

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/15/2017 through 1/21/2017**

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
RED RIBBON RANCH LLC	LA CANADA, CA	1/20/2017	00795432-08	Not Disallowed
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
AMG FUNDS AMG TIMESSQUARE EMERGING MARKETS SMALL CAP FUND CLASS Z	GREENWICH, CT	1/20/2017	00795282-03	Registered
FEDERATED EQUITY FUNDS FEDERATED INTERNATIONAL STRATEGIC VALUE DIVIDEND FUND CLASS R6 SHARES	WARRENDALE, PA	1/20/2017	00795279-03	Registered
FEDERATED FIXED INCOME SECURITIES INC FEDERATED STRATEGIC INCOME FUND CLASS R6 SHARES	WARRENDALE, PA	1/20/2017	00795277-03	Registered
FEDERATED HIGH INCOME BOND FUND INC CLASS R6 SHARES	WARRENDALE, PA	1/20/2017	00795280-03	Registered
FEDERATED HIGH INCOME BOND FUND INC INSTITUTIONAL SHARES	WARRENDALE, PA	1/20/2017	00795278-03	Registered
FT 6444 INTERNATIONAL CAPITAL STRENGTH PORTFOLIO SERIES 32	WHEATON, IL	1/20/2017	00795388-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 6444 SMID CAPITAL STRENGTH PORTFOLIO SERIES 32	WHEATON, IL	1/20/2017	00795389-05	Registered
FT 6446 ENERGY SELECT PORTFOLIO SERIES 62	WHEATON, IL	1/20/2017	00795386-05	Pending-Cleared
FT 6480 ETF GROWTH & INCOME JAN 17	WHEATON, IL	1/20/2017	00795383-05	Pending-Cleared
FT 6522 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 71	WHEATON, IL	1/20/2017	00795387-05	Registered
SMART TR 293 SMART TR ZACKS GARP COMPOSITE 35 TR SERIES 12	PARSIPPANY, NJ	1/20/2017	00795385-05	Registered
SMART TR 294 SMART TR SMART 10 TR SERIES 7	PARSIPPANY, NJ	1/20/2017	00795384-05	Registered
1ST TR COMBINED SERIES 548 TX EX MUNICIPAL INCOME TR SERIES 297	WHEATON, IL	1/19/2017	00795289-05	Registered
1ST TR COMBINED SERIES 549 TX EX MUNICIPAL INCOME TR 10 20 YEAR SERIES 29	WHEATON, IL	1/19/2017	00795288-05	Registered
FENIMORE ASSET MANAGEMENT TR FAM VALUE FUND INSTITUTIONAL CLASS	COBLESKILL, NY	1/19/2017	00795276-03	Registered
FT 6443 US ENERGY INDEPENDENCE PORTFOLIO SERIES 14	WHEATON, IL	1/19/2017	00795290-05	Registered
FT 6478 SENIOR LOAN & DIVIDEND GROWERS PORTFOLIO SERIES 12	WHEATON, IL	1/19/2017	00795287-05	Pending-Cleared
FT 6484 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 63	WHEATON, IL	1/19/2017	00795286-05	Registered
FT 6487 ELECTION PORTFOLIO 2016 SERIES 2	WHEATON, IL	1/19/2017	00795292-05	Registered

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FT 6527 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 83	WHEATON, IL	1/19/2017	00795291-05	Registered
FT 6442 BALANCED INCOME SELECT PORTFOLIO SERIES 64	WHEATON, IL	1/18/2017	00795306-05	Registered
FT 6464 CAPITAL STRENGTH BUY WRITE PORTFOLIO SERIES 30	WHEATON, IL	1/18/2017	00795305-05	Registered
FT 6471 INFLATION HEDGE OPPORTUNITY PORTFOLIO SERIES 32	WHEATON, IL	1/18/2017	00795307-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1575 SMID DIVIDEND STRENGTH PORTFOLIO SERIES 7	LISLE, IL	1/18/2017	00795311-05	Registered
NORTHERN LIGHTS FUND TR 2 NORTH STAR MICRO CAP FUND CLASS I SHARES	HAUPPAUGE, NY	1/18/2017	00794638-03	Registered
NUVEEN UNIT INVESTMENT TR SERIES 181 NUVEEN ARGUS MODERN INNOVATORS PORTFOLIO 1Q 2017	CHICAGO, IL	1/18/2017	00795310-05	Registered
SMART TR 291 SMART TR NASDAQ INTERNATIONAL DIVIDEND ACHIEVERS INDEX TR SERIES 10	PARSIPPANY, NJ	1/18/2017	00795309-05	Registered
SMART TR 292 SMART TR DEFENSIVE 50 EQUITIES TR SERIES 10	PARSIPPANY, NJ	1/18/2017	00795308-05	Registered
ADVISORS DISCIPLINED TR 1762 DIVIDEND RULER COVERED CALL PORTFOLIO SERIES 2017 1Q	MONUMENT, CO	1/17/2017	00795370-05	Registered
ADVISORS DISCIPLINED TR 1763 ANGELS PORTFOLIO SERIES 2017 1Q	MONUMENT, CO	1/17/2017	00795362-05	Registered

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Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1763 BEST IDEAS STRATEGY PORTFOLIO SERIES 2017 1Q HIMCO PORTFOLIO	MONUMENT, CO	1/17/2017	00795364-05	Registered
ADVISORS DISCIPLINED TR 1763 BRAND FAVORITES FOCUS PORTFOLIO SERIES 2017 1Q	MONUMENT, CO	1/17/2017	00795365-05	Registered
ADVISORS DISCIPLINED TR 1763 BULLDOG PORTFOLIO SERIES 2017 1Q CJL PORTFOLIO	MONUMENT, CO	1/17/2017	00795366-05	Registered
ADVISORS DISCIPLINED TR 1763 GLOBAL DIVIDEND STRATEGY PORTFOLIO SERIES 2017 1Q HIMCO PORTFOLIO	MONUMENT, CO	1/17/2017	00795367-05	Registered
ADVISORS DISCIPLINED TR 1763 NASDAQ Q 50 INDEXSM PORTFOLIO SERIES 2017 1Q	MONUMENT, CO	1/17/2017	00795368-05	Registered
ADVISORS DISCIPLINED TR 1763 STRATEGIC HIGH 50 Q 50 DIVIDEND & GROWTH PORTFOLIO SERIES 2017 1Q	MONUMENT, CO	1/17/2017	00795369-05	Registered
ADVISORS DISCIPLINED TR 1764 DIVIDEND RULER PORTFOLIO SERIES 2017 A	MONUMENT, CO	1/17/2017	00795363-05	Registered
INVESCO UNIT TR SERIES 1734	DOWNERS GROVE, IL	1/17/2017	00795356-05	Pending-Cleared
INVESCO UNIT TR SERIES 1737 INFLATION HEDGE PORTFOLIO 2017 1	DOWNERS GROVE, IL	1/17/2017	00795358-05	Pending-Cleared
INVESCO UNIT TR SERIES 1740 PREFERRED OPPORTUNITY PORTFOLIO 2017 1	DOWNERS GROVE, IL	1/17/2017	00795355-05	Pending-Cleared
INVESCO UNIT TR SERIES 1741 GLOBAL HIGH DIVIDEND PORTFOLIO 2017 1	DOWNERS GROVE, IL	1/17/2017	00795354-05	Pending-Cleared

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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 TAXABLE INCOME SERIES 592 INVESTMENT GRADE INCOME TR 20 PLUS YEAR SERIES 73	DOWNERS GROVE, IL	1/17/2017	00795360-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 593 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 66	DOWNERS GROVE, IL	1/17/2017	00795359-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 594 HIGH YIELD CORPORATE TR 4 7 YEAR SERIES 11	DOWNERS GROVE, IL	1/17/2017	00795357-05	Pending-Cleared
INVESTMENT MANAGERS SERIES TR ZACKS DIVIDEND FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	1/17/2017	00795361-03	Pending-Cleared
Number of Investment Company Filings: 45				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CAPE ANN GLOBAL DEVELOPING MARKETS FUND	GROTON, MA	1/20/2017	00795547-07	Filed
CRESCENT 7 MEZZANINE FUND OFFSHORE LP	NEW YORK, NY	1/20/2017	00795545-07	Filed
CUE BIOPHARMA INC	CAMBRIDGE, MA	1/20/2017	00795546-07	Filed
FETCH REWARDS INC	MADISON, WI	1/20/2017	00795563-07	Filed
GOBI CONCENTRATED PARTNERS LP	SAN FRANCISCO, CA	1/20/2017	00795555-07	Filed
GROCERKEY INC	MADISON, WI	1/20/2017	00795548-07	Filed
HOVER INC	SAN FRANCISCO, CA	1/20/2017	00795556-07	Filed
IDSC BLOCKER CORP	SAN FRANCISCO, CA	1/20/2017	00795382-07	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
INPOINT COMMERCIAL REAL ESTATE INCOME INC	OAK BROOK, IL	1/20/2017	00795553-07	Filed
IRONWOOD MEZZANINE FUND 4 LP	AVON, CT	1/20/2017	00795557-07	Filed
LRAF HOLDINGS 4 LP	SIMSBURY, CT	1/20/2017	00795560-07	Filed
MARSHALL WACE FUNDS LP MW JAPAN MARKET NEUTRAL US FUND 2	GEORGE TOWN, AA	1/20/2017	00795554-07	Filed
MDS 2017 MARCELLUS SHALE DEVELOPMENT LP	KITTANNING, PA	1/20/2017	00795562-07	Filed
PEAK ROCK CAPITAL CREDIT FUND 2 LP	AUSTIN, TX	1/20/2017	00795559-07	Filed
PEAK ROCK CAPITAL FUND 2 LP	AUSTIN, TX	1/20/2017	00795551-07	Filed
PREMIER PHARMA 1 LP	NEW YORK, NY	1/20/2017	00795544-07	Filed
PRIVATE ADVISORS SMALL CO PRIVATE EQUITY FUND 7 LP	RICHMOND, VA	1/20/2017	00795561-07	Filed
ROYALE ENERGY INC	EL CAJON, CA	1/20/2017	00795552-07	Filed
SAVILE ROW FINANCIALS HEDGED EQUITY FUND M 2016 2 LLC	CARMEL, IN	1/20/2017	00795550-07	Filed
TRANSPLANT GENOMICS INC	MANSFIELD, MA	1/20/2017	00795549-07	Filed
BGC SNO LLC	GRAND RAPIDS, MI	1/19/2017	00795285-07	Filed
RIPOSTE GLOBAL OPPORTUNITY FUND LP	NEW YORK, NY	1/19/2017	00795284-07	Filed
CWS SAF 9 QI LLC	NEWPORT BEACH, CA	1/18/2017	00795301-07	Filed
ECLIPSE FUND 2 LP	PALO ALTO, CA	1/18/2017	00795302-07	Filed
NY LIFE INSURANCE CO	NEW YORK, NY	1/18/2017	00795303-07	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
INCREASE BEVERAGE INTL INC	MANITOWOC, WI	1/17/2017	00795321-07	Filed
PROPRIETORS CAPITAL HOLDINGS LLC	ST. PAUL, MN	1/17/2017	00795320-07	Filed
Number of Regulation D Notice Filings: 27				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Next Step Franchising, Inc. / Lapels Dry Cleaning	Hanover, MA	1/20/2017	614427	Registered
Smoke's Poutinerie US Franchising Inc. / SMOKE'S POUTINERIE	Ajax, ON	1/20/2017	614426	Registered
THE HBH FRANCHISE COMPANY, LLC / HoneyBaked Ham and The HoneyBaked Ham and Cafe Co.	Alphretta, GA	1/20/2017	614424	Registered
ANNEX BRANDS INC / Annex Brands Retail Centers	SAN DIEGO, CA	1/19/2017	614423	Registered
ATWORK FRANCHISE INC / @Work	Knoxville, TN	1/19/2017	614421	Registered
TCBY Systems, LLC / TCBY	Broomfield, CO	1/19/2017	614420	Registered
Mrs. Fields Franchising, LLC / Mrs. Fields	Broomfield, CO	1/19/2017	614419	Registered
MATCAL INC / Wings Over	Westfield, MA	1/17/2017	614409	Registered
Mission Coffee House, LLC	Plover, WI	1/17/2017	614408	Registered
Storm Guard Franchise Systems, LLC / Storm Guard	Fort Worth, TX	1/15/2017	614407	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	