

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/12/2017 through 11/18/2017**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
SOLERA NATIONAL BANCORP INC	LAKEWOOD, CO	11/13/2017	00821024-01	Pending
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
SANDALS CHURCH	RIVERSIDE, CA	11/16/2017	00821342-08	Not Disallowed
SONDORS ELECTRIC CAR CO	MALIBU, CA	11/14/2017	00823100-25	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
FT 7030 EQUITY INCOME PORTFOLIO SERIES 58	WHEATON, IL	11/17/2017	00821344-05	Registered
FT 7074 GLOBAL BOND INCOME CLOSED END PORTFOLIO SERIES 27	WHEATON, IL	11/17/2017	00821345-05	Registered
FT 7080 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 51	WHEATON, IL	11/17/2017	00821346-05	Registered
FUNDEVANTAGE TR POLEN US SMALL CO GROWTH FUND INSTITUTIONAL CLASS	WILMINGTON, DE	11/17/2017	00821142-03	Registered
MUTUAL FUND SERIES TR ALPHACENTRIC GLOBAL INNOVATIONS FUND CLASS A	HAUPPAUGE, NY	11/17/2017	00821416-03	Registered
NORTHERN LIGHTS FUND TR LADENBURG INCOME FUND CLASS I SHARES	HAUPPAUGE, NY	11/17/2017	00821415-03	Registered

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Firm Name	Location	Date Received	File Number	Status
SMART TR 352 SMART TR SUSTAINABLE IMPACT INVESTING TR SERIES 11	PARISIPPANY, NJ	11/17/2017	00821347-05	Registered
TOUCHSTONE STRATEGIC TR TOUCHSTONE SMALL CO FUND CLASS Y	CINCINNATI, OH	11/17/2017	00821144-03	Registered
VOYA FUNDS TR VOYA SHORT TERM BOND FUND CLASS R6	SCOTTSDALE, AZ	11/17/2017	00821143-03	Registered
ADVISORS DISCIPLINED TR 1833 AEROSPACE DEFENSE OPPORTUNITIES PORTFOLIO SERIES 2017 4	MONUMENT, CO	11/16/2017	00821340-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1692 DIVIDEND STRENGTH PORTFOLIO SERIES 28	LISLE, IL	11/16/2017	00821338-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1692 GUGGENHEIM EMERGING MARKETS DIVIDEND STRATEGY PORTFOLIO SERIES 24	LISLE, IL	11/16/2017	00821339-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1692 UNDERVALUED TOP PICKS PORTFOLIO SERIES 15	LISLE, IL	11/16/2017	00821337-05	Registered
NORTHERN FUNDS NORTHERN ENGAGE360 FUND	CHICAGO, IL	11/16/2017	00820822-03	Registered
ADVISORS DISCIPLINED TR 1832 COHEN & STEERS COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO SERIES 2017 4	MONUMENT, CO	11/15/2017	00823057-05	Registered
ADVISORS DISCIPLINED TR 1832 COHEN & STEERS GLOBAL COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO SERIES 2017 4	MONUMENT, CO	11/15/2017	00823053-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FIERA CAPITAL SERIES TR FIERA CAPITAL SMALL MID CAP GROWTH FUND INVESTOR CLASS SHARES	NEW YORK, NY	11/15/2017	00823060-03	Registered
FIERA CAPITAL SERIES TR FIERA CAPITAL SMALL MID CAP GROWTH FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	11/15/2017	00823061-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1690 BLUE CHIP GROWTH PORTFOLIO SERIES 16	LISLE, IL	11/15/2017	00823054-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1690 GUGGENHEIM US CAPITAL STRENGTH PORTFOLIO SERIES 15	LISLE, IL	11/15/2017	00823052-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1691 GUGGENHEIM EUROPEAN CAPITAL STRENGTH PORTFOLIO SERIES 15	LISLE, IL	11/15/2017	00823056-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1694 CORE 4 60 40 RETIREMENT PORTFOLIO SERIES 1	LISLE, IL	11/15/2017	00823055-05	Registered
ADVISORS DISCIPLINED TR 1830 ADVISORS CORE EQUITY STRATEGY PORTFOLIO SERIES 2017 4Q	MONUM ENT, CO	11/13/2017	00823123-05	Registered
ADVISORS DISCIPLINED TR 1830 BAHL & GAYNOR INCOME GROWTH PORTFOLIO SERIES 2017 4Q	MONUM ENT, CO	11/13/2017	00823120-05	Registered
ADVISORS DISCIPLINED TR 1830 BLUE CHIP PORTFOLIO SERIES 2017 4Q	MONUM ENT, CO	11/13/2017	00823119-05	Registered
ADVISORS DISCIPLINED TR 1830 DIVIDEND ADVANTAGE PORTFOLIO SERIES 2017 4Q	MONUM ENT, CO	11/13/2017	00823118-05	Registered

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Firm Name	Location	Date Received	File Number	Status
ADVISORS DISCIPLINED TR 1830 DIVIDEND SUSTAINABILITY PORTFOLIO SERIES 2017 4Q HIMCO PORTFOLIO	MONUM ENT, CO	11/13/2017	00823130-05	Registered
ADVISORS DISCIPLINED TR 1830 DOW VALUE 10 PORTFOLIO SERIES 2017 4Q	MONUM ENT, CO	11/13/2017	00823131-05	Registered
ADVISORS DISCIPLINED TR 1830 ENERGY OPPORTUNITIES PORTFOLIO SERIES 2017 4Q	MONUM ENT, CO	11/13/2017	00823132-05	Registered
ADVISORS DISCIPLINED TR 1830 EUROPEAN SELECT PORTFOLIO SERIES 2017 4Q CJL PORTFOLIO	MONUM ENT, CO	11/13/2017	00823127-05	Registered
ADVISORS DISCIPLINED TR 1830 INTERNATIONAL HIGH 30 DIVIDEND PORTFOLIO SERIES 2017 4Q	MONUM ENT, CO	11/13/2017	00823129-05	Registered
ADVISORS DISCIPLINED TR 1830 MINIMUM VOLATILITY EQUITY INCOME PORTFOLIO SERIES 2017 4Q HIMCO PORTFOLIO	MONUM ENT, CO	11/13/2017	00823126-05	Registered
ADVISORS DISCIPLINED TR 1830 STRATEGIC FOUNDATIONS OF GROWTH PORTFOLIO SERIES 2017 4Q	MONUM ENT, CO	11/13/2017	00823128-05	Registered
ADVISORS DISCIPLINED TR 1830 STRATEGIC HIGH 80 DIVIDEND PORTFOLIO SERIES 2017 4Q	MONUM ENT, CO	11/13/2017	00823124-05	Registered
ADVISORS DISCIPLINED TR 1830 TACTICAL PLUS CLOSED END PORTFOLIO 15 MONTH SERIES 2017 4Q	MONUM ENT, CO	11/13/2017	00823125-05	Registered
ADVISORS DISCIPLINED TR 1831 TACTICAL INCOME CLOSED END PORTFOLIO SERIES 2017 4	MONUM ENT, CO	11/13/2017	00823121-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 6995 TECHNOLOGY SELECT PORTFOLIO SERIES 67	WHEATON, IL	11/13/2017	00823105-05	Registered
FT 6996 INTERNATIONAL CAPITAL STRENGTH PORTFOLIO SERIES 36	WHEATON, IL	11/13/2017	00823115-05	Registered
FT 6996 SMID CAPITAL STRENGTH PORTFOLIO SERIES 36	WHEATON, IL	11/13/2017	00823116-05	Registered
FT 6997 EUROPEAN DEEP VALUE DIVIDEND PORTFOLIO SERIES 17	WHEATON, IL	11/13/2017	00823103-05	Registered
FT 6998 DEEP VALUE DIVIDEND PORTFOLIO SERIES 17	WHEATON, IL	11/13/2017	00823104-05	Registered
FT 6999 EQUITY INCOME SELECT PORTFOLIO SERIES 55	WHEATON, IL	11/13/2017	00823107-05	Registered
FT 7001 GLOBAL DIVIDEND PORTFOLIO SERIES 53	WHEATON, IL	11/13/2017	00823114-05	Registered
FT 7009 SABRIENT BAKERS DOZEN PORTFOLIO NOVEMBER 2017 SERIES	WHEATON, IL	11/13/2017	00823102-05	Registered
FT 7021 LTD DURATION FIXED INCOME ETF PORTFOLIO SERIES 22	WHEATON, IL	11/13/2017	00823108-05	Registered
FT 7022 VALUE LINE TARGET SAFETY 30 PORTFOLIO SERIES	WHEATON, IL	11/13/2017	00823106-05	Registered
FT 7029 CORPORATE TAX REFORM PORTFOLIO SERIES 4	WHEATON, IL	11/13/2017	00823117-05	Registered
FT 7034 ESG IMPACT OPPORTUNITY PORTFOLIO SERIES	WHEATON, IL	11/13/2017	00823113-05	Registered

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Firm Name	Location	Date Received	File Number	Status
FT 7035 SMID HIGH DIVIDEND PORTFOLIO SERIES 28	WHEATON, IL	11/13/2017	00823111-05	Registered
FT 7038 GLOBAL EQUITY INCOME CLOSED END PORTFOLIO SERIES 57	WHEATON, IL	11/13/2017	00823112-05	Registered
FT 7067 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 70	WHEATON, IL	11/13/2017	00823109-05	Registered
FT 7069 CORPORATE INVESTMENT GRADE PORTFOLIO 3 7 YEAR SERIES 2	WHEATON, IL	11/13/2017	00823110-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1689 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO SERIES 40	LISLE, IL	11/13/2017	00823122-05	Registered
Number of Investment Company Filings: 53				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ARES PCS PRIVATE INVESTORS LLC	NEW YORK, NY	11/17/2017	00821419-07	Filed
CAPPASITY TECHNOLOGIES INC	HOUSTON, TX	11/17/2017	00821424-07	Filed
CORNERSTONE METALS INC	VANCOUVER, BC	11/17/2017	00821417-07	Filed
JUNIPER OKC HOLDINGS LTD	HOUSTON, TX	11/17/2017	00821422-07	Filed
MEDICINAL GENOMICS CORP	WOBURN, MA	11/17/2017	00821420-07	Filed
NORENE BLANCHARD JV	HALTOM CITY, TX	11/17/2017	00821418-07	Filed
REVEAL GOLD INC	TORONTO, M5H1J8, ON	11/17/2017	00821425-07	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
SMTP CO INVEST 1 LP	CHICAGO, IL	11/17/2017	00821423-07	Filed
TFG NG EXPO REIT LLC	BOSTON, MA	11/17/2017	00821421-07	Filed
WEAVER GLOBAL INDUSTRIES LLC	COLLEYVILLE, TX	11/17/2017	00821427-07	Filed
FRED JADE LLC	MILWAUKEE, WI	11/15/2017	00823051-07	Filed
RANGER ENERGY PARTNERS FUND 2 LP	DENVER, CO	11/15/2017	00823050-07	Filed
ONEMEDNET CORP	EDEN PRAIRIE, MN	11/14/2017	00823101-07	Filed
Number of Regulation D Notice Filings: 13				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Phenix Salon Suites Franchising, LLC / Phenix Salon Suites	Encinitas, CA	11/18/2017	618257	Registered
Sushi Freak Franchise Group LLC / Sushi Freak	San Diego, CA	11/14/2017	618237	Registered
Inspect-It 1st, LLC	Independence, OH	11/13/2017	618234	Registered
MMI BUSINESS BROKERS LLC / Sunbelt Business Brokers	INDEPENDENCE, OH	11/13/2017	618233	Registered
MMI-CPR, LLC / CPR - Cell Phone Repair	Independence, OH	11/13/2017	618232	Registered
Number of Franchise Filings: 5				

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