

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/13/2017 through 8/19/2017**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
VIVALDI OPPORTUNITIES FUND	MILWAUKEE, WI	8/18/2017	00812314-01	Pending
STARWOOD REAL ESTATE INCOME TR INC	MIAMI BEACH, FL	8/17/2017	00812342-01	Pending-Cleared
Number of Registration Filings: 2				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
DENIM LA INC	W HOLLYWOOD, CA	8/18/2017	00812302-25	Filed
LIFE CHURCH GREEN BAY INC	DEPERE, WI	8/17/2017	00812333-08	Not Disallowed
MOUNTAIN SPRINGS CHURCH	COLORADO SPRINGS, CO	8/17/2017	00812334-10	Not Disallowed
RSE COLLECTION LLC	NEW YORK, NY	8/17/2017	00812330-25	Filed
SONDORS INC	MALIBU, CA	8/15/2017	00811391-25	Filed
Number of Exemption Filings: 5				

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 562 INVESTMENT GRADE MULTI ASSET INCOME PORTFOLIO 10 20 YEAR SERIES 35	WHEATON, IL	8/18/2017	00812317-05	Registered
FORUM FUNDS ABSOLUTE CONVERTIBLE ARBITRAGE FUND INSTITUTIONAL CLASS	PORTLAND, ME	8/18/2017	00811803-03	Registered
FT 6732 DEEP VALUE DIVIDEND PORTFOLIO SERIES 16	WHEATON, IL	8/18/2017	00812321-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 6738 EQUITY INCOME SELECT PORTFOLIO SERIES 54	WHEATON, IL	8/18/2017	00812322-05	Registered
FT 6837 SABRIENT RISING RATE PORTFOLIO SERIES 6	WHEATON, IL	8/18/2017	00812324-05	Registered
FT 6860 INTERNATIONAL CAPITAL STRENGTH PORTFOLIO SERIES 35	WHEATON, IL	8/18/2017	00812323-05	Registered
FT 6860 SMID CAPITAL STRENGTH PORTFOLIO SERIES 35	WHEATON, IL	8/18/2017	00812325-05	Registered
FT 6861 EQUITY INCOME PORTFOLIO SERIES 57	WHEATON, IL	8/18/2017	00812320-05	Registered
FT 6867 EUROPEAN DEEP VALUE DIVIDEND PORTFOLIO SERIES 16	WHEATON, IL	8/18/2017	00812315-05	Registered
FT 6897 STONEBRIDGE PREFERRED INCOME PORTFOLIO SERIES 14	WHEATON, IL	8/18/2017	00812318-05	Registered
FT 6898 TOP PICKS AUGUST 2017 PORTFOLIO	WHEATON, IL	8/18/2017	00812316-05	Pending-Cleared
FT 6935 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 68	WHEATON, IL	8/18/2017	00812319-05	Registered
FUNDVANTAGE TR GOTHAM SHORT STRATEGIES FUND INSTITUTIONAL CLASS	WILMINGTON, DE	8/18/2017	00811791-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1619 NDR THEMATIC OPPORTUNITIES PORTFOLIO SERIES 1	LISLE, IL	8/18/2017	00812308-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1649 GUGGENHEIM EMERGING MARKETS DIVIDEND STRATEGY PORTFOLIO SERIES 23	LISLE, IL	8/18/2017	00812309-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1649 UNDERVALUED TOP PICKS PORTFOLIO SERIES 14	LISLE, IL	8/18/2017	00812310-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1650 DIVIDEND STRENGTH PORTFOLIO SERIES 27	LISLE, IL	8/18/2017	00812307-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1651 GLOBAL WATER EQUITIES PORTFOLIO SERIES 33	LISLE, IL	8/18/2017	00812306-05	Registered
SMART TR 334 SMART TR RISING INTEREST RATES HEDGE TR SERIES 9	PARSIPPANY, NJ	8/18/2017	00812326-05	Registered
SMART TR 336 SMART TR TAX ADVANTAGED GROWTH & INCOME TR SERIES 14	PARSIPPANY, NJ	8/18/2017	00812327-05	Registered
MANNING & NAPIER FUND INC RAINIER INTERNATIONAL DISCOVERY SERIES CLASS R6	FAIRPORT, NY	8/17/2017	00811638-03	Registered
MUTUAL FUND SERIES TR CATALYST MACRO STRATEGY FUND CLASS A	HAUPPAUGE, NY	8/17/2017	00811586-03	Registered
NORTHERN LIGHTS FUND TR IV ANCHOR TACTICAL REAL ESTATE FUND INSTITUTIONAL CLASS SHARES	OMAHA, NE	8/17/2017	00811587-03	Registered
DRIEHAUS MUTUAL FUNDS DRIEHAUS SMALL CAP GROWTH FUND INSTITUTIONAL SHARE CLASS	CHICAGO, IL	8/16/2017	00811677-03	Registered
DRIEHAUS MUTUAL FUNDS DRIEHAUS SMALL CAP GROWTH FUND INVESTOR SHARE CLASS	CHICAGO, IL	8/16/2017	00811678-03	Registered

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Firm Name	Location	Date Received	File Number	Status
STATE STREET INSTITUTIONAL INVESTMENT TR STATE STREET TREASURY OBLIGATIONS MONEY MARKET FUND	BOSTON, MA	8/16/2017	00811565-03	Registered
BMT INVESTMENT FUNDS BMT MULTI CAP FUND	WEST ALLIS, WI	8/15/2017	00811390-03	Registered
INVESCO UNIT TR MUNICIPAL SERIES 1295 INVESTMENT GRADE MUNICIPAL TR 7 13 YEAR SERIES 76	DOWNERS GROVE, IL	8/15/2017	00811389-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1301 INVESTMENT GRADE MUNICIPAL TR 20 PLUS YEAR SERIES 191	DOWNERS GROVE, IL	8/15/2017	00811388-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1302 INVESTMENT GRADE MUNICIPAL TR 10 20 YEAR SERIES 15	DOWNERS GROVE, IL	8/15/2017	00811387-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1303 INSURED MUNICIPALS INCOME TR SERIES 696	DOWNERS GROVE, IL	8/15/2017	00811386-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1304 INSURED MUNICIPALS INCOME TR SERIES 697	DOWNERS GROVE, IL	8/15/2017	00811385-05	Pending-Cleared
INVESCO UNIT TR MUNICIPAL SERIES 1305 QUALITY MUNICIPAL INCOME TR 10 20 YEAR SERIES 96	DOWNERS GROVE, IL	8/15/2017	00811384-05	Pending-Cleared
INVESCO UNIT TR SERIES 1801	DOWNERS GROVE, IL	8/15/2017	00811382-05	Pending-Cleared
INVESCO UNIT TR SERIES 1802	DOWNERS GROVE, IL	8/15/2017	00811381-05	Pending-Cleared
INVESCO UNIT TR TAXABLE INCOME SERIES 604 INVESTMENT GRADE CORPORATE TR 3 7 YEAR SERIES 28	DOWNERS GROVE, IL	8/15/2017	00811383-05	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
ADVISORS DISCIPLINED TR 1749 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 122	MONUMENT, CO	8/14/2017	00811414-05	Registered
ARTISAN PARTNERS FUNDS INC ARTISAN GLOBAL DISCOVERY FUND INVESTOR SHARES	MILWAUKEE, WI	8/14/2017	00811355-03	Registered
Number of Investment Company Filings: 38				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AMC FUND 9 LLC	NORTHRIDGE, CA	8/18/2017	00812482-07	Filed
CANYON DISTRESSED OPPORTUNITY FUND 2 CAYMAN LP	GRAND CAYMAN, AA	8/18/2017	00812483-07	Filed
DEBX LLC	BETHESDA, MD	8/18/2017	00812473-07	Filed
FULCRUM GROWTH FUND 3 QP LLC	ATLANTA, GA	8/18/2017	00812486-07	Filed
INTARCIA THERAPEUTICS INC	HAYWARD, CA	8/18/2017	00812471-07	Filed
NAPALI 4 LLC	DALLAS, TX	8/18/2017	00812487-07	Filed
POSEIDA THERAPEUTICS INC	SAN DIEGO, CA	8/18/2017	00812474-07	Filed
ROCKY MOUNTAIN RECOVERY LLC	CHICAGO, IL	8/18/2017	00812484-07	Filed
ROCKY MOUNTAIN RECOVERY QP LLC	CHICAGO, IL	8/18/2017	00812485-07	Filed
SENIOR LIVING FUND 4 USA LLC	LENEXA, KS	8/18/2017	00812481-07	Filed
TIDAL PETROLEUM INC	SCHERTZ, TX	8/18/2017	00812479-07	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
TN HOLDCO INC	KNOXVILLE, TN	8/18/2017	00812477-07	Filed
TRAJECTORY ENERGY PARTNERS LLC	HIGHLAND PARK, IL	8/18/2017	00812480-07	Filed
WPEF 7 FEEDER LP	ST PETER PORT GUERNSEY, AA	8/18/2017	00812475-07	Filed
BIDTELLECT INC	DELRAY BEACH, FL	8/17/2017	00812340-07	Filed
PA CO INVESTMENT FUND 3 LP	DARIEN, CT	8/17/2017	00812341-07	Filed
8TH NJ LLC	MILWAUKEE, WI	8/15/2017	00811393-07	Filed
CENTROSE LLC	MADISON, WI	8/15/2017	00811392-07	Filed
Number of Regulation D Notice Filings: 18				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Children's Montessori Systems, LLC / Children's Magnet Montessori School	Ellicott City, MD	8/18/2017	617958	Registered
ChiroWay Franchise, LLC / ChiroWay Centers	Woodbury, MN	8/18/2017	617955	Registered
New Orleans Brew, LLC / PJ's Coffee of New Orleans	Covington, LA	8/18/2017	617956	Registered
The Growler Guys, LLC / The Growler Guys	Bend, OR	8/17/2017	617954	Registered
VaporFi Franchising, LLC / VaporFi	Miami Lakes, FL	8/17/2017	617952	Registered
ANY TEST FRANCHISING INC / ANY LAB TEST NOW	ALPHARETTA, GA	8/17/2017	617951	Registered
Milkster, Inc. / Milkster Nitrogen Creamery	Madison Heights, MI	8/17/2017	617950	Registered
P&B Franchise, LLC / Primp and Blow Area Representative Offering	Scottsdale, AZ	8/17/2017	617945	Registered
Great Wraps, Inc. / Great Wraps	Atlanta, GA	8/15/2017	617937	Registered
Care Patrol Franchise Systems, LLC / CarePatrol	Gilbert, AZ	8/14/2017	617934	Registered
Number of Franchise Filings: 10				

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**Corporate Take-Over Law Filings Made with DFI's Securities
Division**

Takeover Filing Reference	Date Received
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Number of Takeover Filings: 0