

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 7/1/2018 through 7/7/2018**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PREDEX PREDEX CLASS I SHARES	HAUPPAUGE, NY	7/3/2018	00841912-01	Registered
AMERICAN BEACON SOUND POINT ENHANCED INCOME FUND Y CLASS	IRVING, TX	7/2/2018	00841715-01	Registered
Number of Registration Filings: 2				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MOGULREIT 1 LLC	LOS ANGELES, CA	7/5/2018	00841959-25	Filed
FUNDRISE EAST COAST OPPORTUNISTIC REIT LLC	WASHINGTON, DC	7/2/2018	00841940-25	Filed
FUNDRISE EAST COAST OPPORTUNISTIC REIT LLC	WASHINGTON, DC	7/2/2018	00841943-25	Filed
FUNDRISE MIDLAND OPPORTUNISTIC REIT LLC	WASHINGTON, DC	7/2/2018	00841941-25	Filed
FUNDRISE MIDLAND OPPORTUNISTIC REIT LLC	WASHINGTON, DC	7/2/2018	00841945-25	Filed
FUNDRISE WEST COAST OPPORTUNISTIC REIT LLC	WASHINGTON, DC	7/2/2018	00841942-25	Filed
FUNDRISE WEST COAST OPPORTUNISTIC REIT LLC	WASHINGTON, DC	7/2/2018	00841944-25	Filed
Number of Exemption Filings: 7				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 7419 DIVERSIFIED FIXED INCOME ETF PORTFOLIO SERIES 35	CHICAGO, IL	7/5/2018	00841949-05	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
FT 7444 INCOME ALLOCATION CLOSED END 3Q 18	CHICAGO, IL	7/5/2018	00841947-05	Registered
FT 7445 DOW TARGET 10 JULY 18 TERM 8 9 19	CHICAGO, IL	7/5/2018	00841948-05	Registered
FT 7461 ETF GROWTH & INCOME JULY 18	CHICAGO, IL	7/5/2018	00841956-05	Registered
FT 7489 DEEP VALUE DIVIDEND OPPORTUNITY PORTFOLIO SERIES 5	CHICAGO, IL	7/5/2018	00841957-05	Registered
FT 7522 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 96	CHICAGO, IL	7/5/2018	00841946-05	Registered
FT 7526 SENIOR LOAN & LTD DURATION OPPORTUNITIES CLOSED END PORTFOLIO SERIES 56	CHICAGO, IL	7/5/2018	00841958-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1774 DOW 10 PORTFOLIO SERIES 34	CHICAGO, IL	7/5/2018	00841766-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1774 GUGGENHEIM INTERNATIONAL DIVIDEND STRATEGY PORTFOLIO SERIES 40	CHICAGO, IL	7/5/2018	00841765-05	Registered
SMART TR 387 SMART TR DORSEY WRIGHT INTERNATIONAL MOMENTUM TR SERIES 12	CHICAGO, IL	7/5/2018	00841950-05	Registered
SMART TR 387 SMART TR MILLER HOWARD NORTH AMERICAN ENERGY OPPORTUNITIES TR SERIES 11	CHICAGO, IL	7/5/2018	00841951-05	Registered
SMART TR 388 SMART TR DEFENSIVE 50 EQUITIES TR SERIES 16	CHICAGO, IL	7/5/2018	00841952-05	Registered
SMART TR 388 SMART TR SMART 10 TR SERIES 13	CHICAGO, IL	7/5/2018	00841953-05	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
SMART TR 388 SMART TR ZACKS GARP COMPOSITE 35 TR SERIES 18	CHICAGO, IL	7/5/2018	00841954-05	Registered
SMART TR 389 SMART TR CEFA SELECT BDC TR SERIES 13	CHICAGO, IL	7/5/2018	00841955-05	Registered
2 ROADS SHARED TR RECURRENT MLP & INFRASTRUCTURE FUND CLASS I	HAUPPAUGE, NY	7/3/2018	00841901-03	Registered
2 ROADS SHARED TR RECURRENT NATURAL RESOURCES FUND CLASS I SHARES	HAUPPAUGE, NY	7/3/2018	00841906-03	Registered
ADVISORS DISCIPLINED TR 1878 BALANCED PORTFOLIO SERIES 2018 3	CHICAGO, IL	7/3/2018	00841751-05	Registered
ADVISORS DISCIPLINED TR 1878 COHEN & STEERS EQUITY DIVIDEND & INCOME CLOSED END PORTFOLIO SERIES 2018 3	CHICAGO, IL	7/3/2018	00841748-05	Registered
ADVISORS DISCIPLINED TR 1878 FINANCIAL OPPORTUNITIES PORTFOLIO SERIES 2018 3	CHICAGO, IL	7/3/2018	00841749-05	Registered
ADVISORS DISCIPLINED TR 1878 UBIQUITOUS STRATEGY PORTFOLIO SERIES 2018 3	CHICAGO, WI	7/3/2018	00841750-05	Registered
CENTERSTONE INVESTORS TR CENTERSTONE INTERNATIONAL FUND CLASS I SHARES	HAUPPAUGE, NY	7/3/2018	00841881-03	Registered
CENTERSTONE INVESTORS TR CENTERSTONE INTERNATIONAL FUND CLASS A SHARES	HAUPPAUGE, NY	7/3/2018	00841910-03	Registered

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Firm Name	Location	Date Received	File Number	Status
CENTERSTONE INVESTORS TR CENTERSTONE INTERNATIONAL FUND CLASS C SHARES	HAUPPAUGE, NY	7/3/2018	00841911-03	Registered
CENTERSTONE INVESTORS TR CENTERSTONE INVESTORS FUND CLASS C SHARES	HAUPPAUGE, NY	7/3/2018	00841883-03	Registered
CENTERSTONE INVESTORS TR CENTERSTONE INVESTORS FUND CLASS I SHARES	HAUPPAUGE, NY	7/3/2018	00841884-03	Registered
CENTERSTONE INVESTORS TR CENTERSTONE INVESTORS FUND CLASS A SHARES	HAUPPAUGE, NY	7/3/2018	00841882-03	Registered
DUNHAM FUNDS DUNHAM ALTERNATIVE DIVIDEND FUND CLASS N SHARES	HAUPPAUGE, NY	7/3/2018	00841905-03	Registered
GREAT WEST FUNDS INC GREAT WEST CORE STRATEGIES INTERNATIONAL EQUITY FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/3/2018	00841743-03	Registered
GREAT WEST FUNDS INC GREAT WEST CORE STRATEGIES FLEXIBLE BOND FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/3/2018	00841740-03	Registered
GREAT WEST FUNDS INC GREAT WEST CORE STRATEGIES INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/3/2018	00841744-03	Registered
GREAT WEST FUNDS INC GREAT WEST CORE STRATEGIES SHORT DURATION BOND FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/3/2018	00841742-03	Registered

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GREAT WEST FUNDS INC GREAT WEST CORE STRATEGIES US EQUITY FUND INSTITUTIONAL CLASS	GREENWOOD VILLAGE, CO	7/3/2018	00841741-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1775 STRATEGIC INCOME PORTFOLIO SERIES 102	CHICAGO, IL	7/3/2018	00841746-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1776 ALERIAN MLP INFRASTRUCTURE & INCOME PORTFOLIO SERIES 3	CHICAGO, IL	7/3/2018	00841745-05	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 1777 ENHANCED QUALITY 16 STRATEGY PORTFOLIO SERIES 12	CHICAGO, IL	7/3/2018	00841747-05	Registered
MUTUAL FUND SERIES TR ALPHACENTRIC ASSET ROTATION FUND CLASS A SHARES	HAUPPAUGE, NY	7/3/2018	00841885-03	Registered
MUTUAL FUND SERIES TR ALPHACENTRIC INCOME OPPORTUNITIES FUND CLASS A SHARES	HAUPPAUGE, NY	7/3/2018	00841886-03	Registered
MUTUAL FUND SERIES TR ALPHACENTRIC INCOME OPPORTUNITIES FUND CLASS I SHARES	HAUPPAUGE, NY	7/3/2018	00841888-03	Registered
MUTUAL FUND SERIES TR ALPHACENTRIC INCOME OPPORTUNITIES FUND CLASS C SHARES	HAUPPAUGE, NY	7/3/2018	00841887-03	Registered
MUTUAL FUND SERIES TR ALPHACENTRIC SMALL CAP OPPORTUNITIES FUND CLASS I SHARES	HAUPPAUGE, NY	7/3/2018	00841904-03	Registered

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Firm Name	Location	Date Received	File Number	Status
NILE CAPITAL INVESTMENT TR NILE AFRICA FRONTIER & EMERGING FUND CLASS I SHARES	HAUPPAUGE, NY	7/3/2018	00841891-03	Registered
NILE CAPITAL INVESTMENT TR NILE AFRICA FRONTIER & EMERGING FUND CLASS C SHARES	HAUPPAUGE, NY	7/3/2018	00841890-03	Registered
NILE CAPITAL INVESTMENT TR NILE AFRICA FRONTIER & EMERGING FUND CLASS A SHARES	HAUPPAUGE, NY	7/3/2018	00841889-03	Registered
NORTHERN LIGHTS FUND TR 2 2 OAKS DIVERSIFIED GROWTH & INCOME FUND CLASS A SHARES	HAUPPAUGE, NY	7/3/2018	00841909-03	Registered
NORTHERN LIGHTS FUND TR 3 COUNTERPOINT TACTICAL MUNICIPAL FUND CLASS I SHARES	HAUPPAUGE, NY	7/3/2018	00841902-03	Registered
NORTHERN LIGHTS FUND TR 3 COUNTERPOINT TACTICAL MUNICIPAL FUND CLASS A SHARES	HAUPPAUGE, NY	7/3/2018	00841903-03	Registered
NORTHERN LIGHTS FUND TR 3 NEWFOUND MULTI ASSET INCOME FUND CLASS A SHARES	HAUPPAUGE, NY	7/3/2018	00841892-03	Registered
NORTHERN LIGHTS FUND TR 3 NEWFOUND MULTI ASSET INCOME FUND CLASS I SHARES	HAUPPAUGE, NY	7/3/2018	00841894-03	Registered
NORTHERN LIGHTS FUND TR 3 NEWFOUND MULTI ASSET INCOME FUND CLASS C SHARES	HAUPPAUGE, NY	7/3/2018	00841893-03	Registered
NORTHERN LIGHTS FUND TR 3 NEWFOUND RISK MANAGED GLOBAL SECTORS FUND CLASS I SHARES	HAUPPAUGE, NY	7/3/2018	00841896-03	Registered

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Firm Name	Location	Date Received	File Number	Status
NORTHERN LIGHTS FUND TR 3 NEWFOUND RISK MANAGED GLOBAL SECTORS FUND CLASS A SHARES	HAUPPAUGE, NY	7/3/2018	00841895-03	Registered
NORTHERN LIGHTS FUND TR 3 PINNACLE SHERMAN TACTICAL ALLOCATION FUND CLASS I SHARES	HAUPPAUGE, NY	7/3/2018	00841899-03	Registered
NORTHERN LIGHTS FUND TR 3 PINNACLE SHERMAN TACTICAL ALLOCATION FUND CLASS A SHARES	HAUPPAUGE, NY	7/3/2018	00841897-03	Registered
NORTHERN LIGHTS FUND TR 3 PINNACLE SHERMAN TACTICAL ALLOCATION FUND CLASS C SHARES	HAUPPAUGE, NY	7/3/2018	00841898-03	Registered
NORTHERN LIGHTS FUND TR 3 TEBERG FUND	HAUPPAUGE, NY	7/3/2018	00841900-03	Registered
NORTHERN LIGHTS FUND TR 4 MOERUS WORLDWIDE VALUE FUND CLASS N SHARES	HAUPPAUGE, NY	7/3/2018	00841907-03	Registered
NORTHERN LIGHTS FUND TR KCM MACRO TRENDS FUND INSTITUTIONAL CLASS	HAUPPAUGE, NY	7/3/2018	00841908-03	Registered
ADVISORS INNER CIRCLE FUND 3 PENN MUTUAL AM UNCONSTRAINED BOND FUND I SHARES	OAKS, PA	7/2/2018	00841724-03	Registered
ADVISORS SERIES TR PZENA INTERNATIONAL SMALL CAP VALUE FUND INVESTOR CLASS	MILWAUKEE, WI	7/2/2018	00841932-03	Registered
ADVISORY SERIES TR PZENA INTERNATIONAL SMALL CAP VALUE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	7/2/2018	00841931-03	Registered
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2020 FUND INVESTOR P SHARES	SAN FRANCISCO, CA	7/2/2018	00841730-03	Registered

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BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2025 FUND INVESTOR P SHARES	SAN FRANCISCO, CA	7/2/2018	00841735-03	Registered
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2030 FUND INVESTOR P SHARES	SAN FRANCISCO, CA	7/2/2018	00841733-03	Registered
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2035 FUND INVESTOR P SHARES	SAN FRANCISCO, CA	7/2/2018	00841737-03	Registered
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2040 FUND INVESTOR P SHARES	SAN FRANCISCO, CA	7/2/2018	00841731-03	Registered
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2045 FUND INVESTOR P SHARES	SAN FRANCISCO, CA	7/2/2018	00841732-03	Registered
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2050 FUND INVESTOR P SHARES	SAN FRANCISCO, CA	7/2/2018	00841734-03	Registered
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2055 FUND INVESTOR P SHARES	SAN FRANCISCO, CA	7/2/2018	00841736-03	Registered
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX 2060 FUND INVESTOR P SHARES	SAN FRANCISCO, CA	7/2/2018	00841738-03	Registered
BLACKROCK FUNDS 3 BLACKROCK LIFEPATH INDEX RETIREMENT FUND INVESTOR P SHARES	SAN FRANCISCO, CA	7/2/2018	00841729-03	Registered
BLACKROCK FUNDS 3 ISHARES S&P 500 INDEX FUND INVESTOR P SHARES	SAN FRANCISCO, CA	7/2/2018	00841727-03	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
BLACKROCK FUNDS 3 ISHARES US AGGREGATE BOND INDEX FUND INVESTOR P SHARES	SAN FRANCISCO, CA	7/2/2018	00841728-03	Registered
BLACKROCK INDEX FUNDS INC ISHARES MSCI EAFE INTERNATIONAL INDEX FUND INVESTOR P SHARES	WILMINGTON, DE	7/2/2018	00841725-03	Registered
BLACKROCK INDEX FUNDS INC ISHARES RUSSELL 2000 SMALL CAP INDEX FUND INVESTOR P SHARES	WILMINGTON, DE	7/2/2018	00841726-03	Registered
BROWN ADVISORY FUNDS BROWN ADVISORY MID CAP GROWTH FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	7/2/2018	00841926-03	Registered
BROWN ADVISORY FUNDS BROWN ADVISORY SUSTAINABLE BOND FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	7/2/2018	00841925-03	Registered
BROWN ADVISORY FUNDS BROWN ADVISORY TX EX BOND FUND INSTITUTIONAL SHARES	MILWAUKEE, AA	7/2/2018	00841924-03	Registered
FRONTIER FUNDS FRONTIER MFG SELECT INFRASTRUCTURE FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	7/2/2018	00841930-03	Registered
HOTCHKIS & WILEY FUNDS HIGH YIELD FUND CLASS Z	MILWAUKEE, WI	7/2/2018	00841929-03	Registered
INVESCO UNIT TR SERIES 1894 BALANCED DIVIDEND SUSTAINABILITY & INCOME PORTFOLIO 2018 3	NEW YORK, NY	7/2/2018	00841934-05	Pending-Cleared
INVESCO UNIT TR SERIES 1895 CLOSED END STRATEGY DISCOUNT OPPORTUNITY PORTFOLIO 2018 3	NEW YORK, WI	7/2/2018	00841935-05	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
INVESCO UNIT TR SERIES 1896 INFLATION HEDGE PORTFOLIO 2018 3	NEW YORK, WI	7/2/2018	00841936-05	Pending-Cleared
INVESCO UNIT TR SERIES 1898 MULTI ASSET HIGH INCOME PORTFOLIO 2018 3	NEW YORK, WI	7/2/2018	00841937-05	Pending-Cleared
INVESCO UNIT TR SERIES 1900 DIVIDEND SUSTAINABILITY STRATEGIC OPPORTUNITY PORTFOLIO 2018 3	NEW YORK, NY	7/2/2018	00841938-05	Pending-Cleared
INVESCO UNIT TR SERIES 1901	NEW YORK, NY	7/2/2018	00841939-05	Pending-Cleared
JPMORGAN TR I JPMORGAN SMALL CAP BLEND FUND CLASS R6 SHARES	NEW YORK, NY	7/2/2018	00841714-03	Registered
MORGAN STANLEY PORTFOLIOS SERIES 23 UNCOMMON VALUES TR 2018 SERIES & UNCOMMON VALUES GROWTH & INCOME SERIES 2018	NEW YORK, NY	7/2/2018	00841933-05	Registered
TOUCHSTONE STRATEGIC TR TOUCHSTONE BALANCED FUND CLASS C	CINCINNATI, OH	7/2/2018	00841739-03	Registered
Number of Investment Company Filings: 89				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
SUBSCRIBE TECHNOLOGIES INC	V6C2T7, BC	7/6/2018	00841960-07	Filed
Number of Regulation D Notice Filings: 1				

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Downunder Horsemanship Franchising, LLC / Downunder Horsemanship	Stephenville, TX	7/5/2018	619868	Registered
TMC FRANCHISE CORP / Circle K	TEMPE, AZ	7/4/2018	619866	Registered
Payroll Vault Franchising, LLC / Payroll Vault	Greenwood Vilalge, CO	7/3/2018	619865	Registered
T Express LLC / American Idea Hotels	New York, NY	7/3/2018	619864	Registered
Stacked Pickle Franchising, LLC / Stacked Pickle	Indianapolis, IN	7/3/2018	619862	Registered
CBD FRANCHISING, INC. / CLOSETS BY DESIGN	Garden Grove, CA	7/2/2018	619850	Registered
Rocky Mountain Chocolate Factory, Inc. / Rocky Mountain Chocolate Factory	Durango, CO	7/2/2018	619849	Registered
UTOPIA DESCENDING, LLC / UTOPIA DESCENDING	East Haven, CT	7/2/2018	619841	Registered
Interstate Battery Franchising & Development, Inc. / Interstate All Battery Center	Urbandale, IA	7/2/2018	619839	Registered
Tint World, LLC / Tint World	Boca Raton, FL	7/2/2018	619840	Registered
Color Me Mine Enterprises, Inc. / Color Me Mine	Glendale, CA	7/2/2018	619837	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	