INSURANCE INC | DENVER, CO | 11/18/2016 | 00788268-07 | Filed |
| SOUTHSIDE MULTIFAMILY LLC | HOUSTON, TX | 11/18/2016 | 00788255-07 | Filed |
| STRATEGIC PARTNERS 7 ASP FUND SERIES OF ALTERNATIVE STRATEGIES PRIVATE EQUITY PLATFORM LLC | CHARLOTTE, NC | 11/18/2016 | 00788261-07 | Filed |
| TERRA SECURED INCOME FUND 7 LLC | NEW YORK, NY | 11/18/2016 | 00788264-07 | Filed |
| TILLRIDGE GLOBAL AGRIBUSINESS PARTNERS 2 LP | IRVING, TX | 11/18/2016 | 00788259-07 | Filed |
| CLOSYS CORP | EDEN PRAIRIE, MN | 11/17/2016 | 00787414-07 | 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 |
| WHALE ROCK FLAGSHIP FUND LP | BOSTON, MA | 11/14/2016 | 00787042-07 | Filed |
| Number of Regulation D Notice Filings: 20 | | | | |

| Franchise Law Filings Made with DFI's Securities Division | | | | |
|---|------------------|----------------------|--------------------|---------------|
| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| COMPUTER TROUBLESHOOTERS USA INC / Computer Troubleshooters | Independence, OH | 11/18/2016 | 614252 | Registered |
| Creative Colors International, Inc. / Creative Colors International | Mokena, IL | 11/18/2016 | 614251 | Registered |
| Learning Express, Inc. / Learning Express | Devens, MA | 11/17/2016 | 614250 | Registered |
| MMI BUSINESS BROKERS LLC / Sunbelt Business Brokers | INDEPENDENCE, OH | 11/17/2016 | 614246 | Registered |
| MMI-CPR, LLC / CPR - Cell Phone Repair | Independence, OH | 11/17/2016 | 614245 | Registered |
| Burger 21 International, Inc. / Burger 21 | Tampa, FL | 11/16/2016 | 614244 | Registered |
| Burgerim Group USA Inc / Burgerim | Encino, CA | 11/16/2016 | 614242 | Registered |
| Sushi Freak Franchise Group LLC / Sushi Freak | San Diego, CA | 11/14/2016 | 614228 | Registered |
| Number of Franchise Filings: 8 | | | | |

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