

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/20/2018 through 5/26/2018**

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
WESLEYAN INVESTMENT FOUNDATION INC	FISHERS, IN	5/21/2018	00839676-08	Not Disallowed
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
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI CORE BOND FUND CLASS R6	NEW YORK, NY	5/25/2018	00840076-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI CORE BOND FUND CLASS P	NEW YORK, NY	5/25/2018	00840078-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI CORE BOND FUND INSTITUTIONAL CLASS	NEW YORK, NY	5/25/2018	00840077-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI CORE PLUS BOND FUND CLASS R6	NEW YORK, NY	5/25/2018	00840073-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI CORE PLUS BOND FUND CLASS P	NEW YORK, NY	5/25/2018	00840072-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI CORE PLUS BOND FUND INSTITUTIONAL CLASS	NEW YORK, NY	5/25/2018	00840074-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/20/2018 through 5/26/2018**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI PREFERRED SECURITIES & INCOME FUND INSTITUTIONAL CLASS	NEW YORK, NY	5/25/2018	00840071-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI PREFERRED SECURITIES & INCOME FUND CLASS P	NEW YORK, NY	5/25/2018	00840075-03	Registered
ALLIANZ FUNDS MULTI STRATEGY TR ALLIANZGI PREFERRED SECURITIES & INCOME FUND CLASS R6	NEW YORK, NY	5/25/2018	00840070-03	Registered
FINANCIAL INVESTORS TR ALPS CORECOMMODITY MANAGEMENT COMPLETECOMMODITIESSM STRATEGY FUND CLASS A	DENVER, CO	5/25/2018	00840061-03	Registered
FINANCIAL INVESTORS TR ALPS KOTAK INDIA GROWTH FUND CLASS A	DENVER, CO	5/25/2018	00840067-03	Registered
FINANCIAL INVESTORS TR ALPS METIS GLOBAL MICRO CAP VALUE FUND CLASS A	DENVER, CO	5/25/2018	00840068-03	Registered
FINANCIAL INVESTORS TR ALPS RED ROCKS LISTED PRIVATE EQUITY FUND CLASS A	DENVER, CO	5/25/2018	00840069-03	Registered
FINANCIAL INVESTORS TR ALPS WMC RESEARCH VALUE FUND CLASS A	DENVER, CO	5/25/2018	00840059-03	Registered
FINANCIAL INVESTORS TR CLOUGH CHINA FUND CLASS A	DENVER, CO	5/25/2018	00840060-03	Registered
FINANCIAL INVESTORS TR RIVERFRONT ASSET ALLOCATION AGGRESSIVE CLASS A	DENVER, CO	5/25/2018	00840062-03	Registered

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Firm Name	Location	Date Received	File Number	Status
FINANCIAL INVESTORS TR RIVERFRONT ASSET ALLOCATION GROWTH CLASS A	DENVER, CO	5/25/2018	00840063-03	Registered
FINANCIAL INVESTORS TR RIVERFRONT ASSET ALLOCATION GROWTH & INCOME CLASS A	DENVER, CO	5/25/2018	00840064-03	Registered
FINANCIAL INVESTORS TR RIVERFRONT ASSET ALLOCATION INCOME & GROWTH CLASS A	DENVER, CO	5/25/2018	00840066-03	Registered
FINANCIAL INVESTORS TR RIVERFRONT ASSET ALLOCATION MODERATE CLASS A	DENVER, CO	5/25/2018	00840065-03	Registered
GOLDMAN SACHS TR 2 GOLDMAN SACHS GQG PARTNERS INTERNATIONAL OPPORTUNITIES FUND CLASS P SHARES	NEW YORK, NY	5/25/2018	00840177-03	Registered
GOLDMAN SACHS TR 2 GOLDMAN SACHS MULTI MANAGER ALTERNATIVES FUND CLASS P SHARES	NEW YORK, NY	5/25/2018	00840244-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS ABSOLUTE RETURN MULTI ASSET FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840169-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS ABSOLUTE RETURN TRACKER FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840192-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS ALTERNATIVE PREMIA FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840194-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS ASIA EQUITY FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840170-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
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Firm Name	Location	Date Received	File Number	Status
GOLDMAN SACHS TR GOLDMAN SACHS BALANCED STRATEGY PORTFOLIO CLASS P SHARES	CHICAGO, IL	5/25/2018	00840220-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS BLUE CHIP FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840231-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS BOND FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840227-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS CAPITAL GROWTH FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840185-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS COMMODITY STRATEGY FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840180-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS CONCENTRATED GROWTH FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840243-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS CORE FIXED INCOME FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840193-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS DYNAMIC MUNICIPAL INCOME FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840214-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS EMERGING MARKETS DEBT FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840208-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS EMERGING MARKETS EQUITY INSIGHTS FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840186-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
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Firm Name	Location	Date Received	File Number	Status
GOLDMAN SACHS TR GOLDMAN SACHS EMERGING MARKETS EQUITY FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840191-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS ENHANCED DIVIDEND GLOBAL EQUITY PORTFOLIO CLASS P SHARES	CHICAGO, IL	5/25/2018	00840188-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS ENHANCED INCOME FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840242-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS EQUITY GROWTH STRATEGY PORTFOLIO CLASS P SHARES	CHICAGO, IL	5/25/2018	00840226-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS EQUITY INCOME FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840195-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS FLEXIBLE CAP FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840190-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS FOCUSED VALUE FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840168-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS GLOBAL INCOME FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840211-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS GLOBAL INFRASTRUCTURE FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840173-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS GLOBAL REAL ESTATE SECURITIES FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840171-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
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GOLDMAN SACHS TR GOLDMAN SACHS GOVERNMENT INCOME FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840197-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS GROWTH & INCOME STRATEGY PORTFOLIO CLASS P SHARES	CHICAGO, IL	5/25/2018	00840222-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS GROWTH OPPORTUNITIES FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840232-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS GROWTH STRATEGY PORTFOLIO CLASS P SHARES	CHICAGO, IL	5/25/2018	00840224-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS HIGH QUALITY FLOATING RATE FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840225-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS HIGH YIELD FLOATING RATE FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840241-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS HIGH YIELD FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840199-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS HIGH YIELD MUNICIPAL FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840240-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS INCOME BUILDER FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840183-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS INFLATION PROTECTED SECURITIES FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840237-03	Registered

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Firm Name	Location	Date Received	File Number	Status
GOLDMAN SACHS TR GOLDMAN SACHS INTERNATIONAL EQUITY DIVIDEND & PREMIUM FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840184-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS INTERNATIONAL EQUITY ESG FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840246-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS INTERNATIONAL EQUITY INCOME FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840245-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS INTERNATIONAL EQUITY INSIGHTS FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840187-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS INTERNATIONAL REAL ESTATE SECURITIES FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840176-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS INTERNATIONAL SMALL CAP INSIGHTS FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840229-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS INTERNATIONAL TAX MANAGED EQUITY FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840213-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS INVESTMENT GRADE CREDIT FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840172-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS LARGE CAP GROWTH INSIGHTS FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840201-03	Registered

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Firm Name	Location	Date Received	File Number	Status
GOLDMAN SACHS TR GOLDMAN SACHS LARGE CAP VALUE FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840236-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS LARGE CAP VALUE INSIGHTS FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840228-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS LOCAL EMERGING MARKETS DEBT FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840217-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS LONG SHORT CREDIT STRATEGIES FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840239-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS MANAGED FUTURES STRATEGY FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840198-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS MID CAP VALUE FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840203-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS MLP & ENERGY FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840181-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS MLP ENERGY INFRASTRUCTURE FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840233-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS N 11 EQUITY FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840196-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS REAL ESTATE SECURITIES FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840205-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/20/2018 through 5/26/2018**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GOLDMAN SACHS TR GOLDMAN SACHS RISING DIVIDEND GROWTH FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840221-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS SATELLITE STRATEGIES PORTFOLIO CLASS P SHARES	CHICAGO, IL	5/25/2018	00840182-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS SHORT DURATION GOVERNMENT FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840207-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS SHORT DURATION INCOME FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840200-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS SHORT DURATION TAX FREE FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840218-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS SHORT TERM CONSERVATIVE INCOME FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840223-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS SMALL CAP EQUITY INSIGHTS FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840189-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS SMALL CAP GROWTH INSIGHTS FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840212-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS SMALL CAP VALUE FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840216-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS SMALL CAP VALUE INSIGHTS FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840178-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/20/2018 through 5/26/2018**

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Firm Name	Location	Date Received	File Number	Status
GOLDMAN SACHS TR GOLDMAN SACHS SMALL MID CAP GROWTH FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840174-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS SMALL MID CAP VALUE FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840204-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS STRATEGIC FACTOR ALLOCATION FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840175-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS STRATEGIC GROWTH FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840230-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS STRATEGIC INCOME FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840219-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS TACTICAL EXPOSURE FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840179-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS TACTICAL TILT OVERLAY FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840206-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS TAX ADVANTAGED GLOBAL EQUITY PORTFOLIO CLASS P SHARES	CHICAGO, IL	5/25/2018	00840215-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS TECHNOLOGY OPPORTUNITIES FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840234-03	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
GOLDMAN SACHS TR GOLDMAN SACHS TOTAL EMERGING MARKETS INCOME FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840202-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS US EQUITY DIVIDEND & PREMIUM FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840210-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS US EQUITY INSIGHTS FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840209-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS US MORTGAGES FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840235-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS US TAX MANAGED EQUITY FUND CLASS P SHARES	CHICAGO, IL	5/25/2018	00840238-03	Registered
HARBOR FUNDS HARBOR BOND FUND RETIREMENT CLASS	CHICAGO, IL	5/25/2018	00840108-03	Registered
HARBOR FUNDS HARBOR CORE BOND FUND INSTITUTIONAL CLASS	CHICAGO, IL	5/25/2018	00840105-03	Registered
HARBOR FUNDS HARBOR CORE BOND FUND RETIREMENT CLASS	CHICAGO, IL	5/25/2018	00840106-03	Registered
HARBOR FUNDS HARBOR REAL RETURN FUND RETIREMENT CLASS	CHICAGO, IL	5/25/2018	00840107-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS ESG EMERGING MARKETS EQUITY FUND CLASS C SHARES	CHICAGO, IL	5/24/2018	00839963-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
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GOLDMAN SACHS TR GOLDMAN SACHS ESG EMERGING MARKETS EQUITY FUND INVESTOR SHARES	CHICAGO, IL	5/24/2018	00839967-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS ESG EMERGING MARKETS EQUITY FUND INSTITUTIONAL SHARES	CHICAGO, IL	5/24/2018	00839964-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS ESG EMERGING MARKETS EQUITY FUND CLASS R6 SHARES	CHICAGO, IL	5/24/2018	00839968-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS ESG EMERGING MARKETS EQUITY FUND CLASS P SHARES	CHICAGO, IL	5/24/2018	00839965-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS ESG EMERGING MARKETS EQUITY FUND CLASS A SHARES	CHICAGO, IL	5/24/2018	00839962-03	Registered
GOLDMAN SACHS TR GOLDMAN SACHS ESG EMERGING MARKETS EQUITY FUND CLASS R SHARES	CHICAGO, IL	5/24/2018	00839966-03	Registered
FT 7347 UTILITIES SELECT PORTFOLIO SERIES 47	WHEATON, IL	5/23/2018	00839812-05	Registered
FT 7349 STIFEL BEST PICKS MAY 2018	WHEATON, IL	5/23/2018	00839814-05	Pending-Cleared
FT 7373 MUNICIPAL INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 49	WHEATON, IL	5/23/2018	00839813-05	Registered
FT 7374 TACTICAL INCOME OPPORTUNITY PORTFOLIO SERIES 5	WHEATON, IL	5/23/2018	00839815-05	Pending-Cleared
FT 7375 GLOBAL GORILLAS PORTFOLIO SERIES 8	WHEATON, IL	5/23/2018	00839827-05	Pending-Cleared
FT 7377 DEFENSIVE EQUITY PORTFOLIO SERIES 45	WHEATON, IL	5/23/2018	00839825-05	Pending-Cleared

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FT 7378 BANKING OPPORTUNITY PORTFOLIO SERIES 30	WHEATON, IL	5/23/2018	00839826-05	Pending-Cleared
FT 7379 CAPITAL STRENGTH OPPORTUNITY PORTFOLIO SERIES 5	WHEATON, IL	5/23/2018	00839817-05	Pending-Cleared
FT 7380 DOW TARGET 10 JUNE 18 TERM 7 9 19	WHEATON, IL	5/23/2018	00839820-05	Pending-Cleared
FT 7381 SABRIENT DEFENSIVE EQUITY PORTFOLIO SERIES 16	WHEATON, IL	5/23/2018	00839824-05	Pending-Cleared
FT 7388 CLOUD COMPUTING PORTFOLIO SERIES 21	WHEATON, IL	5/23/2018	00839816-05	Pending-Cleared
FT 7389 CYBERSECURITY PORTFOLIO SERIES 12	WHEATON, IL	5/23/2018	00839822-05	Pending-Cleared
FT 7416 LTD DURATION FIXED INCOME ETF PORTFOLIO SERIES 25	WHEATON, IL	5/23/2018	00839823-05	Pending-Cleared
FT 7423 EQUITY CLOSED END OPPORTUNITY PORTFOLIO SERIES	WHEATON, IL	5/23/2018	00839821-05	Pending-Cleared
FT 7425 SABRIENT INTERNATIONAL OPPORTUNITY PORTFOLIO SERIES	WHEATON, IL	5/23/2018	00839818-05	Pending-Cleared
FT 7427 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 55	WHEATON, IL	5/23/2018	00839811-05	Pending-Cleared
FT 7430 CORPORATE INVESTMENT GRADE PORTFOLIO 3 7 YEAR SERIES 4	WHEATON, IL	5/23/2018	00839819-05	Pending-Cleared
FT 7345 DIVERSIFIED INCOME & GROWTH PORTFOLIO SUMMER 2018 SERIES	WHEATON, IL	5/21/2018	00839672-05	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
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FT 7346 FINANCIALS SELECT PORTFOLIO SERIES 64	WHEATON, IL	5/21/2018	00839669-05	Registered
FT 7348 HEALTH CARE SELECT PORTFOLIO SERIES 50	WHEATON, IL	5/21/2018	00839668-05	Pending-Cleared
FT 7355 TOP PICKS MAY 2018 PORTFOLIO	WHEATON, IL	5/21/2018	00839671-05	Pending-Cleared
FT 7362 TECHNOLOGY DIVIDEND PORTFOLIO SERIES 26	WHEATON, IL	5/21/2018	00839675-05	Pending-Cleared
FT 7376 SENIOR LOAN & LTD DURATION CLOSED END PORTFOLIO SERIES 81	WHEATON, IL	5/21/2018	00839673-05	Registered
FT 7382 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 95	WHEATON, IL	5/21/2018	00839674-05	Pending-Cleared
FT 7421 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 75	WHEATON, IL	5/21/2018	00839670-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1762 GUGGENHEIM EMERGING MARKETS DIVIDEND STRATEGY PORTFOLIO SERIES 26	LISLE, IL	5/21/2018	00839730-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1762 UNDERVALUED TOP PICKS PORTFOLIO SERIES 17	LISLE, IL	5/21/2018	00839728-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1763 DIVIDEND STRENGTH PORTFOLIO SERIES 30	LISLE, IL	5/21/2018	00839731-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1763 NDR THEMATIC OPPORTUNITIES PORTFOLIO SERIES 4	LISLE, IL	5/21/2018	00839729-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/20/2018 through 5/26/2018**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1764 TOTAL INCOME PORTFOLIO SERIES 13	LISLE, IL	5/21/2018	00839732-05	Pending-Cleared
SMART TR 381 SMART TR SUSTAINABLE IMPACT INVESTING TR SERIES 12	PARSIPPANY, NJ	5/21/2018	00839666-05	Registered
SMART TR 382 SMART TR STRATEGIC GROWTH & INCOME TR SERIES 15	PARSIPPANY, NJ	5/21/2018	00839667-05	Registered
Number of Investment Company Filings: 142				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ADDITIVE DEVICE INC	DURHAM, NC	5/25/2018	00840302-07	Filed
ARROGENE INC	LOS ANGELES, CA	5/25/2018	00840293-07	Filed
BANC FUND 10 LP	CHICAGO, IL	5/25/2018	00840295-07	Filed
BASIN INVESTORS LLC	NEW YORK, NY	5/25/2018	00840301-07	Filed
CIPHERLOC CORP	BUDA, TX	5/25/2018	00840304-07	Filed
EPOCH PROPERTIES MULTI FAMILY OPPORTUNITY FUND 5 LTD	WINTER PARK, FL	5/25/2018	00840296-07	Filed
FCP FUND 3 LP	OMAHA, NE	5/25/2018	00840306-07	Filed
NARRATIVEDX INC	AUSTIN, TX	5/25/2018	00840299-07	Filed
PRIVATE ADVISORS SMALL CO PRIVATE EQUITY FUND 8 LP	RICHMOND, VA	5/25/2018	00840300-07	Filed
PSQUARED US FEEDER FUND LP EVENT OPPORTUNITY SERIES	VALLETTA, AA	5/25/2018	00840298-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/20/2018 through 5/26/2018**

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
QUANTUM ENERGY PARTNERS 7 LP	HOUSTON, TX	5/25/2018	00840307-07	Filed
RAVEN HRV LLC	PLANO, TX	5/25/2018	00840303-07	Filed
REALTYSHARES 364 LLC	LEWES, DE	5/25/2018	00840308-07	Filed
REALTYSHARES 365 LLC	LEWES, DE	5/25/2018	00840310-07	Filed
REALTYSHARES 366 LLC	LEWES, DE	5/25/2018	00840313-07	Filed
RS AXIADO LLC	NORWALK, CT	5/25/2018	00840294-07	Filed
SMARTUQ LLC	MADISON, WI	5/25/2018	00840297-07	Filed
VENTEC LIFE SYSTEMS INC	BOTHELL, WA	5/25/2018	00840305-07	Filed
WANTABLE INC	MILWAUKEE, WI	5/25/2018	00840312-07	Filed
Number of Regulation D Notice Filings: 19				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
RMS Franchise Group, Inc. / The Pizza Press	Anaheim, CA	5/26/2018	619687	Registered
Pro Image Franchise, LC / Pro Image Sports	Centerville, UT	5/25/2018	619686	Registered
Hardee's Restaurants LLC / Hardee's and Hardee's/Red Burrito	Franklin, TN	5/25/2018	619685	Registered
Hardee's Restaurants LLC / Hardee's and Hardee's/Red Burrito	Franklin, TN	5/25/2018	619684	Registered
Hardee's Restaurants LLC / Hardee's" and "Hardee's/Red Burrito	Franklin, TN	5/25/2018	619683	Registered
MCCOLLA ENTERPRISES LTD / Street Corner	TOPEKA, KS	5/25/2018	619682	Registered
Humble Donut Holdings LLC / Humble Donut Co.	Oklahoma City, OK	5/25/2018	619681	Registered
Carl's Jr. Restaurants LLC / Carl's Jr. and Carl's Jr./Green Burrito	Franklin, TN	5/25/2018	619680	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/20/2018 through 5/26/2018**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Carl's Jr. Restaurants LLC / Carl's Jr. and Carl's Jr./Green Burrito	Franklin, TN	5/25/2018	619679	Registered
Atomium Inc. / Waffle Cabin	South Chittenden, VT	5/25/2018	619678	Registered
Stretch Smart International Franchise, LLC / Stretch Smart Infrared Therapy	Birmingham, MI	5/24/2018	619675	Registered
JINYA FRANCHISE, INC. / JINYA Ramen Bars, JINYA, bushi by JINYA	Burbank, CA	5/24/2018	619673	Registered
Watermill Express Franchising, LLC / Watermill Express	Brighton, CO	5/24/2018	619672	Registered
Shred415 Franchising, LLC / Shred415 (Area Representative)	Chicago, IL	5/23/2018	619670	Registered
Shred415 Franchising, LLC / Shred415	Chicago, IL	5/23/2018	619669	Registered
Five Guys Franchisor, LLC / Five Guys	Lorton, VA	5/23/2018	619668	Registered
DaVi Nails Salon and Spa, LLC / DaVi Nails	West Valley City, UT	5/23/2018	619667	Registered
Cartridge World North America, LLC / Nevada Limited Liability Company	McHenry, IL	5/23/2018	619665	Registered
STEAK N SHAKE ENTERPRISES, INC / Steak n Shake by Biglari	INDIANAPOLIS, IN	5/23/2018	619664	Registered
Pritikin ICR LLC / Pritikin ICR, Pritikin	Clayton, MO	5/23/2018	619663	Registered
Caribou Coffee Development Company, Inc. / Caribou Coffee Coffeehouse	Minneapolis, MN	5/22/2018	619662	Registered
Cafe & Bakery Group, LLC / Apple Spice	Salt Lake City, UT	5/22/2018	619661	Refunded
Cafe & Bakery Group, LLC / Apple Spice	Salt Lake City, UT	5/22/2018	619659	Registered
EDIBLE INTERNATIONAL, LLC / EDIBLE® and EDIBLE ARRANGEMENTS®	WILLINGFORD, CT	5/22/2018	619658	Registered
Tasting Station, Inc. / WineStyles Tasting Station	West Des Moines, IA	5/21/2018	619656	Registered
Dealer Specialties International, Inc. / Dealer Specialties	Monroe, OH	5/21/2018	619655	Registered
PHYSICIANS WEIGHT LOSS CENTERS OF AMERICA INC / Physicians Weight Loss Centers	AKRON, OH	5/21/2018	619654	Registered
Number of Franchise Filings: 27				

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/20/2018 through 5/26/2018**

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