

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FS REAL ESTATE CREDIT INCOME TR INC	PHILADELPHIA, PA	12/9/2016	00793189-01	Pending-Cleared
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
1ST TR COMBINED SERIES 546 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO 10 20 YEAR SERIES 32	WHEATON, IL	12/9/2016	00793175-05	Registered
FEDERATED INCOME SECURITIES TR FEDERATED FLOATING RATE STRATEGIC INCOME FUND CLASS R6 SHARES	WARRENDALE, PA	12/9/2016	00789481-03	Registered
FORUM FUNDS 2 NWS GLOBAL PROPERTY FUND INSTITUTIONAL SHARES	PORTLAND, ME	12/9/2016	00789482-03	Registered
FT 6395 MARKET STRENGTH ALLOCATION PLUS PORTFOLIO SERIES 31	WHEATON, IL	12/9/2016	00793185-05	Registered
FT 6396 MARKET STRENGTH ALLOCATION SELECT PORTFOLIO SERIES 25	WHEATON, IL	12/9/2016	00793186-05	Registered
FT 6398 US EQUITY CLOSED END PORTFOLIO SERIES 22	WHEATON, IL	12/9/2016	00793182-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 6399 BANKING OPPORTUNITY PORTFOLIO SERIES 24	WHEATON, IL	12/9/2016	00793177-05	Registered
FT 6400 CLOUD COMPUTING PORTFOLIO SERIES 16	WHEATON, IL	12/9/2016	00793174-05	Registered
FT 6413 TACTICAL ALPHA PORTFOLIO SERIES 11	WHEATON, IL	12/9/2016	00793176-05	Registered
FT 6420 MUNICIPAL INCOME & DIVIDEND GROWERS PORTFOLIO SERIES 10	WHEATON, IL	12/9/2016	00793184-05	Registered
FT 6429 DOW TARGET 10 DEC 16 TERM 1 9 18	WHEATON, IL	12/9/2016	00793183-05	Registered
FT 6430 TARGET DIVERSIFIED GLOBAL ALLOCATION PORTFOLIO SERIES 22	WHEATON, IL	12/9/2016	00793181-05	Registered
FT 6431 TARGET GLOBAL VALUE DIVIDEND PORTFOLIO SERIES 10	WHEATON, IL	12/9/2016	00793180-05	Registered
FT 6432 TARGET BUYBACK PORTFOLIO SERIES 7	WHEATON, IL	12/9/2016	00793179-05	Registered
FT 6459 US REVENUE PORTFOLIO SERIES 8	WHEATON, IL	12/9/2016	00793178-05	Registered
FUNDVANTAGE TR QUALITY DIVIDEND FUND INSTITUTIONAL CLASS	WILMINGTON, DE	12/9/2016	00789478-03	Registered
INVESTMENT MANAGERS SERIES TR 2 VIVALDI MULTI STRATEGY FUND CLASS I SHARES	MILWAUKEE, WI	12/9/2016	00793171-03	Registered
INVESTMENT MANAGERS SERIES TR 2 VIVALDI MULTI STRATEGY FUND CLASS A SHARES	MILWAUKEE, WI	12/9/2016	00793170-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2010 FUND CLASS R1	NEWARK, NJ	12/9/2016	00789412-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2010 FUND CLASS R4	NEWARK, NJ	12/9/2016	00789416-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2010 FUND CLASS R3	NEWARK, NJ	12/9/2016	00789424-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2010 FUND CLASS R5	NEWARK, NJ	12/9/2016	00789432-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2010 FUND CLASS R2	NEWARK, NJ	12/9/2016	00789414-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2010 FUND CLASS R6	NEWARK, NJ	12/9/2016	00789418-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2015 FUND CLASS R4	NEWARK, NJ	12/9/2016	00789422-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2015 FUND CLASS R3	NEWARK, NJ	12/9/2016	00789430-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2015 FUND CLASS R1	NEWARK, NJ	12/9/2016	00789426-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2015 FUND CLASS R5	NEWARK, NJ	12/9/2016	00789428-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2015 FUND CLASS R6	NEWARK, NJ	12/9/2016	00789413-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2015 FUND CLASS R2	NEWARK, NJ	12/9/2016	00789420-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2020 FUND CLASS R6	NEWARK, NJ	12/9/2016	00789425-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2020 FUND CLASS R2	NEWARK, NJ	12/9/2016	00789417-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2020 FUND CLASS R4	NEWARK, NJ	12/9/2016	00789421-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2020 FUND CLASS R1	NEWARK, NJ	12/9/2016	00789415-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2020 FUND CLASS R3	NEWARK, NJ	12/9/2016	00789419-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2020 FUND CLASS R5	NEWARK, NJ	12/9/2016	00789423-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2025 FUND CLASS R5	NEWARK, NJ	12/9/2016	00789434-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2025 FUND CLASS R1	NEWARK, NJ	12/9/2016	00789427-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2025 FUND CLASS R4	NEWARK, NJ	12/9/2016	00789433-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2025 FUND CLASS R6	NEWARK, NJ	12/9/2016	00789457-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2025 FUND CLASS R2	NEWARK, NJ	12/9/2016	00789429-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2025 FUND CLASS R3	NEWARK, NJ	12/9/2016	00789431-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2030 FUND CLASS R3	NEWARK, NJ	12/9/2016	00789439-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2030 FUND CLASS R6	NEWARK, NJ	12/9/2016	00789469-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2030 FUND CLASS R1	NEWARK, NJ	12/9/2016	00789437-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2030 FUND CLASS R5	NEWARK, NJ	12/9/2016	00789441-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2030 FUND CLASS R4	NEWARK, NJ	12/9/2016	00789459-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2030 FUND CLASS R2	NEWARK, NJ	12/9/2016	00789473-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2035 FUND CLASS R6	NEWARK, NJ	12/9/2016	00789463-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2035 FUND CLASS R4	NEWARK, NJ	12/9/2016	00789477-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2035 FUND CLASS R5	NEWARK, NJ	12/9/2016	00789447-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2035 FUND CLASS R2	NEWARK, NJ	12/9/2016	00789461-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2035 FUND CLASS R3	NEWARK, NJ	12/9/2016	00789445-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2035 FUND CLASS R1	NEWARK, NJ	12/9/2016	00789443-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2040 FUND CLASS R2	NEWARK, NJ	12/9/2016	00789471-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2040 FUND CLASS R4	NEWARK, NJ	12/9/2016	00789465-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2040 FUND CLASS R6	NEWARK, NJ	12/9/2016	00789475-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2040 FUND CLASS R3	NEWARK, NJ	12/9/2016	00789451-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2040 FUND CLASS R5	NEWARK, NJ	12/9/2016	00789453-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2040 FUND CLASS R1	NEWARK, NJ	12/9/2016	00789449-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2045 FUND CLASS R5	NEWARK, NJ	12/9/2016	00789438-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2045 FUND CLASS R2	NEWARK, NJ	12/9/2016	00789467-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2045 FUND CLASS R1	NEWARK, NJ	12/9/2016	00789455-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2045 FUND CLASS R4	NEWARK, NJ	12/9/2016	00789436-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2045 FUND CLASS R6	NEWARK, NJ	12/9/2016	00789440-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2045 FUND CLASS R3	NEWARK, NJ	12/9/2016	00789435-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2050 FUND CLASS R3	NEWARK, NJ	12/9/2016	00789446-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2050 FUND CLASS R4	NEWARK, NJ	12/9/2016	00789448-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2050 FUND CLASS R1	NEWARK, NJ	12/9/2016	00789442-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2050 FUND CLASS R6	NEWARK, NJ	12/9/2016	00789452-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2050 FUND CLASS R5	NEWARK, NJ	12/9/2016	00789450-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2050 FUND CLASS R2	NEWARK, NJ	12/9/2016	00789444-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2055 FUND CLASS R5	NEWARK, NJ	12/9/2016	00789462-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2055 FUND CLASS R6	NEWARK, NJ	12/9/2016	00789464-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2055 FUND CLASS R3	NEWARK, NJ	12/9/2016	00789458-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2055 FUND CLASS R2	NEWARK, NJ	12/9/2016	00789456-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2055 FUND CLASS R1	NEWARK, NJ	12/9/2016	00789454-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2055 FUND CLASS R4	NEWARK, NJ	12/9/2016	00789460-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2060 FUND CLASS R6	NEWARK, NJ	12/9/2016	00789476-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2060 FUND CLASS R1	NEWARK, NJ	12/9/2016	00789466-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2060 FUND CLASS R5	NEWARK, NJ	12/9/2016	00789474-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2060 FUND CLASS R4	NEWARK, NJ	12/9/2016	00789472-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2060 FUND CLASS R3	NEWARK, NJ	12/9/2016	00789470-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 2060 FUND CLASS R2	NEWARK, NJ	12/9/2016	00789468-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 INCOME FUND CLASS R4	NEWARK, NJ	12/9/2016	00789407-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 INCOME FUND CLASS R6	NEWARK, NJ	12/9/2016	00789411-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 INCOME FUND CLASS R3	NEWARK, NJ	12/9/2016	00789406-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 INCOME FUND CLASS R1	NEWARK, NJ	12/9/2016	00789410-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 INCOME FUND CLASS R2	NEWARK, NJ	12/9/2016	00789408-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 5 PRUDENTIAL DAY 1 INCOME FUND CLASS R5	NEWARK, NJ	12/9/2016	00789409-03	Registered
FT 6393 CAPITAL STRENGTH PORTFOLIO SERIES 36	WHEATON, IL	12/8/2016	00789304-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 6394 DIVERSIFIED HIGH INCOME CLOSED END PORTFOLIO SERIES 26	WHEATON, IL	12/8/2016	00789301-05	Registered
FT 6412 SABRIENT DEFENSIVE EQUITY PORTFOLIO SERIES 10	WHEATON, IL	12/8/2016	00789302-05	Registered
FT 6415 LTD DURATION FIXED INCOME ETF PORTFOLIO SERIES 18	WHEATON, IL	12/8/2016	00789303-05	Registered
TIAA CREF FUNDS TIAA CREF INTERNATIONAL SMALL CAP EQUITY FUND PREMIER CLASS	NEW YORK, NY	12/8/2016	00789391-03	Registered
TIAA CREF FUNDS TIAA CREF INTERNATIONAL SMALL CAP EQUITY FUND RETAIL CLASS	NEW YORK, NY	12/8/2016	00789392-03	Registered
TIAA CREF FUNDS TIAA CREF INTERNATIONAL SMALL CAP EQUITY FUND ADVISOR CLASS	NEW YORK, NY	12/8/2016	00789388-03	Registered
TIAA CREF FUNDS TIAA CREF INTERNATIONAL SMALL CAP EQUITY FUND RETIREMENT CLASS	NEW YORK, NY	12/8/2016	00789390-03	Registered
TIAA CREF FUNDS TIAA CREF INTERNATIONAL SMALL CAP EQUITY FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/8/2016	00789389-03	Registered
ADVISORS DISCIPLINED TR 1754 BUSINESS DEVELOPMENT CO OPPORTUNITIES PORTFOLIO SERIES 2016 4	MONUMENT, CO	12/7/2016	00789320-05	Registered
ADVISORS DISCIPLINED TR 1754 EMERGING MARKETS DIVIDEND PORTFOLIO SERIES 2016 3	MONUMENT, CO	12/7/2016	00789325-05	Registered
ADVISORS DISCIPLINED TR 1754 REIT PORTFOLIO SERIES 2016 4 HIMCO PORTFOLIO	MONUMENT, CO	12/7/2016	00789323-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1767 BUILDING AMERICA OPPORTUNITIES PORTFOLIO SERIES 2016 2	MONUMENT, CO	12/7/2016	00789318-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1544 COVERED CALL & INCOME PORTFOLIO OF CEFS SERIES 38	LISLE, IL	12/7/2016	00789316-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1544 EQUITY & INCOME PORTFOLIO OF CEFS SERIES 41	LISLE, IL	12/7/2016	00789327-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1545 DOW JONES VALUE DIVIDEND FOCUS PORTFOLIO SERIES 27	LISLE, IL	12/7/2016	00789326-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1545 GLOBAL 100 DIVIDEND STRATEGY PORTFOLIO SERIES 9	LISLE, IL	12/7/2016	00789321-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1550 BDC SCORECARD PORTFOLIO SERIES 6	LISLE, IL	12/7/2016	00789319-05	Registered
NUVEEN UNIT INVESTMENT TR SERIES 172 NUVEEN FORMULA 10 DOW PORTFOLIO 4Q 2016	CHICAGO, IL	12/7/2016	00789317-05	Registered
NUVEEN UNIT INVESTMENT TR SERIES 172 NUVEEN FORMULA 30 S&P PORTFOLIO 4Q 2016	CHICAGO, IL	12/7/2016	00789324-05	Registered
NUVEEN UNIT INVESTMENT TR SERIES 172 NUVEEN FORMULA GLOBAL 50 S&P PORTFOLIO 4Q 2016	CHICAGO, IL	12/7/2016	00789322-05	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE BOND INDEX FUND INSTITUTIONAL SERVICE CLASS	WEST ALLIS, WI	12/6/2016	00789311-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
NATIONWIDE MUTUAL FUNDS NATIONWIDE INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SERVICE CLASS	WEST ALLIS, WI	12/6/2016	00789313-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE INTERNATIONAL INDEX FUND INSTITUTIONAL SERVICE CLASS	WEST ALLIS, WI	12/6/2016	00789312-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE MID CAP MARKET INDEX FUND INSTITUTIONAL SERVICE CLASS	WEST ALLIS, WI	12/6/2016	00789310-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE SMALL CAP INDEX FUND INSTITUTIONAL SERVICE CLASS	WEST ALLIS, WI	12/6/2016	00789309-03	Registered
NORTHERN LIGHTS FUND TR PRINCETON PREMIUM FUND CLASS A SHARES	HAUPPAUGE, NY	12/6/2016	00789243-03	Registered
NORTHERN LIGHTS FUND TR PRINCETON PREMIUM FUND CLASS I SHARES	HAUPPAUGE, NY	12/6/2016	00789244-03	Registered
ADVISORS DISCIPLINED TR 1753 COHEN & STEERS MUNICIPAL CLOSED END PORTFOLIO SERIES 2016 4	MONUMENT, CO	12/5/2016	00789336-05	Registered
ADVISORS DISCIPLINED TR 1753 COHEN & STEERS SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO SERIES 2016 4	MONUMENT, CO	12/5/2016	00789337-05	Registered
ADVISORS DISCIPLINED TR 1753 HEALTH CARE OPPORTUNITIES PORTFOLIO SERIES 2016 4	MONUMENT, CO	12/5/2016	00789338-05	Registered
FT 6388 DEFENSIVE EQUITY PORTFOLIO SERIES 39	WHEATON, IL	12/5/2016	00789343-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 6418 SENIOR LOAN SELECT CLOSED END PORTFOLIO SERIES 22	WHEATON, IL	12/5/2016	00789342-05	Registered
FT 6423 STRATEGIC INCOME CLOSED END PORTFOLIO SERIES 61	WHEATON, IL	12/5/2016	00789344-05	Registered
FT 6460 JANUARY EFFECT PLUS PORTFOLIO SERIES 6	WHEATON, IL	12/5/2016	00789345-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1541 INCOME & TREASURY LTD DURATION PORTFOLIO OF FUNDS SERIES 50	LISLE, IL	12/5/2016	00789334-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1542 CASH FLOW KINGS PORTFOLIO SERIES 3	LISLE, IL	12/5/2016	00789339-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1542 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 63	LISLE, IL	12/5/2016	00789333-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1543 UBS OPPORTUNISTIC EQUITY INCOME LIST EQUITY ADVISORY GROUP 2016 4 SERIES 7	LISLE, IL	12/5/2016	00789335-05	Registered
MANAGED PORTFOLIO SERIES GREEN SQUARE EQUITY INCOME FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/5/2016	00789308-03	Registered
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN INTERNATIONAL SMALL CAP FUND CLASS C	NEW YORK, NY	12/5/2016	00789258-03	Registered
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN INTERNATIONAL SMALL CAP FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/5/2016	00789259-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN INTERNATIONAL SMALL CAP FUND CLASS R6	NEW YORK, NY	12/5/2016	00789260-03	Registered
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN INTERNATIONAL SMALL CAP FUND CLASS A	NEW YORK, NY	12/5/2016	00789257-03	Registered
SMART TR 283 SMART TR ADELANTE REIT GROWTH & INCOME TR SERIES 10	PARSIPPANY, NJ	12/5/2016	00789341-05	Registered
SMART TR 284 SMART TR ENHANCED VALUE 2 TR SERIES 16	PARSIPPANY, NJ	12/5/2016	00789340-05	Registered
UNIFIED SERIES TR SYMONS CONCENTRATED SMALL CAP VALUE INSTITUTIONAL FUND	INDIANAPOLIS, IN	12/5/2016	00789479-03	Registered
Number of Investment Company Filings: 137				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ALTATHERA PHARMACEUTICALS LLC	CHICAGO, IL	12/9/2016	00793115-07	Filed
PRICE POLO RUN LP	ADDISON, TX	12/9/2016	00793190-07	Filed
SILVER MOUNTAIN PARTNERS LP	SEDONA, AZ	12/7/2016	00789315-07	Filed
USED C 2016 DRILLING FUND LP	GETZVILLE, NY	12/7/2016	00789314-07	Filed
EMERALD ACQUISITIONS 2016 LLC	ATLANTA, GA	12/6/2016	00789305-07	Filed
Number of Regulation D Notice Filings: 5				

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/4/2016 through 12/10/2016**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
CK Franchising, Inc. / Comfort Keepers	Dayton, OH	12/9/2016	614320	Registered
Phenix Salon Suites Franchising LLC / Phenix Salon Suites	Colorado Springs, CO	12/8/2016	614318	Registered
Factory Direct Mattress Franchise Corp. / ValuMaxx Mattress	Cedar Falls, IA	12/8/2016	614308	Registered
Frontier Adjusters, Inc.	Phoenix, AZ	12/7/2016	614294	Registered
The Maids International, Inc. / The Maids	Omaha, NE	12/6/2016	614293	Registered
N2 Franchising, LLC / "N2 Publishing" and "N2 Franchising, LLC"	Wilmington, NC	12/5/2016	614292	Registered
Number of Franchise Filings: 6				

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