

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/29/2017 through 11/4/2017**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GRACEPOINT CHURCH	BREMERTON, WA	11/1/2017	00819517-02	Pending
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
I HEART CHURCH CHURCH IN WEST VA INC	MOUNT HOPE, WV	11/2/2017	00819540-10	Not Disallowed
Number of Exemption Filings: 1				

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 1829 COHEN & STEERS DYNAMIC INCOME PORTFOLIO SERIES 2017 4	MONUMENT, CO	11/3/2017	00819813-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1684 DOW JONES SUSTAINABLE GROWTH PORTFOLIO SERIES 1	LISLE, IL	11/3/2017	00819814-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1686 FLAHERTY & CRUMRINE PREFERRED PORTFOLIO SERIES 44	LISLE, IL	11/3/2017	00819815-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1687 INFRASTRUCTURE & MLP PORTFOLIO OF CEFS SERIES 32	LISLE, IL	11/3/2017	00819816-05	Registered
INVESCO UNIT TR SERIES 1804 MULTI ASSET HIGH INCOME PORTFOLIO 2017 4	DOWNERS GROVE, IL	11/3/2017	00819810-05	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
PIMCO FUNDS PIMCO LONG DURATION TOTAL RETURN FUND CLASS C	NEWPORT BEACH, CA	11/3/2017	00819284-03	Registered
VANECK FUNDS VANECK MORNINGSTAR WIDE MOAT FUND CLASS I	NEW YORK, NY	11/3/2017	00819811-03	Pending-Cleared
VANECK FUNDS VANECK MORNINGSTAR WIDE MOAT FUND CLASS Z	NEW YORK, NY	11/3/2017	00819812-03	Pending-Cleared
MAINSTAY FUNDS TR MAINSTAY CANDRIAM EMERGING MARKETS EQUITY FUND CLASS C	NEW YORK, NY	11/2/2017	00819288-03	Registered
MAINSTAY FUNDS TR MAINSTAY CANDRIAM EMERGING MARKETS EQUITY FUND CLASS A	NEW YORK, NY	11/2/2017	00819287-03	Registered
MAINSTAY FUNDS TR MAINSTAY CANDRIAM EMERGING MARKETS EQUITY FUND CLASS I	NEW YORK, NY	11/2/2017	00819290-03	Registered
MAINSTAY FUNDS TR MAINSTAY CANDRIAM EMERGING MARKETS EQUITY FUND CLASS R6	NEW YORK, NY	11/2/2017	00819291-03	Registered
MAINSTAY FUNDS TR MAINSTAY CANDRIAM EMERGING MARKETS EQUITY FUND INVESTOR CLASS	NEW YORK, NY	11/2/2017	00819289-03	Registered
OFI STEELPATH SERIES TR OPPENHEIMER STEELPATH MLP & ENERGY INFRASTRUCTURE FUND CLASS C SHARES	DENVER, CO	11/2/2017	00818789-03	Registered
OFI STEELPATH SERIES TR OPPENHEIMER STEELPATH MLP & ENERGY INFRASTRUCTURE FUND CLASS A SHARES	DENVER, CO	11/2/2017	00818788-03	Registered

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OFI STEELPATH SERIES TR OPPENHEIMER STEELPATH MLP & ENERGY INFRASTRUCTURE FUND CLASS I SHARES	DENVER, CO	11/2/2017	00818790-03	Registered
OFI STEELPATH SERIES TR OPPENHEIMER STEELPATH MLP & ENERGY INFRASTRUCTURE FUND CLASS Y SHARES	DENVER, CO	11/2/2017	00818791-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 6 PRUDENTIAL CA MUNI INCOME FUND CLASS Q	NEWARK, NJ	11/2/2017	00819293-03	Registered
PRUDENTIAL JENNISON BLEND FUND INC CLASS Q	NEWARK, NJ	11/2/2017	00819292-03	Registered
ADVISORS SERIES TR 1ST STATE GLOBAL LISTED INFRASTRUCTURE FUND CLASS I	MILWAUKEE, WI	11/1/2017	00819518-03	Registered
HARBOR FUNDS HARBOR HIGH YIELD OPPORTUNITIES FUND INSTITUTIONAL CLASS	CHICAGO, IL	11/1/2017	00819164-03	Registered
HARBOR FUNDS HARBOR HIGH YIELD OPPORTUNITIES FUND ADMINISTRATIVE CLASS	CHICAGO, IL	11/1/2017	00819163-03	Registered
HARBOR FUNDS HARBOR HIGH YIELD OPPORTUNITIES FUND INVESTOR CLASS	CHICAGO, IL	11/1/2017	00819165-03	Registered
HARBOR FUNDS HARBOR HIGH YIELD OPPORTUNITIES FUND RETIREMENT CLASS	CHICAGO, IL	11/1/2017	00819166-03	Registered
JPMORGAN TR 2 JPMORGAN INTERNATIONAL RESEARCH ENHANCED EQUITY FUND CLASS R6 SHARES	NEW YORK, NY	11/1/2017	00818797-03	Registered

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JPMORGAN TR 2 JPMORGAN MUNICIPAL INCOME FUND CLASS R6 SHARES	NEW YORK, NY	11/1/2017	00818798-03	Registered
JPMORGAN TR I JPMORGAN DIVERSIFIED FUND CLASS R6 SHARES	NEW YORK, NY	11/1/2017	00818799-03	Registered
JPMORGAN TR I JPMORGAN GLOBAL ALLOCATION FUND CLASS R6 SHARES	NEW YORK, NY	11/1/2017	00818792-03	Registered
JPMORGAN TR I JPMORGAN GLOBAL RESEARCH ENHANCED INDEX FUND CLASS R6 SHARES	NEW YORK, NY	11/1/2017	00818794-03	Registered
JPMORGAN TR I JPMORGAN INCOME BUILDER FUND CLASS R6 SHARES	NEW YORK, NY	11/1/2017	00818793-03	Registered
JPMORGAN TR I JPMORGAN INTERMEDIATE TAX FREE BOND FUND CLASS R6 SHARES	NEW YORK, NY	11/1/2017	00818796-03	Registered
JPMORGAN TR I JPMORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS R6 SHARES	NEW YORK, NY	11/1/2017	00818795-03	Registered
JPMORGAN TR I JPMORGAN US LARGE CAP CORE PLUS FUND CLASS R6 SHARES	NEW YORK, NY	11/1/2017	00818800-03	Registered
MONEY MARKET OBLIGATIONS TR FEDERATED MA MUNICIPAL CASH TR WEALTH SHARES	WARRENDALE, PA	11/1/2017	00819167-03	Registered
ADVISORS DISCIPLINED TR 1750 BUILDING AMERICA OPPORTUNITIES PORTFOLIO SERIES 2017 2	MONUMENT, CO	10/31/2017	00819528-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1688 NATIONAL MUNICIPAL PORTFOLIO OF CEFS SERIES 36	LISLE, IL	10/31/2017	00819529-05	Registered

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Firm Name	Location	Date Received	File Number	Status
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1688 SENIOR LOAN & INCOME PORTFOLIO OF CEFS 33	LISLE, IL	10/31/2017	00819530-05	Registered
MANAGER DIRECTED PORTFOLIOS VERT GLOBAL SUSTAINABLE REAL ESTATE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	10/31/2017	00819522-03	Registered
NORTHERN LIGHTS FUND TR 4 ANCHOR TACTICAL CREDIT STRATEGIES FUND INSTITUTIONAL CLASS SHARES	OMAHA, NE	10/31/2017	00818771-03	Registered
Number of Investment Company Filings: 39				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AFFINITY PORTFOLIO FUNDING 6 LLC	FAIRFIELD, CT	11/3/2017	00819694-07	Filed
CORUNDUMSTONE VENTURES LLC	NEW YORK, NY	11/3/2017	00819697-07	Filed
ELIETE AEROSPACE GROUP INC	TUSTIN, CA	11/3/2017	00819699-07	Filed
FC SANTA FE 6 LLC	ANAHEIM, CA	11/3/2017	00819701-07	Filed
GENEVA CAPITAL LLC	ALEXANDRIA, MN	11/3/2017	00819817-07	Filed
GRAHAM ABSOLUTE RETURN ASP FUND SERIES OF ALTERNATIVE STRATEGIES MANAGED FUTURES & COMMODITIES PLATFORM LLC	CHARLOTTE, NC	11/3/2017	00819698-07	Filed
GRAND ENERGY INC	ADDISON, TX	11/3/2017	00819703-07	Filed
GREENBRIAR EQUITY FUND 4 LP	RYE, NY	11/3/2017	00819690-07	Filed
PRIMUS CAPITAL FUND 8 LP	CLEVELAND, OH	11/3/2017	00819689-07	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
REALTYSHARES 322 LLC	LEWES, DE	11/3/2017	00819691-07	Filed
REALTYSHARES 324 LLC	LEWES, DE	11/3/2017	00819692-07	Filed
REALTYSHARES 330 LLC	LEWES, DE	11/3/2017	00819704-07	Filed
REALTYSHARES 332 LLC	LEWES, DE	11/3/2017	00819706-07	Filed
REALTYSHARES 333 LLC	LEWES, DE	11/3/2017	00819707-07	Filed
SPELL CAPITAL MEZZANINE PARTNERS SBIC 2	MINNEAPOLIS, MN	11/3/2017	00819686-07	Filed
STONEGATE ASSET MANAGEMENT CO	CHICAGO, IL	11/3/2017	00819696-07	Filed
TAI DIAGNOSTICS INC	WAUWATOSA, WI	11/3/2017	00819695-07	Filed
VALISURE LLC	NEW HAVEN, CT	11/3/2017	00819809-07	Filed
WATER STREET HEALTHCARE PARTNERS 4 LP	CHICAGO, IL	11/3/2017	00819687-07	Filed
LRP PLATINUM EQUITY LLC	WOODLAND HILLS, CA	11/1/2017	00820813-07	Filed
MADELINE FUND LP	FOREST LAKE, MN	11/1/2017	00819531-07	Filed
Number of Regulation D Notice Filings: 21				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
ARTHUR MURRAY INTERNATIONAL, INC / Arthur Murray Dance Studio	CORAL GABLES, FL	11/2/2017	618215	Registered
MINT CONDITION FRANCHISING, INC. / Mint Condition	FORT MILL, SC	11/2/2017	618214	Registered
WINZER FRANCHISE CO INC / WINZER	Plano, TX	11/1/2017	618213	Registered
SMS Franchise LLC / NYC Bagel & Sandwich Shop	Hackensack, NJ	11/1/2017	618209	Registered
Number of Franchise Filings: 4				

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