

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/24/2019 through 3/2/2019**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
National Covenant Properties	Chicago, IL	2/27/2019	850340-02	Registered
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Barden Ozone Fund, LLC	Kenosha, WI	2/25/2019	850185-08	Not Disallowed
Mead & Hunt Companies, Inc.	Middleton, WI	2/25/2019	850150-08	Not Disallowed
Number of Exemption Filings: 2				

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 1864 (NDR Thematic Opportunities Portfolio, Series 7)	Chicago, IL	3/1/2019	850211-05	Filed
Voya Funds Trust Voya Strategic Income Opportunities Fund Class P	Scottsdale, AZ	3/1/2019	850210-03	Filed
A&Q MULTI-STRATEGY FUND	Stamford, CT	2/28/2019	850195-59	Filed
American Beacon Funds American Beacon Garcia Hamilton Quality Bond Fund R6 Class	Irving, TX	2/28/2019	850193-03	Filed
Cohen & Steers Preferred Securities and Income SMA Shares, Inc.	New York, NY	2/28/2019	850192-03	Filed
T. Rowe Price Summit Municipal Funds, Inc. T. Rowe Price Summit Municipal Income Fund T. Rowe Price Summit Municipal Income Fund - I Class	Baltimore, MD	2/28/2019	850190-03	Filed
T. Rowe Price Summit Municipal Funds, Inc. T. Rowe Price Summit Municipal Intermediate Fund T. Rowe Price Summit Municipal Intermediate Fund - I Class	Baltimore, MD	2/28/2019	850191-03	Filed
Harbor Funds Harbor Overseas Fund Institutional Class	Chicago, IL	2/26/2019	850156-03	Filed

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Harbor Funds Harbor Overseas Fund Investor Class	Chicago, IL	2/26/2019	850155-03	Filed
Harbor Funds Harbor Overseas Fund Retirement Class	Chicago, IL	2/26/2019	850157-03	Filed
Principal Funds, Inc. Diversified International Fund Class R-6	Des Moines, IA	2/26/2019	850184-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2015 Fund Class R-3	Des Moines, IA	2/26/2019	850172-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2015 Fund Class R-5	Des Moines, IA	2/26/2019	850162-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2020 Fund Class R-3	Des Moines, IA	2/26/2019	850178-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2020 Fund Class R-5	Des Moines, IA	2/26/2019	850164-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2025 Fund Class R-3	Des Moines, IA	2/26/2019	850174-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2025 Fund Class R-5	Des Moines, IA	2/26/2019	850166-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2030 Fund Class R-3	Des Moines, IA	2/26/2019	850182-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2030 Fund Class R-5	Des Moines, IA	2/26/2019	850168-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2035 Fund Class R-3	Des Moines, IA	2/26/2019	850176-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2035 Fund Class R-5	Des Moines, IA	2/26/2019	850170-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2040 Fund Class R-3	Des Moines, IA	2/26/2019	850180-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2040 Fund Class R-5	Des Moines, IA	2/26/2019	850160-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2045 Fund Class R-3	Des Moines, IA	2/26/2019	850161-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2045 Fund Class R-5	Des Moines, IA	2/26/2019	850163-03	Filed

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Firm Name	Location	Date Received	File Number	Status
Principal Funds, Inc. Principal LifeTime Hybrid 2050 Fund Class R-3	Des Moines, IA	2/26/2019	850165-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2050 Fund Class R-5	Des Moines, IA	2/26/2019	850167-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2055 Fund Class R-3	Des Moines, IA	2/26/2019	850169-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2055 Fund Class R-5	Des Moines, IA	2/26/2019	850171-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2060 Fund Class R-3	Des Moines, IA	2/26/2019	850173-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2060 Fund Class R-5	Des Moines, IA	2/26/2019	850175-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2065 Fund Class R-3	Des Moines, IA	2/26/2019	850181-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid 2065 Fund Class R-5	Des Moines, IA	2/26/2019	850183-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid Income Fund Class R-3	Des Moines, IA	2/26/2019	850177-03	Filed
Principal Funds, Inc. Principal LifeTime Hybrid Income Fund Class R-5	Des Moines, IA	2/26/2019	850179-03	Filed
The Advisors' Inner Circle Fund III Mesirow Financial High Yield Fund Institutional Shares	Oaks, PA	2/26/2019	850159-03	Filed
The Advisors' Inner Circle Fund III Mesirow Financial High Yield Fund Investor Shares	Oaks, PA	2/26/2019	850158-03	Filed
Aberdeen Funds Aberdeen Ultra Short Municipal Income Fund Class A1	Philadelphia, PA	2/25/2019	850112-03	Filed
Advisors Disciplined Trust 1913 (Advisors Corporate Trust - Navellier/Dial High Income Oportunities Portfolio, Series 132)	Monument, CO	2/25/2019	850152-05	Filed
Calvert World Values Fund, Inc. Calvert International Equity Fund Class R6	Washington, DC	2/25/2019	850113-03	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
FT 7870 (Banking Opportunity Portfolio, Series 33)	Wheaton, IL	2/25/2019	850135-05	Filed
FT 7871 (Capital Strength Opportunity Portfolio, Series 8)	Wheaton, IL	2/25/2019	850143-05	Filed
FT 7872 (Cloud Computing Portfolio, Series 24)	Wheaton, IL	2/25/2019	850144-05	Filed
FT 7873 (Cybersecurity Portfolio, Series 15)	Wheaton, IL	2/25/2019	850138-05	Filed
FT 7874 (Defensive Equity Portfolio, Series 48)	Wheaton, IL	2/25/2019	850136-05	Filed
FT 7887 (Strategic Income Closed-End Portfolio, Series 70)	Wheaton, IL	2/25/2019	850139-05	Filed
FT 7888 (Sabrient Defensive Equity Portfolio, Series 19)	Wheaton, IL	2/25/2019	850137-05	Filed
FT 7889 (Strategic Income Advantage Select, Closed-End Portfolio, Series 81)	Wheaton, IL	2/25/2019	850134-05	Filed
FT 7892 (Capital Strength Portfolio, Series 46)	Wheaton, IL	2/25/2019	850133-05	Filed
FT 7893 (Dividend Strength Opportunity Portfolio, Series 8)	Wheaton, IL	2/25/2019	850146-05	Filed
FT 7894 (Global Bond Income Closed-End Portfolio, Series 31)	Wheaton, IL	2/25/2019	850147-05	Filed
FT 7895 (U.S. Infrastructure Portfolio, Series 17)	Wheaton, IL	2/25/2019	850148-05	Filed
FT 7897 (Dorsey Wright Relative Strength Dividend Portfolio, Series 34)	Wheaton, IL	2/25/2019	850149-05	Filed
FT 7898 (Dorsey Wright Relative Strength Top 50, Series 34)	Wheaton, IL	2/25/2019	850142-05	Filed
FT 7921 (Global Equity Income Closed-End Portfolio, Series 63)	Wheaton, IL	2/25/2019	850141-05	Filed
FT 7929 (Municipal Income Opportunities Closed-End Portfolio, Series 53)	Wheaton, IL	2/25/2019	850145-05	Filed
FT 7930 (Senior Loan & Limited Duration Opportunities Closed-End Portfolio, Series 61)	Wheaton, IL	2/25/2019	850140-05	Filed
Guggenheim Defined Portfolio, Series 1863 (Emerging Markets Dividend Strategy Portfolio, Series 29)	Chicago, IL	2/25/2019	850153-05	Filed
Guggenheim Defined Portfolio, Series 1863 (Undervalued Top Picks Portfolio, Series 20)	Chicago, IL	2/25/2019	850154-05	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
Invesco Unit Trusts, Municipal Series 1332; Insured Municipals Income Trust, Series 705	Downers Grove, IL	2/25/2019	850131-05	Pending-Cleared
Invesco Unit Trusts, Series 1961	Downers Grove, IL	2/25/2019	850130-05	Pending-Cleared
Invesco Unit Trusts, Series 1964, Dividend Sustainability Buy-Write Portfolio 2019-2	Downers Grove, IL	2/25/2019	850132-05	Pending-Cleared
Smart Trust 418 (Smart Trust, Dynamic Sector Income Trust, Series 23)	Parsippany, NJ	2/25/2019	850151-05	Filed
The Hartford Mutual Funds, Inc. Hartford Multi-Asset Income fund Class R6 Shares	Wayne, PA	2/25/2019	850115-03	Filed
The Hartford Mutual Funds, Inc. The Hartford Healthcare Fund Class R6 Shares	Wayne, PA	2/25/2019	850114-03	Filed
The Hartford Mutual Funds, Inc. The Hartford International Value Fund Class R6 Shares	Wayne, PA	2/25/2019	850116-03	Filed
The Hartford Mutual Funds, Inc. The Hartford Short Duration Fund Class R6 Shares	Wayne, PA	2/25/2019	850117-03	Filed
Transamerica Funds ClearTrack 2015 Class R3	Denver, CO	2/25/2019	850118-03	Filed
Transamerica Funds ClearTrack 2020 Class R3	Denver, CO	2/25/2019	850119-03	Filed
Transamerica Funds ClearTrack 2025 Class R3	Denver, CO	2/25/2019	850120-03	Filed
Transamerica Funds ClearTrack 2030 Class R3	Denver, CO	2/25/2019	850121-03	Filed
Transamerica Funds ClearTrack 2035 Class R3	Denver, CO	2/25/2019	850122-03	Filed
Transamerica Funds ClearTrack 2040 Class R3	Denver, CO	2/25/2019	850123-03	Filed
Transamerica Funds ClearTrack 2045 Class R3	Denver, CO	2/25/2019	850124-03	Filed
Transamerica Funds ClearTrack 2050 Class R3	Denver, CO	2/25/2019	850125-03	Filed
Transamerica Funds ClearTrack 2055 Class R3	Denver, CO	2/25/2019	850127-03	Filed
Transamerica Funds ClearTrack 2060 Class R3	Denver, CO	2/25/2019	850128-03	Filed
Transamerica Funds ClearTrack Retirement Income Class R3	Denver, CO	2/25/2019	850126-03	Filed
Wells Fargo Funds Trust Wells Fargo Global Investment Grade Credit Fund Class R6	San Francisco, CA	2/25/2019	850111-03	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
Wells Fargo Funds Trust Wells Fargo Global Investment Grade Credit Fund Institutional Class	San Francisco, CA	2/25/2019	850110-03	Filed
Number of Investment Company Filings: 80				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Active Implants LLC	Memphis, TN	3/1/2019	850268-07	Filed
Ascent Emerging Markets Fund, LP	New York, NY	3/1/2019	850266-07	Filed
Audios Ventures Inc.	Troy, NY	3/1/2019	850285-07	Filed
Avia Holdings, LLC	Chicago, IL	3/1/2019	850282-07	Filed
Boston Investor Holdings, LLC	Norfolk, VA	3/1/2019	850265-07	Filed
Complete Business Solutions Group, Inc.	Philadelphia, PA	3/1/2019	850267-07	Filed
CrowdStreet Blended Portfolio I, LLC	Portland, OR	3/1/2019	850264-07	Filed
CS1031 Carolina Tech HQ, DST	Glen Allen, VA	3/1/2019	850280-07	Filed
Edgewater Capital Partners IV, LP	Cleveland, OH	3/1/2019	850283-07	Filed
FDS Nolensville Holdings, LLC	Arlington, VA	3/1/2019	850290-07	Filed
Glasscock E-1 Workover, L.P.	Bowling Green, KY	3/1/2019	850284-07	Filed
GS&A Enhanced Bond Fund (Delaware) LP	New York, NY	3/1/2019	850263-07	Filed
Martis Partners III, LP	Washington, DC	3/1/2019	850287-07	Filed
Melt Pharmaceuticals, Inc.	San Diego, CA	3/1/2019	850278-07	Filed
NEI VI, LLC	Waukesha, WI	3/1/2019	850291-07	Filed
PEP Pleasant Creek, L.L.C.	Chicago, IL	3/1/2019	850270-07	Filed
SLF Fixed Income Fund I, LLC	Lenexa, KS	3/1/2019	850281-07	Filed
TrustToken, Inc.	San Francisco, CA	3/1/2019	850269-07	Filed
Verde Mountain Fund, LLC	Jackson Hole, WY	3/1/2019	850279-07	Filed
Watermark Lodging Investors, LLC	Chicago, IL	3/1/2019	850288-07	Filed
Wellbe Inc.	Madison, WI	3/1/2019	850289-07	Filed
Willis Towers Watson Group Trust Diversified Equity Fund	Arlington, VA	3/1/2019	850277-07	Filed
Willis Towers Watson Group Trust Long Credit Fund	Arlington, VA	3/1/2019	850271-07	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
YourMechanic, Inc.	Mountain View, CA	3/1/2019	850286-07	Filed
Class VI - New River II, LP	New York, NY	2/27/2019	850262-07	Filed
2019 FCA V-CW SPV, LLC	Brentwood, TN	2/25/2019	850187-07	Filed
Number of Regulation D Notice Filings: 26				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Certa ProPainters Ltd. / CertaPro Painters	Oaks, PA	3/1/2019	621533	Registered
Get Air Franchise, Inc. / Get Air	Roy, UT	3/1/2019	621532	Registered
PACCAR Leasing Company, a division of PACCAR Financial Corp.	Bellevue, WA	3/1/2019	621531	Registered
Legg SMS Franchising Inc / Superior Mosquito Defense	South Decatur, AL	3/1/2019	621530	Registered
WILD BIRDS UNLIMITED INC	Carmel, IN	3/1/2019	621529	Registered
MONICAL PIZZA CORPORATION / MONICAL'S PIZZA	BRADLEY, IL	3/1/2019	621528	Registered
Vision Source LP / Vision Source	Kingwood, TX	3/1/2019	621527	Registered
Stanley Industrial & Automotive, LLC / Mac Tools	Westerville, OH	2/28/2019	621525	Registered
WZ FRANCHISE CORP / Wing Zone	ATLANTA, GA	2/28/2019	621524	Registered
LEI Franchising / LEI Home Enhancements	Cincinnati, OH	2/27/2019	621521	Registered
Experimac Franchising, LLC / Experimax	West Palm Beach, FL	2/27/2019	621523	Registered
PINPOINT LOCAL LLC / PINPOINT LOCAL	WILMINGTON, DE	2/26/2019	621519	Registered
ROLY POLY FRANCHISING SYSTEMS LLC / Roly Poly	Key West, FL	2/26/2019	621518	Registered
ANNEX BRANDS INC / Annex Brands Commercial Center	SAN DIEGO, CA	2/26/2019	621517	Registered
Casey Hawkins, Inc. / The Human Bean	Medford, OR	2/26/2019	621516	Registered
Ten Friends Franchising, LLC / Ten Friends Blow Dry & Style House	Hinsdale, IL	2/25/2019	621514	Registered
Scramblers Brands Franchise Developmenet LLC	Toledo, OH	2/25/2019	621513	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Surface Specialists Systems, Inc. / Surface Specialists	Matthews, NC	2/25/2019	621512	Registered
Number of Franchise Filings: 18				