

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/27/2015 through 1/2/2016**

<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>
BETHEL BAPTIST CHURCH HAMPTON VA INC	HAMPTON, VA	12/30/2015	00760565-02	Pending
<b>Number of Registration Filings: 1</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>
AMERICAN REALTY CAPITAL HOSPITALITY TR INC	NEW YORK, NY	12/30/2015	00760571-08	Pending
<b>Number of Exemption Filings: 1</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>
ADVISORS DISCIPLINED TR 1570 EQUITY DIVIDEND & INCOME CLOSED END PORTFOLIO SERIES 2016 1	MONUMENT, CO	12/30/2015	00760585-05	Registered
ADVISORS DISCIPLINED TR 1571 GLOBAL CLOSED END PORTFOLIO SERIES 2016 1	MONUMENT, CO	12/30/2015	00760584-05	Registered
AIM INVESTMENT SECURITIES FUNDS INVESCO INVESTMENT SECURITIES FUNDS INVESCO SHORT DURATION INFLATION PROTECTED	HOUSTON, TX	12/30/2015	00760185-03	Registered
FORUM FUNDS 2 BAYWOOD SOCIALYRESPONSIBLE FUND INSTITUTIONAL SHARES	PORTLAND, ME	12/30/2015	00760095-03	Registered
FORUM FUNDS 2 BAYWOOD SOCIALYRESPONSIBLE FUND INVESTOR SHARES	PORTLAND, ME	12/30/2015	00760096-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
FT 5812 DIVIDEND GROWTH PORTFOLIO SERIES 12	WHEATON, IL	12/30/2015	00760582-05	Registered
FT 5840 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 38	WHEATON, IL	12/30/2015	00760583-05	Registered
ROYCE FUND ROYCE GLOBAL FINANCIAL SERVICES FUND INSTITUTIONAL CLASS	NEW YORK, NY	12/30/2015	00760097-03	Registered
TOUCHSTONE STRATEGIC TR TOUCHSTONE SANDS CAPITAL EMERGING MARKETS GROWTH FUND INSTITUTIONAL CLASS	CINCINNATI, OH	12/30/2015	00760184-03	Registered
TSC UITS 18 TSC DOW STRATEGIC 10 PORTFOLIO 1Q 2016	BOSTON, MA	12/30/2015	00760586-05	Registered
TSC UITS 18 TSC SABRIENT EARNINGS ADVANTAGE PORTFOLIO 1Q 2016	BOSTON, MA	12/30/2015	00760587-05	Registered
TSC UITS 18 TSC ZACKS DIVIDEND LEADERS PORTFOLIO 1Q 2016	BOSTON, MA	12/30/2015	00760588-05	Registered
VICTORY PORTFOLIOS 2 VICTORY CEMP US 500 VOLATILITY WTD INDEX FUND CLASS C	BROOKLYN, OH	12/30/2015	00760183-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1403 DOW 10 PORTFOLIO SERIES 24	LISLE, IL	12/29/2015	00760378-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1403 GUGGENHEIM INTERNATIONAL DIVIDEND STRATEGY PORTFOLIO SERIES 30	LISLE, IL	12/29/2015	00760379-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1403 QUALITY DIVIDEND STRATEGY PORTFOLIO SERIES 15	LISLE, IL	12/29/2015	00760380-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1403 ZACKS RANK STRONG BUY 50 STRATEGY PORTFOLIO SERIES 6	LISLE, IL	12/29/2015	00760381-05	Registered
TRIBUTARY FUNDS INC TRIBUTARY NE TAX FREE FUND INSTITUTIONAL PLUS CLASS	OMAHA, NE	12/29/2015	00759859-03	Pending-Cleared
VANTAGEPOINT FUNDS MILESTONE 2055 FUND INVESTOR M SHARES	WASHINGTON, DC	12/29/2015	00759804-03	Pending-Cleared
BERNSTEIN FUND INC INTERNATIONAL SMALL CAP PORTFOLIO ADVISOR CLASS	NEW YORK, NY	12/28/2015	00759851-03	Registered
BERNSTEIN FUND INC INTERNATIONAL SMALL CAP PORTFOLIO CLASS Z	NEW YORK, NY	12/28/2015	00759852-03	Registered
BERNSTEIN FUND INC INTERNATIONAL SMALL CAP PORTFOLIO SCB CLASS	NEW YORK, NY	12/28/2015	00759850-03	Registered
BERNSTEIN FUND INC INTERNATIONAL STRATEGIC EQUITIES PORTFOLIO SCB CLASS	NEW YORK, NY	12/28/2015	00759853-03	Registered
BERNSTEIN FUND INC INTERNATIONAL STRATEGIC EQUITIES PORTFOLIO CLASS Z	NEW YORK, NY	12/28/2015	00759855-03	Registered
BERNSTEIN FUND INC INTERNATIONAL STRATEGIC EQUITIES PORTFOLIO ADVISOR CLASS	NEW YORK, NY	12/28/2015	00759854-03	Registered
BERNSTEIN FUND INC SMALL CAP CORE PORTFOLIO ADVISOR CLASS	NEW YORK, NY	12/28/2015	00759857-03	Registered

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BERNSTEIN FUND INC SMALL CAP CORE PORTFOLIO CLASS Z	NEW YORK, NY	12/28/2015	00759858-03	Registered
BERNSTEIN FUND INC SMALL CAP CORE PORTFOLIO SCB CLASS	NEW YORK, NY	12/28/2015	00759856-03	Registered
INVESTMENT MANAGERS SERIES TR 2 ALTRUIS ENHANCED INCOME FUND CLASS I	MILWAUKEE, WI	12/28/2015	00760391-03	Registered
INVESTMENT MANAGERS SERIES TR 2 MARKETGRADER 100 ENHANCED INDEX FUND CLASS I	MILWAUKEE, WI	12/28/2015	00760390-03	Registered
INVESTMENT MANAGERS SERIES TR BRADDOCK MULTI STRATEGY INCOME FUND CLASS A SHARES	MILWAUKEE, WI	12/28/2015	00760394-03	Registered
INVESTMENT MANAGERS SERIES TR BRADDOCK MULTI STRATEGY INCOME FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	12/28/2015	00760393-03	Registered
INVESTMENT MANAGERS SERIES TR BRADDOCK MULTI STRATEGY INCOME FUND CLASS C SHARES	MILWAUKEE, WI	12/28/2015	00760392-03	Registered
INVESTMENT MANAGERS SERIES TR ROBINSON OPPORTUNISTIC INCOME FUND CLASS C SHARES	MILWAUKEE, WI	12/28/2015	00760396-03	Registered
INVESTMENT MANAGERS SERIES TR ROBINSON OPPORTUNISTIC INCOME FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	12/28/2015	00760397-03	Registered
INVESTMENT MANAGERS SERIES TR ROBINSON OPPORTUNISTIC INCOME FUND CLASS A SHARES	MILWAUKEE, WI	12/28/2015	00760395-03	Registered

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MUTUAL FUND SERIES TR ALPHACENTRIC INCOME OPPORTUNITIES FUND CLASS C	HAUPPAUGE, NY	12/28/2015	00760370-03	Registered
NORTHERN LIGHTS FUND TR 3 SWAN DEFINED RISK EMERGING MARKETS FUND CLASS A SHARES	HAUPPAUGE, NY	12/28/2015	00760371-03	Registered
SMART TR 218 SMARTTR DORSEY WRIGHT INTERNATIONAL MOMENTUM TR SERIES 2	PARSIPPANY, NJ	12/28/2015	00760386-05	Registered
<b>Number of Investment Company Filings: 39</b>				

<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>
ANGELES EQUITY PARTNERS 1 LP	LOS ANGELES, CA	12/30/2015	00760581-07	Filed
BC HOLDCO LLC	W MILWAUKEE, WI	12/30/2015	00760573-07	Filed
BROOKWOOD CP INVESTORS LLC	BEVERLY, MA	12/30/2015	00760237-07	Filed
CLEARINGHOUSE COMMUNITY DEVELOPMENT FINANCIAL INSTITUTION	EL TORO, CA	12/30/2015	00760231-07	Filed
COBAL VIP FUND LLC	AUSTIN, TX	12/30/2015	00760234-07	Filed
EVRIM RESOURCES CORP	VANCOUVER, BC	12/30/2015	00760570-07	Filed
FINEMARK HOLDINGS INC	FORT MYERS, FL	12/30/2015	00760238-07	Filed
GLOBAL COOLING INC	ATHENS, OH	12/30/2015	00760569-07	Filed
GRAND ENERGY 2015 90 LTD	ADDISON, TX	12/30/2015	00760236-07	Filed
HYPERAPPTIVE INC	AMESBURY, MA	12/30/2015	00760233-07	Filed

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MRI INTERVENTIONS INC	IRVINE, CA	12/30/2015	00760572-07	Filed
SPELL CAPITAL PARTNERS FUND 5 FOR QUALIFIED PURCHASERS LP	MINNEAPOLIS, MN	12/29/2015	00760377-07	Filed
CLOVERLEAF FUND 7 LLC	NORTHBROOK, IL	12/28/2015	00760228-07	Filed
CSRA NC MOB DST	GLEN ALLEN, VA	12/28/2015	00760384-07	Filed
HCG PORTAGE LLC	CHICAGO, IL	12/28/2015	00760230-07	Filed
MADISON DEARBORN CAPITAL PARTNERS 7 C LP	CHICAGO, IL	12/28/2015	00760385-07	Filed
PILOT BANCSHARES INC	NORTHDAL, FL	12/28/2015	00760229-07	Filed
QNECT LLC	HADLEY, MA	12/28/2015	00760366-07	Filed
RESAAS SERVICES INC	VANCOUVER, BC	12/28/2015	00760372-07	Filed
THOMPSON STREET CAPITAL PARTNERS 4 LP	CLAYTON, MO	12/28/2015	00760383-07	Filed
TPG GROWTH 3 FOF LP	FT WORTH, TX	12/28/2015	00760225-07	Filed
VIRTUS REAL ESTATE CAPITAL 2 LP	ROLLINGWOOD, TX	12/28/2015	00760227-07	Filed
VISION GROWTH FUND LLC	HEBER CITY, UT	12/28/2015	00760367-07	Filed
YIELDSTREET INC	NEW YORK, NY	12/28/2015	00760226-07	Filed
<b>Number of Regulation D Notice Filings: 24</b>				

<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>
SB Acquisition, LLC / Pizza Pit	Monona, WI	12/30/2015	611485	Registered
Compass Group USA, Inc. by and through its Canteen Vending Services Division / Canteen Vending Services	Charlotte, NC	12/29/2015	611482	Registered

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AMERISOURCEBERGEN DRUG CORP / Good Neighbor Pharmacy Premier Agreement	CHESTERBROOK, PA	12/28/2015	611490	Registered
<b>Number of Franchise Filings: 3</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>	