

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/28/2018 through 11/3/2018**

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 Trust 1902 (Aerospace/Defense Opportunities Portfolio, Series 2018-4)	Monument, CO	11/2/2018	849095-05	Filed
Advisors Disciplined Trust 1902 (Cohen & Steers Covered Call & Income Strategies Closed-End Portfolio, Series 2018-4)	Monument, CO	11/2/2018	849094-05	Filed
Advisors Disciplined Trust 1902 (Cohen & Steers Dynamic Income Portfolio, Series 2018-4)	Monument, CO	11/2/2018	849093-05	Filed
Advisors Disciplined Trust 1902 (Cohen & Steers Global Covered Call & Income Strategies Closed-End Portfolio, Series 2018-4)	Monument, CO	11/2/2018	849092-05	Filed
Advisors Disciplined Trust 1902 (Tactical Income Closed-End Portfolio, Series 2018-4)	Monument, CO	11/2/2018	849091-05	Filed
Aquila Municipal Trust Aquila Narragansett Tax-Free Income Fund Class F	New York, NY	11/2/2018	849064-03	Filed
Aquila Municipal Trust Aquila Tax- Free Fund for Utah Class F	New York, NY	11/2/2018	849065-03	Filed
FT 7670 (Dow Target 10 Nov. '18 - Term 12/9/19)	Wheaton, IL	11/2/2018	849089-05	Filed
FT 7671 (Prime Income and ETF Portfolio, November 2018 Series)	Wheaton, IL	11/2/2018	849081-05	Filed
FT 7682 (American Agenda Portfolio, Series 7)	Wheaton, IL	11/2/2018	849075-05	Filed
FT 7683 (Deep Value Dividend Portfolio, Series 21)	Wheaton, IL	11/2/2018	849082-05	Filed

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Firm Name	Location	Date Received	File Number	Status
FT 7684 (Equity Income Select Portfolio, Series 59)	Wheaton, IL	11/2/2018	849084-05	Filed
FT 7685 (Diversified Income & Growth Portfolio, Winter 2018 Series)	Wheaton, IL	11/2/2018	849085-05	Filed
FT 7686 (Global Dividend Portfolio, Series 57)	Wheaton, IL	11/2/2018	849079-05	Filed
FT 7691 (Sabrient Rising Rate Portfolio, Series 10)	Wheaton, IL	11/2/2018	849076-05	Filed
FT 7694 (Election Portfolio, Series 9)	Wheaton, IL	11/2/2018	849072-05	Filed
FT 7706 (Capital Strength Buy-Write Portfolio, Series 42)	Wheaton, IL	11/2/2018	849078-05	Filed
FT 7713 (Balanced Income Equity and ETF Portfolio, Series 34)	Wheaton, IL	11/2/2018	849088-05	Filed
FT 7720 (Target Dividend Double Play Portfolio, Series 2)	Wheaton, IL	11/2/2018	849087-05	Filed
FT 7721 (Municipal Income and Dividend Growers Portfolio, Series 16)	Wheaton, IL	11/2/2018	849080-05	Filed
FT 7723 (Nasdaq Factor Dogs Opportunity Portfolio, Series 5)	Wheaton, IL	11/2/2018	849086-05	Filed
FT 7724 (ESG Impact Opportunity Portfolio, Series 5)	Wheaton, IL	11/2/2018	849077-05	Filed
FT 7725 (Senior Loan & Limited Duration Opportunities Closed-End Portfolio, Series 59)	Wheaton, IL	11/2/2018	849074-05	Filed
FT 7737 (Dividend & Income Select Closed-End Portfolio, Series 71)	Wheaton, IL	11/2/2018	849083-05	Filed
FT 7750 (S&P Dividend Aristocrats Buy - Write Portfolio, Series 3)	Wheaton, IL	11/2/2018	849073-05	Filed
Hawaiian Tax-Free Trust Class F	New York, NY	11/2/2018	849063-03	Filed
TechSoup Global	San Francisco, CA	11/2/2018	849090-25	Filed
The Cascades Trust Aquila Tax-Free Trust of Oregon Class F	New York, NY	11/2/2018	849066-03	Filed
AMG Funds AMG TimesSquare Global Small Cap Fund Class I	Greenwich, CT	11/1/2018	849040-03	Filed
AMG Funds AMG TimesSquare Global Small Cap Fund Class N	Greenwich, CT	11/1/2018	849041-03	Filed
AMG Funds AMG TimesSquare Global Small Cap Fund Class Z	Greenwich, CT	11/1/2018	849042-03	Filed

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Firm Name	Location	Date Received	File Number	Status
Baird Funds Inc. Baird Small/Mid Cap Growth Fund Institutional Class	MILWAUKEE, WI	10/31/2018	849068-03	Pending-Cleared
Baird Funds Inc. Baird Small/Mid Cap Growth Fund Investor Class	MILWAUKEE, WI	10/31/2018	849067-03	Pending-Cleared
Brown Advisory Funds Brown Advisory Global Leaders Fund Institutional Class	MILWAUKEE, WI	10/31/2018	849069-03	Filed
Federated Adviser Series Federated Hermes SDG Engagement Equity Fund Institutional Shares	Warrendale, PA	10/31/2018	849026-03	Filed
FT 7674 (Technology Dividend Opportunity Portfolio, Series 2)	Wheaton, IL	10/30/2018	849032-05	Filed
FT 7676 (Global Opportunistic Equity Portfolio Series)	Wheaton, IL	10/30/2018	849038-05	Filed
FT 7677 (U.S. Revenue Portfolio, Series 12)	Wheaton, IL	10/30/2018	849037-05	Filed
FT 7678 (Content Leaders Portfolio, Series 11)	Wheaton, IL	10/30/2018	849039-05	Filed
FT 7681 (Technology Select Portfolio, Series 71)	Wheaton, IL	10/30/2018	849033-05	Filed
FT 7688 (Balanced Income Portfolio, Series 64)	Wheaton, IL	10/30/2018	849034-05	Filed
FT 7719 (Balanced Income Opportunity Portfolio, Series 7)	Wheaton, IL	10/30/2018	849036-05	Filed
Smart Trust 403 (Smart Trust, Healthcare Innovations Trust, Series 6)	Parsippany, NJ	10/30/2018	849031-05	Pending-Cleared
Smart Trust 403 (Smart Trust, Technology Revolution Trust, Series 2)	Parsippany, NJ	10/30/2018	849030-05	Filed
Smart Trust 404 (Smart Trust, CEFA Select BDC Trust, Series 14)	Parsippany, NJ	10/30/2018	849029-05	Filed
The First Trust Combined Series 583 (Tax Exempt Municipal Income Trust, Series 304)	Wheaton, IL	10/30/2018	849035-05	Filed
The Lazard Funds, Inc. Lazard International Equity Value Portfolio Institutional Shares	New York, NY	10/30/2018	849027-03	Filed
The Lazard Funds, Inc. Lazard International Equity Value Portfolio Open Shares	New York, NY	10/30/2018	849028-03	Filed
BlackRock Multi-Sector Opportunities Trust II	Wilmington, DE	10/29/2018	849017-59	Filed

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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
Fidelity Rutland Square Trust II Strategic Advisers Fidelity Emerging Markets Fund Strategic Advisers Fidelity Emerging Markets Fund	Boston, MA	10/29/2018	849018-03	Filed
Guggenheim Defined Portfolios, Series 1823 (US Low Volatility Strategy Portfolio, Series 25)	Chicago, IL	10/29/2018	849024-05	Filed
Guggenheim Defined Portfolios, Series 1824 (Infrastructure & MLP Portfolio of CEFs, Series 36)	Chicago, IL	10/29/2018	849025-05	Filed
Guggenheim Defined Portfolios, Series 1824 (National Municipal Portfolio of CEFs, Series 40)	Chicago, IL	10/29/2018	849022-05	Filed
Guggenheim Defined Portfolios, Series 1824 (Senior Loan & Income portfolio of CEFs, Series 35)	Chicago, IL	10/29/2018	849023-05	Filed
JPMorgan Trust I JPMorgan High Yield Municipal Fund Class R6 Shares	New York, NY	10/29/2018	849019-03	Filed
The Alger Funds Alger 25 Fund Class P-2 Shares	New York, NY	10/29/2018	849021-03	Filed
The Alger Funds Alger 35 Fund Class P-2 Shares	New York, NY	10/29/2018	849020-03	Filed
Number of Investment Company Filings: 57				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
37P - Presidio LLC	Richmond, VA	11/2/2018	849128-07	Filed
Acadian China A Shares Equity Fund, LLC	Boston, MA	11/2/2018	849130-07	Filed
Bridge Debt Strategies Fund III International LP	Sandy, UT	11/2/2018	849112-07	Filed
Certeza Tactical Volatility Fund, LLC	Logan, UT	11/2/2018	849122-07	Filed
CJM Realty Fund LLC	Chicago, IL	11/2/2018	849117-07	Filed
CNote Group, Inc.	Oakland, CA	11/2/2018	849124-07	Filed
CS1031 Old Towne Loft Apartments, DST	Glen Allen, VA	11/2/2018	849116-07	Filed
Decathlon Alpha IV, L.P.	Park City, UT	11/2/2018	849118-07	Filed
EatStreet, Inc.	Madison, WI	11/2/2018	849127-07	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
Farol Fund II, LP	New York, NY	11/2/2018	849126-07	Filed
FDS EMC II, LLC	Rosslyn, VA	11/2/2018	849131-07	Filed
Florida Multifamily Portfolio II DST	Hinsdale, IL	11/2/2018	849113-07	Filed
Great Point Partners III, L.P.	Greenwich, CT	11/2/2018	849114-07	Filed
Invenra Inc.	Madison, WI	11/2/2018	849108-07	Filed
L2 Summit Fund, L.P.	Boston, MA	11/2/2018	849071-07	Filed
March Capital Opportunity Fund III, LP	San Francisco, CA	11/2/2018	849125-07	Filed
MLG Private Fund IV LLC	Brookfield, WI	11/2/2018	849119-07	Filed
Morpheus 1020 LLC	Tempe, AZ	11/2/2018	849123-07	Filed
RealtyShares 389, LLC	Lewes, DE	11/2/2018	849129-07	Filed
Red Dot Holdings III, LP	Louisville, CO	11/2/2018	849111-07	Filed
Select Royalty Fund 5, LP	Frisco, TX	11/2/2018	849120-07	Filed
Select Royalty Fund 6, LP	Frisco, TX	11/2/2018	849121-07	Filed
Socotra Fund LLC	Sacramento, CA	11/2/2018	849070-07	Filed
Taproom Social Clt LLC	Charlotte, NC	11/2/2018	849132-07	Filed
Tides on Mill Manager, LLC	Los Angeles, CA	11/2/2018	849110-07	Filed
Vascular Therapies Inc	Cresskill, NJ	11/2/2018	849109-07	Filed
Youngevity International, Inc.	Chula Vista, CA	11/2/2018	849115-07	Filed
Number of Regulation D Notice Filings: 27				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Tommy's Express, LLC / Tommy's Express Car Wash	Holland, MI	11/2/2018	620252	Registered
Learning Express, Inc. / Learning Express	Devens, MA	11/2/2018	620250	Registered
ASI Sign Systems, Inc. / ASI	Irving, TX	11/1/2018	620245	Registered
Creative Colors International, Inc. / Creative Colors International	Mokena, IL	11/1/2018	620244	Registered
Bumper Man, Inc. / Bumper Man	Mesquite, TX	11/1/2018	620241	Registered
HNJ Franchise Inc. / "HNJ" and "Hot n Juicy Crawfish"	Grand Prairie, TX	10/31/2018	620238	Registered
Magnolia Bakery International, LLC / Magnolia Bakery	New York, NY	10/31/2018	620236	Registered

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American Decorative Coatings, LLC / Concrete Craft	Irvine, CA	10/31/2018	620232	Registered
Jamba Juice Franchisor SPV LLC / Jamba Juice	Atlanta, GA	10/30/2018	620231	Registered
ARTHUR MURRAY INTERNATIONAL, INC / Arthur Murray Dance Studio	CORAL GABLES, FL	10/30/2018	620229	Registered
The Barbers, Hairstyling for Men & Women, Inc. / Smartstyle	Minneapolis, MN	10/30/2018	620228	Registered
Roosters MGC International, LLC / Roosters Men's Grooming Center	Minneapolis, MN	10/30/2018	620227	Registered
The Barbers, Hairstyling for Men & Women, Inc. / Cost Cutters	Minneapolis, MN	10/29/2018	620226	Registered
Supercuts, Inc. / Supercuts	Minneapolis, MN	10/29/2018	620225	Registered
Number of Franchise Filings: 14				