

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 2/26/2017 through 3/4/2017**

<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>
ORLANDO WORLD OUTREACH CENTER INC	ORLANDO, FL	3/3/2017	00799895-02	Pending
A&Q MULTI STRATEGY FUND	STAMFORD, CT	2/28/2017	00799803-01	Registered
NATIONAL COVENANT PROPERTIES	CHICAGO, IL	2/27/2017	00799791-02	Pending
<b>Number of Registration Filings: 3</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>
CROSSPOINT CITY CHURCH INC	CARTERSVILLE, GA	3/1/2017	00799918-10	Not Disallowed
FOOTHILLS COMMUNITY CHURCH	MOLALLA, OR	3/1/2017	00799919-10	Not Disallowed
<b>Number of Exemption Filings: 2</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>
BRINKER CAPITAL DESTINATIONS TR DESTINATIONS CORE FIXED INCOME FUND	BERWYN, PA	3/3/2017	00799905-03	Pending-Cleared
BRINKER CAPITAL DESTINATIONS TR DESTINATIONS EQUITY INCOME FUND	BERWYN, PA	3/3/2017	00799903-03	Pending-Cleared
BRINKER CAPITAL DESTINATIONS TR DESTINATIONS GLOBAL FIXED INCOME OPPORTUNITIES FUND	BERWYN, PA	3/3/2017	00799904-03	Pending-Cleared

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BRINKER CAPITAL DESTINATIONS TR DESTINATIONS INTERNATIONAL EQUITY FUND	BERWYN, PA	3/3/2017	00799901-03	Pending-Cleared
BRINKER CAPITAL DESTINATIONS TR DESTINATIONS LARGE CAP EQUITY FUND	BERWYN, PA	3/3/2017	00799902-03	Pending-Cleared
BRINKER CAPITAL DESTINATIONS TR DESTINATIONS LOW DURATION FIXED INCOME FUND	BERWYN, PA	3/3/2017	00799900-03	Pending-Cleared
BRINKER CAPITAL DESTINATIONS TR DESTINATIONS MULTI STRATEGY ALTERNATIVES FUND	BERWYN, PA	3/3/2017	00799896-03	Pending-Cleared
BRINKER CAPITAL DESTINATIONS TR DESTINATIONS MUNICIPAL FIXED INCOME FUND	BERWYN, PA	3/3/2017	00799899-03	Pending-Cleared
BRINKER CAPITAL DESTINATIONS TR DESTINATIONS REAL ASSETS FUND	BERWYN, PA	3/3/2017	00799898-03	Pending-Cleared
BRINKER CAPITAL DESTINATIONS TR DESTINATIONS SMALL MID CAP EQUITY FUND	BERWYN, PA	3/3/2017	00799897-03	Pending-Cleared
FT 6543 CAPITAL STRENGTH PORTFOLIO SERIES 37	WHEATON, IL	3/3/2017	00799912-05	Registered
FT 6549 DOW TARGET 10 MAR 17 TERM 4 9 18	WHEATON, IL	3/3/2017	00799907-05	Registered
FT 6557 TACTICAL ALPHA PORTFOLIO SERIES 12	WHEATON, IL	3/3/2017	00799913-05	Registered
FT 6563 LTD DURATION FIXED INCOME ETF PORTFOLIO SERIES 19	WHEATON, IL	3/3/2017	00799908-05	Registered

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FT 6565 SABRIENT DEFENSIVE EQUITY PORTFOLIO SERIES 11	WHEATON, IL	3/3/2017	00799914-05	Registered
FT 6572 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 64	WHEATON, IL	3/3/2017	00799910-05	Registered
FT 6610 TACTICAL INCOME PORTFOLIO SERIES 46	WHEATON, IL	3/3/2017	00799909-05	Registered
SMART TR 299 SMART TR CEFA SELECT BDC TR SERIES 9	PARSIPPANY, NJ	3/3/2017	00799911-05	Registered
TOUCHSTONE STRATEGIC TR TOUCHSTONE SMALL CAP GROWTH FUND INSTITUTIONAL CLASS	CINCINNATI, OH	3/2/2017	00799684-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA ASSET ALLOCATION CONSERVATIVE PORTFOLIO ADVISOR CLASS	ST. PETERSBURG, FL	3/2/2017	00799685-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA ASSET ALLOCATION GROWTH PORTFOLIO ADVISOR CLASS	ST. PETERSBURG, FL	3/2/2017	00799686-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA ASSET ALLOCATION MODERATE GROWTH PORTFOLIO ADVISOR CLASS	ST. PETERSBURG, FL	3/2/2017	00799688-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA ASSET ALLOCATION MODERATE PORTFOLIO ADVISOR CLASS	ST. PETERSBURG, FL	3/2/2017	00799687-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA DYNAMIC INCOME ADVISOR CLASS	ST. PETERSBURG, FL	3/2/2017	00799689-03	Pending-Cleared
VOYA EQUITY TR VOYA SMID CAP GROWTH FUND CLASS A	SCOTTSDALE, AZ	3/2/2017	00799682-03	Registered

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VOYA EQUITY TR VOYA SMID CAP GROWTH FUND CLASS I	SCOTTSDALE, AZ	3/2/2017	00799680-03	Registered
VOYA EQUITY TR VOYA US HIGH DIVIDEND LOW VOLATILITY FUND CLASS A	SCOTTSDALE, AZ	3/2/2017	00799676-03	Registered
VOYA EQUITY TR VOYA US HIGH DIVIDEND LOW VOLATILITY FUND CLASS I	SCOTTSDALE, AZ	3/2/2017	00799678-03	Registered
VOYA MUTUAL FUNDS VOYA GLOBAL CORPORATE LEADERS 100 FUND CLASS I	SCOTTSDALE, AZ	3/2/2017	00799679-03	Registered
VOYA MUTUAL FUNDS VOYA GLOBAL CORPORATE LEADERS 100 FUND CLASS A	SCOTTSDALE, AZ	3/2/2017	00799677-03	Registered
VOYA MUTUAL FUNDS VOYA GLOBAL HIGH DIVIDEND LOW VOLATILITY FUND CLASS I	SCOTTSDALE, AZ	3/2/2017	00799683-03	Registered
VOYA MUTUAL FUNDS VOYA GLOBAL HIGH DIVIDEND LOW VOLATILITY FUND CLASS A	SCOTTSDALE, AZ	3/2/2017	00799681-03	Registered
1ST EAGLE FUNDS 1ST EAGLE FUND OF AMERICA CLASS R3	NEW YORK, NY	3/1/2017	00799752-03	Registered
1ST EAGLE FUNDS 1ST EAGLE FUND OF AMERICA CLASS R4	NEW YORK, NY	3/1/2017	00799740-03	Registered
1ST EAGLE FUNDS 1ST EAGLE FUND OF AMERICA CLASS R5	NEW YORK, NY	3/1/2017	00799762-03	Registered
1ST EAGLE FUNDS 1ST EAGLE FUND OF AMERICA CLASS R6	NEW YORK, NY	3/1/2017	00799742-03	Registered
1ST EAGLE FUNDS 1ST EAGLE GLOBAL FUND CLASS R3	NEW YORK, NY	3/1/2017	00799754-03	Registered

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1ST EAGLE FUNDS 1ST EAGLE GLOBAL FUND CLASS R4	NEW YORK, NY	3/1/2017	00799744-03	Registered
1ST EAGLE FUNDS 1ST EAGLE GLOBAL FUND CLASS R5	NEW YORK, NY	3/1/2017	00799760-03	Registered
1ST EAGLE FUNDS 1ST EAGLE GLOBAL FUND CLASS R6	NEW YORK, NY	3/1/2017	00799746-03	Registered
1ST EAGLE FUNDS 1ST EAGLE GLOBAL INCOME BUILDER FUND CLASS R5	NEW YORK, NY	3/1/2017	00799763-03	Registered
1ST EAGLE FUNDS 1ST EAGLE GLOBAL INCOME BUILDER FUND CLASS R6	NEW YORK, NY	3/1/2017	00799765-03	Registered
1ST EAGLE FUNDS 1ST EAGLE GLOBAL INCOME BUILDER FUND CLASS R3	NEW YORK, NY	3/1/2017	00799759-03	Registered
1ST EAGLE FUNDS 1ST EAGLE GLOBAL INCOME BUILDER FUND CLASS R4	NEW YORK, NY	3/1/2017	00799761-03	Registered
1ST EAGLE FUNDS 1ST EAGLE GOLD FUND CLASS R3	NEW YORK, NY	3/1/2017	00799756-03	Registered
1ST EAGLE FUNDS 1ST EAGLE GOLD FUND CLASS R4	NEW YORK, NY	3/1/2017	00799748-03	Registered
1ST EAGLE FUNDS 1ST EAGLE GOLD FUND CLASS R5	NEW YORK, NY	3/1/2017	00799764-03	Registered
1ST EAGLE FUNDS 1ST EAGLE GOLD FUND CLASS R6	NEW YORK, NY	3/1/2017	00799750-03	Registered
1ST EAGLE FUNDS 1ST EAGLE HIGH YIELD FUND CLASS R3	NEW YORK, NY	3/1/2017	00799751-03	Registered

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1ST EAGLE FUNDS 1ST EAGLE HIGH YIELD FUND CLASS R4	NEW YORK, NY	3/1/2017	00799753-03	Registered
1ST EAGLE FUNDS 1ST EAGLE HIGH YIELD FUND CLASS R5	NEW YORK, NY	3/1/2017	00799755-03	Registered
1ST EAGLE FUNDS 1ST EAGLE HIGH YIELD FUND CLASS R6	NEW YORK, NY	3/1/2017	00799757-03	Registered
1ST EAGLE FUNDS 1ST EAGLE OVERSEAS FUND CLASS R3	NEW YORK, NY	3/1/2017	00799758-03	Registered
1ST EAGLE FUNDS 1ST EAGLE OVERSEAS FUND CLASS R4	NEW YORK, NY	3/1/2017	00799738-03	Registered
1ST EAGLE FUNDS 1ST EAGLE OVERSEAS FUND CLASS R5	NEW YORK, NY	3/1/2017	00799739-03	Registered
1ST EAGLE FUNDS 1ST EAGLE OVERSEAS FUND CLASS R6	NEW YORK, NY	3/1/2017	00799741-03	Registered
1ST EAGLE FUNDS 1ST EAGLE US VALUE FUND CLASS R3	NEW YORK, NY	3/1/2017	00799743-03	Registered
1ST EAGLE FUNDS 1ST EAGLE US VALUE FUND CLASS R4	NEW YORK, NY	3/1/2017	00799745-03	Registered
1ST EAGLE FUNDS 1ST EAGLE US VALUE FUND CLASS R5	NEW YORK, NY	3/1/2017	00799747-03	Registered
1ST EAGLE FUNDS 1ST EAGLE US VALUE FUND CLASS R6	NEW YORK, NY	3/1/2017	00799749-03	Registered
ADVISORS DISCIPLINED TR 1774 BUILDING AMERICA STRATEGY PORTFOLIO SERIES 2017 1	MONUMENT, CO	3/1/2017	00798669-05	Registered

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ADVISORS DISCIPLINED TR 1774 COHEN & STEERS MUNICIPAL CLOSED END PORTFOLIO SERIES 2017 1	MONUMENT, CO	3/1/2017	00798672-05	Registered
ADVISORS DISCIPLINED TR 1774 COHEN & STEERS SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO SERIES 2017 1	MONUMENT, CO	3/1/2017	00798671-05	Registered
ADVISORS DISCIPLINED TR 1774 EMERGING MARKETS DIVIDEND PORTFOLIO SERIES 2017 1	MONUMENT, CO	3/1/2017	00798670-05	Registered
ADVISORS DISCIPLINED TR 1774 HEALTH CARE OPPORTUNITIES PORTFOLIO SERIES 2017 1	MONUMENT, CO	3/1/2017	00798673-05	Registered
ADVISORS SERIES TR SHENKMAN FLOATING RATE HIGH INCOME FUND CLASS F	MILWAUKEE, WI	3/1/2017	00798677-03	Registered
COLUMBIA ACORN TR COLUMBIA ACORN EUROPEAN FUND CLASS Y	CHICAGO, IL	3/1/2017	00799716-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA ASIA PACIFIC EX JAPAN FUND CLASS Y	BOSTON, MA	3/1/2017	00799705-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA FLEXIBLE CAPITAL INCOME FUND CLASS Y	BOSTON, MA	3/1/2017	00799730-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA GLOBAL INFRASTRUCTURE FUND CLASS Y	BOSTON, MA	3/1/2017	00799729-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA GLOBAL OPPORTUNITIES FUND CLASS Y	BOSTON, MA	3/1/2017	00799734-03	Registered

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COLUMBIA FUNDS SERIES TR 2 COLUMBIA GOVERNMENT MONEY MARKET FUND CLASS Y	BOSTON, MA	3/1/2017	00799727-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA INCOME BUILDER FUND CLASS Y	BOSTON, MA	3/1/2017	00799725-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA INFLATION PROTECTED SECURITIES FUND CLASS Y	BOSTON, MA	3/1/2017	00799721-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA MN TX EX FUND CLASS Y	BOSTON, MA	3/1/2017	00799706-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA MORTGAGE OPPORTUNITIES FUND CLASS Y	BOSTON, MA	3/1/2017	00799732-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA SELECT GLOBAL EQUITY FUND CLASS Y	BOSTON, MA	3/1/2017	00799704-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA SELIGMAN COMMUNICATIONS & INFORMATION FUND CLASS Y	BOSTON, MA	3/1/2017	00799723-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA SELIGMAN GLOBAL TECHNOLOGY FUND CLASS Y	BOSTON, MA	3/1/2017	00799703-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA STRATEGIC MUNICIPAL INCOME FUND CLASS Y	BOSTON, MA	3/1/2017	00799735-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA GLOBAL STRATEGIC EQUITY FUND CLASS Y	BOSTON, MA	3/1/2017	00799707-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA LARGE CAP GROWTH FUND 3 CLASS Y	BOSTON, MA	3/1/2017	00799708-03	Registered



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COLUMBIA FUNDS SERIES TR COLUMBIA LARGE CAP INDEX FUND CLASS Y	BOSTON, MA	3/1/2017	00799722-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA MID CAP INDEX FUND CLASS Y	BOSTON, MA	3/1/2017	00799711-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA SELECT GLOBAL GROWTH FUND CLASS Y	BOSTON, MA	3/1/2017	00799720-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA SELECT LARGE CAP EQUITY FUND CLASS Y	BOSTON, MA	3/1/2017	00799717-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA SHORT TERM MUNICIPAL BOND FUND CLASS Y	BOSTON, MA	3/1/2017	00799713-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA SMALL CAP INDEX FUND CLASS Y	BOSTON, MA	3/1/2017	00799715-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA AMT FREE INTERMEDIATE MUNI BOND FUND CLASS Y	BOSTON, MA	3/1/2017	00799702-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA DIVERSIFIED ABSOLUTE RETURN FUND CLASS Y SHARES	BOSTON, MA	3/1/2017	00799731-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA DIVERSIFIED REAL RETURN FUND CLASS Y	BOSTON, MA	3/1/2017	00799718-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA GLOBAL ENERGY & NATURAL RESOURCES FUND CLASS Y	BOSTON, MA	3/1/2017	00799728-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA GREATER CHINA FUND CLASS Y	BOSTON, MA	3/1/2017	00799733-03	Registered

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COLUMBIA FUNDS SERIES TR I COLUMBIA HIGH YIELD MUNICIPAL FUND CLASS Y	BOSTON, MA	3/1/2017	00799724-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA MULTI ASSET INCOME FUND CLASS Y	BOSTON, MA	3/1/2017	00799719-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA PACIFIC ASIA FUND CLASS Y	BOSTON, MA	3/1/2017	00799709-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA REAL ESTATE EQUITY FUND CLASS Y	BOSTON, MA	3/1/2017	00799710-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA TX EX FUND CLASS Y	BOSTON, MA	3/1/2017	00799712-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA US SOCIAL BOND FUND CLASS Y	BOSTON, MA	3/1/2017	00799726-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA US TREASURY INDEX FUND CLASS Y	BOSTON, MA	3/1/2017	00799714-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1576 INCOME & TREASURY LTD DURATION PORTFOLIO OF FUNDS SERIES 51	LISLE, IL	3/1/2017	00798666-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1577 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 64	LISLE, IL	3/1/2017	00798668-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1578 UBS OPPORTUNISTIC EQUITY INCOME LIST EQUITY ADVISORY GROUP 2017 1 SERIES 8	LISLE, IL	3/1/2017	00798667-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1583 ML TOP PICKS FOR 2017	LISLE, IL	3/1/2017	00798675-05	Registered

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LEGG MASON PARTNERS EQUITY TR QS GLOBAL EQUITY FUND CLASS IS	NEW YORK, NY	3/1/2017	00799736-03	Registered
LEGG MASON PARTNERS INCOME TR WESTERN ASSET SHORT DURATION MUNICIPAL INCOME FUND CLASS IS	NEW YORK, NY	3/1/2017	00799737-03	Registered
MANAGER DIRECTED PORTFOLIOS HOOD RIVER SMALL CAP GROWTH FUND RETIREMENT SHARES	MILWAUKEE, WI	3/1/2017	00798678-03	Registered
MEEDER FUNDS AGGRESSIVE GROWTH FUND ADVISER CLASS	DUBLIN, OH	3/1/2017	00799830-03	Registered
MEEDER FUNDS BALANCED FUND ADVISER CLASS	DUBLIN, OH	3/1/2017	00799831-03	Registered
MEEDER FUNDS DIVIDEND OPPORTUNITIES FUND ADVISER CLASS	DUBLIN, OH	3/1/2017	00799837-03	Registered
MEEDER FUNDS DYNAMIC GROWTH FUND ADVISER CLASS	DUBLIN, OH	3/1/2017	00799838-03	Registered
MEEDER FUNDS GLOBAL OPPORTUNITIES FUND ADVISER CLASS	DUBLIN, OH	3/1/2017	00799832-03	Registered
MEEDER FUNDS INFRASTRUCTURE FUND ADVISER CLASS	DUBLIN, OH	3/1/2017	00799833-03	Registered
MEEDER FUNDS MUIRFIELD FUND ADVISER CLASS	DUBLIN, OH	3/1/2017	00799834-03	Registered
MEEDER FUNDS QUANTEX FUND ADVISER CLASS	DUBLIN, OH	3/1/2017	00799829-03	Registered
MEEDER FUNDS SPECTRUM FUND ADVISER CLASS	DUBLIN, OH	3/1/2017	00799835-03	Registered

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MEEDER FUNDS TOTAL RETURN BOND FUND ADVISER CLASS	DUBLIN, OH	3/1/2017	00799836-03	Registered
NUVEEN UNIT INVESTMENT TR SERIES 177 NUVEEN NWQ GLOBAL DIVIDEND VALUE PORTFOLIO 1Q 2017	CHICAGO, IL	3/1/2017	00798674-05	Registered
ADVISORS INNER CIRCLE FUND 3 BNP PARIBAS AM MBS FUND INSTITUTIONAL SHARES	OAKS, PA	2/28/2017	00798527-03	Registered
ADVISORS INNER CIRCLE FUND 3 BNP PARIBAS AM MBS FUND INVESTOR SHARES	OAKS, PA	2/28/2017	00798528-03	Registered
CALAMOS INVESTMENT TR CALAMOS CONVERTIBLE FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799807-03	Registered
CALAMOS INVESTMENT TR CALAMOS DIVIDEND GROWTH FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799811-03	Registered
CALAMOS INVESTMENT TR CALAMOS EMERGING MARKET EQUITY FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799809-03	Registered
CALAMOS INVESTMENT TR CALAMOS EVOLVING WORLD GROWTH FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799813-03	Registered
CALAMOS INVESTMENT TR CALAMOS GLOBAL COVERTIBLE FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799819-03	Registered
CALAMOS INVESTMENT TR CALAMOS GLOBAL EQUITY FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799810-03	Registered
CALAMOS INVESTMENT TR CALAMOS GROWTH & INCOME FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799808-03	Registered

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CALAMOS INVESTMENT TR CALAMOS GROWTH & INCOME FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799812-03	Registered
CALAMOS INVESTMENT TR CALAMOS GROWTH FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799818-03	Registered
CALAMOS INVESTMENT TR CALAMOS HEDGED EQUITY INCOME FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799814-03	Registered
CALAMOS INVESTMENT TR CALAMOS HIGH INCOME FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799816-03	Registered
CALAMOS INVESTMENT TR CALAMOS INTERNATIONAL GROWTH FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799820-03	Registered
CALAMOS INVESTMENT TR CALAMOS MARKET NEUTRAL INCOME FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799821-03	Registered
CALAMOS INVESTMENT TR CALAMOS OPPORTUNISTIC VALUE FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799815-03	Registered
CALAMOS INVESTMENT TR CALAMOS PHINEUS LONG SHORT FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799817-03	Registered
CALAMOS INVESTMENT TR CALAMOS TOTAL RETURN BOND FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799806-03	Registered
HENNESSY FUNDS TR HENNESSY GAS UTILITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	2/28/2017	00799804-03	Registered

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<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>
SERIES PORTFOLIOS TR WEISS ALTERNATIVE BALANCED RISK FUND INVESTOR CLASS	WEST ALLIS, WI	2/28/2017	00799805-03	Registered
USAA MUTUAL FUNDS TR NASDAQ 100 INDEX FUND R6 SHARES	SAN ANTONIO, TX	2/28/2017	00798529-03	Registered
USAA MUTUAL FUNDS TR ULTRA SHORT TERM BOND FUND R6 SHARES	SAN ANTONIO, TX	2/28/2017	00798530-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON INTERNATIONAL EQUITY FUND R6 CLASS	IRVING, TX	2/27/2017	00798579-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON LARGE CAP VALUE FUND R6 CLASS	IRVING, TX	2/27/2017	00798580-03	Registered
AMERICAN BEACON FUNDS AMERICAN BEACON SMALL CAP VALUE FUND R6 CLASS	IRVING, TX	2/27/2017	00798581-03	Registered
AMG FUNDS 2 AMG MANAGERS AMUNDI INTERMEDIATE GOVERNMENT FUND CLASS Z	GREENWICH, CT	2/27/2017	00798624-03	Registered
AMG FUNDS 2 AMG MANAGERS AMUNDI INTERMEDIATE GOVERNMENT FUND CLASS I	GREENWICH, CT	2/27/2017	00798622-03	Registered
AMG FUNDS 2 AMG MANAGERS AMUNDI SHORT DURATION GOVERNMENT FUND CLASS I	GREENWICH, CT	2/27/2017	00798623-03	Registered
AMG FUNDS 2 AMG MANAGERS AMUNDI SHORT DURATION GOVERNMENT FUND CLASS Z	GREENWICH, CT	2/27/2017	00798618-03	Registered

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<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>
AMG FUNDS AMG GW&K MUNICIPAL ENHANCED YIELD FUND CLASS Z	GREENWICH, CT	2/27/2017	00798610-03	Registered
AMG FUNDS AMG GW&K SMALL CAP CORE FUND CLASS Z	GREENWICH, CT	2/27/2017	00798611-03	Registered
AMG FUNDS AMG GW&K SMALL MID CAP FUND CLASS Z	GREENWICH, CT	2/27/2017	00798612-03	Registered
AMG FUNDS AMG MANAGERS SKYLINE SPECIAL EQUITIES FUND CLASS I	GREENWICH, CT	2/27/2017	00798619-03	Registered
AMG FUNDS AMG MANAGERS SKYLINE SPECIAL EQUITIES FUND CLASS Z	GREENWICH, CT	2/27/2017	00798614-03	Registered
AMG FUNDS AMG TIMESSQUARE INTERNATIONAL SMALL CAP FUND CLASS I	GREENWICH, CT	2/27/2017	00798620-03	Registered
AMG FUNDS AMG TIMESSQUARE MID CAP GROWTH FUND CLASS I	GREENWICH, CT	2/27/2017	00798616-03	Registered
AMG FUNDS AMG TIMESSQUARE SMALL CAP GROWTH FUND CLASS I	GREENWICH, CT	2/27/2017	00798621-03	Registered
AMG FUNDS I AMG MANAGERS CENTERSQUARE REAL ESTATE FUND CLASS I	GREENWICH, CT	2/27/2017	00798613-03	Registered
AMG FUNDS I AMG MANAGERS CENTERSQUARE REAL ESTATE FUND CLASS Z	GREENWICH, CT	2/27/2017	00798615-03	Registered
AMG FUNDS I AMG TIMESSQUARE ALL CAP GROWTH FUND CLASS Z	GREENWICH, CT	2/27/2017	00798617-03	Registered

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<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>
AMG FUNDS IV AMG GW&K US SMALL CAP GROWTH FUND CLASS Z	GREENWICH, CT	2/27/2017	00798609-03	Registered
BMO FUNDS INC BMO PYRFORD INTERNATIONAL STOCK FUND CLASS F3	MILWAUKEE, WI	2/27/2017	00799792-03	Pending-Cleared
BMO FUNDS INC BMO SMALL CAP GROWTH FUND ADVISOR CLASS	MILWAUKEE, WI	2/27/2017	00799793-03	Registered
FT 6511 CORE HOLDINGS GROWTH TR 2017 SPRING SERIES	WHEATON, IL	2/27/2017	00799788-05	Registered
FT 6529 DEEP VALUE DIVIDEND PORTFOLIO SERIES 14	WHEATON, IL	2/27/2017	00799787-05	Registered
FT 6542 DEFENSIVE EQUITY PORTFOLIO SERIES 40	WHEATON, IL	2/27/2017	00799784-05	Registered
FT 6548 AEROSPACE & DEFENSE PORTFOLIO SERIES 16	WHEATON, IL	2/27/2017	00799785-05	Registered
FT 6568 INTEREST RATE HEDGE PORTFOLIO SERIES 108	WHEATON, IL	2/27/2017	00799786-05	Registered
HARBOR FUNDS HARBOR STRATEGIC GROWTH FUND ADMINISTRATIVE CLASS	CHICAGO, IL	2/27/2017	00799826-03	Registered
HARBOR FUNDS HARBOR STRATEGIC GROWTH FUND INSTITUTIONAL CLASS	CHICAGO, IL	2/27/2017	00799825-03	Registered
HARBOR FUNDS HARBOR STRATEGIC GROWTH FUND INVESTOR CLASS	CHICAGO, IL	2/27/2017	00799827-03	Registered
HARBOR FUNDS HARBOR STRATEGIC GROWTH FUND RETIREMENT CLASS	CHICAGO, IL	2/27/2017	00799828-03	Registered



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<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>
HARDING LOEVNER FUNDS INC FRONTIER EMERGING MARKETS PORTFOLIO INSTITUTIONAL CLASS 2	BRIDGEWATER, NJ	2/27/2017	00798594-03	Registered
HARDING LOEVNER FUNDS INC GLOBAL EQUITY PORTFOLIO INSTITUTIONAL CLASS Z	BRIDGEWATER, NJ	2/27/2017	00798592-03	Registered
HARDING LOEVNER FUNDS INC INTERNATIONAL EQUITY PORTFOLIO INSTITUTIONAL CLASS Z	BRIDGEWATER, NJ	2/27/2017	00798593-03	Registered
HARDING LOEVNER FUNDS INC INTERNATIONAL EQUITY RESEARCH PORTFOLIO INSTITUTIONAL CLASS Z	BRIDGEWATER, NJ	2/27/2017	00798595-03	Registered
NATIXIS FUNDS TR I MIROVA GLOBAL GREEN BOND FUND CLASS A	BOSTON, MA	2/27/2017	00798596-03	Registered
NATIXIS FUNDS TR I MIROVA GLOBAL GREEN BOND FUND CLASS N	BOSTON, MA	2/27/2017	00798597-03	Registered
NATIXIS FUNDS TR I MIROVA GLOBAL GREEN BOND FUND CLASS Y	BOSTON, MA	2/27/2017	00798598-03	Registered
NATIXIS FUNDS TR IV NATIXIS SUSTAINABLE FUTURE 2015 FUND CLASS N	BOSTON, MA	2/27/2017	00798607-03	Registered
NATIXIS FUNDS TR IV NATIXIS SUSTAINABLE FUTURE 2020 FUND CLASS N	BOSTON, MA	2/27/2017	00798601-03	Registered
NATIXIS FUNDS TR IV NATIXIS SUSTAINABLE FUTURE 2025 FUND CLASS N	BOSTON, MA	2/27/2017	00798605-03	Registered
NATIXIS FUNDS TR IV NATIXIS SUSTAINABLE FUTURE 2030 FUND CLASS N	BOSTON, MA	2/27/2017	00798603-03	Registered
NATIXIS FUNDS TR IV NATIXIS SUSTAINABLE FUTURE 2035 FUND CLASS N	BOSTON, MA	2/27/2017	00798599-03	Registered

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<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>
NATIXIS FUNDS TR IV NATIXIS SUSTAINABLE FUTURE 2040 FUND CLASS N	BOSTON, MA	2/27/2017	00798600-03	Registered
NATIXIS FUNDS TR IV NATIXIS SUSTAINABLE FUTURE 2045 FUND CLASS N	BOSTON, MA	2/27/2017	00798602-03	Registered
NATIXIS FUNDS TR IV NATIXIS SUSTAINABLE FUTURE 2050 FUND CLASS N	BOSTON, MA	2/27/2017	00798604-03	Registered
NATIXIS FUNDS TR IV NATIXIS SUSTAINABLE FUTURE 2055 FUND CLASS N	BOSTON, MA	2/27/2017	00798606-03	Registered
NATIXIS FUNDS TR IV NATIXIS SUSTAINABLE FUTURE 2060 FUND CLASS N	BOSTON, MA	2/27/2017	00798608-03	Registered
<b>Number of Investment Company Filings: 187</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>
ANTRIABIO INC	LOUISVILLE, CO	3/3/2017	00799769-07	Filed
ARTHUR VENTURES FUND 3 A LP	FARGO, ND	3/3/2017	00799772-07	Filed
INTELLIHOT INC	GALESBURG, IL	3/3/2017	00799770-07	Filed
MACULOGIX INC	MIDDLETOWN, PA	3/3/2017	00799777-07	Filed
MALVERN BANCORP INC	PAOLI, PA	3/3/2017	00799767-07	Filed
MVP ES FUND 10 LLC	AUSTIN, TX	3/3/2017	00799779-07	Filed
MVP LS FUND 11 LLC	AUSTIN, TX	3/3/2017	00799776-07	Filed
NANOX IMAGING PLC	GIBRALTAR, GX11AA, AA	3/3/2017	00799774-07	Filed
NFI S&P 500 PLUS LP	NOVI, MI	3/3/2017	00799771-07	Filed
OKANJO PARTNERS INC	MILWAUKEE, WI	3/3/2017	00799775-07	Filed

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<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>
RADIATE HOLDINGS LP	FT WORTH, TX	3/3/2017	00799766-07	Filed
RCP SMALL & EMERGING FUND LP	CHICAGO, IL	3/3/2017	00799768-07	Filed
REALTYSHARES 281	LEWES, DE	3/3/2017	00799780-07	Filed
SW INDUSTRIAL CENTER LLC	HOUSTON, TX	3/3/2017	00799782-07	Filed
VANTAGE POINT FUNDING 1 LLC	FAIRFIELD, CT	3/3/2017	00799773-07	Filed
WELLSENSE INC	BIRMINGHAM, MI	3/3/2017	00799783-07	Filed
ANCORA MERLIN INSTITUTIONAL LP	CLEVELAND, OH	3/2/2017	00798404-07	Filed
SHOULDER INNOVATIONS INC	HOLLAND, MI	3/2/2017	00799915-07	Filed
MEDMEN OPPORTUNITY FUND LP	CULVER CITY, CA	3/1/2017	00798676-07	Filed
ANCORA CATALYST LP	CLEVELAND, OH	2/28/2017	00799800-07	Filed
ANCORA MERLIN LP	CLEVELAND, OH	2/28/2017	00799798-07	Filed
GREAT LAKES LITHOTRIPSY LP	AUSTIN, TX	2/28/2017	00799802-07	Filed
CAPTION TECHNOLOGY LP	NEW YORK, NY	2/27/2017	00799789-07	Filed
EWM ALTERNATIVE INVESTMENTS SPECIAL PURPOSE VEHICLE LLC SERIES 1 PT	APPLETON, WI	2/27/2017	00799797-07	Filed
EWM ALTERNATIVE INVESTMENTS SPV LLC SERIES 2 UNICORN TECHNOLOGY	APPLETON, WI	2/27/2017	00799796-07	Filed
EWM SPECIAL PURPOSE VEHICLE ADE LLC	APPLETON, WI	2/27/2017	00799794-07	Filed

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<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>
EWM SPECIAL PURPOSE VEHICLE FF LLC	APPLETON, WI	2/27/2017	00799795-07	Filed
<b>Number of Regulation D Notice Filings: 27</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>
PACCAR Leasing Company, a division of PACCAR Financial Corp.	Bellevue, WA	3/3/2017	614543	Registered
Mathnasium Center Licensing, LLC / Mathnasium, Mathnasium The Math Learning Center, Mathnasium Learning Centers, and Mathnasium Centers	Los Angeles, CA	3/3/2017	614541	Registered
Pizza Hut, LLC / Pizza Hut - Express	Plano, TX	3/3/2017	614539	Registered
Pizza Hut, LLC / Pizza Hut - Traditional	Plano, TX	3/3/2017	614538	Registered
Watermill Express Franchising, LLC / Watermill Express	Brighton, CO	3/3/2017	614536	Registered
Leadership Management, Inc.	Waco, TX	3/2/2017	614535	Registered
Woodcraft Franchise, LLC / Woodcraft Franchise, LLC	Parkersburg, WV	3/2/2017	614532	Registered
PAPA JOHNS INTERNATIONAL INC / Papa John's	LOUISVILLE, KY	3/2/2017	614531	Registered
POSTNET INTERNATIONAL FRANCHISE CORP / PostNet	Lakewood, CO	3/1/2017	614529	Registered
AmericInn International, LLC / AmericInn, AmericInn Lodge & Suites, AmericInn Hotel & Suites, AmericInn Hotel & Conference Center	Chanhausen, MN	3/1/2017	614528	Registered
WILD BIRDS UNLIMITED INC	Carmel, IN	3/1/2017	614525	Registered
MONICAL PIZZA CORPORATION / MONICAL'S PIZZA	BRADLEY, IL	3/1/2017	614524	Registered
Body and Brain Center, LLC / Body & Brain	Mesa, AZ	3/1/2017	614523	Registered
Body and Brain Center, LLC / Body & Brain (Home Based)	Mesa, AZ	3/1/2017	614522	Registered
RE/MAX North Central, Inc. / RE/MAX	Bloomington, MN	2/28/2017	614519	Registered

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<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>
TFL Franchise Systems, LLC / The Flying Locksmiths	Braintree, MA	2/28/2017	614518	Registered
Mister Sparky Franchising, L.L.C. / Mister Sparky	Houston, TX	2/27/2017	614517	Registered
One Hour Air Conditioning Franchising, L.L.C. / One Hour Heating & Air Conditioning	Houston, TX	2/27/2017	614516	Registered
Benjamin Franklin Franchising, LLC / d/b/a Benjamin Franklin Plumbing	Houston, TX	2/27/2017	614515	Registered
Scrambler Marie's Franchise Development, LLC / SCRAMBLERS	Toledo, OH	2/27/2017	614514	Registered
Bibibop Development LLC / Bibibop Asian Grill	Columbus, OH	2/27/2017	614510	Registered
Experimac Franchising, LLC / Experimac	West Palm Beach, FL	2/27/2017	614509	Registered
<b>Number of Franchise Filings: 22</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>	