

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/10/2017 through 9/16/2017**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
A&Q MASTERS FUND	STAMFORD, CT	9/15/2017	00814394-01	Registered
PATHWAY ENERGY INFRASTRUCTURE FUND INC CLASS I	NEW YORK, NY	9/14/2017	00813247-01	Registered
ALLIANCE DEVELOPMENT FUND INC	CO SPGS, CO	9/13/2017	00813251-02	Pending
STONE RIDGE TR 4 STONE RIDGE POST EVENT REINSURANCE FUND	MILWAUKEE, WI	9/12/2017	00813253-01	Registered
Number of Registration Filings: 4				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
1ST STREET OFFICE INC	LOS ANGELES, CA	9/13/2017	00813248-25	Filed
ARCIMOTO INC	EUGENE, OR	9/12/2017	00813252-25	Filed
CAREY WATERMARK INVESTORS 2 INC	NEW YORK, NY	9/12/2017	00813259-08	Not Disallowed
LAKELAND COMMUNITY CHURCH INC	LAKE GENEVA, WI	9/11/2017	00813271-08	Not Disallowed
Number of Exemption Filings: 4				

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 564 INSURED TX EX MUNICIPAL INCOME TR SERIES 252	WHEATON, IL	9/15/2017	00814400-05	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
AQR FUNDS AQR ALTERNATIVE RISK PREMIA FUND CLASS I	GREENWICH, CT	9/15/2017	00813468-03	Registered
AQR FUNDS AQR ALTERNATIVE RISK PREMIA FUND CLASS N	GREENWICH, CT	9/15/2017	00813469-03	Registered
AQR FUNDS AQR ALTERNATIVE RISK PREMIA FUND CLASS R6	GREENWICH, CT	9/15/2017	00813467-03	Registered
FIERA CAPITAL SERIES TR FIERA CAPITAL INTERNATIONAL EQUITY FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	9/15/2017	00814410-03	Pending-Cleared
FIERA CAPITAL SERIES TR FIERA CAPITAL INTERNATIONAL EQUITY FUND CLASS Z SHARES	NEW YORK, NY	9/15/2017	00814408-03	Pending-Cleared
FIERA CAPITAL SERIES TR FIERA CAPITAL INTERNATIONAL EQUITY FUND INVESTOR CLASS SHARES	NEW YORK, NY	9/15/2017	00814409-03	Pending-Cleared
FT 6767 BANKING OPPORTUNITY PORTFOLIO SERIES 27	WHEATON, IL	9/15/2017	00814397-05	Registered
FT 6904 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 56	WHEATON, IL	9/15/2017	00814396-05	Registered
FT 6910 DIVIDEND GROWTH PORTFOLIO SERIES 19	WHEATON, IL	9/15/2017	00814401-05	Registered
FT 6911 DIVIDEND EDGE PORTFOLIO SERIES 8	WHEATON, IL	9/15/2017	00814395-05	Registered
FT 6916 SENIOR LOAN SELECT CLOSED END PORTFOLIO SERIES 28	WHEATON, IL	9/15/2017	00814398-05	Registered
FT 6917 SABRIENT BAKERS DOZEN PORTFOLIO SEPTEMBER 2017 SERIES	WHEATON, IL	9/15/2017	00814399-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 6941 STRATEGIC INCOME ADVANTAGE OPPORTUNITY CLOSED END PORTFOLIO SERIES 2	WHEATON, IL	9/15/2017	00814406-05	Registered
FT 6942 HIGH DIVIDEND EQUITY ALLOCATION PORTFOLIO SERIES 25	WHEATON, IL	9/15/2017	00814403-05	Registered
FT 6943 REIT GROWTH & INCOME SELECT PORTFOLIO SERIES 43	WHEATON, IL	9/15/2017	00814404-05	Registered
FT 6944 SENIOR LOAN CLOSED END & ETF PORTFOLIO SERIES 19	WHEATON, IL	9/15/2017	00814402-05	Registered
FT 6978 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 89	WHEATON, IL	9/15/2017	00814405-05	Registered
MANAGED PORTFOLIO SERIES GREEN SQUARE TX EX HIGH INCOME FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/15/2017	00813555-03	Registered
OBERWEIS FUNDS OBERWEIS SMALL CAP VALUE FUND INSTITUTIONAL CLASS	LISLE, IL	9/15/2017	00814407-03	Pending-Cleared
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MANAGED FUTURES STRATEGY CLASS Y	BOSTON, MA	9/15/2017	00813476-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MANAGED FUTURES STRATEGY CLASS M	BOSTON, MA	9/15/2017	00813477-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MANAGED FUTURES STRATEGY CLASS C	BOSTON, MA	9/15/2017	00813473-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MANAGED FUTURES STRATEGY CLASS B	BOSTON, MA	9/15/2017	00813472-03	Registered

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PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MANAGED FUTURES STRATEGY CLASS R6	BOSTON, MA	9/15/2017	00813475-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MANAGED FUTURES STRATEGY CLASS A	BOSTON, MA	9/15/2017	00813490-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MANAGED FUTURES STRATEGY CLASS R	BOSTON, MA	9/15/2017	00813474-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MARKET NEUTRAL FUND CLASS C	BOSTON, MA	9/15/2017	00813485-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MARKET NEUTRAL FUND CLASS R	BOSTON, MA	9/15/2017	00813486-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MARKET NEUTRAL FUND CLASS A	BOSTON, MA	9/15/2017	00813483-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MARKET NEUTRAL FUND CLASS R6	BOSTON, MA	9/15/2017	00813487-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MARKET NEUTRAL FUND CLASS M	BOSTON, MA	9/15/2017	00813489-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MARKET NEUTRAL FUND CLASS B	BOSTON, MA	9/15/2017	00813484-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA MARKET NEUTRAL FUND CLASS Y	BOSTON, MA	9/15/2017	00813488-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA RISK PARITY FUND CLASS M	BOSTON, MA	9/15/2017	00813471-03	Registered

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PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA RISK PARITY FUND CLASS R	BOSTON, MA	9/15/2017	00813481-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA RISK PARITY FUND CLASS B	BOSTON, MA	9/15/2017	00813479-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA RISK PARITY FUND CLASS A	BOSTON, MA	9/15/2017	00813478-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA RISK PARITY FUND CLASS R6	BOSTON, MA	9/15/2017	00813482-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA RISK PARITY FUND CLASS Y	BOSTON, MA	9/15/2017	00813470-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM PANAGORA RISK PARITY FUND CLASS C	BOSTON, MA	9/15/2017	00813480-03	Registered
WORLD FUNDS TR TOREADOR CORE FUND INVESTOR CLASS	RICHMOND, VA	9/15/2017	00813494-03	Registered
ADVISORS DISCIPLINED TR 1817 REIT PORTFOLIO SERIES 2017 3Q HIMCO PORTFOLIO	MONUMENT, CO	9/14/2017	00814420-05	Registered
ADVISORS DISCIPLINED TR 1817 SMALL MID CAP ADVANTAGE PORTFOLIO SERIES 2017 3	MONUMENT, CO	9/14/2017	00814424-05	Registered
ADVISORS DISCIPLINED TR 1818 COHEN & STEERS PREFERRED INCOME OPPORTUNITIES PORTFOLIO SERIES 2017 3Q	MONUMENT, CO	9/14/2017	00814425-05	Registered
ADVISORS DISCIPLINED TR 1819 Q GARP PORTFOLIO SERIES 2017 3Q	MONUMENT, CO	9/14/2017	00814428-05	Registered

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Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1820 UTILITIES PORTFOLIO SERIES 2017 3Q HIMCO PORTFOLIO	MONUMENT, CO	9/14/2017	00814426-05	Registered
ADVISORS DISCIPLINED TR 1821 AMERICAN RENAISSANCE PORTFOLIO SERIES 2017 3 CJL PORTFOLIO	MONUMENT, CO	9/14/2017	00814427-05	Pending-Cleared
FT 6783 US INFRASTRUCTURE PORTFOLIO SERIES 12	WHEATON, IL	9/14/2017	00814432-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1512 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 48	LISLE, IL	9/14/2017	00814431-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1659 BDC SCORECARD PORTFOLIO SERIES 9	LISLE, IL	9/14/2017	00814422-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1660 DOW JONES VALUE DIVIDEND FOCUS PORTFOLIO SERIES 30	LISLE, IL	9/14/2017	00814423-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1660 GLOBAL 100 DIVIDEND STRATEGY PORTFOLIO SERIES 12	LISLE, IL	9/14/2017	00814421-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1661 TECHNOLOGICAL INNOVATION PORTFOLIO SERIES 10	LISLE, IL	9/14/2017	00814429-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1664 EUROPEAN HIGH DIVIDEND PORTFOLIO SERIES 9	LISLE, IL	9/14/2017	00814430-05	Registered
FT 6793 LTD DURATION FIXED INCOME ETF PORTFOLIO SERIES 21	WHEATON, IL	9/12/2017	00813254-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 6912 CAPITAL STRENGTH OPPORTUNITY PORTFOLIO SERIES 2	WHEATON, IL	9/12/2017	00813256-05	Registered
FT 6914 AUTOMATED QUANTITATIVE ANALYSIS AQA PORTFOLIO SERIES 15	WHEATON, IL	9/12/2017	00813255-05	Registered
FT 6915 ENERGY SELECT PORTFOLIO SERIES 65	WHEATON, IL	9/12/2017	00813257-05	Registered
FT 6940 INTEREST RATE HEDGE PORTFOLIO SERIES 113	WHEATON, IL	9/12/2017	00813258-05	Registered
INVESTED PORTFOLIOS INVESTED AGGRESSIVE PORTFOLIO	SHAWNEE MISSION, KS	9/12/2017	00813491-03	Registered
INVESTED PORTFOLIOS INVESTED FIXED INCOME PORTFOLIO	SHAWNEE MISSION, KS	9/12/2017	00813493-03	Registered
INVESTED PORTFOLIOS INVESTED INCOME PORTFOLIO	SHAWNEE MISSION, KS	9/12/2017	00813492-03	Registered
AB BOND FUND INC AB FLEXFEE INTERNATIONAL BOND PORTFOLIO ADVISOR CLASS	NEW YORK, NY	9/11/2017	00813167-03	Registered
AB CAP FUND INC AB FLEXFEE CORE OPPORTUNITIES PORTFOLIO ADVISOR CLASS	NEW YORK, NY	9/11/2017	00813169-03	Registered
AB CAP FUND INC AB FLEXFEE LARGE CAP GROWTH PORTFOLIO ADVISOR CLASS	NEW YORK, NY	9/11/2017	00813168-03	Registered
AB CAP FUND INC AB FLEXFEE US THEMATIC PORTFOLIO ADVISOR CLASS	NEW YORK, NY	9/11/2017	00813170-03	Registered

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Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1815 BAHL & GAYNOR SMIG SMALL MID CAP INCOME GROWTH PORTFOLIO SERIES 2017 3Q	MONUMENT, CO	9/11/2017	00813219-05	Registered
ADVISORS DISCIPLINED TR 1815 BUSINESS DEVELOPMENT CO OPPORTUNITIES PORTFOLIO SERIES 2017 3	MONUMENT, CO	9/11/2017	00813221-05	Registered
ADVISORS DISCIPLINED TR 1815 DIVIDEND INCOME VALUE STRATEGY PORTFOLIO SERIES 2017 3Q	MONUMENT, CO	9/11/2017	00813222-05	Registered
ADVISORS DISCIPLINED TR 1815 HIGH 50 DIVIDEND STRATEGY PORTFOLIO SERIES 2017 3Q	MONUMENT, CO	9/11/2017	00813224-05	Registered
ADVISORS DISCIPLINED TR 1815 PERONI GROWTH PORTFOLIO AUTUMN 2017 SERIES	MONUMENT, CO	9/11/2017	00813223-05	Registered
ADVISORS DISCIPLINED TR 1816 COHEN & STEERS CONVERTIBLE & INCOME CLOSED END PORTFOLIO SERIES 2017 3	MONUMENT, CO	9/11/2017	00813220-05	Registered
ADVISORS DISCIPLINED TR 1816 COHEN & STEERS MLP MIDSTREAM & ENERGY INCOME CLOSED END PORTFOLIO SERIES 2017 3	MONUMENT, CO	9/11/2017	00813226-05	Registered
ADVISORS DISCIPLINED TR 1816 GLOBAL BASIC MATERIALS PORTFOLIO SERIES 2017 3	MONUMENT, CO	9/11/2017	00813225-05	Registered
INVESCO UNIT TR SERIES 1806	DOWNERS GROVE, IL	9/11/2017	00813262-05	Pending-Cleared
INVESCO UNIT TR SERIES 1807	DOWNERS GROVE, IL	9/11/2017	00813263-05	Pending-Cleared
INVESCO UNIT TR SERIES 1808	DOWNERS GROVE, IL	9/11/2017	00813264-05	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 1809 ESG OPPORTUNITY PORTFOLIO 2017 4	DOWNERS GROVE, IL	9/11/2017	00813265-05	Pending-Cleared
INVESCO UNIT TR SERIES 1810 DIVIDEND INCOME & VALUE PORTFOLIO 2017 4	DOWNERS GROVE, IL	9/11/2017	00813266-05	Pending-Cleared
INVESCO UNIT TR SERIES 1811	DOWNERS GROVE, IL	9/11/2017	00813267-05	Pending-Cleared
INVESCO UNIT TR SERIES 1812 BUYBACK LEADERS PORTFOLIO 2017 4	DOWNERS GROVE, IL	9/11/2017	00813268-05	Pending-Cleared
INVESCO UNIT TR SERIES 1814 DIVIDEND SUSTAINABILITY STRATEGIC OPPORTUNITY PORTFOLIO 2017 4	DOWNERS GROVE, IL	9/11/2017	00813269-05	Pending-Cleared
INVESCO UNIT TR SERIES 1815	DOWNERS GROVE, IL	9/11/2017	00813270-05	Pending-Cleared
MORGAN STANLEY PORTFOLIOS SERIES 15 CONTRARIAN CANDIDATES PORTFOLIO SERIES 4	PURCHASE, NY	9/11/2017	00813260-05	Pending-Cleared
MORGAN STANLEY PORTFOLIOS SERIES 16 M A D E PORTFOLIO 2017	PURCHASE, NY	9/11/2017	00813261-05	Pending-Cleared
Number of Investment Company Filings: 86				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BIG LEAGUE ADVANCE FUND 2 LP	FAIRFAX, VA	9/15/2017	00813234-07	Filed
BUTTONWOOD BEACON FUND LLC PINTEREST SERIES 1	NEW YORK, NY	9/15/2017	00813240-07	Filed
CF NET LEASE PORTFOLIO 6 DST	NEW YORK, NY	9/15/2017	00813236-07	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
CODEFIELD INC	SAN DIEGO, CA	9/15/2017	00813235-07	Filed
CROWDFUNDER INC	SANTA MONICA, CA	9/15/2017	00813233-07	Filed
ELUCIDA ONCOLOGY INC	NEW YORK, NY	9/15/2017	00813237-07	Filed
MAPR TECHNOLOGIES INC	SAN JOSE, CA	9/15/2017	00813241-07	Filed
MIVI NEUROSCIENCE INC	EDEN PRAIRIE, MN	9/15/2017	00813246-07	Filed
MONTAGE TALENT INC	DELAFIELD, WI	9/15/2017	00813554-07	Filed
PATHFINDER SACRAMENTO HOLDINGS 1 LLC	SAN DIEGO, CA	9/15/2017	00813243-07	Filed
PROTECTIM INSURANCE SERVICES LLC	FT LAUDERDALE, FL	9/15/2017	00813244-07	Filed
REALTERM LOGISTICS INCOME FUND LP	ANNAPOLIS, MD	9/15/2017	00813242-07	Filed
WAAP 2 DEVELOPMENT CO LLC	MILWAUKEE, WI	9/15/2017	00813239-07	Filed
SQN INVESTORS OFFSHORE LTD	DUBLIN, AA	9/14/2017	00814411-07	Filed
FINN HILL 3050 LLC	LYNNWOOD, WA	9/13/2017	00813249-07	Filed
THROMBOLEX INC	DOYLESTOWN, PA	9/13/2017	00813250-07	Filed
Number of Regulation D Notice Filings: 16				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Namaste Nail Sanctuary, LLC / Namaste (AR)	Woodland Hills, CA	9/15/2017	618063	Registered
Namaste Nail Sanctuary, LLC / Namaste (Unit)	Woodland Hills, CA	9/15/2017	618062	Registered
Hounds Mounds, Inc. / Poop 911	Dallas, TX	9/14/2017	618053	Registered
Brewery Direct Franchising, LLC / Brewery Direct	San Antonio, TX	9/14/2017	618050	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
REALTY WORLD INC	Newport Beach, CA	9/12/2017	618046	Registered
RED ROBIN INTERNATIONAL INC / Red Robin	GREENWOOD VILLAGE, CO	9/12/2017	618041	Registered
Alloy Wheel Repair Specialists, LLC / Alloy Wheel Repair Specialists	Norcross, GA	9/11/2017	618038	Registered
Number of Franchise Filings: 7				

Corporate Take-Over Law Filings Made with DFI's Securities Division	
Takeover Filing Reference	Date Received
Number of Takeover Filings: 0	