

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/31/2017 through 1/6/2018**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Number of Registration Filings: 0				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Number of Exemption Filings: 0				

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 1845 BLUE CHIP COVERED CALL PORTFOLIO SERIES 2018 1Q	MONUMENT, CO	1/5/2018	00829704-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1846 AGRI BUSINESS OPPORTUNITIES PORTFOLIO SERIES 2018 1	MONUMENT, CO	1/5/2018	00829708-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1846 GLOBAL INFLATION GROWTH PORTFOLIO SERIES 2018 1	MONUMENT, CO	1/5/2018	00829705-05	Pending-Cleared
BARON INVESTMENT FUNDS TR BARON DURABLE ADVANTAGE FUND RETAIL SHARES	NEW YORK, NY	1/5/2018	00829484-03	Registered
BARON INVESTMENT FUNDS TR BARON DURABLE ADVANTAGE FUND INSTITUTIONAL SHARES	NEW YORK, NY	1/5/2018	00829483-03	Registered
BARON INVESTMENT FUNDS TR BARON DURABLE ADVANTAGE FUND R6 SHARES	NEW YORK, NY	1/5/2018	00829485-03	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
BARON SELECT FUNDS BARON REAL ESTATE INCOME FUND INSTITUTIONAL SHARES	NEW YORK, NY	1/5/2018	00829490-03	Registered
BARON SELECT FUNDS BARON REAL ESTATE INCOME FUND R6 SHARES	NEW YORK, NY	1/5/2018	00829486-03	Registered
BARON SELECT FUNDS BARON REAL ESTATE INCOME FUND RETAIL SHARES	NEW YORK, NY	1/5/2018	00829488-03	Registered
BARON SELECT FUNDS BARON WEALTHBUILDER FUND INSTITUTIONAL SHARES	NEW YORK, NY	1/5/2018	00829487-03	Registered
BARON SELECT FUNDS BARON WEALTHBUILDER FUND RETAIL SHARES	NEW YORK, NY	1/5/2018	00829489-03	Registered
BARON SELECT FUNDS BARON WEALTHBUILDER FUND TA SHARES	NEW YORK, NY	1/5/2018	00829491-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1707 ENHANCED QUALITY 16 STRATEGY PORTFOLIO SERIES 10	LISLE, IL	1/5/2018	00829702-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1708 S&P GLOBAL DIVIDEND ARISTOCRATS SELECT 25 STRATEGY PORTFOLIO SERIES 6	LISLE, IL	1/5/2018	00829703-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1709 ENERGY PORTFOLIO SERIES 24	LISLE, IL	1/5/2018	00829709-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1709 HEALTH CARE PORTFOLIO SERIES 24	LISLE, IL	1/5/2018	00829706-05	Pending-Cleared

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1709 UTILITIES PORTFOLIO SERIES 27	LISLE, IL	1/5/2018	00829707-05	Pending-Cleared
MANAGER DIRECTED PORTFOLIOS SPYGLASS GROWTH FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	1/5/2018	00829701-03	Registered
WESTCHESTER CAPITAL FUNDS WCM ALTERNATIVES CREDIT EVENT FUND INVESTOR CLASS SHARES	MILWAUKEE, WI	1/4/2018	00829460-03	Registered
WESTCHESTER CAPITAL FUNDS WCM ALTERNATIVES CREDIT EVENT FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	1/4/2018	00829461-03	Registered
2 ROADS SHARED TR REDWOOD ALPHAFACOR CORE EQUITY FUND CLASS I	HAUPPAUGE, NY	1/3/2018	00829286-03	Registered
2 ROADS SHARED TR REDWOOD ALPHAFACOR TACTICAL CORE FUND CLASS I	HAUPPAUGE, NY	1/3/2018	00829287-03	Registered
2 ROADS SHARED TR REDWOOD MANAGED MUNICIPAL INCOME FUND CLASS I	HAUPPAUGE, NY	1/3/2018	00829288-03	Registered
ADVISORS DISCIPLINED TR 1843 BALANCED PORTFOLIO SERIES 2018 1	MONUMENT, CO	1/3/2018	00829218-05	Registered
ADVISORS DISCIPLINED TR 1843 COHEN & STEERS EQUITY DIVIDEND & INCOME CLOSED END PORTFOLIO SERIES 2018 1	MONUMENT, CO	1/3/2018	00829212-05	Registered
ADVISORS DISCIPLINED TR 1844 INCOME QUALITY COVERED CALL PORTFOLIO SERIES 2018 1Q	MONUMENT, CO	1/3/2018	00829217-05	Pending-Cleared

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DFA INVESTMENT DIMENSIONS GROUP INC EMERGING MARKETS SUSTAINABILITY CORE 1 PORTFOLIO INSTITUTIONAL CLASS	AUSTIN, TX	1/3/2018	00829157-03	Registered
FIDELITY SALEM STREET TR FIDELITY SAI MUNICIPAL MONEY MARKET FUND FIDELITY SAI MUNICIPAL MONEY MARKET FUND	BOSTON, MA	1/3/2018	00829297-03	Registered
FT 7102 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 78	WHEATON, IL	1/3/2018	00829204-05	Registered
FT 7103 SABRIENT SMALL CAP GROWTH PORTFOLIO SERIES 17	WHEATON, IL	1/3/2018	00829198-05	Pending-Cleared
FT 7104 DIVERSIFIED FIXED INCOME ETF PORTFOLIO SERIES 33	WHEATON, IL	1/3/2018	00829201-05	Pending-Cleared
FT 7109 DOW JONES GLOBAL TITANS PORTFOLIO SERIES 23	WHEATON, IL	1/3/2018	00829202-05	Registered
FT 7110 NASDAQ DIVIDEND ACHIEVERS 25 PORTFOLIO SERIES 11	WHEATON, IL	1/3/2018	00829205-05	Registered
FT 7111 STRATEGIC INTERNATIONAL OPPORTUNITY PORTFOLIO SERIES 3	WHEATON, IL	1/3/2018	00829195-05	Registered
FT 7112 US REVENUE PORTFOLIO SERIES 11	WHEATON, IL	1/3/2018	00829196-05	Registered
FT 7113 STRATEGIC INCOME ADVANTAGE OPPORTUNITY CLOSED END PORTFOLIO SERIES 4	WHEATON, IL	1/3/2018	00829207-05	Registered
FT 7114 AI & ROBOTICS OPPORTUNITY PORTFOLIO SERIES 2	WHEATON, IL	1/3/2018	00829197-05	Registered

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FT 7115 E COMMERCE OPPORTUNITY PORTFOLIO SERIES 2	WHEATON, IL	1/3/2018	00829206-05	Registered
FT 7116 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 64	WHEATON, IL	1/3/2018	00829200-05	Registered
FT 7118 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 58	WHEATON, IL	1/3/2018	00829199-05	Pending-Cleared
FT 7126 DOW TARGET 10 JAN 18 TERM 2 8 19	WHEATON, IL	1/3/2018	00829193-05	Pending-Cleared
FT 7127 DIVERSIFIED EQUITY STRATEGIC ALLOCATION PORT 1Q 18 TERM 4 15 19	WHEATON, IL	1/3/2018	00829194-05	Pending-Cleared
FT 7129 EUROPEAN TARGET HIGH QUALITY DVD 1Q 18 TERM 4 9 19	WHEATON, IL	1/3/2018	00829209-05	Pending-Cleared
FT 7129 TARGET DVD BLEND 1Q 18 TERM 4 9 19	WHEATON, IL	1/3/2018	00829210-05	Pending-Cleared
FT 7129 TARGET HIGH QUALITY DVD 1Q 18 TERM 4 9 19	WHEATON, IL	1/3/2018	00829211-05	Pending-Cleared
FT 7189 HIGH YIELD INCOME CLOSED END PORTFOLIO SERIES 80	WHEATON, IL	1/3/2018	00829208-05	Registered
FT 7193 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 92	WHEATON, IL	1/3/2018	00829203-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1704 ALERIAN MLP INFRASTRUCTURE & INCOME PORTFOLIO SERIES 1	LISLE, IL	1/3/2018	00829216-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1705 DOW 10 PORTFOLIO SERIES 32	LISLE, IL	1/3/2018	00829215-05	Registered

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 1705 GUGGENHEIM INTERNATIONAL DIVIDEND STRATEGY PORTFOLIO SERIES 38	LISLE, IL	1/3/2018	00829213-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1706 STRATEGIC INCOME PORTFOLIO SERIES 100	LISLE, IL	1/3/2018	00829214-05	Registered
NORTHERN LIGHTS FUND TR 3 GOOD HARBOR TACTICAL CORE US FUND CLASS I SHARES	HAUPPAUGE, NY	1/3/2018	00829289-03	Registered
RMB INVESTORS TR RMB INTERNATIONAL FUND CLASS I	NEW YORK, NY	1/3/2018	00829295-03	Registered
RMB INVESTORS TR RMB INTERNATIONAL SMALL CAP FUND CLASS I	NEW YORK, NY	1/3/2018	00829296-03	Registered
RMB INVESTORS TR RMB JAPAN FUND CLASS I	NEW YORK, NY	1/3/2018	00829294-03	Registered
BAILLIE GIFFORD FUNDS ASIA EX JAPAN FUND CLASS K	SCOTLAND, UK	1/2/2018	00829155-03	Registered
BAILLIE GIFFORD FUNDS ASIA EX JAPAN FUND INSTITUTIONAL CLASS	SCOTLAND, UK	1/2/2018	00829156-03	Registered
BAILLIE GIFFORD FUNDS GLOBAL SELECT EQUITY FUND INSTITUTIONAL CLASS	SCOTLAND, UK	1/2/2018	00829151-03	Registered
BAILLIE GIFFORD FUNDS GLOBAL SELECT EQUITY FUND CLASS K	SCOTLAND, UK	1/2/2018	00829149-03	Registered
BAILLIE GIFFORD FUNDS INTERNATIONAL CONCENTRATED GROWTH FUND INSTUTIONAL CLASS	SCOTLAND, UK	1/2/2018	00829150-03	Registered

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Firm Name	Location	Date Received	File Number	Status
BAILLIE GIFFORD FUNDS INTERNATIONAL CONCENTRATED GROWTH FUND CLASS K	SCOTLAND, UK	1/2/2018	00829153-03	Registered
BAILLIE GIFFORD FUNDS POSITIVE CHANGE EQUITY FUND INSTITUTIONAL CLASS	SCOTLAND, UK	1/2/2018	00829154-03	Registered
BAILLIE GIFFORD FUNDS POSITIVE CHANGE EQUITY FUND CLASS K	SCOTLAND, UK	1/2/2018	00829152-03	Registered
BRANDES INVESTMENT TR BRANDES SMALL CAP VALUE FUND CLASS A	MILWAUKEE, WI	1/2/2018	00829192-03	Registered
BRANDES INVESTMENT TR BRANDES SMALL CAP VALUE FUND CLASS I	MILWAUKEE, WI	1/2/2018	00829191-03	Registered
BRANDES INVESTMENT TR BRANDES SMALL CAP VALUE FUND CLASS R6	MILWAUKEE, WI	1/2/2018	00829190-03	Registered
HORIZON FUNDS HORIZON DEFINED RISK FUND INVESTOR CLASS	MILWAUKEE, WI	1/2/2018	00829187-03	Registered
MATTHEWS INTERNATIONAL FUNDS MATTHEWS CHINA SMALL CO FUND INSTITUTIONAL CLASS SHARES	SAN FRANCISCO, CA	1/2/2018	00829148-03	Registered
SERIES PORTFOLIOS TR HEITMAN US REAL ESTATE SECURITIES FUND INSTITUTIONAL CLASS	WEST ALLIS, WI	1/2/2018	00829188-03	Registered
SERIES PORTFOLIOS TR HEITMAN US REAL ESTATE SECURITIES FUND INVESTOR CLASS	WEST ALLIS, WI	1/2/2018	00829189-03	Registered
Number of Investment Company Filings: 70				

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/31/2017 through 1/6/2018**

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BERYL CAPITAL FUND 2 LTD	RCHO SANTA FE, CA	1/5/2018	00829958-07	Filed
BLACKHORN CYTOVALE INVESTMENT SPV LLC	BOULDER, CO	1/5/2018	00830002-07	Filed
BLOCKSTACK TOKEN LLC	JERSEY CITY, NJ	1/5/2018	00829963-07	Filed
BLUE POINT CAPITAL PARTNERS 4 LP	CLEVELAND, OH	1/5/2018	00830003-07	Filed
CORDILLERA SPECTRUM CO INVESTMENT 2 LP	MENLO PARK, CA	1/5/2018	00829999-07	Filed
FRAZIER HEALTHCARE GROWTH BUYOUT AFFILIATES 9 LP	SEATTLE, WA	1/5/2018	00829979-07	Filed
HIGH STREET CAPITAL 5 SBIC LP	CHICAGO, IL	1/5/2018	00829959-07	Filed
IK SMALL CAP 2 FUND NO 1 SCSP	LEUDELANGE, AA	1/5/2018	00829965-07	Filed
INNOVATION X HOLDINGS QP LLC SLACK SERIES 1	NEW YORK, NY	1/5/2018	00830001-07	Filed
JIVANA BIOTECHNOLOGY INC	OAK PARK, IL	1/5/2018	00829988-07	Filed
KILTEARN GLOBAL EQUITY SRI FUND	PITTSBURGH, PA	1/5/2018	00829961-07	Filed
LC ACCEL PSP 6 LLC	NEW YORK, NY	1/5/2018	00829973-07	Filed
LC ACCELPSP 8 LLC	NEW YORK, NY	1/5/2018	00829982-07	Filed
LC DIVERPSP 15 LLC	NEW YORK, NY	1/5/2018	00829969-07	Filed
LC DIVERPSP 17 LLC	NEW YORK, NY	1/5/2018	00829986-07	Filed
LC DIVERPSP 18 LLC	NEW YORK, NY	1/5/2018	00829990-07	Filed
LC DIVERPSP 19 LLC	NEW YORK, NY	1/5/2018	00829984-07	Filed
LIFE360 INC	SAN FRANCISCO, CA	1/5/2018	00829966-07	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
MANAGECORE LLC	BROOKFIELD, WI	1/5/2018	00830000-07	Filed
NAM SPECIAL SITUATIONS FUND 1 QP LLC LYFT SERIES 5	NEW YORK, NY	1/5/2018	00829997-07	Filed
PRINTWITHME INC	CHICAGO, IL	1/5/2018	00829960-07	Filed
REALTYSHARES 341 LLC	LEWES, DE	1/5/2018	00830004-07	Filed
REALTYSHARES 345 LLC	LEWES, DE	1/5/2018	00829954-07	Filed
RIDDLE AGGREGATES GROUP LLC	ANNISTON, AL	1/5/2018	00829957-07	Filed
STRATEGIC VALUE RESTRUCTURING ASP FUND SERIES OF ASP LLC	CHARLOTTE, NC	1/5/2018	00829968-07	Filed
TBG MULTIREP 3 LLC	NEW YORK, NY	1/5/2018	00829971-07	Filed
TBG MULTIREP 4 LLC	NEW YORK, NY	1/5/2018	00829994-07	Filed
TREYBURN PROJECT LLC	DURHAM, NC	1/5/2018	00829996-07	Filed
ULTRACELL INSULATION LLC	BUFFALO, NY	1/5/2018	00829956-07	Filed
UN1856 LLC	SAN FRANCISCO, CA	1/5/2018	00829962-07	Filed
YS ALGT REDFIN 1 LLC	NEW YORK, NY	1/5/2018	00829977-07	Filed
YS LC DIVERPSP 20 LLC	NEW YORK, NY	1/5/2018	00829992-07	Filed
YS LC DIVERPSP 22 LLC	NEW YORK, NY	1/5/2018	00829980-07	Filed
YS TBG RESIREP 1 LLC	NEW YORK, NY	1/5/2018	00829975-07	Filed
MILLROCK RESOURCES INC	VANCOUVER, BC	1/2/2018	00829158-07	Filed
VENTURE LENDING & LEASING 9 LLC	PORTOLA VALLEY, CA	1/2/2018	00829160-07	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
ZERO COUPON PHARMACY 8 DST	OAK BROOK, IL	1/2/2018	00829159-07	Filed
Number of Regulation D Notice Filings: 37				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Sweet Paris Franchise, LLC / Sweet Paris	Houston, TX	1/5/2018	618383	Registered
Soldierfit Franchise, LLC / Soldierfit	Ijamsville, MD	1/5/2018	618382	Registered
LearningRx Franchise Corporation / LearningRx Training Center	COLORADO SPRINGS, CO	1/4/2018	618381	Registered
Fyzical, LLC / Fyzical	Sarasota, FL	1/4/2018	618378	Registered
CGI INTERNATIONAL, INC. / COLOR GLO INTERNATIONAL	EDINA, MN	1/4/2018	618379	Registered
MMI-CPR, LLC / Cell Phone Repair (Area Rep)	Independence, OH	1/3/2018	618371	Registered
Nurse Next Door Home Healthcare Services (USA) Inc. / Nurse Next Door	Vancouver, BC	1/3/2018	618372	Registered
Number of Franchise Filings: 7				

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