

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/25/2018 through 12/1/2018**

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
Northern Lights Fund Trust III Boyd Watterson Limited Duration Enhanced Income Fund Class I2 Shares	Omaha, NE	11/29/2018	849322-03	Filed
Northern Lights Fund Trust III Leland Thomson Reuters Venture Capital Index Fund Class A Shares	Omaha, NE	11/29/2018	849323-03	Filed
Nuveen Investment Trust II Nuveen Emerging Markets Equity Fund Class A	Chicago, IL	11/29/2018	849315-03	Filed
Nuveen Investment Trust II Nuveen Emerging Markets Equity Fund Class C	Chicago, IL	11/29/2018	849317-03	Filed
Nuveen Investment Trust II Nuveen Emerging Markets Equity Fund Class I	Chicago, IL	11/29/2018	849316-03	Filed
Nuveen Investment Trust II Nuveen Emerging Markets Equity Fund Class R6	Chicago, IL	11/29/2018	849318-03	Filed
Old Westbury Funds, Inc. Old Westbury California Municipal Bond Fund	King of Prussia, PA	11/29/2018	849313-03	Filed
Old Westbury Funds, Inc. Old Westbury New York Municipal Bond Fund	King of Prussia, PA	11/29/2018	849314-03	Filed
The Alger Funds II Alger Spectra Fund Class Y Shares	New York, NY	11/29/2018	849312-03	Filed
The Saratoga Advantage Trust James Alpha Structured Credit Value Portfolio Class S	Goodyear, AZ	11/29/2018	849319-03	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
The Timothy Plan Growth and Income Fund Class I	Maitland, FL	11/29/2018	849321-03	Filed
Two Roads Shared Trust Holbrook Income Fund Class I	Omaha, NE	11/29/2018	849320-03	Filed
Invesco Unit Trusts, Municipal Series 1328; Quality Municipal Income Trust, 10-20 Year Series	Downers Grove, IL	11/28/2018	849286-05	Filed
Invesco Unit Trusts, Municipal Series 1329; Insured Municipals Income Trust, Series 704	Downers Grove, IL	11/28/2018	849287-05	Pending-Cleared
Invesco Unit Trusts, Taxable Income Series 614; High Yield Corporate Trust, 4-7 Year Series 17	Downers Grove, IL	11/28/2018	849288-05	Filed
The UBS Funds UBS Engage For Impact Fund Class P	Chicago, IL	11/28/2018	849284-03	Filed
The UBS Funds UBS Sustainable Development Bank Bond Fund Class P	Chicago, IL	11/28/2018	849285-03	Filed
City National Rochdale Strategic Credit Fund	New York, NY	11/27/2018	849255-59	Filed
JPMorgan Trust IV JPMorgan Emerging Markets Research Enhanced Equity Fund Class R6 Shares	New York, NY	11/27/2018	849258-03	Filed
The Advisors' Inner Circle Fund III Investec Emerging Markets Equity Fund A Shares	Oaks, PA	11/27/2018	849253-03	Filed
The Advisors' Inner Circle Fund III Investec Emerging Markets Equity Fund I Shares	Oaks, PA	11/27/2018	849254-03	Filed
Transamerica Funds Transamerica Global Real Estate Securities Class I2 Shares	Denver, CO	11/27/2018	849261-03	Filed
Transamerica Funds Transamerica Growth Class I2 Shares	Denver, CO	11/27/2018	849259-03	Filed
Transamerica Funds Transamerica High Yield Muni Class I2 Shares	Denver, CO	11/27/2018	849257-03	Filed
Transamerica Funds Transamerica Intermediate Muni Class I2 Shares	Denver, CO	11/27/2018	849256-03	Filed
Transamerica Funds Transamerica Large Cap Value Class I2 Shares	Denver, CO	11/27/2018	849262-03	Filed

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Firm Name	Location	Date Received	File Number	Status
Transamerica Funds Transamerica Mid Cap Value Opportunities Class I2 Shares	Denver, CO	11/27/2018	849263-03	Filed
Transamerica Funds Transamerica Small/Mid Cap Value Class I2 Shares	Denver, CO	11/27/2018	849260-03	Filed
Smart Trust 407 (Smart Trust, Preferreds Plus Trust, Series 8)	Parsippany, NJ	11/26/2018	849264-05	Filed
Number of Investment Company Filings: 29				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Assured Leads, Inc.	Madison, WI	11/30/2018	849363-07	Filed
AVM Holdings, LLC	Eagle, ID	11/30/2018	849365-07	Filed
Buttonwood Beacon QP Fund LLC Series AB-I	New York, NY	11/30/2018	849360-07	Filed
Cenador Apt Venture, LLC	Northridge, CA	11/30/2018	849361-07	Filed
Centre Lane Partners V, L.P.	New York, NY	11/30/2018	849357-07	Filed
Dollar Senior Loan Onshore Fund II, L.P.	New York, NY	11/30/2018	849366-07	Filed
Emerging Markets Core Fund	Warrendale, PA	11/30/2018	849353-07	Filed
Federated Bank Loan Core Fund	Warrendale, PA	11/30/2018	849356-07	Filed
Federated Project & Trade Finance Core Fund	Warrendale, PA	11/30/2018	849355-07	Filed
Grace Members LLC	Waukesha, WI	11/30/2018	849351-07	Filed
Healthcare Portfolio V DST	Oak Brook, IL	11/30/2018	849362-07	Filed
High Yield Bond Portfolio	Warrendale, PA	11/30/2018	849354-07	Filed
IK Minority Partnership I Fund No. 1 SCSp	Leudelage,	11/30/2018	849350-07	Filed
Magnetar Multi-Strategy Alternative Risk Premia Fund Ltd	Grand Cayman,	11/30/2018	849364-07	Filed
Next Generation Vehicles Fund, L.P.	Boston, MA	11/30/2018	849348-07	Filed
Oaktree Global Credit Fund, L.P.	Los Angeles, CA	11/30/2018	849349-07	Filed
OnRamp Insurance Accelerator Fund I, LLC	Madison, WI	11/30/2018	849359-07	Filed
Pantera Digital Asset Fund LP	Menlo Park, CA	11/30/2018	849358-07	Filed
Parkergale Capital II, LP	Chicago, IL	11/30/2018	849393-07	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
Rock Island Capital Fund III, L.P.	Oak Brook, IL	11/30/2018	849352-07	Filed
SPI Ascent North 460, LLC	Dallas, TX	11/30/2018	849367-07	Filed
Trails at Hunter Pointe Investors, LLC	Dallas, TX	11/30/2018	849368-07	Filed
Vinebrook Homes Trust, Inc.	Dallas, TX	11/30/2018	849347-07	Filed
VividGro, Inc.	Chicago, IL	11/30/2018	849324-07	Filed
Celsee Diagnostics, Inc.	Plymouth, MI	11/28/2018	849289-07	Filed
NHIT: World Credit Asset Trust	Boston, MA	11/27/2018	849290-07	Filed
1031 Xchange Trust I	Fairway, KS	11/26/2018	849307-07	Filed
AB Energy Opportunity (Delaware) Fund II, L.P.	New York, NY	11/26/2018	849306-07	Filed
Aldine Capital Fund III, L.P.	Chicago, IL	11/26/2018	849291-07	Filed
Arden Real Estate Partners III, L.P.	Philadelphia, PA	11/26/2018	849296-07	Filed
Caffeinated Capital Airtable SPV II, LLC	San Francisco, CA	11/26/2018	849293-07	Filed
China Car Parks Investment Fund II L.P.	George Town,	11/26/2018	849299-07	Filed
Corum Origin	Paris,	11/26/2018	849300-07	Filed
Corum XL	Paris,	11/26/2018	849301-07	Filed
Eximis surgical Inc.	Louisville, CO	11/26/2018	849304-07	Filed
Federated Mortgage Core Portfolio	Warrendale, PA	11/26/2018	849311-07	Filed
Legacy Venture IX, LLC	Palo Alto, CA	11/26/2018	849302-07	Filed
Mendon Global Long/Short Financial QP Fund LP	Chicago, IL	11/26/2018	849308-07	Filed
NHP/PMB L.P.	Louisville, KY	11/26/2018	849298-07	Filed
RealtyShares 379, LLC	Lewes, DE	11/26/2018	849292-07	Filed
RealtyShares 383, LLC	Lewes, DE	11/26/2018	849297-07	Filed
RealtyShares 387, LLC	Lewes, DE	11/26/2018	849294-07	Filed
RK One White Oak DST	Long Beach, CA	11/26/2018	849310-07	Filed
Russ' Century Farm LLC	Lebanon, OR	11/26/2018	849295-07	Filed
Sage Oak ALF of Louisiana, LLC	Dallas, TX	11/26/2018	849303-07	Filed
TPG Asia VII FOF, L.P.	Ft Worth, TX	11/26/2018	849305-07	Filed
Windjammer Senior Equity Fund V, L.P.	Newport Beach, CA	11/26/2018	849309-07	Filed
Number of Regulation D Notice Filings: 47				

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Airtime International Franchise, LLC / Airtime Trampoline and Game Park	Troy, MI	11/30/2018	620321	Registered
Petro Franchise Systems LLC / Petro Stopping Centers	Westlake, OH	11/29/2018	620317	Registered
ASSIST 2 SELL INC / ASSIST 2 SELL	RENO, NV	11/29/2018	620315	Registered
Wingstop Franchising LLC / WING-STOP®	Dallas, TX	11/29/2018	620309	Registered
Amazing Athletes Franchise Systems, LLC	Franklin, TN	11/28/2018	620307	Registered
Pest Authority LLC / Pest Authority	Hickory, NC	11/28/2018	620306	Registered
Toro Tax Franchising, LLC / Toro Taxes	Las Vegas, NV	11/27/2018	620302	Registered
COMPUTER TROUBLESHOOTERS USA INC / Computer Troubleshooters	Independence, OH	11/27/2018	620301	Registered
Number of Franchise Filings: 8				