

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/1/2017 through 1/7/2017**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Number of Registration Filings: 0				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
KNIGHTSCOPE INC	MOUNTAIN VIEW, CA	1/3/2017	00794438-25	Filed
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
ADVISORS DISCIPLINED TR 1745 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITY PORTFOLIO SERIES 116	MONUMENT, CO	1/6/2017	00794463-05	Registered
ADVISORS DISCIPLINED TR 1759 BLUE CHIP COVERED CALL PORTFOLIO SERIES 2017 1Q	MONUMENT, CO	1/6/2017	00794460-05	Registered
ADVISORS DISCIPLINED TR 1760 GLOBAL TECHNOLOGY PORTFOLIO SERIES 2017 1	MONUMENT, CO	1/6/2017	00794461-05	Registered
ADVISORS DISCIPLINED TR 1761 INCOME QUALITY COVERED CALL PORTFOLIO SERIES 2017 1Q	MONUMENT, CO	1/6/2017	00794462-05	Registered
FEDERATED EQUITY FUNDS FEDERATED GLOBAL STRATEGIC VALUE DIVIDEND FUND CLASS A SHARES	WARRENDALE, PA	1/6/2017	00794053-03	Pending-Cleared
FEDERATED EQUITY FUNDS FEDERATED GLOBAL STRATEGIC VALUE DIVIDEND FUND CLASS C SHARES	WARRENDALE, PA	1/6/2017	00794052-03	Pending-Cleared

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FEDERATED EQUITY FUNDS FEDERATED GLOBAL STRATEGIC VALUE DIVIDEND FUND INSTITUTIONAL SHARES	WARRENDALE, PA	1/6/2017	00794054-03	Pending-Cleared
FEDERATED EQUITY FUNDS FEDERATED GLOBAL STRATEGIC VALUE DIVIDEND FUND CLASS R6 SHARES	WARRENDALE, PA	1/6/2017	00794055-03	Pending-Cleared
FEDERATED INCOME SECURITIES TR FEDERATED SHORT TERM INCOME FUND CLASS R6 SHARES	WARRENDALE, PA	1/6/2017	00794051-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1554 ENERGY PORTFOLIO SERIES 22	LISLE, IL	1/6/2017	00794465-05	Registered
IVY FUNDS IVY IG INTERNATIONAL SMALL CAP FUND CLASS A SHARES	SHAWNEE MISSION, KS	1/6/2017	00794046-03	Registered
IVY FUNDS IVY IG INTERNATIONAL SMALL CAP FUND CLASS C SHARES	SHAWNEE MISSION, KS	1/6/2017	00794047-03	Registered
IVY FUNDS IVY IG INTERNATIONAL SMALL CAP FUND CLASS I SHARES	SHAWNEE MISSION, KS	1/6/2017	00794048-03	Registered
IVY FUNDS IVY IG INTERNATIONAL SMALL CAP FUND CLASS R6 SHARES	SHAWNEE MISSION, KS	1/6/2017	00794050-03	Registered
IVY FUNDS IVY IG INTERNATIONAL SMALL CAP FUND CLASS Y SHARES	SHAWNEE MISSION, KS	1/6/2017	00794049-03	Registered
NUVEEN UNIT INVESTMENT TR SERIES 178 NUVEEN NWQ DIVERSIFIED INCOME PORTFOLIO 1Q 2017	CHICAGO, IL	1/6/2017	00794464-05	Registered
MANAGED PORTFOLIO SERIES JACKSON SQUARE SMID CAP GROWTH FUND IS CLASS	MILWAUKEE, WI	1/5/2017	00794459-03	Registered

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ADVISORS DISCIPLINED TR 1758 BALANCED PORTFOLIO SERIES 2017 1	MONUMENT, CO	1/4/2017	00794452-05	Registered
ADVISORS DISCIPLINED TR 1758 COHEN & STEERS EQUITY DIVIDEND & INCOME CLOSED END PORTFOLIO SERIES 2017 1	MONUMENT, CO	1/4/2017	00794450-05	Registered
ALPS SERIES TR CLARKSTON FOUNDERS FUND INSTITUTIONAL CLASS	DENVER, CO	1/4/2017	00793972-03	Registered
ALPS SERIES TR CLARKSTON SELECT FUND INSTITUTIONAL CLASS	DENVER, CO	1/4/2017	00793971-03	Registered
FT 6449 CORE 3 CLOSED END ALLOCATION PORTFOLIO SERIES 27	WHEATON, IL	1/4/2017	00794449-05	Registered
FT 6450 EQUITY CLOSED END PORTFOLIO SERIES 43	WHEATON, IL	1/4/2017	00794442-05	Registered
FT 6451 BALANCED INCOME PORTFOLIO SERIES 55	WHEATON, IL	1/4/2017	00794448-05	Registered
FT 6452 TAX ADVANTAGED MUNICIPAL CLOSED END PORTFOLIO SERIES 50	WHEATON, IL	1/4/2017	00794445-05	Registered
FT 6462 CONTENT LEADERS PORTFOLIO SERIES 4	WHEATON, IL	1/4/2017	00794444-05	Registered
FT 6472 D A DAVIDSON TOP INSTITUTIONAL PICKS 2017	WHEATON, IL	1/4/2017	00794441-05	Registered
FT 6485 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES JAPAN OPPORTUNITIES PORTFOLIO 2017 1	WHEATON, IL	1/4/2017	00794443-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1552 ENHANCED QUALITY 16 STRATEGY PORTFOLIO SERIES 6	LISLE, IL	1/4/2017	00794454-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1552 S&P GLOBAL DIVIDEND ARISTOCRATS SELECT 25 STRATEGY PORTFOLIO SERIES 2	LISLE, IL	1/4/2017	00794451-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1553 STRATEGIC INCOME PORTFOLIO SERIES 96	LISLE, IL	1/4/2017	00794453-05	Registered
NUVEEN UNIT INVESTMENT TR SERIES 173 NUVEEN TIAA ESG GLOBAL DIVIDEND PORTFOLIO 1Q 2017	CHICAGO, IL	1/4/2017	00794455-05	Registered
SMART TR 288 SMART TR MORNINGSTAR DIVIDEND YIELD FOCUS TR SERIES 16	PARSIPPANY, NJ	1/4/2017	00794446-05	Registered
SMART TR 289 SMART TR DORSEY WRIGHT INTERNATIONAL MOMENTUM TR SERIES 6	PARSIPPANY, NJ	1/4/2017	00794447-05	Registered
LAZARD FUNDS INC LAZARD REAL ASSETS & PRICING OPPORTUNITIES PORTFOLIO INSTITUTIONAL SHARES	NEW YORK, NY	1/3/2017	00793973-03	Registered
NEEDHAM FUNDS INC NEEDHAM AGGRESSIVE GROWTH FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/3/2017	00794432-03	Registered
NEEDHAM FUNDS INC NEEDHAM GROWTH FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/3/2017	00794434-03	Registered
NEEDHAM FUNDS INC NEEDHAM SMALL CAP GROWTH FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/3/2017	00794433-03	Registered
PAX WORLD FUNDS SERIES TR I PAX CORE BOND FUND INDIVIDUAL INVESTOR CLASS	PORTSMOUTH, NH	1/3/2017	00793966-03	Registered

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Firm Name	Location	Date Received	File Number	Status
PAX WORLD FUNDS SERIES TR I PAX CORE BOND FUND INSTITUTIONAL CLASS	PORTSMOUTH, NH	1/3/2017	00793965-03	Registered
PAX WORLD FUNDS SERIES TR I PAX ESG BETA DIVIDEND FUND INDIVIDUAL INVESTOR CLASS	PORTSMOUTH, NH	1/3/2017	00793970-03	Registered
PAX WORLD FUNDS SERIES TR I PAX ESG BETA DIVIDEND FUND INSTITUTIONAL CLASS	PORTSMOUTH, NH	1/3/2017	00793968-03	Registered
PAX WORLD FUNDS SERIES TR I PAX LARGE CAP FUND INDIVIDUAL INVESTOR CLASS	PORTSMOUTH, NH	1/3/2017	00793967-03	Registered
PAX WORLD FUNDS SERIES TR I PAX LARGE CAP FUND INSTITUTIONAL CLASS	PORTSMOUTH, NH	1/3/2017	00793969-03	Registered
SUNAMERICA SPECIALTY SERIES AIG ESG DIVIDEND FUND CLASS A	JERSEY CITY, NJ	1/3/2017	00793974-03	Registered
SUNAMERICA SPECIALTY SERIES AIG ESG DIVIDEND FUND CLASS C	JERSEY CITY, NJ	1/3/2017	00793975-03	Registered
SUNAMERICA SPECIALTY SERIES AIG ESG DIVIDEND FUND CLASS W	JERSEY CITY, NJ	1/3/2017	00793976-03	Registered
USA MUTUALS USA MUTUALS CARBON BEACH DEEP VALUE FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	1/3/2017	00794431-03	Registered
Number of Investment Company Filings: 48				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CLOVERLAY FUND 1 LP	CONSHOHOCKE N, PA	1/6/2017	00794010-07	Filed
FALFURRIAS CAPITAL PARTNERS 3 LP	CHARLOTTE, NC	1/6/2017	00794018-07	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
FDS 1007 EVANSTON LLC	ARLINGTON, VA	1/6/2017	00794011-07	Filed
FORESTLINE PARTNERS LP	CHICAGO, IL	1/6/2017	00794466-07	Filed
QUEEN'S COVE HOLDINGS LLC	ATLANTA, GA	1/6/2017	00794014-07	Filed
RE MIXERS INC	MADISON, WI	1/6/2017	00794013-07	Filed
REI BAKKEN ACQUISITION & DEVELOPMENT FUND LP	RICHARDSON, TX	1/6/2017	00794009-07	Filed
SHALE ENERGY GROUP INC	MANDEVILLE, LA	1/6/2017	00794017-07	Filed
SUMMIT PARTNERS GROWTH EQUITY FUND 9 LP	BOSTON, MA	1/6/2017	00794015-07	Filed
WARBURG PINCUS CHINA LP	NEW YORK, NY	1/6/2017	00794016-07	Filed
WATERWAY GROVE HOLDINGS LLC	ATLANTA, GA	1/6/2017	00794019-07	Filed
14 WALNUT LLC	LONG LAKE, MN	1/5/2017	00794456-07	Filed
FRED SYNERGY LLC	MILWAUKEE, WI	1/3/2017	00794439-07	Filed
Number of Regulation D Notice Filings: 13				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
MMI-CPR, LLC / Cell Phone Repair (Area Rep)	Independence, OH	1/6/2017	614378	Registered
Fyzical, LLC / Fyzical	Sarasota, FL	1/6/2017	614377	Registered
Soldierfit Franchise, LLC / Soldierfit	Ijamsville, MD	1/5/2017	614373	Registered
Nurse Next Door Home Healthcare Services (USA) Inc. / Nurse Next Door	Vancouver, BC	1/5/2017	614372	Registered
GrowlerU Franco, LLC / "Growler USA"	Centennial, CO	1/4/2017	614369	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Alloy Wheel Repair Specialists, LLC	Norcross, GA	1/3/2017	614366	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	