

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 5/13/2018 through 5/19/2018**

<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>
SHEPHERD'S FINANCE, LLC	JACKSONVILLE, FL	5/14/2018	00839716-01	Pending
<b>Number of Registration Filings: 1</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>
RIVERVIEW FINANCIAL CORP	MARYSVILLE, PA	5/15/2018	00839723-08	Not Disallowed
<b>Number of Exemption Filings: 1</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>
PUTNAM CONVERTIBLE SECURITIES FUND CLASS R6	BOSTON, MA	5/18/2018	00838869-03	Registered
PUTNAM EUROPE EQUITY FUND CLASS R6	BOSTON, MA	5/18/2018	00838873-03	Registered
PUTNAM FUNDS TR PUTNAM EMERGING MARKETS EQUITY FUND CLASS R6	BOSTON, MA	5/18/2018	00838878-03	Registered
PUTNAM FUNDS TR PUTNAM FLOATING RATE INCOME FUND CLASS R6	BOSTON, MA	5/18/2018	00838877-03	Registered
PUTNAM FUNDS TR PUTNAM GLOBAL INDUSTRIALS FUND CLASS R6	BOSTON, MA	5/18/2018	00838879-03	Registered
PUTNAM FUNDS TR PUTNAM GLOBAL TECHNOLOGY FUND CLASS R6	BOSTON, MA	5/18/2018	00838880-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 5/13/2018 through 5/19/2018**

<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>
PUTNAM FUNDS TR PUTNAM INTERMEDIATE TERM MUNICIPAL INCOME FUND CLASS R6	BOSTON, MA	5/18/2018	00838883-03	Registered
PUTNAM FUNDS TR PUTNAM MULTI CAP CORE FUND CLASS R6	BOSTON, MA	5/18/2018	00838881-03	Registered
PUTNAM FUNDS TR PUTNAM SHORT TERM MUNICIPAL INCOME FUND CLASS R6	BOSTON, MA	5/18/2018	00838882-03	Registered
PUTNAM HIGH YIELD FUND CLASS R6	BOSTON, MA	5/18/2018	00838874-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM INTERNATIONAL CAPITAL OPPORTUNITIES FUND CLASS R6	BOSTON, MA	5/18/2018	00838875-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM INTERNATIONAL GROWTH FUND CLASS R6	BOSTON, MA	5/18/2018	00838876-03	Registered
PUTNAM INVESTMENT FUNDS PUTNAM SUSTAINABLE FUTURE FUND CLASS R6	BOSTON, MA	5/18/2018	00838884-03	Registered
PUTNAM MN TX EX INCOME FUND CLASS R6	BOSTON, MA	5/18/2018	00838870-03	Registered
PUTNAM SUSTAINABLE LEADERS FUND CLASS R6	BOSTON, MA	5/18/2018	00838871-03	Registered
PUTNAM TAX FREE INCOME TR PUTNAM AMT FREE MUNICIPAL FUND CLASS R6	BOSTON, MA	5/18/2018	00838868-03	Registered
PUTNAM TAX FREE INCOME TR PUTNAM TAX FREE HIGH YIELD FUND CLASS R6	BOSTON, MA	5/18/2018	00838872-03	Registered
PUTNAM TX EX INCOME FUND CLASS R6	BOSTON, MA	5/18/2018	00838885-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 5/13/2018 through 5/19/2018**

<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>
ALAIA MARKET LINKED TR STRATEGAS POLICY BASKET PORTFOLIO SERIES 4 4	DARIEN, CT	5/17/2018	00838892-05	Registered
ADVISORS DISCIPLINED TR 1867 ADVISORS CORE EQUITY STRATEGY PORTFOLIO SERIES 2018 2Q	MONUMENT, CO	5/16/2018	00838803-05	Registered
ADVISORS DISCIPLINED TR 1867 BAHL & GAYNOR INCOME GROWTH PORTFOLIO SERIES 2018 2Q	MONUMENT, CO	5/16/2018	00838802-05	Registered
ADVISORS DISCIPLINED TR 1867 BLUE CHIP PORTFOLIO SERIES 2018 2Q	MONUMENT, CO	5/16/2018	00838800-05	Registered
ADVISORS DISCIPLINED TR 1867 DIVIDEND ADVANTAGE PORTFOLIO SERIES 2018 2Q	MONUMENT, CO	5/16/2018	00838799-05	Registered
ADVISORS DISCIPLINED TR 1867 DIVIDEND SUSTAINABILITY PORTFOLIO SERIES 2018 2Q HIMCO PORTFOLIO	MONUMENT, CO	5/16/2018	00838807-05	Registered
ADVISORS DISCIPLINED TR 1867 DOW VALUE 10 PORTFOLIO SERIES 2018 2Q	MONUMENT, CO	5/16/2018	00838805-05	Registered
ADVISORS DISCIPLINED TR 1867 ENERGY OPPORTUNITIES PORTFOLIO SERIES 2018 2Q	MONUMENT, CO	5/16/2018	00838808-05	Registered
ADVISORS DISCIPLINED TR 1867 EUROPEAN SELECT PORTFOLIO SERIES 2018 2Q CJL PORTFOLIO	MONUMENT, CO	5/16/2018	00838811-05	Registered
ADVISORS DISCIPLINED TR 1867 INTERNATIONAL HIGH 30 DIVIDEND PORTFOLIO SERIES 2018 2Q	MONUMENT, CO	5/16/2018	00838809-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 5/13/2018 through 5/19/2018**

<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 1867 MINIMUM VOLATILITY EQUITY INCOME PORTFOLIO SERIES 2018 2Q HIMCO PORTFOLIO	MONUMENT, CO	5/16/2018	00838810-05	Registered
ADVISORS DISCIPLINED TR 1867 STRATEGIC FOUNDATIONS OF GROWTH PORTFOLIO SERIES 2018 2Q	MONUMENT, CO	5/16/2018	00838804-05	Registered
ADVISORS DISCIPLINED TR 1867 STRATEGIC HIGH 80 DIVIDEND PORTFOLIO SERIES 2018 2Q	MONUMENT, CO	5/16/2018	00838801-05	Registered
ADVISORS DISCIPLINED TR 1867 TACTICAL PLUS CLOSED END PORTFOLIO 15 MONTH SERIES 2018 2Q	MONUMENT, CO	5/16/2018	00838806-05	Registered
ADVISORS DISCIPLINED TR 1867 UBIQUITOUS STRATEGY PORTFOLIO 15 MONTH SERIES 2018 2Q	MONUMENT, CO	5/16/2018	00838798-05	Registered
COLUMBIA FUNDS SERIES TR I MULTI MANAGER INTERNATIONAL EQUITY STRATEGIES FUND INSTITUTIONAL	BOSTON, MA	5/15/2018	00838775-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1752 FLAHERTY & CRUMRINE PREFERRED PORTFOLIO SERIES 46	LISLE, IL	5/15/2018	00839719-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1760 BLUE CHIP GROWTH PORTFOLIO SERIES 18	LISLE, IL	5/15/2018	00839720-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1760 GUGGENHEIM US CAPITAL STRENGTH PORTFOLIO SERIES 16	LISLE, IL	5/15/2018	00839722-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 5/13/2018 through 5/19/2018**

<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>
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1761 GUGGENHEIM EUROPEAN CAPITAL STRENGTH PORTFOLIO SERIES 16	LISLE, IL	5/15/2018	00839721-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1757 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO SERIES 42	LISLE, IL	5/14/2018	00838769-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1758 CORE 4 60 40 RETIREMENT PORTFOLIO SERIES 3	LISLE, IL	5/14/2018	00838768-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1759 DOW JONES SUSTAINABLE GROWTH PORTFOLIO SERIES 3	LISLE, IL	5/14/2018	00838767-05	Registered
<b>Number of Investment Company Filings: 41</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>
ALTRAVUE FUND 1 LP	BELLEVUE, WA	5/18/2018	00838812-07	Filed
BH FLATS INVESTMENT LLC	DES MOINES, IA	5/18/2018	00838820-07	Filed
HISTOSONICS INC	ANN ARBOR, MI	5/18/2018	00838819-07	Filed
INTRIVA CAPITAL EUROPEAN PRINCIPAL INVESTMENT FUND 1 LP	ST HELIER, JERSEY, AA	5/18/2018	00838817-07	Filed
K4 PRIVATE INVESTORS LP	EL SEGUNDO, CA	5/18/2018	00838816-07	Filed
KKR EUROPEAN 5 ASP FUND SERIES OF ALTERNATIVE STRATEGIES PRIVATE EQUITY PLATFORM LLC	CHARLOTTE, NC	5/18/2018	00838828-07	Filed
MAKENA CLUB LLC	SCOTTSDALE, AZ	5/18/2018	00838814-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 5/13/2018 through 5/19/2018**

<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>
MEPT EDGEMOOR LP	BETHESDA, MD	5/18/2018	00839664-07	Filed
MV VC FUND 11 LLC	AUSTIN, TX	5/18/2018	00838825-07	Filed
NEBULOUS INC	BOSTON, MA	5/18/2018	00838830-07	Filed
PASSCO MERRITT DST	IRVINE, CA	5/18/2018	00838821-07	Filed
PEGEX INC	FITCHBURG, WI	5/18/2018	00838813-07	Filed
PROVIDENCE 8 PRIVATE INVESTORS LLC	NEW YORK, NY	5/18/2018	00838818-07	Filed
RIVERSIDE CAPITAL APPRECIATION FUND 7 LP	NEW YORK, NY	5/18/2018	00838823-07	Filed
SKILLO INC	DETROIT, MI	5/18/2018	00838829-07	Filed
STONEBRIDGE FUNDING 1 LLC	FAIRFIELD, CT	5/18/2018	00838822-07	Filed
TJC REAL ESTATE LENDER 2 LLC	LOS ANGELES, CA	5/18/2018	00838827-07	Filed
WAVECREST GROWTH PARTNERS 1 LP	BOSTON, MA	5/18/2018	00838831-07	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>
Einstein Bros. Bagels Franchise Corporation / Einstein Bros. Bagels, Noah's New York Bagels, Noah's Bagels	Lakewood, CO	5/18/2018	619653	Registered
Duck Donuts Franchising Company, LLC / Duck Donuts	Mechanicsburg, PA	5/18/2018	619652	Registered
Arthur Rutenberg Homes, Inc. / Arthur Rutenberg	Clearwater, FL	5/18/2018	619651	Registered
JumpBunch, Inc.	Annapolis, MD	5/18/2018	619648	Registered
ZAGG Inc / ZAGG	Midvale, UT	5/18/2018	619646	Registered
SuperAmerica Franchising LLC / SuperAmerica	Woodbury, MN	5/18/2018	619645	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 5/13/2018 through 5/19/2018**

<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>
AlignLife Systems, LLC / AlignLife	Peoria, IL	5/18/2018	619643	Registered
FLSC Recycling, LLC / Clothes Bin	Davie, FL	5/17/2018	619642	Registered
Home Instead, Inc. / Home Instead Senior Care	Omaha, NE	5/17/2018	619641	Registered
Rightway Brands, Inc. / Smiling Moose Rocky Mountain Deli	Denver, CO	5/17/2018	619637	Registered
UBIF Franchising, Co. / UBREAKIFIX - Unit Offering	Orlando, FL	5/16/2018	619636	Registered
UNITED COUNTRY REAL ESTATE INC / United Country Real Estate	KANSAS CITY, MO	5/16/2018	619635	Registered
Big Air Franchising, LLC / Big Air Trampoline Park	Ladera Ranch, CA	5/16/2018	619632	Registered
Betsey's Boutique Development, LLC / Betsey's Boutique Shop	Rockford, OH	5/15/2018	619629	Registered
LAWN DOCTOR, INC. / Lawn Doctor	HOLMDEL, NJ	5/15/2018	619628	Registered
Malone Nextaff LLC / Nextaff	Louisville, KY	5/15/2018	619627	Registered
Mosquito Hunters, LLC / Mosquito Hunters	Holmdel, NJ	5/15/2018	619626	Registered
Fujisan Franchising Corp. / FujiSan Asian Bar Kiosks	Santa Fe Springs, CA	5/15/2018	619624	Registered
<b>Number of Franchise Filings: 18</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>	