

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2017 through 9/23/2017**

| Securities Law Registration Filings Made with DFI's Securities Division | | | | |
|--|-----------------------|----------------------|--------------------|-----------------|
| Firm Name | Location | Date Received | File Number | Status |
| SSB BANCORP INC | PITTSBURGH, PA | 9/19/2017 | 00813553-01 | Pending-Cleared |
| VERSUS CAPITAL REAL ASSETS FUND LLC | GREENWOOD VILLAGE, CO | 9/19/2017 | 00814366-01 | Registered |
| Number of Registration Filings: 2 | | | | |

| Securities Law Exemption Filings Made with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|----------------|
| Firm Name | Location | Date Received | File Number | Status |
| GRAYBAR ELECTRIC CO INC | ST LOUIS, MO | 9/22/2017 | 00814643-08 | Not Disallowed |
| KINDARA INC | BOULDER, CO | 9/18/2017 | 00813561-25 | 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 |
| ADVISORS DISCIPLINED TR 1838 ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 123 | MONUMENT, CO | 9/22/2017 | 00814640-05 | Registered |
| AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY HIGH INCOME FUND A CLASS | KANSAS CITY, MO | 9/22/2017 | 00814602-03 | Registered |
| AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY HIGH INCOME FUND R5 CLASS | KANSAS CITY, MO | 9/22/2017 | 00814606-03 | Registered |
| AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY HIGH INCOME FUND I CLASS | KANSAS CITY, MO | 9/22/2017 | 00814603-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY HIGH INCOME FUND R6 CLASS | KANSAS CITY, MO | 9/22/2017 | 00814607-03 | Registered |
| AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY HIGH INCOME FUND INVESTOR CLASS | KANSAS CITY, MO | 9/22/2017 | 00814605-03 | Registered |
| AMERICAN CENTURY INVESTMENT TR AMERICAN CENTURY HIGH INCOME FUND Y CLASS | KANSAS CITY, MO | 9/22/2017 | 00814608-03 | Registered |
| FT 6805 STRATEGIC INCOME SELECT CLOSED END PORTFOLIO SERIES 31 | WHEATON, IL | 9/22/2017 | 00814626-05 | Registered |
| FT 6822 TACTICAL ALPHA PORTFOLIO SERIES 14 | WHEATON, IL | 9/22/2017 | 00814628-05 | Registered |
| FT 6824 AEROSPACE & DEFENSE PORTFOLIO SERIES 18 | WHEATON, IL | 9/22/2017 | 00814624-05 | Registered |
| FT 6825 INNOVATIVE TECHNOLOGY PORTFOLIO SERIES 16 | WHEATON, IL | 9/22/2017 | 00814633-05 | Registered |
| FT 6920 DIVERSIFIED HIGH INCOME CLOSED END PORTFOLIO SERIES 29 | WHEATON, IL | 9/22/2017 | 00814623-05 | Registered |
| FT 6921 DIVIDEND STRENGTH OPPORTUNITY PORTFOLIO SERIES 2 | WHEATON, IL | 9/22/2017 | 00814627-05 | Registered |
| FT 6922 ALTERNATIVE INCOME PORTFOLIO SERIES 25 | WHEATON, IL | 9/22/2017 | 00814622-05 | Registered |
| FT 6923 DORSEY WRIGHT RELATIVE STRENGTH TOP 50 SERIES 28 | WHEATON, IL | 9/22/2017 | 00814625-05 | Registered |
| FT 6924 STRATEGIC DIVIDEND SELECT PORTFOLIO SERIES 30 | WHEATON, IL | 9/22/2017 | 00814637-05 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| FT 6926 EMERGING MARKETS STRENGTH PORTFOLIO SERIES 37 | WHEATON, IL | 9/22/2017 | 00814635-05 | Registered |
| FT 6927 DORSEY WRIGHT RELATIVE STRENGTH DIVIDEND PORTFOLIO SERIES 28 | WHEATON, IL | 9/22/2017 | 00814621-05 | Registered |
| FT 6928 INTERNATIONAL CAPITAL STRENGTH OPPORTUNITY PORTFOLIO SERIES 2 | WHEATON, IL | 9/22/2017 | 00814629-05 | Registered |
| FT 6928 SMID CAPITAL STRENGTH OPPORTUNITY PORTFOLIO SERIES 2 | WHEATON, IL | 9/22/2017 | 00814630-05 | Registered |
| FT 6929 TACTICAL INCOME OPPORTUNITY PORTFOLIO SERIES 2 | WHEATON, IL | 9/22/2017 | 00814620-05 | Registered |
| FT 6932 STRATEGIC INCOME CLOSED END PORTFOLIO SERIES 64 | WHEATON, IL | 9/22/2017 | 00814639-05 | Registered |
| FT 6945 WATER UTILITY & INFRASTRUCTURE SELECT PORTFOLIO SERIES 47 | WHEATON, IL | 9/22/2017 | 00814638-05 | Registered |
| FT 6946 EQUITY CLOSED END PORTFOLIO SERIES 46 | WHEATON, IL | 9/22/2017 | 00814636-05 | Registered |
| FT 6947 LOW VOLATILITY PORTFOLIO SERIES 9 | WHEATON, IL | 9/22/2017 | 00814634-05 | Registered |
| FT 6948 GLOBAL DEEP VALUE DIVIDEND PORTFOLIO SERIES 16 | WHEATON, IL | 9/22/2017 | 00814619-05 | Registered |
| FT 6949 INTERNATIONAL HIGH DIVIDEND EQUITY PORTFOLIO SERIES 31 | WHEATON, IL | 9/22/2017 | 00814631-05 | Registered |
| FT 6950 MEGA CAP PORTFOLIO SERIES 46 | WHEATON, IL | 9/22/2017 | 00814632-05 | Registered |

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|---|--------------------|----------------------|--------------------|-----------------|
| Firm Name | Location | Date Received | File Number | Status |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1662 DIVERSIFIED DIVIDEND & INCOME PORTFOLIO SERIES 27 | LISLE, IL | 9/22/2017 | 00814642-05 | Registered |
| GUGGENHEIM DEFINED PORTFOLIOS SERIES 1663 MLP & ENERGY FUNDS PORTFOLIO SERIES 19 | LISLE, IL | 9/22/2017 | 00814641-05 | Registered |
| LAZARD FUNDS INC LAZARD EQUITY FRANCHISE PORTFOLIO INSTITUTIONAL SHARES | NEW YORK, NY | 9/22/2017 | 00814503-03 | Pending-Cleared |
| LAZARD FUNDS INC LAZARD EQUITY FRANCHISE PORTFOLIO OPEN SHARES | NEW YORK, NY | 9/22/2017 | 00814502-03 | Pending-Cleared |
| MONEY MARKET OBLIGATIONS TR FEDERATED GOVERNMENT OBLIGATIONS FUND ADMINISTRATIVE SHARES | WARRENDALE, PA | 9/22/2017 | 00814604-03 | Registered |
| TRANSAMERICA FUNDS TRANSAMERICA GOVERNMENT MONEY MARKET CLASS R2 SHARES | ST. PETERSBURG, FL | 9/22/2017 | 00814504-03 | Pending-Cleared |
| TRANSAMERICA FUNDS TRANSAMERICA GOVERNMENT MONEY MARKET CLASS R4 SHARES | ST. PETERSBURG, FL | 9/22/2017 | 00814505-03 | Pending-Cleared |
| MUTUAL FUND SERIES TR CATALYST EXCEED DEFINED SHIELD FUND CLASS I | HAUPPAUGE, NY | 9/21/2017 | 00814391-03 | Registered |
| FT 6918 CYCLICAL STRENGTH PORTFOLIO SERIES 19 | WHEATON, IL | 9/20/2017 | 00814392-05 | Registered |
| FT 6919 BIOTECHNOLOGY PORTFOLIO SERIES 38 | WHEATON, IL | 9/20/2017 | 00814393-05 | Registered |
| JPMORGAN TR 2 JPMORGAN US TREASURY PLUS MONEY MARKET FUND CAPITAL SHARES | NEW YORK, NY | 9/20/2017 | 00814367-03 | Registered |

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|---|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| FINANCIAL INVESTORS TR EMERALD BANKING & FINANCE FUND INVESTOR CLASS | DENVER, CO | 9/19/2017 | 00813551-03 | Registered |
| PRUDENTIAL INVESTMENT PORTFOLIOS 12 PRUDENTIAL QMA LARGE CAP CORE EQUITY PLUS FUND CLASS A | NEWARK, NJ | 9/18/2017 | 00813495-03 | Registered |
| PRUDENTIAL INVESTMENT PORTFOLIOS 12 PRUDENTIAL QMA LARGE CAP CORE EQUITY PLUS FUND CLASS Z | NEWARK, NJ | 9/18/2017 | 00813498-03 | Registered |
| PRUDENTIAL INVESTMENT PORTFOLIOS 12 PRUDENTIAL QMA LARGE CAP CORE EQUITY PLUS FUND CLASS Q | NEWARK, NJ | 9/18/2017 | 00813496-03 | Registered |
| PRUDENTIAL INVESTMENT PORTFOLIOS 12 PRUDENTIAL QMA LARGE CAP CORE EQUITY PLUS FUND CLASS C | NEWARK, NJ | 9/18/2017 | 00813497-03 | Registered |
| Number of Investment Company Filings: 44 | | | | |

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|-------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| AGRIBLE INC | CHAMPAIGN, IL | 9/22/2017 | 00814559-07 | Filed |
| ALDERBARAN HOLDINGS LLC | NEW YORK, NY | 9/22/2017 | 00814570-07 | Filed |
| ARQUITOS CAPITAL PARTNERS LP | LARCHMONT, NY | 9/22/2017 | 00814545-07 | Filed |
| ASIA ALTERNATIVES CAPITAL PARTNERS 5 LP | SAN FRANCISCO, CA | 9/22/2017 | 00814573-07 | Filed |
| BIOThERA HOLDING CORP | EAGAN, MN | 9/22/2017 | 00814544-07 | Filed |
| CAELUM BIOSCIENCES INC | NEW YORK, NY | 9/22/2017 | 00814569-07 | 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 |
| CP 2017 HAWTHORN FUND 1 LP | SEATTLE, WA | 9/22/2017 | 00814558-07 | Filed |
| CPIV ECX LLC | NEW YORK, NY | 9/22/2017 | 00814644-07 | Filed |
| DAVIDSON KEMPNER LONG TERM DISTRESSED OPPORTUNITIES FUND 4 LP | NEW YORK, NY | 9/22/2017 | 00814572-07 | Filed |
| DIGITZS SOLUTIONS INC | SANTA MONICA, CA | 9/22/2017 | 00814563-07 | Filed |
| FASETTO LLC | SUPERIOR, WI | 9/22/2017 | 00814561-07 | Filed |
| FPA CORE PLUS FUND 3 LP | IRVINE, CA | 9/22/2017 | 00814552-07 | Filed |
| KL SPECIAL OPPORTUNITIES FUND LTD | GRAND CAYMAN, AA | 9/22/2017 | 00814560-07 | Filed |
| LANDMARK EQUITY PARTNERS 16 ASP FUND SERIES OF ALTERNATIVE STRATEGIES PRIVATE EQUITY PLATFORM LLC | CHARLOTTE, NC | 9/22/2017 | 00814555-07 | Filed |
| LAZARUS ISRAEL OPPORTUNITIES FUND LLLP | DENVER, CO | 9/22/2017 | 00814565-07 | Filed |
| LC ASIA 3 PRIVATE INVESTORS LLC | NEW YORK, NY | 9/22/2017 | 00814550-07 | Filed |
| MEDCORE REALTY HSP LLC | DALLAS, TX | 9/22/2017 | 00814554-07 | Filed |
| MENDON CAPITAL QP LTD | GRAND CAYMAN KY1-1104, AA | 9/22/2017 | 00814571-07 | Filed |
| MIDLAND RETIREMENT LLC | ABERDEEN, SD | 9/22/2017 | 00814562-07 | Filed |
| MULTI ADVISOR FUNDS GLOBAL EMERGING MARKETS FUND | CHICAGO, IL | 9/22/2017 | 00814546-07 | Filed |
| NHG FUNDING 1 LLC | FAIRFIELD, CT | 9/22/2017 | 00814566-07 | Filed |
| PASSCO LONGITUDE DST | IRVINE, CA | 9/22/2017 | 00814547-07 | 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 |
| PEER STREET FUNDING LLC | EL SEGUNDO, CA | 9/22/2017 | 00814568-07 | Filed |
| RS PREF PROJECTS LLC SERIES L | LEWES, DE | 9/22/2017 | 00814556-07 | Filed |
| SUMMIT AG FUND 3 LLP | ALDEN, IA | 9/22/2017 | 00814549-07 | Filed |
| TWC RESIDENTIAL CAPITAL STRUCTURE ARBITRAGE FUND LP | LOS ANGELES, CA | 9/22/2017 | 00814567-07 | Filed |
| VALOR EQUITY PARTNERS 4 A LP | CHICAGO, IL | 9/22/2017 | 00814548-07 | 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 |
| LINE X FRANCHISING LLC / LINE-X | HUNTSVILLE, AL | 9/22/2017 | 618078 | Registered |
| In Home Personal Services Development, L.L.C. / In Home Personal Services | Crystal Lake, IL | 9/21/2017 | 618072 | Registered |
| Ram Jack Systems Distribution, LLC / Ram Jack Foundation Solutions | Ada, OK | 9/20/2017 | 618070 | Registered |
| SIT MEANS SIT FRANCHISE INC / SIT MEANS SIT | LAS VEGAS, NV | 9/20/2017 | 618069 | Registered |
| Enlightened Ventures LLC / Current Meditation - Regional Developer Franchises | Phoenix, AZ | 9/19/2017 | 618067 | Registered |
| Enlightened Ventures LLC / Current Meditation-Unit Franchises | Phoenix, AZ | 9/19/2017 | 618066 | Registered |
| HOLIDAY HOSPITALITY FRANCHISING, LLC / avid hotels | Atlanta, GA | 9/18/2017 | 618065 | Registered |
| DetailXPerts Franchise Systems, LLC / DetailXPerts | Chattanooga, TN | 9/17/2017 | 618064 | Registered |
| Number of Franchise Filings: 8 | | | | |

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

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/17/2017 through 9/23/2017**

| Takeover Filing Reference | Date Received |
|--------------------------------------|---------------|
| Number of Takeover Filings: 0 | |