

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/18/2019 through 8/24/2019**

| 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 8197 (Dividend Strength Opportunity Portfolio, Series 10) | Wheaton, IL | 8/23/2019 | 855331-05 | Filed |
| FT 8198 (Core Holdings Growth Trust, 2019 Fall Series) | Wheaton, IL | 8/23/2019 | 855329-05 | Filed |
| FT 8199 (U.S. Infrastructure Portfolio, Series 19) | Wheaton, IL | 8/23/2019 | 855330-05 | Filed |
| FT 8201 (Cyclical Strength Portfolio, Series 27) | Wheaton, IL | 8/23/2019 | 855332-05 | Filed |
| FT 8203 (Dorsey Wright Relative Strength Top 50 Portfolio, Series 36) | Wheaton, IL | 8/23/2019 | 855338-05 | Filed |
| FT 8204 (Energy Select Portfolio, Series 73) | Wheaton, IL | 8/23/2019 | 855339-05 | Filed |
| FT 8223 (U.S. Equity Closed-End Portfolio, Series 33) | Wheaton, IL | 8/23/2019 | 855333-05 | Filed |
| FT 8226 (REIT Growth & Income Select Portfolio, Series 51) | Wheaton, IL | 8/23/2019 | 855334-05 | Filed |
| FT 8227 (Strategic Dividend Select Portfolio, Series 38) | Wheaton, IL | 8/23/2019 | 855335-05 | Filed |
| FT 8252 (Balanced Income Equity and ETF Portfolio, Series 38) | Wheaton, IL | 8/23/2019 | 855336-05 | Filed |
| FT 8263 (Senior Loan & Limited Duration Closed-End Portfolio, Series 90) | Wheaton, IL | 8/23/2019 | 855337-05 | Filed |
| Mutual Fund & Variable Insurance Trust Trend Aggregation Dividend & Income Fund Class A Shares | Omaha, NE | 8/23/2019 | 855320-03 | Filed |

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| Firm Name | Location | Date Received | File Number | Status |
| Mutual Fund & Variable Insurance Trust Trend Aggregation Growth Fund Class A Shares | Omaha, NE | 8/23/2019 | 855321-03 | Filed |
| PIMCO Funds PIMCO Preferred and Capital Securities Fund Class C | Newport Beach, CA | 8/23/2019 | 855322-03 | Filed |
| PIMCO Funds PIMCO RAE Worldwide Long/Short PLUS Fund Class A | Newport Beach, CA | 8/23/2019 | 855323-03 | Filed |
| PIMCO Funds PIMCO RAE Worldwide Long/Short PLUS Fund Class C | Newport Beach, CA | 8/23/2019 | 855324-03 | Filed |
| PIMCO Funds PIMCO RAE Worldwide Long/Short PLUS Fund Class I-2 | Newport Beach, CA | 8/23/2019 | 855325-03 | Filed |
| The Advisors` Inner Circle Fund Westwood Income Opportunity Fund C Class Shares | Oaks, PA | 8/22/2019 | 855319-03 | Pending-Cleared |
| The Advisors` Inner Circle Fund Westwood SmallCap Fund A Class Shares | Oaks, PA | 8/22/2019 | 855317-03 | Pending-Cleared |
| The Advisors` Inner Circle Fund Westwood SmallCap Fund C Class Shares | Oaks, PA | 8/22/2019 | 855318-03 | Pending-Cleared |
| FIDELITY INCOME FUND Fidelity Managed Retirement 2030 Fund Class K | Boston, MA | 8/21/2019 | 855311-03 | Filed |
| FIDELITY INCOME FUND Fidelity Managed Retirement 2030 Fund Class K6 | Boston, MA | 8/21/2019 | 855313-03 | Filed |
| FIDELITY INCOME FUND Fidelity Managed Retirement 2030 Fund Fidelity Advisor Managed Retirement 2030 Fund - Class A | Boston, MA | 8/21/2019 | 855312-03 | Filed |
| FIDELITY INCOME FUND Fidelity Managed Retirement 2030 Fund Fidelity Advisor Managed Retirement 2030 Fund - Class I | Boston, MA | 8/21/2019 | 855309-03 | Filed |
| FIDELITY INCOME FUND Fidelity Managed Retirement 2030 Fund Fidelity Advisor Managed Retirement 2030 Fund - Class Z6 | Boston, MA | 8/21/2019 | 855315-03 | Filed |

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| FIDELITY INCOME FUND Fidelity Managed Retirement 2030 Fund Fidelity Managed Retirement 2030 Fund | Boston, MA | 8/21/2019 | 855314-03 | Filed |
| FIDELITY INCOME FUND Fidelity Simplicity RMD 2025 Fund Fidelity Simplicity RMD 2025 Fund | Boston, MA | 8/21/2019 | 855310-03 | Filed |
| Guggenheim Defined Portfolios, Series 1926 (Dividend Strength Portfolio, Series 35) | Chicago, IL | 8/20/2019 | 855306-05 | Filed |
| Guggenheim Defined Portfolios, Series 1926 (Emerging Markets Dividend Strategy Portfolio, Series 31) | Chicago, IL | 8/20/2019 | 855307-05 | Filed |
| Guggenheim Defined Portfolios, Series 1926 (Undervalued Top Picks Portfolio, Series 22) | Chicago, IL | 8/20/2019 | 855308-05 | Filed |
| Guggenheim Defined Portfolios, Series 1927 (Total Income Portfolio, Series 18) | Chicago, IL | 8/20/2019 | 855327-05 | Filed |
| Guggenheim Defined Portfolios, Series 1928 (Energy Portfolio, Series 27) | Chicago, IL | 8/20/2019 | 855328-05 | Filed |
| Guggenheim Defined Portfolios, Series 1928 (NDR Thematic Opportunities Portfolio, Series 9) | Chicago, IL | 8/20/2019 | 855326-05 | Filed |
| Tributary Funds, Inc. Tributary Small/Mid Cap Fund Institutional Plus Class | Omaha, NE | 8/20/2019 | 855305-03 | Filed |
| RSE Archive, LLC | New York, NY | 8/19/2019 | 855316-25 | Filed |
| Number of Investment Company Filings: 35 | | | | |

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|----------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| 3Lines Rocket Fund, L.P. | Hghlnds Ranch, CO | 8/23/2019 | 855386-07 | Filed |
| AG Artemis Holdings, L.P. | New York, NY | 8/23/2019 | 855367-07 | Filed |
| AG Mortgage Value Partners, L.P. | New York, NY | 8/23/2019 | 855385-07 | Filed |
| AIQ Global, Inc. | Madison, WI | 8/23/2019 | 855379-07 | Filed |
| Alliance Energy Fund 2019-A, LP | Overland Park, KS | 8/23/2019 | 855373-07 | Filed |
| Almitas Opportunity Fund LP | Pacific Plsds, CA | 8/23/2019 | 855377-07 | Filed |

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| Firm Name | Location | Date Received | File Number | Status |
| Arsenal IO Co-Invest 1 LP | New York, NY | 8/23/2019 | 855365-07 | Filed |
| Azalea Parent Holdings LP | Los Angeles, CA | 8/23/2019 | 855369-07 | Filed |
| BAF Spirits, LLC | Deer Park, IL | 8/23/2019 | 855380-07 | Filed |
| EF VC31 LP | Houston, TX | 8/23/2019 | 855384-07 | Filed |
| GDP Haven Gulch LLC | Houston, TX | 8/23/2019 | 855383-07 | Filed |
| H.I.G. Middle Market LBO Fund III, L.P. | Miami, FL | 8/23/2019 | 855374-07 | Filed |
| H.I.G. Whitehorse Principal Lending Fund, L.P. | Miami, FL | 8/23/2019 | 855376-07 | Filed |
| IK IX Fund No. 1 SCSp | Luxembourg, | 8/23/2019 | 855378-07 | Filed |
| Lucira Health, Inc. | Emeryville, CA | 8/23/2019 | 855372-07 | Filed |
| Metame Health, Inc. | Chicago, IL | 8/23/2019 | 855381-07 | Filed |
| OurCrowd (Investment in enVerid) L.P. | Jerusalem, | 8/23/2019 | 855387-07 | Filed |
| PegEx, Inc. | Fitchburg, WI | 8/23/2019 | 855390-07 | Filed |
| Profit Vault Series 4, LLC | Heber City, UT | 8/23/2019 | 855388-07 | Filed |
| Royale Energy, Inc. | El Cajon, CA | 8/23/2019 | 855368-07 | Filed |
| Self-Storage Portfolio VII DST | Oak Brook, IL | 8/23/2019 | 855370-07 | Filed |
| Tomah Storage LLC | Minneapolis, MN | 8/23/2019 | 855389-07 | Filed |
| TPEG Gulfstream Investors LLC | Southlake, TX | 8/23/2019 | 855371-07 | Filed |
| WCAS XIII Access Investment Fund, L.P. | New York, NY | 8/23/2019 | 855375-07 | Filed |
| Woodline Offshore Fund Ltd. | Grand Cayman, | 8/23/2019 | 855382-07 | Filed |
| WP AUSA, L.P. | New York, NY | 8/23/2019 | 855366-07 | Filed |
| GF Fund I, a series of AX-RN-Funds, LP | Seattle, WA | 8/22/2019 | 855341-07 | Filed |
| QuB LLC | Lake Elmo, MN | 8/21/2019 | 855342-07 | Filed |
| Number of Regulation D Notice Filings: 28 | | | | |

| Franchise Law Filings Made with DFI's Securities Division | | | | |
|--|-----------------|----------------------|--------------------|---------------|
| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| Goldfish Swim School Franchising, LLC / Goldfish Swim School | Troy, MI | 8/23/2019 | 624082 | Registered |
| Cannabiz Depot Franchising LLC / CannaBizDepot | La Crosse, WI | 8/21/2019 | 624080 | Registered |

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| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| FSBOHomes.com, LLC / FSBOHomes.com | Cedar Rapids, IA | 8/20/2019 | 624069 | Registered |
| Great Greek Franchising, LLC / The Great Greek Mediterranean Grill | WEST PALM BEACH, FL | 8/19/2019 | 624068 | Registered |
| Namaste Nail Sanctuary, LLC / Namaste (Unit) | Woodland Hills, CA | 8/19/2019 | 624067 | Registered |
| Namaste Nail Sanctuary, LLC / Namaste (AR) | Woodland Hills, CA | 8/19/2019 | 624066 | Registered |
| Pizza@ USA, INC. / Pizza @ | Saint Petersburg, FL | 8/18/2019 | 624064 | Registered |
| Number of Franchise Filings: 7 | | | | |