

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/17/2017 through 12/23/2017**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
NORTHSTAR REAL ESTATE CPAITAL INCOME FUND C	NEW YORK, NY	12/19/2017	00828398-01	Pending
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
TRINITY BAPTIST CHURCH OF TRACY DBA SOUTHWINDS CHURCH	TRACY, CA	12/22/2017	00828642-10	Not Disallowed
SONRISE CHRISTIAN CENTER	EVERETT, WA	12/21/2017	00828665-08	Not Disallowed
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
DFA INVESTMENT DIMENSIONS GROUP INC DFA GLOBAL CORE PLUS FIXED INCOME PORTFOLIO INSTITUTIONAL CLASS	AUSTIN, TX	12/22/2017	00828663-03	Pending-Cleared
CAVANAL HILL FUNDS STRATEGIC ENHANCED YIELD FUND INSTITUTIONAL	COLUMBUS, OH	12/21/2017	00828277-03	Registered
CAVANAL HILL FUNDS STRATEGIC ENHANCED YIELD FUND A	COLUMBUS, OH	12/21/2017	00828276-03	Registered
CAVANAL HILL FUNDS STRATEGIC ENHANCED YIELD FUND INVESTOR	COLUMBUS, OH	12/21/2017	00828279-03	Registered
CAVANAL HILL FUNDS ULTRA SHORT TAX FREE INCOME FUND INSTITUTIONAL	COLUMBUS, OH	12/21/2017	00828275-03	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
CAVANAL HILL FUNDS ULTRA SHORT TAX FREE INCOME FUND A	COLUMBUS, OH	12/21/2017	00828274-03	Registered
CAVANAL HILL FUNDS ULTRA SHORT TAX FREE INCOME FUND INVESTOR	COLUMBUS, OH	12/21/2017	00828278-03	Registered
FT 7061 AEROSPACE & DEFENSE PORTFOLIO SERIES 19	WHEATON, IL	12/21/2017	00827988-05	Registered
FT 7062 INTERNATIONAL HIGH DIVIDEND EQUITY PORTFOLIO SERIES 32	WHEATON, IL	12/21/2017	00827987-05	Registered
FT 7064 MARKET STRENGTH ALLOCATION OPPORTUNITY PORTFOLIO SERIES 3	WHEATON, IL	12/21/2017	00827984-05	Registered
FT 7065 MEGA CAP PORTFOLIO SERIES 47	WHEATON, IL	12/21/2017	00827985-05	Registered
FT 7091 RICHARD BERNSTEIN ADVISORS TACTICAL SERIES AMERICAN INDUSTRIAL RENAISSANCE 2017 4	WHEATON, IL	12/21/2017	00827986-05	Pending-Cleared
FT 7099 GLOBAL DEEP VALUE DIVIDEND PORTFOLIO SERIES 17	WHEATON, IL	12/21/2017	00827991-05	Registered
FT 7100 LOW VOLATILITY PORTFOLIO SERIES 10	WHEATON, IL	12/21/2017	00827993-05	Registered
FT 7101 INNOVATIVE TECHNOLOGY PORTFOLIO SERIES 17	WHEATON, IL	12/21/2017	00827992-05	Pending-Cleared
FT 7131 MLP CLOSED END PORTFOLIO SERIES 19	WHEATON, IL	12/21/2017	00827990-05	Registered
FT 7136 PREFERRED INCOME PORTFOLIO SERIES 93	WHEATON, IL	12/21/2017	00827989-05	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
PRUDENTIAL GLOBAL TOTAL RETURN FUND INC PRUDENTIAL GLOBAL TOTAL RETURN USD HEDGED FUND CLASS A	NEWARK, NJ	12/21/2017	00828282-03	Registered
PRUDENTIAL GLOBAL TOTAL RETURN FUND INC PRUDENTIAL GLOBAL TOTAL RETURN USD HEDGED FUND CLASS C	NEWARK, NJ	12/21/2017	00828283-03	Registered
PRUDENTIAL GLOBAL TOTAL RETURN FUND INC PRUDENTIAL GLOBAL TOTAL RETURN USD HEDGED FUND CLASS Z	NEWARK, NJ	12/21/2017	00828287-03	Registered
PRUDENTIAL GLOBAL TOTAL RETURN FUND INC PRUDENTIAL GLOBAL TOTAL RETURN USD HEDGED FUND CLASS Q	NEWARK, NJ	12/21/2017	00828285-03	Registered
PRUDENTIAL WORLD FUND INC PRUDENTIAL EMERGING MARKETS DEBT HARD CURRENCY FUND CLASS C	NEWARK, NJ	12/21/2017	00828281-03	Registered
PRUDENTIAL WORLD FUND INC PRUDENTIAL EMERGING MARKETS DEBT HARD CURRENCY FUND CLASS A	NEWARK, NJ	12/21/2017	00828280-03	Registered
PRUDENTIAL WORLD FUND INC PRUDENTIAL EMERGING MARKETS DEBT HARD CURRENCY FUND CLASS Z	NEWARK, NJ	12/21/2017	00828284-03	Registered
PRUDENTIAL WORLD FUND INC PRUDENTIAL EMERGING MARKETS DEBT HARD CURRENCY FUND CLASS Q	NEWARK, NJ	12/21/2017	00828286-03	Registered
SMART TR 359 SMART TR TAX ADVANTAGED GROWTH & INCOME SERIES 15	PARSIPPANY, NJ	12/21/2017	00827994-05	Pending-Cleared
SMART TR 361 SMART TR ARGUS DIVIDEND GROWERS TOTAL RETURN TR SERIES 15	PARSIPPANY, NJ	12/21/2017	00827996-05	Pending-Cleared

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
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SMART TR 361 SMART TR MORNINGSTAR DIVIDEND YIELD SELECT TR SERIES 4	PARSIPPANY, NJ	12/21/2017	00827995-05	Pending-Cleared
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2015 FUND CLASS C SHARES	HOUSTON, TX	12/20/2017	00827819-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2020 FUND CLASS A SHARES	HOUSTON, TX	12/20/2017	00827823-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2030 FUND CLASS R SHARES	HOUSTON, TX	12/20/2017	00827830-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT NOW FUND CLASS R6 SHARES	HOUSTON, TX	12/20/2017	00827886-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2045 FUND CLASS A SHARES	HOUSTON, TX	12/20/2017	00827871-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2040 FUND CLASS R5 SHARES	HOUSTON, TX	12/20/2017	00827851-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2045 FUND CLASS R6 SHARES	HOUSTON, TX	12/20/2017	00827873-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2045 FUND CLASS R5 SHARES	HOUSTON, TX	12/20/2017	00827857-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2050 FUND CLASS R5 SHARES	HOUSTON, TX	12/20/2017	00827863-03	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
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2055 FUND CLASS C SHARES	HOUSTON, TX	12/20/2017	00827867-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2035 FUND CLASS R SHARES	HOUSTON, TX	12/20/2017	00827842-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2035 FUND CLASS A SHARES	HOUSTON, TX	12/20/2017	00827838-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2040 FUND CLASS C SHARES	HOUSTON, TX	12/20/2017	00827849-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2045 FUND CLASS Y SHARES	HOUSTON, TX	12/20/2017	00827859-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2040 FUND CLASS R SHARES	HOUSTON, TX	12/20/2017	00827869-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT NOW FUND CLASS A SHARES	HOUSTON, TX	12/20/2017	00827878-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2040 FUND CLASS R6 SHARES	HOUSTON, TX	12/20/2017	00827879-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT NOW FUND CLASS R5 SHARES	HOUSTON, TX	12/20/2017	00827884-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2015 FUND CLASS R6 SHARES	HOUSTON, TX	12/20/2017	00827820-03	Registered

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AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2025 FUND CLASS C SHARES	HOUSTON, TX	12/20/2017	00827831-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2045 FUND CLASS R SHARES	HOUSTON, TX	12/20/2017	00827887-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2055 FUND CLASS R6 SHARES	HOUSTON, TX	12/20/2017	00827850-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2030 FUND CLASS C SHARES	HOUSTON, TX	12/20/2017	00827828-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2060 FUND CLASS R SHARES	HOUSTON, TX	12/20/2017	00827858-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2060 FUND CLASS Y SHARES	HOUSTON, TX	12/20/2017	00827864-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2025 FUND CLASS R6 SHARES	HOUSTON, TX	12/20/2017	00827839-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2020 FUND CLASS R6 SHARES	HOUSTON, TX	12/20/2017	00827843-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2025 FUND CLASS R5 SHARES	HOUSTON, TX	12/20/2017	00827833-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2025 FUND CLASS R SHARES	HOUSTON, TX	12/20/2017	00827841-03	Registered

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AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2055 FUND CLASS Y SHARES	HOUSTON, TX	12/20/2017	00827852-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2060 FUND CLASS R6 SHARES	HOUSTON, TX	12/20/2017	00827862-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2065 FUND CLASS R SHARES	HOUSTON, TX	12/20/2017	00827870-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT NOW FUND CLASS R SHARES	HOUSTON, TX	12/20/2017	00827882-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT NOW FUND CLASS C SHARES	HOUSTON, TX	12/20/2017	00827880-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2050 FUND CLASS R6 SHARES	HOUSTON, TX	12/20/2017	00827885-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2055 FUND CLASS R5 SHARES	HOUSTON, TX	12/20/2017	00827848-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2020 FUND CLASS C SHARES	HOUSTON, TX	12/20/2017	00827825-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2065 FUND CLASS R5 SHARES	HOUSTON, TX	12/20/2017	00827872-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2020 FUND CLASS R5 SHARES	HOUSTON, TX	12/20/2017	00827827-03	Registered

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AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2015 FUND CLASS R5 SHARES	HOUSTON, TX	12/20/2017	00827818-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2015 FUND CLASS Y SHARES	HOUSTON, TX	12/20/2017	00827822-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2045 FUND CLASS C SHARES	HOUSTON, TX	12/20/2017	00827855-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2050 FUND CLASS C SHARES	HOUSTON, TX	12/20/2017	00827861-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2030 FUND CLASS Y SHARES	HOUSTON, TX	12/20/2017	00827836-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2065 FUND CLASS C SHARES	HOUSTON, TX	12/20/2017	00827868-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2060 FUND CLASS A SHARES	HOUSTON, TX	12/20/2017	00827854-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2025 FUND CLASS A SHARES	HOUSTON, TX	12/20/2017	00827837-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2055 FUND CLASS R SHARES	HOUSTON, TX	12/20/2017	00827846-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2060 FUND CLASS C SHARES	HOUSTON, TX	12/20/2017	00827856-03	Registered

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
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AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2065 FUND CLASS A SHARES	HOUSTON, TX	12/20/2017	00827866-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2050 FUND CLASS R SHARES	HOUSTON, TX	12/20/2017	00827875-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2055 FUND CLASS A SHARES	HOUSTON, TX	12/20/2017	00827877-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2040 FUND CLASS A SHARES	HOUSTON, TX	12/20/2017	00827883-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2015 FUND CLASS A SHARES	HOUSTON, TX	12/20/2017	00827817-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2015 FUND CLASS R SHARES	HOUSTON, TX	12/20/2017	00827821-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2030 FUND CLASS A SHARES	HOUSTON, TX	12/20/2017	00827826-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2030 FUND CLASS R5 SHARES	HOUSTON, TX	12/20/2017	00827832-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2035 FUND CLASS Y SHARES	HOUSTON, TX	12/20/2017	00827847-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2025 FUND CLASS Y SHARES	HOUSTON, TX	12/20/2017	00827824-03	Registered

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
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AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2020 FUND CLASS Y SHARES	HOUSTON, TX	12/20/2017	00827829-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2060 FUND CLASS R5 SHARES	HOUSTON, TX	12/20/2017	00827860-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2020 FUND CLASS R SHARES	HOUSTON, TX	12/20/2017	00827835-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2035 FUND CLASS C SHARES	HOUSTON, TX	12/20/2017	00827840-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2035 FUND CLASS R5 SHARES	HOUSTON, TX	12/20/2017	00827844-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2030 FUND CLASS R6 SHARES	HOUSTON, TX	12/20/2017	00827834-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2035 FUND CLASS R6 SHARES	HOUSTON, TX	12/20/2017	00827845-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2040 FUND CLASS Y SHARES	HOUSTON, TX	12/20/2017	00827853-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2050 FUND CLASS Y SHARES	HOUSTON, TX	12/20/2017	00827865-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2065 FUND CLASS R6 SHARES	HOUSTON, TX	12/20/2017	00827874-03	Registered

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AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2065 FUND CLASS Y SHARES	HOUSTON, TX	12/20/2017	00827876-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT 2050 FUND CLASS A SHARES	HOUSTON, TX	12/20/2017	00827881-03	Registered
AIM GROWTH SERIES INVESCO GROWTH SERIES INVESCO PEAK RETIREMENT NOW FUND CLASS Y SHARES	HOUSTON, TX	12/20/2017	00827888-03	Registered
FT 7052 SABRIENT BAKERS DOZEN PORTFOLIO DECEMBER 2017 SERIES	WHEATON, IL	12/20/2017	00826760-05	Registered
FT 7059 DORSEY WRIGHT RELATIVE STRENGTH DIVIDEND PORTFOLIO SERIES 29	WHEATON, IL	12/20/2017	00826759-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1702 MLP & ENERGY FUNDS PORTFOLIO SERIES 20	LISLE, IL	12/20/2017	00826753-05	Registered
WESTCORE TR CO TX EX FUND RETAIL CLASS	DENVER, CO	12/20/2017	00827978-03	Registered
NORTHERN LIGHTS FUND TR RISKPRO DYNAMIC 15 25 FUND CLASS R	HAUPPAUGE, NY	12/19/2017	00826751-03	Registered
NORTHERN LIGHTS FUND TR RISKPRO PFG AGGRESSIVE 30 PLUS FUND CLASS R	HAUPPAUGE, NY	12/19/2017	00826750-03	Registered
NORTHERN LIGHTS FUND TR RISKPRO PFG BALANCED 20 30 FUND CLASS R	HAUPPAUGE, NY	12/19/2017	00826748-03	Registered
NORTHERN LIGHTS FUND TR RISKPRO PFG EQUITY 30 PLUS FUND CLASS R	HAUPPAUGE, NY	12/19/2017	00826749-03	Registered

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OFI FUNDS TR OFI PICTET GLOBAL ENVIRONMENTAL SOLUTIONS FUND CLASS I SHARES	DENVER, CO	12/19/2017	00825038-03	Registered
OFI FUNDS TR OFI PICTET GLOBAL ENVIRONMENTAL SOLUTIONS FUND CLASS Y SHARES	DENVER, CO	12/19/2017	00825039-03	Registered
1ST AMERICAN FUNDS INC GOVERNMENT OBLIGATIONS FUND CLASS P SHARES	MILWAUKEE, WI	12/18/2017	00828380-03	Registered
1ST AMERICAN FUNDS INC TREASURY OBLIGATIONS FUND CLASS P SHARES	MILWAUKEE, WI	12/18/2017	00828381-03	Registered
CAVANAL HILL FUNDS US TREASURY FUND SELECT	COLUMBUS, OH	12/18/2017	00826752-03	Registered
CUSHING MUTUAL FUNDS TR CUSHING MLP INFRASTRUCTURE FUND CLASS A SHARES	MILWAUKEE, WI	12/18/2017	00828388-03	Registered
CUSHING MUTUAL FUNDS TR CUSHING MLP INFRASTRUCTURE FUND CLASS I SHARES	MILWAUKEE, WI	12/18/2017	00828389-03	Registered
CUSHING MUTUAL FUNDS TR CUSHING MLP INFRASTRUCTURE FUND CLASS C SHARES	MILWAUKEE, WI	12/18/2017	00828387-03	Registered
FT 7050 HIGH DIVIDEND EQUITY ALLOCATION PORTFOLIO SERIES 26	WHEATON, IL	12/18/2017	00828378-05	Registered
FT 7051 SENIOR LOAN SELECT CLOSED END PORTFOLIO SERIES 29	WHEATON, IL	12/18/2017	00828379-05	Registered
FT 7097 TACTICAL ALPHA PORTFOLIO SERIES 15	WHEATON, IL	12/18/2017	00828377-05	Registered

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FT 7098 TAX ADVANTAGED MUNICIPAL CLOSED END PORTFOLIO SERIES 53	WHEATON, IL	12/18/2017	00828374-05	Registered
INVESCO UNIT TR SERIES 1836 DIVIDEND INCOME & VALUE PORTFOLIO 2018 1	DOWNERS GROVE, IL	12/18/2017	00828382-05	Pending-Cleared
INVESCO UNIT TR SERIES 1837	DOWNERS GROVE, IL	12/18/2017	00828383-05	Pending-Cleared
INVESCO UNIT TR SERIES 1838 BUYBACK LEADERS PORTFOLIO 2018 1	DOWNERS GROVE, IL	12/18/2017	00828384-05	Pending-Cleared
INVESCO UNIT TR SERIES 1839	DOWNERS GROVE, IL	12/18/2017	00828385-05	Pending-Cleared
INVESCO UNIT TR SERIES 1840	DOWNERS GROVE, IL	12/18/2017	00828386-05	Pending-Cleared
SMART TR 358 SMART TR ENHANCED VALUE 2 TR SERIES 19	PARSIPPANY, NJ	12/18/2017	00828376-05	Registered
SMART TR 358 SMART TR PORTFOLIO OF CLOSED END FUND OPPORTUNITIES TR SERIES 14	PARSIPPANY, NJ	12/18/2017	00828375-05	Registered
Number of Investment Company Filings: 127				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CORNERSTONE INCOME FUND LLC	JACKSON, WY	12/21/2017	00827998-07	Filed
SERONE EC2 FUND LP	GRAND CAYMAN KY1-1104, AA	12/21/2017	00827997-07	Filed
SCM 10X FUND LLC	OMAHA, NE	12/18/2017	00828366-07	Filed
Number of Regulation D Notice Filings: 3				

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Legal Name / Trade Name	Location	Date Received	File Number	Status
FIBRENEW USA, LTD. / FIBRENEW	Black Diamond, AB	12/21/2017	618352	Registered
Luby's Fuddruckers Restaurants, LLC / "Fuddruckers" and "Fuddruckers, World's Greatest Hamburgers"	Houston, TX	12/21/2017	618351	Registered
DISCOVERY MAP INTERNATIONAL, INC. / Discovery Map	Waitsfield, VA	12/21/2017	618347	Registered
PROSE Franchising, LLC / PROSE Boutiques (Area Representative)	Phoenix, AZ	12/21/2017	618346	Registered
PROSE Franchising, LLC / PROSE Boutiques	Phoenix, AZ	12/20/2017	618344	Registered
Burgerim Group USA Inc / Burgerim Group USA Inc Burgerim	Encino, CA	12/20/2017	618341	Registered
TCBY Systems, LLC / TCBY	Broomfield, CO	12/19/2017	618340	Registered
Mrs. Fields Franchising, LLC / Mrs. Fields	Broomfield, CO	12/19/2017	618339	Registered
CK Franchising, Inc. / Comfort Keepers	Irvine, CA	12/19/2017	618337	Registered
Sonic Franchising LLC / Sonic Drive-In	Oklahoma City, OK	12/19/2017	618335	Registered
NextHome, Inc. / NextHome	Pleasanton, CA	12/18/2017	618334	Registered
Number of Franchise Filings: 11				

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