

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/26/2017 through 12/2/2017**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ANGEL OAK STRATEGIC CREDIT FUND	MILWAUKEE, WI	12/1/2017	00824070-01	Registered
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
TERRACYCLE US INC	TRENTON, NJ	11/28/2017	00823539-25	Filed
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 1834 AMERICAN RENAISSANCE PORTFOLIO SERIES 2017 4 CJL PORTFOLIO	MONUMENT, CO	12/1/2017	00824083-05	Registered
ADVISORS DISCIPLINED TR 1834 COHEN & STEERS CONVERTIBLE & INCOME CLOSED END PORTFOLIO SERIES 2017 4	MONUMENT, CO	12/1/2017	00824084-05	Registered
ADVISORS DISCIPLINED TR 1834 CORE ANGELS PORTFOLIO SERIES 2017 3	MONUMENT, CO	12/1/2017	00824079-05	Registered
ADVISORS DISCIPLINED TR 1834 GLOBAL BASIC MATERIALS PORTFOLIO SERIES 2017 4	MONUMENT, CO	12/1/2017	00824085-05	Registered
ADVISORS DISCIPLINED TR 1834 SMALL MID CAP ADVANTAGE PORTFOLIO SERIES 2017 4	MONUMENT, CO	12/1/2017	00824080-05	Registered

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ADVISORS DISCIPLINED TR 1834 UBIQUITOUS OPPORTUNITIES PORTFOLIO SERIES 2017 3	MONUMENT, CO	12/1/2017	00824086-05	Registered
ENTREPRENEUR SHARES SERIES TR US SMALL CAP FUND INSTITUTIONAL CLASS	BOSTON, MA	12/1/2017	00824078-03	Registered
FT 7039 SABRIENT DEFENSIVE EQUITY PORTFOLIO SERIES 14	WHEATON, IL	12/1/2017	00824075-05	Registered
FT 7040 CLOUD COMPUTING PORTFOLIO SERIES 19	WHEATON, IL	12/1/2017	00824077-05	Registered
FT 7048 SENIOR LOAN CLOSED END & ETF PORTFOLIO SERIES 20	WHEATON, IL	12/1/2017	00824076-05	Registered
FT 7053 STRATEGIC INCOME CLOSED END PORTFOLIO SERIES 65	WHEATON, IL	12/1/2017	00824071-05	Registered
FT 7079 CAPITAL STRENGTH BUY WRITE PORTFOLIO SERIES 36	WHEATON, IL	12/1/2017	00824073-05	Registered
FT 7081 NYSE FANG PLUS PORTFOLIO SERIES	WHEATON, IL	12/1/2017	00824072-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1696 EQUITY & INCOME PORTFOLIO OF CEFS SERIES 43	LISLE, IL	12/1/2017	00824081-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1697 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 67	LISLE, IL	12/1/2017	00824087-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1698 INCOME & TREASURY LTD DURATION PORTFOLIO OF FUNDS SERIES 54	LISLE, IL	12/1/2017	00824082-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1703 COVERED CALL & INCOME PORTFOLIO OF CEFS SERIES 40	LISLE, IL	12/1/2017	00824088-05	Registered
NORTHERN LIGHTS FUND TR 3 ISSACHAR FUND CLASS N SHARES	HAUPPAUGE, NY	12/1/2017	00824418-03	Registered
NORTHERN LIGHTS FUND TR 3 ISSACHAR FUND CLASS N SHARES	HAUPPAUGE, NY	12/1/2017	00824335-03	Registered
SMART TR 355 SMART TR TAX FREE INCOME TR SERIES 27	PARSIPPANY, NJ	12/1/2017	00824074-05	Registered
ADVISERS INVESTMENT TR RIVER CANYON TOTAL RETURN BOND FUND INSTITUTIONAL SHARES	GAHANNA, OH	11/30/2017	00823827-03	Registered
LEGG MASON PARTNERS INCOME TR WESTERN ASSET MUNICIPAL HIGH INCOME FUND CLASS IS	NEW YORK, NY	11/29/2017	00823785-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 8 PRUDENTIAL QMA STOCK INDEX FUND CLASS Q	NEWARK, NJ	11/29/2017	00823787-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS INC PRUDENTIAL BALANCED FUND CLASS Q	NEWARK, NJ	11/29/2017	00823789-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS INC PRUDENTIAL CONSERVATIVE ALLOCATION FUND CLASS Q	NEWARK, NJ	11/29/2017	00823786-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS INC PRUDENTIAL GROWTH ALLOCATION FUND CLASS Q	NEWARK, NJ	11/29/2017	00823790-03	Registered

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Firm Name	Location	Date Received	File Number	Status
PRUDENTIAL INVESTMENT PORTFOLIOS INC PRUDENTIAL MODERATE ALLOCATION FUND CLASS Q	NEWARK, NJ	11/29/2017	00823788-03	Registered
PRUDENTIAL NATIONAL MUNI FUND INC CLASS Q	NEWARK, NJ	11/29/2017	00823791-03	Registered
ADVANTAGE FUNDS INC DREYFUS GLOBAL MULTI ASSET INCOME FUND CLASS I	NEW YORK, NY	11/28/2017	00823698-03	Registered
ADVANTAGE FUNDS INC DREYFUS GLOBAL MULTI ASSET INCOME FUND CLASS C	NEW YORK, NY	11/28/2017	00823699-03	Registered
ADVANTAGE FUNDS INC DREYFUS GLOBAL MULTI ASSET INCOME FUND CLASS Y	NEW YORK, NY	11/28/2017	00823700-03	Registered
ADVANTAGE FUNDS INC DREYFUS GLOBAL MULTI ASSET INCOME FUND CLASS A	NEW YORK, NY	11/28/2017	00823697-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS DYNAMIC EMERGING MARKETS DEBT FUND CLASS R6 SHARES	CHICAGO, IL	11/28/2017	00823707-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS DYNAMIC MUNICIPAL INCOME FUND CLASS R6 SHARES	CHICAGO, IL	11/28/2017	00823704-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS HIGH YIELD FLOATING RATE FUND CLASS R6 CHARES	CHICAGO, IL	11/28/2017	00823703-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS HIGH YIELD MUNICIPAL FUND CLASS R6 SHARES	CHICAGO, IL	11/28/2017	00823708-03	Registered

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Firm Name	Location	Date Received	File Number	Status
GOLDMAN SACHS TR GOLDMAN SACHS LOCAL EMERGING MARKETS DEBT FUND CLASS R6 SHARES	CHICAGO, IL	11/28/2017	00823705-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS LONG SHORT CREDIT STRATEGIES FUND CLASS R6 SHARES	CHICAGO, IL	11/28/2017	00823702-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS SHORT DURATION TAX FREE FUND CLASS R6 SHARES	CHICAGO, IL	11/28/2017	00823706-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS SHORT TERM CONSERVATIVE INCOME FUND CLASS R6 SHARES	CHICAGO, IL	11/28/2017	00823701-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1466 GUGGENHEIM INVESTMENT GRADE CORPORATE TR 3 7 YEAR SERIES 10	LISLE, IL	11/28/2017	00823542-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1693 NDR THEMATIC OPPORTUNITIES PORTFOLIO SERIES 2	LISLE, IL	11/28/2017	00823541-05	Registered
Number of Investment Company Filings: 42				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CHARLESBANK EXECUTIVES FUND 9 LP	BOSTON, MA	12/1/2017	00824296-07	Filed
CNOTE GROUP INC	OAKLAND, CA	12/1/2017	00824291-07	Filed
FMR LLC	BOSTON, MA	12/1/2017	00824293-07	Filed
JUNO TOPCO INC	SAN FRANCISCO, CA	12/1/2017	00824297-07	Filed
NATIONAL MULTIFAMILY PORTFOLIO 2 DST	OAK BROOK, IL	12/1/2017	00824290-07	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
PATHFINDER THORNTON HOLDINGS LLC	SAN DIEGO, CA	12/1/2017	00824288-07	Filed
WORTHINGTON MEADOWS J DEK LP	OLON, OH	12/1/2017	00824294-07	Filed
X4 PHARMACEUTICALS INC	CAMBRIDGE, MA	12/1/2017	00824295-07	Filed
ADVANCED TECHNOLOGY SELECT FUND 4 LLC	STATEN ISLAND, NY	11/27/2017	00823657-07	Filed
AMOPPORTUNITIES INC	CHICAGO, IL	11/27/2017	00823644-07	Filed
AMPLIFY LA OPPORTUNITY FUND LP	VENICE, CA	11/27/2017	00823533-07	Filed
BOOKHOUSE BREWING LLC	CLEVELAND, OH	11/27/2017	00823653-07	Filed
CALENDARTREE INC	PLEASANTON, CA	11/27/2017	00823652-07	Filed
FASETTO LLC	SUPERIOR, WI	11/27/2017	00823649-07	Filed
HOTH THERAPEUTICS INC	NEW YORK, NY	11/27/2017	00823645-07	Filed
NEUMENTUM INC	PALO ALTO, CA	11/27/2017	00823650-07	Filed
SPARKS DYNAMICS LLC	BALTIMORE, MD	11/27/2017	00823655-07	Filed
STARBOARD VALUE & OPPORTUNITY FUND LTD	GRAND CAYMAN KY1-1205, AA	11/27/2017	00823654-07	Filed
TANK UTILITY INC	SOMERVILLE, MA	11/27/2017	00823648-07	Filed
TCG BDC 2 INC	NEW YORK, NY	11/27/2017	00823656-07	Filed
TSWR DEVELOPMENT SWD PORTFOLIO 1 DST	GREENVILLE, SC	11/27/2017	00823646-07	Filed
Number of Regulation D Notice Filings: 21				

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Budget Blinds, LLC / Budget Blinds	Orange, CA	11/29/2017	618284	Registered
Airtime International Franchise, LLC / Airtime Trampoline and Game Park	Troy, MI	11/29/2017	618282	Registered
Pie Five Pizza Company, Inc. / Pie Five Restaurants (Consolidated Program)	The Colony, TX	11/28/2017	618280	Registered
Lemon Tree Development, LLC / Lemon Tree	East Hanover, NJ	11/28/2017	618278	Registered
COMPUTER TROUBLESHOOTERS USA INC / Computer Troubleshooters	Independence, OH	11/28/2017	618277	Registered
Structural Elements Franchising, LLC / Structural Elements	hagerstown, MD	11/28/2017	618276	Registered
Corporate Caterers Franchisor, LLC / Corporate Caterers	Miami, FL	11/27/2017	618274	Registered
Five Guys Franchisor, LLC / Five Guys	Lorton, VA	11/27/2017	618272	Registered
Number of Franchise Filings: 8				

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