

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Securities Law Registration Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
CNL HEALTHCARE PROPERTIES 2 INC	ORLANDO, FL	2/2/2018	00832026-01	Registered
BLACK CREEK DIVERSIFIED PROPERTY FUND INC	DENVER, CO	1/29/2018	00831671-01	Pending
<b>Number of Registration Filings: 2</b>				

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

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ADVISORS DISCIPLINED TR 1852 AEROSPACE DEFENSE OPPORTUNITIES PORTFOLIO SERIES 2018 1	MONUMENT, CO	2/2/2018	00832009-05	Registered
ADVISORS DISCIPLINED TR 1852 COHEN & STEERS COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO SERIES 2018 1	MONUMENT, CO	2/2/2018	00832008-05	Pending-Cleared
ADVISORS DISCIPLINED TR 1852 COHEN & STEERS DYNAMIC INCOME PORTFOLIO SERIES 2018 1	MONUMENT, CO	2/2/2018	00832006-05	Registered
ADVISORS DISCIPLINED TR 1852 COHEN & STEERS GLOBAL COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO SERIES 2018 1	MONUMENT, CO	2/2/2018	00832007-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ADVISORS DISCIPLINED TR 1852 TACTICAL INCOME CLOSED END PORTFOLIO SERIES 2018 1	MONUMENT, CO	2/2/2018	00832005-05	Registered
FT 7149 DIVERSIFIED INCOME & GROWTH PORTFOLIO SPRING 2018 SERIES	WHEATON, IL	2/2/2018	00832015-05	Registered
FT 7150 DOW TARGET 10 FEB 18 TERM 3 8 19	WHEATON, IL	2/2/2018	00832011-05	Pending-Cleared
FT 7161 SABRIENT DIVIDEND PORTFOLIO SERIES 22	WHEATON, IL	2/2/2018	00832018-05	Registered
FT 7162 MUNICIPAL INCOME CLOSED END PORTFOLIO SERIES 73	WHEATON, IL	2/2/2018	00832019-05	Registered
FT 7163 TACTICAL INCOME PORTFOLIO SERIES 51	WHEATON, IL	2/2/2018	00832021-05	Registered
FT 7164 LTD DURATION FIXED INCOME ETF PORTFOLIO SERIES 23	WHEATON, IL	2/2/2018	00832014-05	Registered
FT 7165 HIGH DIVIDEND EQUITY PORTFOLIO SERIES 35	WHEATON, IL	2/2/2018	00832024-05	Pending-Cleared
FT 7166 TECHNOLOGY SELECT PORTFOLIO SERIES 68	WHEATON, IL	2/2/2018	00832023-05	Pending-Cleared
FT 7175 EUROPEAN DEEP VALUE DIVIDEND PORTFOLIO SERIES 18	WHEATON, IL	2/2/2018	00832022-05	Pending-Cleared
FT 7177 NASDAQ FACTOR DOGS OPPORTUNITY PORTFOLIO SERIES 2	WHEATON, IL	2/2/2018	00832013-05	Pending-Cleared
FT 7197 SENIOR LOAN CLOSED END & ETF PORTFOLIO SERIES 21	WHEATON, IL	2/2/2018	00832017-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
FT 7204 CONTENT LEADERS OPPORTUNITY PORTFOLIO SERIES 7	WHEATON, IL	2/2/2018	00832020-05	Pending-Cleared
FT 7205 CONTENT LEADERS PORTFOLIO SERIES 8	WHEATON, IL	2/2/2018	00832016-05	Pending-Cleared
FT 7209 INTEREST RATE HEDGE & ETF PORTFOLIO SERIES 19	WHEATON, IL	2/2/2018	00832012-05	Pending-Cleared
HORIZON FUNDS HORIZON DEFINED RISK FUND ADVISOR CLASS	MILWAUKEE, WI	2/2/2018	00832048-03	Registered
INVESCO UNIT TR MUNICIPAL SERIES 1311 QUALITY MUNICIPAL INCOME TR 10 20 YEAR SERIES 97	DOWNERS GROVE, IL	2/2/2018	00832042-05	Pending-Cleared
INVESCO UNIT TR SERIES 1850 MULTI ASSET HIGH INCOME PORTFOLIO 2018 1	DOWNERS GROVE, IL	2/2/2018	00832041-05	Pending-Cleared
INVESCO UNIT TR SERIES 1856	DOWNERS GROVE, IL	2/2/2018	00832040-05	Pending-Cleared
INVESCO UNIT TR SERIES 1857 ESG OPPORTUNITY PORTFOLIO 2018 2	DOWNERS GROVE, IL	2/2/2018	00832039-05	Pending-Cleared
INVESCO UNIT TR SERIES 1858 US DEFENSE PORTFOLIO 2018 1	DOWNERS GROVE, IL	2/2/2018	00832038-05	Pending-Cleared
SMART TR 365 SMART TR E COMMERCE ECOSYSTEM TR SERIES 2	PARSIPPANY, NJ	2/2/2018	00832025-05	Pending-Cleared
SMART TR 366 SMART TR STRATEGIC GROWTH & INCOME TR SERIES 14	PARSIPPANY, NJ	2/2/2018	00832010-05	Pending-Cleared
BNY MELLON ABSOLUTE INSIGHT FUNDS INC BNY MELLON INSIGHT CORE PLUS FUND CLASS Y	NEW YORK, NY	2/1/2018	00831917-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
BNY MELLON ABSOLUTE INSIGHT FUNDS INC BNY MELLON INSIGHT CORE PLUS FUND CLASS I	NEW YORK, NY	2/1/2018	00831915-03	Registered
BNY MELLON ABSOLUTE INSIGHT FUNDS INC BNY MELLON INSIGHT CORE PLUS FUND CLASS C	NEW YORK, NY	2/1/2018	00831916-03	Registered
BNY MELLON ABSOLUTE INSIGHT FUNDS INC BNY MELLON INSIGHT CORE PLUS FUND CLASS A	NEW YORK, NY	2/1/2018	00831914-03	Registered
INVESCO UNIT TR SERIES 1841 POLICY OPPORTUNITIES PORTFOLIO 2018 1	DOWNERS GROVE, IL	1/31/2018	00831928-05	Pending-Cleared
INVESCO UNIT TR SERIES 1846	DOWNERS GROVE, IL	1/31/2018	00831927-05	Registered
INVESCO UNIT TR SERIES 1851 SELECT 10 INDUSTRIAL PORTFOLIO 2018 2	DOWNERS GROVE, IL	1/31/2018	00831926-05	Pending-Cleared
INVESCO UNIT TR SERIES 1852	DOWNERS GROVE, IL	1/31/2018	00831925-05	Pending-Cleared
INVESCO UNIT TR SERIES 1853	DOWNERS GROVE, IL	1/31/2018	00831924-05	Pending-Cleared
INVESCO UNIT TR SERIES 1854	DOWNERS GROVE, IL	1/31/2018	00831923-05	Pending-Cleared
INVESCO UNIT TR SERIES 1855 GLOBAL WATER PORTFOLIO 2018 1	DOWNERS GROVE, IL	1/31/2018	00831922-05	Pending-Cleared
INVESCO UNIT TR SERIES 1859 NEW WORLD LEADERS PORTFOLIO 2018 1	DOWNERS GROVE, IL	1/31/2018	00831921-05	Pending-Cleared
2 ROADS SHARED TR CONDUCTOR GLOBAL EQUITY VALUE FUND CLASS Y	HAUPPAUGE, NY	1/30/2018	00831902-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
2 ROADS SHARED TR HANLON MANAGED INCOME FUND CLASS C	HAUPPAUGE, NY	1/30/2018	00831903-03	Registered
2 ROADS SHARED TR REDWOOD SYSTEMATIC MACRO TREND SMART FUND CLASS N	HAUPPAUGE, NY	1/30/2018	00831898-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1715 US LOW VOLATILITY STRATEGY PORTFOLIO SERIES 22	LISLE, IL	1/30/2018	00831823-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1716 CORPORATE HIGH YIELD & INCOME PORTFOLIO OF CEFS SERIES 33	LISLE, IL	1/30/2018	00831825-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1716 NATIONAL MUNICIPAL PORTFOLIO OF CEFS SERIES 37	LISLE, IL	1/30/2018	00831824-05	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2005 FUND CLASS M4	ENFIELD, CT	1/30/2018	00831768-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2010 FUND CLASS M4	ENFIELD, CT	1/30/2018	00831772-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2015 FUND CLASS M4	ENFIELD, CT	1/30/2018	00831776-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2020 FUND CLASS M5	ENFIELD, CT	1/30/2018	00831779-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2050 FUND CLASS M5	ENFIELD, CT	1/30/2018	00831803-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2020 FUND CLASS M4	ENFIELD, CT	1/30/2018	00831780-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2055 FUND CLASS M4	ENFIELD, CT	1/30/2018	00831808-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2020 FUND CLASS I	ENFIELD, CT	1/30/2018	00831778-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2050 FUND CLASS M3	ENFIELD, CT	1/30/2018	00831805-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2030 FUND CLASS M5	ENFIELD, CT	1/30/2018	00831787-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2045 FUND CLASS M4	ENFIELD, CT	1/30/2018	00831800-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2025 FUND CLASS M5	ENFIELD, CT	1/30/2018	00831783-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2055 FUND CLASS M5	ENFIELD, CT	1/30/2018	00831807-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2035 FUND CLASS I	ENFIELD, CT	1/30/2018	00831790-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE INTERNATIONAL EQUITY FUND CLASS I	ENFIELD, CT	1/30/2018	00831765-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2005 FUND CLASS M3	ENFIELD, CT	1/30/2018	00831769-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2010 FUND CLASS M3	ENFIELD, CT	1/30/2018	00831773-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2015 FUND CLASS M3	ENFIELD, CT	1/30/2018	00831777-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2030 FUND CLASS I	ENFIELD, CT	1/30/2018	00831786-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2055 FUND CLASS M3	ENFIELD, CT	1/30/2018	00831809-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT BALANCED FUND CLASS M3	ENFIELD, CT	1/30/2018	00831817-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2040 FUND CLASS M4	ENFIELD, CT	1/30/2018	00831796-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT BALANCED FUND CLASS I	ENFIELD, CT	1/30/2018	00831814-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2025 FUND CLASS M4	ENFIELD, CT	1/30/2018	00831784-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2020 FUND CLASS M3	ENFIELD, CT	1/30/2018	00831781-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2040 FUND CLASS I	ENFIELD, CT	1/30/2018	00831794-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2030 FUND CLASS M3	ENFIELD, CT	1/30/2018	00831789-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2060 FUND CLASS M4	ENFIELD, CT	1/30/2018	00831812-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2035 FUND CLASS M5	ENFIELD, CT	1/30/2018	00831791-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2005 FUND CLASS M5	ENFIELD, CT	1/30/2018	00831767-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2010 FUND CLASS M5	ENFIELD, CT	1/30/2018	00831771-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2015 FUND CLASS M5	ENFIELD, CT	1/30/2018	00831775-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2045 FUND CLASS M5	ENFIELD, CT	1/30/2018	00831799-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2025 FUND CLASS I	ENFIELD, CT	1/30/2018	00831782-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2045 FUND CLASS M3	ENFIELD, CT	1/30/2018	00831801-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2050 FUND CLASS M4	ENFIELD, CT	1/30/2018	00831804-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2055 FUND CLASS I	ENFIELD, CT	1/30/2018	00831806-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2045 FUND CLASS I	ENFIELD, CT	1/30/2018	00831798-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2030 FUND CLASS M4	ENFIELD, CT	1/30/2018	00831788-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2050 FUND CLASS I	ENFIELD, CT	1/30/2018	00831802-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2035 FUND CLASS M4	ENFIELD, CT	1/30/2018	00831792-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT BALANCED FUND CLASS M4	ENFIELD, CT	1/30/2018	00831816-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2040 FUND CLASS M3	ENFIELD, CT	1/30/2018	00831797-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT BALANCED FUND CLASS M5	ENFIELD, CT	1/30/2018	00831815-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2025 FUND CLASS M3	ENFIELD, CT	1/30/2018	00831785-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2060 FUND CLASS I	ENFIELD, CT	1/30/2018	00831810-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2060 FUND CLASS M5	ENFIELD, CT	1/30/2018	00831811-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2035 FUND CLASS M3	ENFIELD, CT	1/30/2018	00831793-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2040 FUND CLASS M5	ENFIELD, CT	1/30/2018	00831795-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2060 FUND CLASS M3	ENFIELD, CT	1/30/2018	00831813-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2005 FUND CLASS I	ENFIELD, CT	1/30/2018	00831766-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2010 FUND CLASS I	ENFIELD, CT	1/30/2018	00831770-03	Registered
MASSMUTUAL SELECT FUNDS MASSMUTUAL SELECT PRICE T ROWE RETIREMENT 2015 FUND CLASS I	ENFIELD, CT	1/30/2018	00831774-03	Registered
MUTUAL FUND SERIES TR CATALYST EXCEED DEFINED SHIELD FUND CLASS A	HAUPPAUGE, NY	1/30/2018	00831901-03	Registered
MUTUAL FUND SERIES TR CATALYST SYSTEMATIC ALPHA FUND CLASS I	HAUPPAUGE, NY	1/30/2018	00831899-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
NORTHERN LIGHTS FUND TR 2 NORTH STAR OPPORTUNITY FUND CLASS I SHARES	HAUPPAUGE, NY	1/30/2018	00831877-03	Registered
NORTHERN LIGHTS FUND TR 2 ORCHARD SMALL CAP VALUE FUND CLASS I SHARES	HAUPPAUGE, NY	1/30/2018	00831878-03	Registered
NORTHERN LIGHTS FUND TR 2 ORCHARD SMALL CAP VALUE FUND CLASS N SHARES	HAUPPAUGE, NY	1/30/2018	00831879-03	Registered
NORTHERN LIGHTS FUND TR LADENBURG AGGRESSIVE GROWTH FUND CLASS I SHARES	HAUPPAUGE, NY	1/30/2018	00831900-03	Registered
NORTHERN LIGHTS FUND TR POWER DIVIDEND MID CAP INDEX FUND CLASS C	HAUPPAUGE, NY	1/30/2018	00831904-03	Registered
NORTHERN LIGHTS FUND TR POWER DIVIDEND MID CAP INDEX FUND CLASS A	HAUPPAUGE, NY	1/30/2018	00831908-03	Registered
NORTHERN LIGHTS FUND TR POWER DIVIDEND MID CAP INDEX FUND CLASS I	HAUPPAUGE, NY	1/30/2018	00831909-03	Registered
NORTHERN LIGHTS FUND TR POWER FLOATING RATE INDEX FUND CLASS A	HAUPPAUGE, NY	1/30/2018	00831906-03	Registered
NORTHERN LIGHTS FUND TR POWER FLOATING RATE INDEX FUND CLASS I	HAUPPAUGE, NY	1/30/2018	00831907-03	Registered
NORTHERN LIGHTS FUND TR POWER MOMENTUM INDEX FUND CLASS C	HAUPPAUGE, NY	1/30/2018	00831905-03	Registered
VIRTUS EQUITY TR VIRTUS KAR CAPITAL GROWTH FUND CLASS R6	GREENFIELD, MA	1/30/2018	00831856-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
VIRTUS EQUITY TR VIRTUS KAR MID CAP CORE FUND CLASS R6	GREENFIELD, MA	1/30/2018	00831858-03	Registered
VIRTUS EQUITY TR VIRTUS KAR MID CAP GROWTH FUND CLASS R6	GREENFIELD, MA	1/30/2018	00831857-03	Registered
VIRTUS EQUITY TR VIRTUS KAR SMALL CAP GROWTH FUND CLASS R6	GREENFIELD, MA	1/30/2018	00831854-03	Registered
VIRTUS EQUITY TR VIRTUS RAMPART ENHANCED CORE EQUITY FUND CLASS R6	GREENFIELD, MA	1/30/2018	00831855-03	Registered
VIRTUS OPPORTUNITIES TR VIRTUS DUFF & PHELPS GLOBAL INFRASTRUCTURE FUND CLASS R6	GREENFIELD, MA	1/30/2018	00831853-03	Registered
VIRTUS OPPORTUNITIES TR VIRTUS VONTOBEL GLOBAL OPPORTUNITIES FUND CLASS R6	GREENFIELD, MA	1/30/2018	00831852-03	Registered
ADVISORS SERIES TR SCHARF FUND R6 CLASS	MILWAUKEE, WI	1/29/2018	00831818-03	Registered
OPPENHEIMER INTEGRITY FUNDS OPPENHEIMER PREFERRED SECURITIES & INCOME FUND CLASS A SHARES	DENVER, CO	1/29/2018	00831273-03	Registered
OPPENHEIMER INTEGRITY FUNDS OPPENHEIMER PREFERRED SECURITIES & INCOME FUND CLASS I SHARES	DENVER, CO	1/29/2018	00831271-03	Registered
OPPENHEIMER INTEGRITY FUNDS OPPENHEIMER PREFERRED SECURITIES & INCOME FUND CLASS Y SHARES	DENVER, CO	1/29/2018	00831272-03	Registered
PIONEER SERIES TR V PIONEER CORPORATE HIGH YIELD FUND CLASS A SHARES	BOSTON, MA	1/29/2018	00831321-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
PIONEER SERIES TR V PIONEER CORPORATE HIGH YIELD FUND CLASS Y SHARES	BOSTON, MA	1/29/2018	00831320-03	Registered
PIONEER SERIES TR V PIONEER CORPORATE HIGH YIELD FUND CLASS C SHARES	BOSTON, MA	1/29/2018	00831319-03	Registered
PRUDENTIAL INVESTMENT PORTFOLIOS 18 PRUDENTIAL JENNISON MLP FUND CLASS Q	NEWARK, NJ	1/29/2018	00831764-03	Registered
PRUDENTIAL SECTOR FUNDS INC PRUDENTIAL JENNISON FINANCIAL SERVICES FUND CLASS Q	NEWARK, NJ	1/29/2018	00831763-03	Registered
PRUDENTIAL SECTOR FUNDS INC PRUDENTIAL JENNISON UTILITY FUND CLASS Q	NEWARK, NJ	1/29/2018	00831762-03	Registered
SMART TR 364 SMART TR ARGUS MODERN INNOVATORS TR SERIES 2	PARSIPPANY, NC	1/29/2018	00831672-05	Registered
<b>Number of Investment Company Filings: 128</b>				

<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
CHATHAM ASSET PRIVATE DEBT & STRATEGIC CAPITAL FUND LP	CHATHAM, NJ	2/2/2018	00832113-07	Filed
CO MULTIFAMILY PORTFOLIO 3 DST	OAK BROOK, IL	2/2/2018	00832112-07	Filed
CRP 1 ROLL UP LLC	NEW YORK, NY	2/2/2018	00832132-07	Filed
DEVONSHIRE REIT 2 INC	WHITEHOUSE, OH	2/2/2018	00832123-07	Filed
DILION TECHNOLOGIES INC	NEWPORT NEWS, VA	2/2/2018	00832130-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
GENERATION IM FUND PLC GENERATION IM ASIA FUND	DUBLIN, AA	2/2/2018	00832126-07	Filed
LIFE ASSETS TR SA COMPARTMENT 7	LUXEMBOURG, AA	2/2/2018	00832110-07	Filed
MIDDLETON MSG INVESTORS LLC	NORTHBROOK, IL	2/2/2018	00832118-07	Filed
PRISA 2 LP	MADISON, NJ	2/2/2018	00832111-07	Filed
RED & BLUE SS ANNEX FUND LP	PHILADELPHIA, PA	2/2/2018	00832124-07	Filed
SECURIS 2 FUND SPC SEGREGATED PORTFOLIO 14	GRAND CAYMAN, AA	2/2/2018	00832114-07	Filed
SPRING HILLS HOLDINGS LLC	EDISON, NJ	2/2/2018	00832120-07	Filed
TISSUE DIFFERENTIATION INTELLIGENCE LLC	DELRAY BEACH, FL	2/2/2018	00832128-07	Filed
VOTERCIRCLE INC	LOS ALTOS HILLS, CA	2/2/2018	00832122-07	Filed
ZELUS 3040 LLC	CHANDLER, AZ	2/2/2018	00832116-07	Filed
LODGING OPPORTUNITY FUND REAL ESTATE INVESTMENT TR	FARGO, ND	1/30/2018	00831826-07	Filed
MEDIBEACON INC	SAINT LOUIS, MO	1/30/2018	00831827-07	Filed
DR IN THE KITCHEN LLC	MEDICINE LAKE, MN	1/29/2018	00831673-07	Filed
<b>Number of Regulation D Notice Filings: 18</b>				

<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Choice Hotels International, Inc. / WoodSpring Suites	Rockville, MD	2/2/2018	618463	Registered
Exercise Coach USA, LLC / Exercise Coach	Lake Zurich, IL	2/2/2018	618462	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/28/2018 through 2/3/2018**

<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Culinary Management Services, Inc. / Falbo Bros Pizzeria	Burnsville, MN	2/1/2018	618454	Registered
Metal Supermarkets Franchising America Inc. / Metal Supermarkets	Mississauga, ON	1/30/2018	618447	Registered
ABM Franchising Group, LLC / TEGG	Canonsburg, PA	1/30/2018	618446	Registered
ABM Franchising Group, LLC / Linc Service	Canonsburg, PA	1/30/2018	618445	Registered
BFK Franchise Company LLC / Bricks 4 Kidz, Bricks 4 Biz	St. Augustine, FL	1/29/2018	618444	Registered
<b>Number of Franchise Filings: 7</b>				

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