

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/22/2017 through 1/28/2017**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GRIFFIN INSTITUTIONAL ACCESS CREDIT FUND CLASS A SHARES	EL SEGUNDO, CA	1/23/2017	00796200-01	Pending-Cleared
GRIFFIN INSTITUTIONAL ACCESS CREDIT FUND CLASS C SHARES	EL SEGUNDO, CA	1/23/2017	00796201-01	Pending-Cleared
GRIFFIN INSTITUTIONAL ACCESS CREDIT FUND CLASS I SHARES	EL SEGUNDO, CA	1/23/2017	00796202-01	Pending-Cleared
Number of Registration Filings: 3				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CYTODYN INC	VANCOUVER, WA	1/26/2017	00796603-23	Filed
YAYYO INC	BEVERLY HILLS, CA	1/26/2017	00796687-25	Filed
Number of Exemption Filings: 2				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
1ST TR COMBINED SERIES 550 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO 10 20 YEAR SERIES 33	WHEATON, IL	1/27/2017	00796639-05	Pending-Cleared
ARTISAN PARTNERS FUNDS INC ARTISAN SMALL CAP FUND ADVISOR SHARES	MILWAUKEE, WI	1/27/2017	00795655-03	Pending-Cleared
FT 6447 INCOME DIVIDEND EQUITY ALLOCATION IDEA PORTFOLIO SERIES 11	WHEATON, IL	1/27/2017	00796694-05	Registered

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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
FT 6448 WATER UTILITY & INFRASTRUCTURE SELECT PORTFOLIO SERIES 44	WHEATON, IL	1/27/2017	00796636-05	Registered
FT 6456 REIT GROWTH & INCOME SELECT PORTFOLIO SERIES 40	WHEATON, IL	1/27/2017	00796695-05	Registered
FT 6457 TECHNOLOGY DIVIDEND PORTFOLIO SERIES 20	WHEATON, IL	1/27/2017	00796634-05	Registered
FT 6479 INTEREST RATE HEDGE PORTFOLIO SERIES 107	WHEATON, IL	1/27/2017	00796696-05	Registered
FT 6481 DOW JONES GLOBAL TITANS PORTFOLIO SERIES 21	WHEATON, IL	1/27/2017	00796635-05	Registered
FT 6488 MUNICIPAL ADVANTAGE CLOSED END & ETF PORTFOLIO SERIES 40	WHEATON, IL	1/27/2017	00796693-05	Registered
FT 6489 RICHARD BERNSTEIN ADVISORS QUALITY INCOME PORTFOLIO SERIES 24	WHEATON, IL	1/27/2017	00796633-05	Registered
FT 6498 DIVIDEND EDGE PORTFOLIO SERIES 5	WHEATON, IL	1/27/2017	00796637-05	Registered
FT 6523 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 59	WHEATON, IL	1/27/2017	00796632-05	Registered
FT 6534 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 69	WHEATON, IL	1/27/2017	00796638-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1564 US LOW VOLATILITY STRATEGY PORTFOLIO SERIES 18	LISLE, IL	1/27/2017	00796640-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1565 NATIONAL MUNICIPAL PORTFOLIO OF CEFS SERIES 33	LISLE, IL	1/27/2017	00796641-05	Registered

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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
JANUS INVESTMENT FUND JANUS 40 FUND CLASS D SHARES	DENVER, CO	1/27/2017	00796481-03	Registered
JANUS INVESTMENT FUND JANUS GLOBAL TECHNOLOGY FUND CLASS N SHARES	DENVER, CO	1/27/2017	00796480-03	Registered
JANUS INVESTMENT FUND JANUS RESEARCH FUND CLASS R SHARES	DENVER, CO	1/27/2017	00796479-03	Registered
THORNBURG INVESTMENT TR THORNBURG GLOBAL OPPORTUNITIES FUND CLASS R6	SANTA FE, NM	1/27/2017	00796631-03	Pending-Cleared
THORNBURG INVESTMENT TR THORNBURG INVESTMENT INCOME BUILDER FUND CLASS R6	SANTA FE, NM	1/27/2017	00796630-03	Pending-Cleared
THORNBURG INVESTMENT TR THORNBURG LTD TERM INCOME FUND CLASS R6	SANTA FE, NM	1/27/2017	00796628-03	Pending-Cleared
THORNBURG INVESTMENT TR THORNBURG STRATEGIC INCOME FUND CLASS R6	SANTA FE, NM	1/27/2017	00796629-03	Pending-Cleared
ADVISORS INNER CIRCLE FUND 2 PANAGORA DIVERSIFIED ARBITRAGE YIELD FUND	BOSTON, MA	1/26/2017	00795666-03	Registered
EATON VANCE UNIT TR SERIES 10	BOSTON, MA	1/26/2017	00796689-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1288 QUALITY MUNICIPAL INCOME TR 10 20 YEAR SERIES 94	DOWNERS GROVE, IL	1/26/2017	00796690-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1290 INVESTMENT GRADE MUNICIPAL TR 10 20 YEAR SERIES 13	DOWNERS GROVE, IL	1/26/2017	00796691-05	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 SERIES 1750 BIG DEBATES 2017 PORTFOLIO	DOWNERS GROVE, IL	1/26/2017	00796688-05	Pending-Cleared
AMCAP FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795637-03	Registered
AMERICAN BALANCED FUND CLASS F 3	IRVINE, CA	1/25/2017	00795589-03	Registered
AMERICAN FUNDS CORPORATE BOND FUND CLASS F 3	IRVINE, CA	1/25/2017	00795620-03	Registered
AMERICAN FUNDS DEVELOPING WORLD GROWTH & INCOME FUND CLASS F 3	IRVINE, CA	1/25/2017	00795612-03	Registered
AMERICAN FUNDS EMERGING MARKETS BOND FUND CLASS F 3	IRVINE, CA	1/25/2017	00795622-03	Registered
AMERICAN FUNDS FUNDAMENTAL INVESTORS FUNDAMENTAL INVESTORS CLASS F 3	IRVINE, CA	1/25/2017	00795597-03	Registered
AMERICAN FUNDS GLOBAL BALANCED FUND CLASS F 3	IRVINE, CA	1/25/2017	00795608-03	Registered
AMERICAN FUNDS INCOME SERIES US GOVERNMENT SECURITIES FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795603-03	Registered
AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS F 3	IRVINE, CA	1/25/2017	00795614-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS F 3	SAN FRANCISCO, CA	1/25/2017	00795604-03	Registered
AMERICAN FUNDS PORTFOLIO SERIESSM AMERICAN FUNDS PRESERVATION PORTFOLIOSM CLASS F 3	LOS ANGELES, CA	1/25/2017	00795636-03	Registered

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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
AMERICAN FUNDS PORTFOLIO SERIES AMERICAN FUNDS BALANCED PORTFOLIOSM CLASS F 3	LOS ANGELES, CA	1/25/2017	00795630-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES AMERICAN FUNDS GLOBAL GROWTH PORTFOLIOSM CLASS F 3	LOS ANGELES, CA	1/25/2017	00795624-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES AMERICAN FUNDS GROWTH PORTFOLIOSM CLASS F 3	LOS ANGELES, CA	1/25/2017	00795626-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES AMERICAN FUNDS GROWTH & INCOME PORTFOLIOSM CLASS F 3	LOS ANGELES, CA	1/25/2017	00795628-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES AMERICAN FUNDS INCOME PORTFOLIOSM CLASS F 3	LOS ANGELES, CA	1/25/2017	00795632-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES AMERICAN FUNDS TAX ADVANTAGE INCOME PORTFOLIOSM CLASS F 3	LOS ANGELES, CA	1/25/2017	00795634-03	Registered
AMERICAN FUNDS PORTFOLIO SERIES AMERICAN FUNDS TX EX PRESERVATION PORTFOLIOSM CLASS F 3	LOS ANGELES, CA	1/25/2017	00795638-03	Registered
AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO SERIES AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO CONSERVATIVE CLASS F 3	IRVINE, CA	1/25/2017	00795640-03	Registered
AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO SERIES AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO ENHANCED CLASS F 3	IRVINE, CA	1/25/2017	00795644-03	Registered

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AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO SERIES AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO MODERATE CLASS F 3	IRVINE, CA	1/25/2017	00795642-03	Registered
AMERICAN FUNDS SHORT TERM TX EX BOND FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795611-03	Registered
AMERICAN FUNDS STRATEGIC BOND FUND CLASS F 3	IRVINE, CA	1/25/2017	00795618-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2040 TARGET DATE RETIREMENT FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795592-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2035 TARGET DATE RETIREMENT FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795590-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2015 TARGET DATE RETIREMENT FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795629-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795602-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2025 TARGET DATE RETIREMENT FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795587-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2030 TARGET DATE RETIREMENT FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795588-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2020 TARGET DATE RETIREMENT FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795615-03	Registered

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Firm Name	Location	Date Received	File Number	Status
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2045 TARGET DATE RETIREMENT FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795594-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795596-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2010 TARGET DATE RETIREMENT FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795613-03	Registered
AMERICAN FUNDS TARGET DATE RETIREMENT SERIES AMERICAN FUNDS 2060 TARGET DATE RETIREMENT FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795616-03	Registered
AMERICAN FUNDS TX EX FUND OF NY CLASS F 3	SAN FRANCISCO, CA	1/25/2017	00795606-03	Registered
AMERICAN FUNDS US GOVERNMENT MONEY MARKET FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795600-03	Registered
AMERICAN HIGH INCOME MUNICIPAL BOND FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795617-03	Registered
AMERICAN HIGH INCOME TR CLASS F 3	LOS ANGELES, CA	1/25/2017	00795591-03	Registered
AMERICAN MUTUAL FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795631-03	Registered
BOND FUND OF AMERICA CLASS F 3	LOS ANGELES, CA	1/25/2017	00795639-03	Registered
CAPITAL INCOME BUILDER CLASS F 3	LOS ANGELES, CA	1/25/2017	00795593-03	Registered
CAPITAL WORLD BOND FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795619-03	Registered
CAPITAL WORLD GROWTH & INCOME FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795595-03	Registered

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Firm Name	Location	Date Received	File Number	Status
EUROPACIFIC GROWTH FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795641-03	Registered
GROWTH FUND OF AMERICA CLASS F 3	IRVINE, CA	1/25/2017	00795605-03	Registered
INCOME FUND OF AMERICA CLASS F 3	IRVINE, CA	1/25/2017	00795625-03	Registered
INTERMEDIATE BOND FUND OF AMERICA CLASS F 3	LOS ANGELES, CA	1/25/2017	00795621-03	Registered
INTERNATIONAL GROWTH & INCOME FUND CLASS F 3	IRVINE, CA	1/25/2017	00795598-03	Registered
INVESTMENT CO OF AMERICA CLASS F 3	LOS ANGELES, CA	1/25/2017	00795607-03	Registered
LTD TERM TX EX BOND FUND OF AMERICA CLASS F 3	LOS ANGELES, CA	1/25/2017	00795599-03	Registered
NEW ECONOMY FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795635-03	Registered
NEW PERSPECTIVE FUND CLASS F 3	LOS ANGELES, CA	1/25/2017	00795633-03	Registered
NEW WORLD FUND INC CLASS F 3	LOS ANGELES, CA	1/25/2017	00795601-03	Registered
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T ROWE INTERNATIONAL CONCENTRATED EQUITY FUND PRICE T ROWE	BALTIMORE, MA	1/25/2017	00795646-03	Pending-Cleared
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T ROWE AFRICA & MIDDLE EAST FUND PRICE T ROWE AFRICA & MIDDLE EAST FUND I	BALTIMORE, MA	1/25/2017	00795648-03	Pending-Cleared
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T ROWE ASIA OPPORTUNITIES FUND PRICE T ROWE ASIA OPPORTUNITIES FUND I	BALTIMORE, MA	1/25/2017	00795650-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T ROWE EMERGING MARKETS VALUE STOCK FUND PRICE T ROWE EMERGING MARKETS VALUE	BALTIMORE, MA	1/25/2017	00795645-03	Pending-Cleared
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T ROWE EMERGING EUROPE FUND PRICE T ROWE EMERGING EUROPE FUND I CLASS	BALTIMORE, MA	1/25/2017	00795649-03	Pending-Cleared
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T ROWE EUROPEAN STOCK FUND PRICE T ROWE EUROPEAN STOCK FUND I CLASS	BALTIMORE, MA	1/25/2017	00795647-03	Pending-Cleared
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T ROWE GLOBAL STOCK FUND PRICE T ROWE GLOBAL STOCK FUND I CLASS	BALTIMORE, MA	1/25/2017	00795651-03	Pending-Cleared
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T ROWE GLOBAL GROWTH STOCK FUND PRICE T ROWE GLOBAL GROWTH STOCK FUND I	BALTIMORE, MA	1/25/2017	00795652-03	Pending-Cleared
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T ROWE JAPAN FUND T ROWE PRICE JAPAN FUND I CLASS	BALTIMORE, MA	1/25/2017	00795653-03	Pending-Cleared
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T ROWE LATIN AMERICA FUND PRICE T ROWE LATIN AMERICA FUND I CLASS	BALTIMORE, MA	1/25/2017	00795654-03	Pending-Cleared
SHORT TERM BOND FUND OF AMERICA CLASS F 3	LOS ANGELES, CA	1/25/2017	00795643-03	Registered
SMALLCAP WORLD FUND INC CLASS F 3	IRVINE, CA	1/25/2017	00795623-03	Registered
TX EX BOND FUND OF AMERICA CLASS F 3	LOS ANGELES, CA	1/25/2017	00795609-03	Registered

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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
TX EX FUND OF CA CLASS F 3	LOS ANGELES, CA	1/25/2017	00795627-03	Registered
WA MUTUAL INVESTORS FUND CLASS F 3	IRVINE, CA	1/25/2017	00795610-03	Registered
WORLD FUNDS TR REMS REAL ESTATE INCOME 50/50 FUND INSTITUTIONAL SHARES	RICHMOND, VA	1/25/2017	00796210-03	Registered
FUNDVANTAGE TR POLEN INTERNATIONAL GROWTH FUND INSTITUTIONAL CLASS	WILMINGTON, DE	1/24/2017	00795543-03	Registered
ADVISORS DISCIPLINED TR 1765 FINANCIAL OPPORTUNITIES PORTFOLIO SERIES 2017 1	MONUMENT, CO	1/23/2017	00795451-05	Registered
ADVISORS DISCIPLINED TR 1765 UBIQUITOUS STRATEGY PORTFOLIO SERIES 2017 1	MONUMENT, CO	1/23/2017	00795447-05	Registered
ADVISORS DISCIPLINED TR 1766 UBIQUITOUS OPPORTUNITIES PORTFOLIO 2017 1	MONUMENT, CO	1/23/2017	00795450-05	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ARK DISRUPTIVE INNOVATION FUND Y CLASS	IRVING, TX	1/23/2017	00796199-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ARK DISRUPTIVE INNOVATION FUND INVESTOR CLASS	IRVING, TX	1/23/2017	00796198-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON ARK DISRUPTIVE INNOVATION FUND INSTITUTIONAL CLASS	IRVING, TX	1/23/2017	00796197-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1557 GLOBAL BALANCED INCOME BUILDER PORTFOLIO SERIES 9	LISLE, IL	1/23/2017	00795454-05	Registered

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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
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1558 HEALTH CARE PORTFOLIO SERIES 22	LISLE, IL	1/23/2017	00795452-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1558 US 50 DIVIDEND STRATEGY PORTFOLIO SERIES 11	LISLE, IL	1/23/2017	00795449-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1558 UTILITIES PORTFOLIO SERIES 25	LISLE, IL	1/23/2017	00795448-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1559 S&P DIVIDEND ARISTOCRATS SELECT 25 STRATEGY PORTFOLIO SERIES 6	LISLE, IL	1/23/2017	00795453-05	Registered
SERIES PORTFOLIOS TR HIGHMORE MANAGED VOLATILITY FUND INSTITUTIONAL CLASS	WEST ALLIS, WI	1/23/2017	00795441-03	Registered
SERIES PORTFOLIOS TR RAREVIEW LONGEVITY INCOME GENERATION FUND RETAIL CLASS	WEST ALLIS, WI	1/23/2017	00795440-03	Registered
SERIES PORTFOLIOS TR RAREVIEW LONGEVITY INCOME GENERATION FUND INSTITUTIONAL CLASS	WEST ALLIS, WI	1/23/2017	00795439-03	Registered
Number of Investment Company Filings: 111				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AERIAL FUNDING POOLED FUND LLC NON PERFORMING SERIES 1	GOLDEN, CO	1/27/2017	00796615-07	Filed
ALERA GROUP HOLDINGS INC	DEERFIELD, IL	1/27/2017	00796607-07	Filed

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Firm Name	Location	Date Received	File Number	Status
BERKELEY RESEARCH GROUP HOLDINGS LLC	EMERYVILLE, CA	1/27/2017	00796606-07	Filed
BRANDBUMPS MARKETING GROUP INC	MIDDLETON, WI	1/27/2017	00796618-07	Filed
CLEAR CREEK FUND LLC	ATLANTA, GA	1/27/2017	00796616-07	Filed
DERRYDOWN INVESTORS LLC	CUMMING, GA	1/27/2017	00796613-07	Filed
EQUITY PRODUCTION FUND 1 LP	FRISCO, TX	1/27/2017	00796614-07	Filed
FAIRVIEW INVESTMENT FUND 3 LP	SEATTLE, WA	1/27/2017	00796623-07	Filed
GOLUB CAPITAL PARTNERS 11 LP	CHICAGO, IL	1/27/2017	00796610-07	Filed
HEW TEX MENTONE 2 JOINT VENTURE	HOUSTON, TX	1/27/2017	00796609-07	Filed
HURON FUND 5 EXECUTIVES LP	DETROIT, MI	1/27/2017	00796608-07	Filed
KARLOV STREET LEVEL INVESTOR OPPORTUNITY 3 LLC	HIGHLAND PARK, IL	1/27/2017	00796611-07	Filed
LEWIS CLARK RECYCLING & DISPOSAL HOLDINGS LLC	HARRISBURG, IL	1/27/2017	00796621-07	Filed
MWREIF 4 HOLDINGS LLC	LOS ANGELES, CA	1/27/2017	00796604-07	Filed
REALTYSHARES 266 LLC	LEWES, DE	1/27/2017	00796624-07	Filed
SALVEO FUND 1 LLC	CHICAGO, IL	1/27/2017	00796612-07	Filed
SKINCURE ONCOLOGY LLC	CHICAGO, IL	1/27/2017	00796626-07	Filed
STARWOOD ENERGY INFRASTRUCTURE FUND 3 GLOBAL LP	GREENWICH, CT	1/27/2017	00796619-07	Filed
PEAK ENERGY CAPITAL LP	NASHVILLE, TN	1/26/2017	00796675-07	Filed

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Firm Name	Location	Date Received	File Number	Status
5TH AVENUE PRIVATE EQUITY 14 LLC	NEW YORK, NY	1/25/2017	00796698-07	Filed
SII INVESTMENTS INC WI	APPLETON, WI	1/25/2017	00796692-07	Filed
PASSCO CO LLC	IRVINE, CA	1/23/2017	00795455-07	Filed
Number of Regulation D Notice Filings: 22				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Metal Supermarkets Franchising America, Inc. / Metal Supermarkets	Mississauga ON L6T 4Z5, ON	1/27/2017	614442	Registered
BFK Franchise Company, LLC / Bricks 4 Kidz	St. Augustine, FL	1/27/2017	614441	Registered
The Camp Franchise Systems, LLC / The Camp Transformation Center	Chino Hills, CA	1/26/2017	614439	Registered
FTS Holdings, LLC / Focused Tax Solutions	Brookfield, WI	1/26/2017	614438	Registered
BMB Franchising Services, Inc. / "BOMBSHELLS RESTAURANT & BAR" and "BOMBSHELLS"	Houston, TX	1/26/2017	614437	Registered
Bub's Franchise Company LLC / Bub's Burgers	Carmel, IN	1/25/2017	614435	Registered
Town Planner Franchising, Inc. / Town Planner	Richfield, OH	1/25/2017	614434	Registered
InFrasys, Inc. / SealMaster	Sandusky, OH	1/25/2017	614433	Registered
Tutu School Franchises, LLC / Tutu School	San Francisco, CA	1/23/2017	614429	Registered
Happy Joe's Franchising, Inc. / Happy Joes Pizza and Ice Cream Parlor	Bettendorf, IA	1/23/2017	614428	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	