

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/11/2016 through 12/17/2016**

<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>
<b>Number of Registration Filings: 0</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>
<b>Number of Exemption Filings: 0</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>
INVESTMENT MANAGERS SERIES TR 361 US SMALL CAP EQUITY FUND CLASS Y	MILWAUKEE, WI	12/16/2016	00793109-03	Registered
INVESTMENT MANAGERS SERIES TR 361 US SMALL CAP EQUITY FUND CLASS I	MILWAUKEE, WI	12/16/2016	00793108-03	Registered
INVESTMENT MANAGERS SERIES TR 361 US SMALL CAP EQUITY FUND INVESTOR CLASS	MILWAUKEE, WI	12/16/2016	00793107-03	Registered
THORNBURG INVESTMENT TR THORNBURG LONG SHORT EQUITY FUND CLASS I	SANTA FE, NM	12/16/2016	00793110-03	Pending-Cleared
ENTREPRENEUR SHARES SERIES TR ENTREPRENEUR US LARGE CAP FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/15/2016	00793040-03	Registered
INVESTMENT MANAGERS SERIES TR 2 ACR INTERNATIONAL QUALITY RETURN IQR FUND CLASS A SHARES	MILWAUKEE, WI	12/15/2016	00793041-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR 2 ACR INTERNATIONAL QUALITY RETURN IQR FUND CLASS I SHARES	MILWAUKEE, WI	12/15/2016	00793042-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/11/2016 through 12/17/2016**

<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>
MUTUAL FUND SERIES TR CATALYST IPOX ALLOCATION FUND CLASS I	HAUPPAUGE, NY	12/15/2016	00793114-03	Registered
MUTUAL FUND SERIES TR EVENTIDE MULTI ASSET INCOME FUND CLASS I SHARES	HAUPPAUGE, NY	12/15/2016	00793113-03	Registered
ADVISORS DISCIPLINED TR 1755 BAHL & GAYNOR SMIG SMALL MID CAP INCOME GROWTH PORTFOLIO SERIES 2016 4Q	MONUMENT, CO	12/14/2016	00793129-05	Registered
ADVISORS DISCIPLINED TR 1755 DIVIDEND INCOME VALUE STRATEGY PORTFOLIO SERIES 2016 4Q	MONUMENT, CO	12/14/2016	00793143-05	Registered
ADVISORS DISCIPLINED TR 1755 HIGH 50 DIVIDEND STRATEGY PORTFOLIO SERIES 2016 4Q	MONUMENT, CO	12/14/2016	00793142-05	Registered
ADVISORS DISCIPLINED TR 1755 PERONI GROWTH PORTFOLIO WINTER 2017 SERIES	MONUMENT, CO	12/14/2016	00793141-05	Registered
ADVISORS DISCIPLINED TR 1756 Q GARP PORTFOLIO SERIES 2016 4Q	MONUMENT, CO	12/14/2016	00793130-05	Registered
ADVISORS DISCIPLINED TR 1757 AMERICAN RENAISSANCE PORTFOLIO SERIES 2016 4 CJL PORTFOLIO	MONUMENT, CO	12/14/2016	00793131-05	Registered
ADVISORS DISCIPLINED TR 1757 COHEN & STEERS CONVERTIBLE & INCOME CLOSED END PORTFOLIO SERIES 2016 4	MONUMENT, CO	12/14/2016	00793144-05	Registered
ADVISORS DISCIPLINED TR 1757 COHEN & STEERS MLP MIDSTREAM & ENERGY INCOME CLOSED END PORTFOLIO SERIES 2016 4	MONUMENT, CO	12/14/2016	00793137-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/11/2016 through 12/17/2016**

<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 1757 COHEN & STEERS PREFERRED INCOME OPPORTUNITIES PORTFOLIO SERIES 2016 4	MONUMENT, CO	12/14/2016	00793139-05	Registered
ADVISORS DISCIPLINED TR 1757 GLOBAL BASIC MATERIALS PORTFOLIO SERIES 2016 4	MONUMENT, CO	12/14/2016	00793140-05	Registered
ADVISORS DISCIPLINED TR 1757 UTILITIES PORTFOLIO SERIES 2016 4 HIMCO PORTFOLIO	MONUMENT, CO	12/14/2016	00793138-05	Registered
ADVISORS DISCIPLINED TR 1768 BUILDING AMERICA STRATEGY PORTFOLIO SERIES 2016 4	MONUMENT, CO	12/14/2016	00793128-05	Registered
AQR FUNDS AQR EMERGING RELAXED CONSTRAINT EQUITY FUND CLASS R6	GREENWICH, CT	12/14/2016	00789516-03	Registered
AQR FUNDS AQR EMERGING RELAXED CONSTRAINT EQUITY FUND CLASS N	GREENWICH, CT	12/14/2016	00789515-03	Registered
AQR FUNDS AQR EMERGING RELAXED CONSTRAINT EQUITY FUND CLASS I	GREENWICH, CT	12/14/2016	00789514-03	Registered
AQR FUNDS AQR INTERNATIONAL RELAXED CONSTRAINT EQUITY FUND CLASS I	GREENWICH, CT	12/14/2016	00789511-03	Registered
AQR FUNDS AQR INTERNATIONAL RELAXED CONSTRAINT EQUITY FUND CLASS N	GREENWICH, CT	12/14/2016	00789512-03	Registered
AQR FUNDS AQR INTERNATIONAL RELAXED CONSTRAINT EQUITY FUND CLASS R6	GREENWICH, CT	12/14/2016	00789513-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/11/2016 through 12/17/2016**

<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>
AQR FUNDS AQR LARGE CAP RELAXED CONSTRAINT EQUITY FUND CLASS N	GREENWICH, CT	12/14/2016	00789506-03	Registered
AQR FUNDS AQR LARGE CAP RELAXED CONSTRAINT EQUITY FUND CLASS R6	GREENWICH, CT	12/14/2016	00789507-03	Registered
AQR FUNDS AQR LARGE CAP RELAXED CONSTRAINT EQUITY FUND CLASS I	GREENWICH, CT	12/14/2016	00789505-03	Registered
AQR FUNDS AQR SMALL CAP RELAXED CONSTRAINT EQUITY FUND CLASS N	GREENWICH, CT	12/14/2016	00789509-03	Registered
AQR FUNDS AQR SMALL CAP RELAXED CONSTRAINT EQUITY FUND CLASS I	GREENWICH, CT	12/14/2016	00789508-03	Registered
AQR FUNDS AQR SMALL CAP RELAXED CONSTRAINT EQUITY FUND CLASS R6	GREENWICH, CT	12/14/2016	00789510-03	Registered
FEDERATED INTERNATIONAL SERIES INC FEDERATED GLOBAL TOTAL RETURN BOND FUND INSTITUTIONAL SHARES	WARRENDALE, PA	12/14/2016	00792822-03	Registered
FINANCIAL INVESTORS TR ASPEN PORTFOLIO STRATEGY FUND CLASS A SHARES	DENVER, CO	12/14/2016	00789503-03	Registered
FINANCIAL INVESTORS TR ASPEN PORTFOLIO STRATEGY FUND CLASS I SHARES	DENVER, CO	12/14/2016	00789504-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1546 EUROPEAN HIGH DIVIDEND PORTFOLIO SERIES 7	LISLE, IL	12/14/2016	00793133-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1547 GUGGENHEIM DISCOUNT OPPORTUNITY STRATEGY PORTFOLIO OF CEFS SERIES 11	LISLE, IL	12/14/2016	00793132-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/11/2016 through 12/17/2016**

<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>
NUVEEN UNIT INVESTMENT TR SERIES 174 NUVEEN CORE REAL ESTATE SECURITIES PORTFOLIO 4Q 2016	CHICAGO, IL	12/14/2016	00793134-05	Registered
NUVEEN UNIT INVESTMENT TR SERIES 175 NUVEEN NAJARIAN HEAT SEEKER PORTFOLIO 4Q 2016	CHICAGO, IL	12/14/2016	00793136-05	Registered
NUVEEN UNIT INVESTMENT TR SERIES 176 NUVEEN BALANCE SHEET STRENGTH PORTFOLIO 4Q 2016	CHICAGO, IL	12/14/2016	00793135-05	Registered
INVESCO UNIT TR SERIES 1726	DOWNERS GROVE, IL	12/13/2016	00793117-05	Pending-Cleared
INVESCO UNIT TR SERIES 1727	DOWNERS GROVE, IL	12/13/2016	00793118-05	Pending-Cleared
INVESCO UNIT TR SERIES 1728	DOWNERS GROVE, IL	12/13/2016	00793119-05	Pending-Cleared
INVESCO UNIT TR SERIES 1729 CENTRAL EQUITY TR DIVERSIFIED INCOME SERIES 2017 1	DOWNERS GROVE, IL	12/13/2016	00793120-05	Pending-Cleared
INVESCO UNIT TR SERIES 1730 DIVIDEND INCOME & VALUE PORTFOLIO 2017 1	DOWNERS GROVE, IL	12/13/2016	00793121-05	Pending-Cleared
INVESCO UNIT TR SERIES 1731	DOWNERS GROVE, IL	12/13/2016	00793122-05	Pending-Cleared
INVESCO UNIT TR SERIES 1732 AMERICAN INFRASTRUCTURE GROWTH PORTFOLIO 2017 1	DOWNERS GROVE, IL	12/13/2016	00793123-05	Pending-Cleared
INVESCO UNIT TR SERIES 1733 BUYBACK LEADERS PORTFOLIO 2017 1	DOWNERS GROVE, IL	12/13/2016	00793124-05	Pending-Cleared
SMART TR 285 SMART TR TAX ADVANTAGED GROWTH & INCOME SERIES 12	PARSIPPANY, NJ	12/13/2016	00793167-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/11/2016 through 12/17/2016**

<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>
SMART TR 286 SMART TR PORTFOLIO OF CLOSED END FUND OPPORTUNITIES TR SERIES 11	PARSIPPANY, NJ	12/13/2016	00793168-05	Registered
DFA INVESTMENT DIMENSIONS GROUP INC GLOBAL SMALL CO PORTFOLIO INSTITUTIONAL CLASS SHARES	AUSTIN, TX	12/12/2016	00792800-03	Pending-Cleared
HANCOCK JOHN BOND TR HANCOCK JOHN ESG CORE BOND FUND CLASS R6	BOSTON, MA	12/12/2016	00792805-03	Registered
HANCOCK JOHN BOND TR HANCOCK JOHN ESG CORE BOND FUND CLASS A	BOSTON, MA	12/12/2016	00792803-03	Registered
HANCOCK JOHN BOND TR HANCOCK JOHN ESG CORE BOND FUND CLASS I	BOSTON, MA	12/12/2016	00792804-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN ESG INTERNATIONAL EQUITY FUND CLASS R6	BOSTON, MA	12/12/2016	00792799-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN ESG INTERNATIONAL EQUITY FUND CLASS I	BOSTON, MA	12/12/2016	00792802-03	Registered
HANCOCK JOHN INVESTMENT TR HANCOCK JOHN ESG INTERNATIONAL EQUITY FUND CLASS A	BOSTON, MA	12/12/2016	00792801-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC EMERGING MARKETS BREAKOUT NATIONS PORTFOLIO CLASS IS	NEW YORK, NY	12/12/2016	00792809-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC EMERGING MARKETS BREAKOUT NATIONS PORTFOLIO CLASS I	NEW YORK, NY	12/12/2016	00792806-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/11/2016 through 12/17/2016**

<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>
MORGAN STANLEY INSTITUTIONAL FUND INC EMERGING MARKETS BREAKOUT NATIONS PORTFOLIO CLASS C	NEW YORK, NY	12/12/2016	00792808-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC EMERGING MARKETS BREAKOUT NATIONS PORTFOLIO CLASS A	NEW YORK, NY	12/12/2016	00792807-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 9 PRUDENTIAL INTERNATIONAL BOND FUND CLASS Z	NEWARK, NJ	12/12/2016	00789400-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 9 PRUDENTIAL INTERNATIONAL BOND FUND CLASS C	NEWARK, NJ	12/12/2016	00789399-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 9 PRUDENTIAL INTERNATIONAL BOND FUND CLASS A	NEWARK, NJ	12/12/2016	00789397-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 9 PRUDENTIAL INTERNATIONAL BOND FUND CLASS Q	NEWARK, NJ	12/12/2016	00789398-03	Registered
<b>Number of Investment Company Filings: 66</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>
ARCADIAN QUAY HOLDINGS LLC	ATLANTA, GA	12/16/2016	00789496-07	Filed
CALLINEX MINES INC	VANCOUVER, BC	12/16/2016	00789494-07	Filed
CAMELLIA STATION HOLDINGS LLC	ATLANTA, GA	12/16/2016	00789495-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/11/2016 through 12/17/2016**

<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>
DPIP FUND 1 SERIES OF ALTERNATIVE STRATEGIES DIRECT PRIVATE INVESTMENT PROGRAM LLC	CHARLOTTE, NC	12/16/2016	00789492-07	Filed
FASETTO LLC	SUPERIOR, WI	12/16/2016	00793112-07	Filed
FSX HOLDINGS LLC	DALLAS, TX	12/16/2016	00789487-07	Filed
GRAYMETA INC	AGOURA, CA	12/16/2016	00789485-07	Filed
HIGH GRAVITY C LANGE 1 LP	BOWLING GREEN, KY	12/16/2016	00789493-07	Filed
MLG PF RIVER GLENN CO INVESTOR LLC	BROOKFIELD, WI	12/16/2016	00789486-07	Filed
NEUROTROPE INC	NEW YORK, NY	12/16/2016	00789484-07	Filed
OVATION ALTERNATIVE INCOME FUND LP	AUSTIN, TX	12/16/2016	00789490-07	Filed
PURA VIDA ONSHORE FUND 1 LP	NEW YORK, NY	12/16/2016	00789489-07	Filed
SHOPOFF COMMERCIAL GROWTH & INCOME FUND 3 LP	IRVINE, CA	12/16/2016	00789488-07	Filed
VESTIGE SETTLEMENTS 2 LLC	GREENWOOD, IN	12/16/2016	00789483-07	Filed
YUKON CAPITAL PARTNERS PARALLEL 3 LP	MINNEAPOLIS, MN	12/16/2016	00793030-07	Filed
SERRA CAPITAL 3 LP	CHAMPAIGN, IL	12/15/2016	00793086-07	Filed
KIDZ MEDIA INVESTMENTS LLC	BURBANK, CA	12/14/2016	00793127-07	Filed
COHERENCE CAPITAL SPECTRUM FUND ONSHORE LP	NEW YORK, NY	12/13/2016	00793169-07	Filed
JONES FINANCIAL CO LLLP	DES PERES, MO	12/12/2016	00793145-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 12/11/2016 through 12/17/2016**

<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>
OAKTREE HIGH INCOME OCONVERTIBLE FUND 2 LP	LOS ANGELES, CA	12/12/2016	00793151-07	Filed
<b>Number of Regulation D Notice Filings: 20</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>
Freedom Franchise Systems, LLC / Freedom Boat Club	Venice, FL	12/16/2016	614332	Registered
INTERIM HEALTHCARE INC. / INTERIM HEALTHCARE HOSPICE	SUNRISE, FL	12/16/2016	614331	Registered
SANDLER SYSTEMS INC / SANDLER TRAINING	Owings Mills, MD	12/15/2016	614329	Registered
Legacy Franchise Group, LLC / Country Kitchen Restaurants	Middleton, WI	12/14/2016	614328	Registered
The Barbers, Hairstyling for Men & Women, Inc. / SMARTSTYLE	Minneapolis, MN	12/14/2016	614326	Registered
Code Ninjas, LLC / Code Ninjas	Pearland, TX	12/13/2016	614324	Registered
KALEIDOSCOOPS INC / Kaleidoscoops	Amarillo, TX	12/13/2016	614322	Registered
<b>Number of Franchise Filings: 7</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>	