

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/20/2019 through 1/26/2019**

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
FT 7826 (Technology Dividend Opportunity Portfolio, Series 3)	Wheaton, IL	1/25/2019	849881-05	Filed
FT 7827 (Technology Dividend Portfolio, Series 29)	Wheaton, IL	1/25/2019	849893-05	Filed
FT 7833 (Balanced Income Equity and ETF Portfolio, Series 35)	Wheaton, IL	1/25/2019	849882-05	Filed
FT 7851 (Senior Loan Select Closed-End Portfolio, Series 36)	Wheaton, IL	1/25/2019	849899-05	Filed
FT 7852 (Balanced Income Select Portfolios, Series 80)	Wheaton, IL	1/25/2019	849883-05	Filed
FT 7853 (Content Leaders Portfolio, Series 12)	Wheaton, IL	1/25/2019	849892-05	Filed
FT 7854 (Technology Select Portfolio, Series 72)	Wheaton, IL	1/25/2019	849884-05	Filed
FT 7855 (U.S. Revenue Portfolio, Series 13)	Wheaton, IL	1/25/2019	849895-05	Filed
FT 7855 (U.S. Revenue Portfolio, Series 13)	Wheaton, IL	1/25/2019	849898-05	Filed
Smart Trust 414 (Smart Trust, Argus Modern Innovators Trust, Series 4)	Parsippany, NJ	1/25/2019	849901-05	Filed
Smart Trust 414 (Smart Trust, E-Commerce Ecosystem Trust, Series 4)	Parsippany, NJ	1/25/2019	849902-05	Filed
Baillie Gifford Funds The Multi Asset Fund Class K	Scotland,	1/24/2019	849855-03	Filed
Baillie Gifford Funds The Multi Asset Fund Institutional Class	Scotland,	1/24/2019	849854-03	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
Morgan Stanley Portfolios, Series 27 - Optimized Equity Dividend Strategy, Series 5	Purchase, NY	1/24/2019	849853-05	Filed
Baillie Gifford Funds The International Smaller Companies Fund Class K	Scotland,	1/23/2019	849833-03	Filed
Baillie Gifford Funds The International Smaller Companies Fund Institutional Class	Scotland,	1/23/2019	849832-03	Filed
GPS Funds II, GuidePath Conservative Income Fund	MILWAUKEE, WI	1/23/2019	849831-03	Filed
GPS Funds II, GuidePath Growth and Income Fund	MILWAUKEE, WI	1/23/2019	849830-03	Filed
GPS Funds II, GuidePath Income Fund	MILWAUKEE, WI	1/23/2019	849829-03	Filed
AB Cap Fund, Inc. AB Multi-Manager Select 2060 Fund Advisor Class	New York, NY	1/22/2019	849820-03	Pending-Cleared
AB Cap Fund, Inc. AB Multi-Manager Select 2060 Fund Class A	New York, NY	1/22/2019	849819-03	Pending-Cleared
AB Cap Fund, Inc. AB Multi-Manager Select 2060 Fund Class C	New York, NY	1/22/2019	849821-03	Pending-Cleared
AB Cap Fund, Inc. AB Multi-Manager Select 2060 Fund Class I	New York, NY	1/22/2019	849817-03	Pending-Cleared
AB Cap Fund, Inc. AB Multi-Manager Select 2060 Fund Class K	New York, NY	1/22/2019	849816-03	Pending-Cleared
AB Cap Fund, Inc. AB Multi-Manager Select 2060 Fund Class R	New York, NY	1/22/2019	849822-03	Pending-Cleared
AB Cap Fund, Inc. AB Multi-Manager Select 2060 Fund Class Z	New York, NY	1/22/2019	849818-03	Pending-Cleared
Advisors Disciplined Trust 1928 (UBS Longer Term Investments Series - Environmental Trends Portfolio, Series 2019-1)	Monument, CO	1/22/2019	849848-05	Filed
Advisors Disciplined Trust 1928 (UBS Longer Term Investments Series - Healthcare Trends Portfolio, Series 2019-1)	Monument, CO	1/22/2019	849851-05	Filed
Advisors Disciplined Trust 1928 (UBS Longer Term Investments Series - Retirement Trends Portfolio, Series 2019-1)	Monument, CO	1/22/2019	849849-05	Filed

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
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Advisors Disciplined Trust 1928 (UBS Longer Term Investments Series - Secular Technology Trends Portfolio, Series 2019-1)	Monument, CO	1/22/2019	849850-05	Filed
FT 7821 (Equity Income Opportunity Portfolio, Series 7)	Wheaton, IL	1/22/2019	849838-05	Filed
FT 7822 (International Capital Strength Portfolio, Series 41)	Wheaton, IL	1/22/2019	849841-05	Filed
FT 7822 (SMid Capital Strength Portfolio, Series 41)	Wheaton, IL	1/22/2019	849839-05	Filed
FT 7825 (Top Picks January 2019 Portfolio)	Wheaton, IL	1/22/2019	849843-05	Filed
FT 7837 (Corporate Investment Grade Laddered Portfolio, Series 7)	Wheaton, IL	1/22/2019	849836-05	Filed
FT 7839 (Limited Duration Fixed Income ETF Portfolio, Series 28)	Wheaton, IL	1/22/2019	849837-05	Pending-Cleared
FT 7840 (Senior Loan and Dividend Growers Portfolio, Series 22)	Wheaton, IL	1/22/2019	849844-05	Pending-Cleared
FT 7876 (S&P International Dividend Aristocrats Port. 1Q '19)	Wheaton, IL	1/22/2019	849842-05	Filed
FT 7877 (Diversified High Income Closed-End Portfolio, Series 35)	Wheaton, IL	1/22/2019	849840-05	Filed
Gallery Trust Mondrian Global Listed Infrastructure Fund	Oaks, PA	1/22/2019	849814-03	Filed
Gallery Trust Mondrian U.S. Small Cap Equity Fund	Oaks, PA	1/22/2019	849813-03	Filed
Gallery Trust Rothko Emerging Markets Equity Fund	Oaks, PA	1/22/2019	849815-03	Filed
Guggenheim Defined Portfolios, Series 1852 (Global Balanced Income Builder Portfolio, Series 13)	Chicago, IL	1/22/2019	849852-05	Pending-Cleared
Smart Trust 413 (Smart Trust, Zacks GARP Composite 35 Trust, Series 20)	Parsippany, NJ	1/22/2019	849845-05	Filed
Smart Trust 413 (Smart Turst, Defensive 50 Equities Trust, Series 18)	Parsippany, NJ	1/22/2019	849847-05	Pending-Cleared
Smart Trust 413 (Smart Turst, Smart Ten Trust, Series 15)	Parsippany, NJ	1/22/2019	849846-05	Filed
Number of Investment Company Filings: 46				

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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
AperiSys, Inc.	Cumming, GA	1/25/2019	849911-07	Filed
HPI Real Estate Fund VII LLC	Old Lyme, CT	1/25/2019	849910-07	Filed
InstarAGF Essential Infrastructure II (USP - USD) LP	Toronto, ON	1/25/2019	849913-07	Filed
NEL Group, Inc.	Ann Arbor, MI	1/25/2019	849909-07	Filed
Plaisance Midway Fund LP	Denver, CO	1/25/2019	849907-07	Filed
Roers Burnsville Apartments Owner LLC	Long Lake, MN	1/25/2019	849912-07	Filed
Terviva Bioenergy, Inc.	Oakland, CA	1/25/2019	849914-07	Filed
Visions Hotels Opportunity Fund 5 L.P.	Corning, NY	1/25/2019	849908-07	Filed
Hampden Agencies Ltd	London,	1/23/2019	849835-07	Filed
SAM Domicilium real Estate Fund I LP	Charlotte, NC	1/22/2019	849825-07	Filed
Number of Regulation D Notice Filings: 10				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
ANNEX BRANDS INC / Annex Brands Retail Centers	SAN DIEGO, CA	1/25/2019	621451	Registered
ABM Franchising Group, LLC / TEGG	Canonsburg, PA	1/25/2019	621446	Registered
ABM Franchising Group, LLC / Linc Service	Canonsburg, PA	1/25/2019	621445	Registered
Sit Still Franchising LLC / Sit Still Kid's Salon	Portland, OR	1/25/2019	621444	Registered
InFrasys, Inc. / SealMaster	Sandusky, OH	1/25/2019	621443	Registered
Sharkey's Cuts for Kids International Co., LLC / Sharkey's Cuts for Kids	Westport, CT	1/25/2019	621440	Registered
Row House Franchise, LLC / Row House	Irvine, CA	1/24/2019	621439	Registered
BMB Franchising Services, Inc. / "BOMBSHELLS RESTAURANT & BAR" and "BOMBSHELLS"	Houston, TX	1/24/2019	621438	Registered
Spring Touch Franchising, LLC / Spring Touch Lawn and Pest Control	St. Peter, MN	1/24/2019	621436	Registered
Happy Joe's Franchising, Inc. / Happy Joes Pizza and Ice Cream Parlor	Bettendorf, IA	1/23/2019	621434	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
US LAWNS INC / U.S. LAWNS	ORLANDO, FL	1/22/2019	621433	Registered
Number of Franchise Filings: 11				