

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/8/2017 through 1/14/2017**

| Securities Law Registration Filings Made with DFI's Securities Division | | | | |
|--|------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| FS INVESTMENT CORP 3 | PHILADELPHIA, PA | 1/13/2017 | 00794513-01 | Pending |
| 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 |
| INVESCO UNIT TR SERIES 1735 BALANCED DIVIDEND SUSTAINABILITY & INCOME PORTFOLIO 2017 1 | DOWNERS GROVE, IL | 1/13/2017 | 00795375-05 | Pending-Cleared |
| INVESCO UNIT TR SERIES 1736 CLOSED END STRATEGY DISCOUNT OPPORTUNITY PORTFOLIO 2017 1 | DOWNERS GROVE, IL | 1/13/2017 | 00795374-05 | Pending-Cleared |
| INVESCO UNIT TR SERIES 1738 | DOWNERS GROVE, IL | 1/13/2017 | 00795373-05 | Pending-Cleared |
| INVESCO UNIT TR SERIES 1739 | DOWNERS GROVE, IL | 1/13/2017 | 00795372-05 | Pending-Cleared |
| INVESCO UNIT TR TAXABLE INCOME SERIES 590 INVESTMENT GRADE CORPORATE TR 5 8 YEAR SERIES 24 | DOWNERS GROVE, IL | 1/13/2017 | 00795377-05 | Pending-Cleared |
| INVESCO UNIT TR TAXABLE INCOME SERIES 591 INVESTMENT GRADE INCOME TR 7 13 YEAR SERIES 61 | DOWNERS GROVE, IL | 1/13/2017 | 00795376-05 | Pending-Cleared |
| MORGAN STANLEY GLOBAL INVESTMENT SOLUTIONS GLOBAL BEST BUSINESS MODELS SERIES 1 | PURCHASE, NY | 1/13/2017 | 00795378-05 | Pending-Cleared |

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| Firm Name | Location | Date Received | File Number | Status |
| NUVEEN INVESTMENT TR V NUVEEN MULTI ASSET INCOME FUND CLASS A | CHIGACO, IL | 1/13/2017 | 00794833-03 | Registered |
| NUVEEN INVESTMENT TR V NUVEEN MULTI ASSET INCOME FUND CLASS I | CHIGACO, IL | 1/13/2017 | 00794830-03 | Registered |
| NUVEEN INVESTMENT TR V NUVEEN MULTI ASSET INCOME FUND CLASS C | CHIGACO, IL | 1/13/2017 | 00794827-03 | Registered |
| NUVEEN INVESTMENT TR V NUVEEN MULTI ASSET INCOME FUND CLASS R6 | CHIGACO, IL | 1/13/2017 | 00794828-03 | Registered |
| NUVEEN INVESTMENT TR V NUVEEN MULTI ASSET INCOME TAX AWARE FUND CLASS C | CHIGACO, IL | 1/13/2017 | 00794832-03 | Registered |
| NUVEEN INVESTMENT TR V NUVEEN MULTI ASSET INCOME TAX AWARE FUND CLASS R6 | CHIGACO, IL | 1/13/2017 | 00794831-03 | Registered |
| NUVEEN INVESTMENT TR V NUVEEN MULTI ASSET INCOME TAX AWARE FUND CLASS I | CHIGACO, IL | 1/13/2017 | 00794834-03 | Registered |
| NUVEEN INVESTMENT TR V NUVEEN MULTI ASSET INCOME TAX AWARE FUND CLASS A | CHIGACO, IL | 1/13/2017 | 00794829-03 | Registered |
| PAYDEN & RYGEL INVESTMENT GROUP PAYDEN EMERGING MARKETS BOND FUND SI CLASS | LOS ANGELES, CA | 1/13/2017 | 00794514-03 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1555 GUGGENHEIM BALANCED INCOME BUILDER PORTFOLIO SERIES 18 | LISLE, IL | 1/12/2017 | 00794516-05 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1556 GUGGENHEIM US HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 23 | LISLE, IL | 1/12/2017 | 00794520-05 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1556 GUGGENHEIM US SMID HIGH DIVIDEND PORTFOLIO SERIES 23 | LISLE, IL | 1/12/2017 | 00794517-05 | Registered |
| NUVEEN UNIT INVESTMENT TR SERIES 179 NUVEEN 2017 EQUITY OUTLOOK PORTFOLIO | CHICAGO, IL | 1/12/2017 | 00794519-05 | Registered |
| NUVEEN UNIT INVESTMENT TR SERIES 180 NUVEEN LARGE CAP DIVIDEND PORTFOLIO 1Q 2017 | CHICAGO, IL | 1/12/2017 | 00794518-05 | Registered |
| FT 6437 SMID HIGH DIVIDEND PORTFOLIO SERIES 24 | WHEATON, IL | 1/11/2017 | 00794586-05 | Registered |
| FT 6440 DIVIDEND & INCOME SELECT CLOSED END PORTFOLIO SERIES 57 | WHEATON, IL | 1/11/2017 | 00794588-05 | Registered |
| FT 6445 SABRIENT BAKERS DOZEN PORTFOLIO 2017 SERIES | WHEATON, IL | 1/11/2017 | 00794590-05 | Registered |
| FT 6463 MUNICIPAL INCOME CLOSED END PORTFOLIO SERIES 69 | WHEATON, IL | 1/11/2017 | 00794593-05 | Registered |
| FT 6465 SELECT DSIP PORTFOLIO 1ST QUARTER 2017 SERIES | WHEATON, IL | 1/11/2017 | 00794592-05 | Registered |
| FT 6476 NASDAQ DIVIDEND ACHIEVERS 25 PORTFOLIO SERIES 9 | WHEATON, IL | 1/11/2017 | 00794589-05 | Registered |
| FT 6483 MUNICIPAL INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 42 | WHEATON, IL | 1/11/2017 | 00794585-05 | Registered |

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| FT 6486 BOFA MERRILL LYNCH 11 STOCKS FOR 2017 PORTFOLIO | WHEATON, IL | 1/11/2017 | 00794591-05 | Registered |
| FT 6519 SENIOR LOAN SELECT CLOSED END PORTFOLIO SERIES 23 | WHEATON, IL | 1/11/2017 | 00794587-05 | Registered |
| FS SERIES TR FS MULTI STRATEGY ALTERNATIVE FUND | PHILADELPHIA, PA | 1/10/2017 | 00794542-03 | Registered |
| 1ST TR COMBINED SERIES 547 TX EX MUNICIPAL INCOME TR INTERMEDIATE SERIES 28 | WHEATON, IL | 1/9/2017 | 00794470-05 | Registered |
| FT 6436 CYCLICAL STRENGTH PORTFOLIO SERIES 16 | WHEATON, IL | 1/9/2017 | 00794476-05 | Registered |
| FT 6438 40 60 STRATEGIC ALLOCATION PORT 1Q 17 TERM 4 18 18 | WHEATON, IL | 1/9/2017 | 00794495-05 | Registered |
| FT 6439 1ST TR ETF ALLOCATION PORTFOLIO SERIES 19 | WHEATON, IL | 1/9/2017 | 00794469-05 | Registered |
| FT 6441 SABRIENT SMALL CAP GROWTH PORTFOLIO SERIES 13 | WHEATON, IL | 1/9/2017 | 00794468-05 | Registered |
| FT 6453 60 40 STRATEGIC ALLOCATION PORT 1Q 17 TERM 4 16 18 | WHEATON, IL | 1/9/2017 | 00794494-05 | Registered |
| FT 6453 75 25 STRATEGIC ALLOCATION PORT 1Q 17 TERM 4 16 18 | WHEATON, IL | 1/9/2017 | 00794496-05 | Registered |
| FT 6454 DIVERSIFIED FIXED INCOME ETF PORTFOLIO SERIES 29 | WHEATON, IL | 1/9/2017 | 00794471-05 | Registered |
| FT 6466 EUROPEAN TARGET HIGH QUALITY DIVIDEND PORTFOLIO SERIES 12 | WHEATON, IL | 1/9/2017 | 00794493-05 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| FT 6466 TARGET DIVIDEND BLEND PORTFOLIO SERIES 12 | WHEATON, IL | 1/9/2017 | 00794492-05 | Registered |
| FT 6466 TARGET HIGH QUALITY DIVIDEND PORTFOLIO SERIES 17 | WHEATON, IL | 1/9/2017 | 00794497-05 | Registered |
| FT 6467 DIVERSIFIED EQUITY STRATEGIC ALLOCATION PORT 1Q 17 TERM 4 16 18 | WHEATON, IL | 1/9/2017 | 00794477-05 | Registered |
| FT 6468 INCOME ALLOCATION CLOSED END 1Q 17 | WHEATON, IL | 1/9/2017 | 00794474-05 | Registered |
| FT 6469 DOW TARGET 10 JAN 17 TERM 2 9 18 | WHEATON, IL | 1/9/2017 | 00794472-05 | Registered |
| FT 6470 DOW TARGET 5 1Q 17 TERM 4 9 18 | WHEATON, IL | 1/9/2017 | 00794491-05 | Registered |
| FT 6470 DOW TARGET DVD 1Q 17 TERM 4 9 18 | WHEATON, IL | 1/9/2017 | 00794484-05 | Registered |
| FT 6470 GLOBAL TARGET 15 1Q 17 TERM 4 9 18 | WHEATON, IL | 1/9/2017 | 00794490-05 | Registered |
| FT 6470 S&P TARGET 24 1Q 17 TERM 4 9 18 | WHEATON, IL | 1/9/2017 | 00794489-05 | Registered |
| FT 6470 S&P TARGET SMID 60 1Q 17 TERM 4 9 18 | WHEATON, IL | 1/9/2017 | 00794487-05 | Registered |
| FT 6470 TARGET DBL PLAY 1Q 17 TERM 4 9 18 | WHEATON, IL | 1/9/2017 | 00794486-05 | Registered |
| FT 6470 TARGET DIVSD DVD 1Q 17 TERM 4 9 18 | WHEATON, IL | 1/9/2017 | 00794485-05 | Registered |
| FT 6470 TARGET FOCUS 4 1Q 17 TERM 4 9 18 | WHEATON, IL | 1/9/2017 | 00794488-05 | Registered |
| FT 6470 TARGET GLOBAL DVD LEADERS 1Q 17 TERM 4 9 18 | WHEATON, IL | 1/9/2017 | 00794483-05 | Registered |
| FT 6470 TARGET GROWTH 1Q 17 TERM 4 9 18 | WHEATON, IL | 1/9/2017 | 00794479-05 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| FT 6470 TARGET TRIAD 1Q 17 TERM 4 9 18 | WHEATON, IL | 1/9/2017 | 00794481-05 | Registered |
| FT 6470 TARGET VIP 1Q 17 TERM 4 9 18 | WHEATON, IL | 1/9/2017 | 00794482-05 | Registered |
| FT 6470 VALUE LINE TARGET 25 1Q 17 TERM 4 9 18 | WHEATON, IL | 1/9/2017 | 00794480-05 | Registered |
| FT 6474 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 43 | WHEATON, IL | 1/9/2017 | 00794478-05 | Registered |
| FT 6475 HIGH DIVIDEND EQUITY ALLOCATION PORTFOLIO SERIES 22 | WHEATON, IL | 1/9/2017 | 00794475-05 | Pending-Cleared |
| FT 6477 STRATEGIC DIVIDEND SELECT PORTFOLIO SERIES 27 | WHEATON, IL | 1/9/2017 | 00794467-05 | Registered |
| GMO SERIES TR GMO EMERGING COUNTRY DEBT SERIES FUND CLASS PS | BOSTON, MA | 1/9/2017 | 00794340-03 | Registered |
| PFS FUNDS NWM MOMENTUM FUND | EL CAJON, CA | 1/9/2017 | 00794499-03 | Registered |
| SMART TR 290 SMART TR MILLER HOWARD NORTH AMERICAN ENERGY OPPORTUNITIES TR SERIES 5 | PARSIPPANY, NJ | 1/9/2017 | 00794473-05 | Registered |
| Number of Investment Company Filings: 64 | | | | |

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|--------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| EIGHTFOLD REAL ESTATE CAPITAL FUND 5 LP | MIAMI, FL | 1/13/2017 | 00794632-07 | Filed |
| EVEN STEVENS SANDWICHES LLC | WEST JORDAN, UT | 1/13/2017 | 00794621-07 | Filed |
| HAMPDEN AGENCIES LTD | LONDON, AA | 1/13/2017 | 00795371-07 | Filed |

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|---|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| HIGHLANDS BANCORP INC | VERNON, NJ | 1/13/2017 | 00794631-07 | Filed |
| INCLINE EQUITY PARTNERS 4 LP | PITTSBURGH, PA | 1/13/2017 | 00794628-07 | Filed |
| INTEGRATED CROWDFUNDING LLC | WOODBURY, NY | 1/13/2017 | 00794627-07 | Filed |
| LANDMARK EQUITY PARTNERS 16 LP | SIMSBURY, CT | 1/13/2017 | 00794629-07 | Filed |
| LANDMARK EQUITY PARTNERS 16 OFFSHORE LP | SIMSBURY, CT | 1/13/2017 | 00794630-07 | Filed |
| LANDMARK REAL ESTATE PARTNERS 8 LP | SIMSBURY, CT | 1/13/2017 | 00794626-07 | Filed |
| LANDMARK REAL ESTATE PARTNERS 8 OFFSHORE LP | SIMSBURY, CT | 1/13/2017 | 00794624-07 | Filed |
| LLH INVESTMENT FUND 2 LLC | DEXTER, MO | 1/13/2017 | 00794619-07 | Filed |
| MP127 LLC | CLEVELAND, OH | 1/13/2017 | 00794634-07 | Filed |
| NEW HARBOR CAPITAL FUND 2 LP | CHICAGO, IL | 1/13/2017 | 00794625-07 | Filed |
| SAVILE ROW FRONTIER OPPORTUNITIES T LLC | CARMEL, IN | 1/13/2017 | 00794635-07 | Filed |
| SPI MISSION RANCH LLC | FRISCO, TX | 1/13/2017 | 00794620-07 | Filed |
| STATE FARM MUTUAL AUTOMOBILE INSURANCE CO | BLOOMINGTON, IL | 1/13/2017 | 00794622-07 | Filed |
| STONEHEDGE CAPITAL FUND LP | NEW YORK, NY | 1/13/2017 | 00794636-07 | Filed |
| SUGAR VEGAS 2 LLC | CHICAGO, IL | 1/13/2017 | 00794623-07 | Filed |
| SUNDANCE MINING GROUP LLC | WASILLA, AK | 1/13/2017 | 00794633-07 | 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 |
| ASPIRIANT HOLDINGS LLC | LOS ANGELES, CA | 1/12/2017 | 00794533-07 | Filed |
| PRUDENTIAL CAPITAL ENERGY PARTNERS LP | CHICAGO, IL | 1/12/2017 | 00794534-07 | Filed |
| TITAN SPINE LLC | MEQUON, WI | 1/12/2017 | 00794536-07 | Filed |
| EAST COAST WHOLESALE PORTFOLIO DST | OAK BROOK, IL | 1/11/2017 | 00794594-07 | Filed |
| PASSCO ALMERIA DST | IRVINE, CA | 1/11/2017 | 00794595-07 | Filed |
| Number of Regulation D Notice Filings: 24 | | | | |

| Franchise Law Filings Made with DFI's Securities Division | | | | |
|--|---------------------|----------------------|--------------------|---------------|
| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| G.J. Gardner Homes (USA) PTY LTD / G.J. Gardner Homes | Mooloolaba, QLD | 1/13/2017 | 614404 | Registered |
| SIT MEANS SIT FRANCHISE INC / SIT MEANS SIT | LAS VEGAS, NV | 1/12/2017 | 614399 | Registered |
| Club KO Franchise, LLC / CKO Kickboxing | Hoboken, NJ | 1/12/2017 | 614398 | Registered |
| Craft Beer Stellar, LLC / Craft Beer Cellar | Belmont, MA | 1/11/2017 | 614395 | Registered |
| Apex Fun Run, LLC / Apex Fun Run | Phoenix, AZ | 1/11/2017 | 614394 | Registered |
| Agent Clean Franchising, LLC / Agent Clean | Walcott, IA | 1/11/2017 | 614392 | Registered |
| 14 Moves International, LLC / 14 Moves | Vadnais Heights, MN | 1/10/2017 | 614391 | Registered |
| Hire Quest, L.L.C. / "Acrux" and "Trojan Labor" | Charleston, SC | 1/10/2017 | 614390 | Registered |
| Board and Brush Creative Studio Franchising LLC | Hartland, WI | 1/10/2017 | 614388 | Registered |
| Dale Carnegie & Associates, Inc. / Dale Carnegie Training | Hauppauge, NY | 1/9/2017 | 614382 | Registered |
| Number of Franchise Filings: 10 | | | | |

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