

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/6/2019 through 10/12/2019**

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
Bancorp of New Glarus, Inc.	New Glarus, WI	10/8/2019	855818-08	Not Disallowed
Number of Exemption Filings: 1				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 8291 (Sabrient Baker's Dozen Portfolio, October 2019 Series)	Wheaton, IL	10/11/2019	855843-05	Filed
FT 8299 (Equity Income Select Portfolio, Series 63)	Wheaton, IL	10/11/2019	855883-05	Pending-Cleared
FT 8300 (International Capital Strength Portfolio, Series 44)	Wheaton, IL	10/11/2019	855860-05	Filed
FT 8300 (SMid Capital Strength Portfolio, Series 44)	Wheaton, IL	10/11/2019	855865-05	Filed
FT 8301 (High Dividend Equity Portfolio, Series 42)	Wheaton, IL	10/11/2019	855881-05	Filed
FT 8303 (Content Leaders Portfolio, Series 15)	Wheaton, IL	10/11/2019	855885-05	Filed
FT 8304 (DSIP Portfolio, 4th Quarter 2019 Series)	Wheaton, IL	10/11/2019	855882-05	Filed
FT 8305 (Select DSIP Portfolio, 4th Quarter 2019 Series)	Wheaton, IL	10/11/2019	855867-05	Filed
FT 8306 (European Deep Value Dividend Portfolio, Series 25)	Wheaton, IL	10/11/2019	855869-05	Filed
FT 8307 (Technology Dividend Portfolio, Series 32)	Wheaton, IL	10/11/2019	855884-05	Filed
FT 8308 (Technology Select Portfolio, Series 75)	Wheaton, IL	10/11/2019	855876-05	Filed
FT 8309 (Deep Value Dividend Portfolio, Series 25)	Wheaton, IL	10/11/2019	855872-05	Pending-Cleared
FT 8310 (Equity Income Opportunity Portfolio, Series 10)	Wheaton, IL	10/11/2019	855842-05	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
FT 8312 (Market Strength Allocation Select Portfolio, Series 38)	Wheaton, IL	10/11/2019	855870-05	Pending-Cleared
FT 8314 (U.S. Revenue Portfolio, Series 16)	Wheaton, IL	10/11/2019	855874-05	Pending-Cleared
FT 8318 (S&P Dividend Aristocrats Buy-Write Portfolio, Series 8)	Wheaton, IL	10/11/2019	855840-05	Filed
FT 8327 (Balanced Income Equity and ETF Portfolio, Series 39)	Wheaton, IL	10/11/2019	855859-05	Filed
FT 8328 (Content Leaders Opportunity Portfolio, Series 13)	Wheaton, IL	10/11/2019	855880-05	Filed
FT 8329 (Covered Call Select Closed-End Portfolio, Series 73)	Wheaton, IL	10/11/2019	855866-05	Filed
FT 8330 (Diversified High Income Closed-End Portfolio, Series 38)	Wheaton, IL	10/11/2019	855875-05	Filed
FT 8332 (Senior Loan and Dividend Growers Portfolio, Series 25)	Wheaton, IL	10/11/2019	855877-05	Pending-Cleared
FT 8333 (American Agenda Portfolio, Series 11)	Wheaton, IL	10/11/2019	855871-05	Pending-Cleared
FT 8334 (Strategic Income Closed-End Portfolio, Series 74)	Wheaton, IL	10/11/2019	855878-05	Pending-Cleared
FT 8339 (Municipal Income Opportunities Closed-End Portfolio, Series 58)	Wheaton, IL	10/11/2019	855841-05	Filed
FT 8340 (Balanced Income Select Portfolio, Series 87)	Wheaton, IL	10/11/2019	855839-05	Filed
FT 8341 (Strategic Income Advantage Select, Closed-End Portfolio, Series 87)	Wheaton, IL	10/11/2019	855868-05	Filed
FT 8342 (Core Three Closed-End Allocation Portfolio, Series 42)	Wheaton, IL	10/11/2019	855879-05	Pending-Cleared
FT 8344 (SMid High Dividend Portfolio, Series 36)	Wheaton, IL	10/11/2019	855873-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1946 (US High Dividend Strategy Portfolio, Series 34)	Chicago, IL	10/11/2019	855838-05	Filed
Guggenheim Defined Portfolios, Series 1946 (US SMid High Dividend Portfolio, Series 34)	Chicago, IL	10/11/2019	855837-05	Filed
Guggenheim Defined Portfolios, Series 1947 (Balanced Income Builder Portfolio, Series 29)	Chicago, IL	10/11/2019	855836-05	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
Investment Managers Series Trust II AXS Alternative Growth Fund Class A	Milwaukee, WI	10/11/2019	855847-03	Filed
Investment Managers Series Trust II AXS Alternative Growth Fund Class I	Milwaukee, WI	10/11/2019	855848-03	Filed
Investment Managers Series Trust II AXS Aspect Core Diversified Strategy Fund Class A	Milwaukee, WI	10/11/2019	855844-03	Filed
Investment Managers Series Trust II AXS Aspect Core Diversified Strategy Fund Class C	Milwaukee, WI	10/11/2019	855845-03	Filed
Investment Managers Series Trust II AXS Aspect Core Diversified Strategy Fund Class I	Milwaukee, WI	10/11/2019	855846-03	Filed
Investment Managers Series Trust II AXS Chesapeake Strategy Fund Class A	Milwaukee, WI	10/11/2019	855850-03	Filed
Investment Managers Series Trust II AXS Chesapeake Strategy Fund Class C	Milwaukee, WI	10/11/2019	855849-03	Filed
Investment Managers Series Trust II AXS Chesapeake Strategy Fund Class I	Milwaukee, WI	10/11/2019	855851-03	Filed
Investment Managers Series Trust II AXS Managed Futures Strategy Fund Class A	Milwaukee, WI	10/11/2019	855853-03	Filed
Investment Managers Series Trust II AXS Managed Futures Strategy Fund Class C	Milwaukee, WI	10/11/2019	855852-03	Filed
Investment Managers Series Trust II AXS Managed Futures Strategy Fund Class I	Milwaukee, WI	10/11/2019	855854-03	Filed
Investment Managers Series Trust II AXS Multi-Strategy Alternative Fund Class I	Milwaukee, WI	10/11/2019	855855-03	Filed
Investment Managers Series Trust II AXS Multi-Strategy Alternative Fund Class R-1	Milwaukee, WI	10/11/2019	855856-03	Filed
Invesco Unit Trusts, Municipal Series 1343	Downers Grove, IL	10/10/2019	855822-05	Pending-Cleared
Invesco Unit Trusts, Taxable Income Series 627	Downers Grove, IL	10/10/2019	855823-05	Pending-Cleared
The Advisors` Inner Circle Fund III Catholic Investor Global Real Estate Fund I Shares	Oaks, PA	10/10/2019	855821-03	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
Transamerica Funds Transamerica Small Cap Growth Class I2 Shares	Denver, CO	10/10/2019	855820-03	Filed
Frontier Funds Frontier MFG Global Sustainable Fund Institutional Class Shares	Milwaukee, WI	10/9/2019	855774-03	Filed
Northern Lights Fund Trust Sierra Tactical Bond Fund Class A Shares	Omaha, NE	10/9/2019	855770-03	Filed
Northern Lights Fund Trust Sierra Tactical Bond Fund Class C Shares	Omaha, NE	10/9/2019	855771-03	Filed
Northern Lights Fund Trust Sierra Tactical Bond Fund Institutional Class	Omaha, NE	10/9/2019	855773-03	Filed
Northern Lights Fund Trust Sierra Tactical Bond Fund Investor Class	Omaha, NE	10/9/2019	855772-03	Filed
Collaborative Investment Series Trust Tactical Conservative Allocation Fund Class I	Greenwich, CT	10/8/2019	855775-03	Filed
Invesco Unit Trusts, Series 2009	Downers Grove, IL	10/8/2019	855763-05	Pending-Cleared
Invesco Unit Trusts, Series 2010	Downers Grove, IL	10/8/2019	855764-05	Pending-Cleared
Invesco Unit Trusts, Series 2011	Downers Grove, IL	10/8/2019	855768-05	Pending-Cleared
Invesco Unit Trusts, Series 2012	Downers Grove, IL	10/8/2019	855765-05	Pending-Cleared
Invesco Unit Trusts, Series 2013	Downers Grove, IL	10/8/2019	855766-05	Pending-Cleared
Invesco Unit Trusts, Series 2014	Downers Grove, IL	10/8/2019	855767-05	Pending-Cleared
Invesco Unit Trusts, Series 2015	Downers Grove, IL	10/8/2019	855769-05	Pending-Cleared
Advisors Preferred Trust Quantified Evolution Plus Fund Investor Class Shares	Omaha, NE	10/7/2019	855748-03	Filed
Fidelity Salem Street Trust Fidelity Strategic Real Return Fund Class K6	Boston, MA	10/7/2019	855749-03	Filed
Med-X, Inc.	Chester, NJ	10/7/2019	855794-25	Filed
Northern Lights Fund Trust Altegris Managed Futures Strategy Fund Class A	Omaha, NE	10/7/2019	855750-03	Filed
SEI Institutional Investments Trust World Equity Ex-US Fund Class A Shares	Oaks, PA	10/7/2019	855745-03	Filed
The Advisors` Inner Circle Fund III Mesirow Financial Enhanced Core Plus Fund Institutional Shares	Oaks, PA	10/7/2019	855746-03	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 Advisors` Inner Circle Fund III Mesirow Financial Enhanced Core Plus Fund Investor Shares	Oaks, PA	10/7/2019	855747-03	Filed
Number of Investment Company Filings: 68				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Avana Bonhon, LLC	Peoria, AZ	10/11/2019	855910-07	Filed
Bricktowne Acquisitions, LLC	Louisville, CO	10/11/2019	855909-07	Filed
Brookdale Investors Eight, L.P.	Atlanta, GA	10/11/2019	855905-07	Filed
Congruex LLC	Boulder, CO	10/11/2019	855915-07	Filed
Cowen Healthcare Investments III LLP	New York, NY	10/11/2019	855907-07	Filed
EB5 Capital - Jobs Fund 26, LLC	Bethesda, MD	10/11/2019	855897-07	Filed
EMG PRES Equity, LP	Dallas, TX	10/11/2019	855904-07	Filed
F&M Financial Corp	Clarksville, TN	10/11/2019	855908-07	Filed
OriginClear, Inc.	Los Angeles, CA	10/11/2019	855906-07	Filed
Self-Storage Portfolio IX DST	Oak Brook, IL	10/11/2019	855911-07	Filed
SignalWire, Inc.	Brookfield, WI	10/11/2019	855914-07	Filed
Tower 14 MSP Platform I, L.P.	Santa Monica, CA	10/11/2019	855913-07	Filed
Water Financial Center, LLC	Milwaukee, WI	10/11/2019	855912-07	Filed
Vishion Corp	Charlotte, NC	10/9/2019	855795-07	Filed
Number of Regulation D Notice Filings: 14				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
All Pro Franchising International, Inc. / All Pro Cleaning Systems	Fort Meyers, FL	10/10/2019	624267	Registered
Red Effect International Franchise, LLC / Red Effect Infrared Fitness (Area)	Dearborn Heights, MI	10/10/2019	624264	Registered
Red Effect International Franchise, LLC / Red Effect Infrared Fitness (Unit)	Dearborn Heights, MI	10/10/2019	624263	Registered
Kitchen Wise, LLC	Charlottesville, VA	10/9/2019	624262	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
MTY Franchising USA, Inc. / sweetFrog	Scottsdale, AZ	10/9/2019	624260	Registered
BODYBAR FRANCHISING, LLC / "BODYBAR," "BODYBAR FITNESS" and "BODYBAR PILATES"	Fort Worth, TX	10/9/2019	624259	Registered
The C12 Group, LLC	San Antonio, TX	10/8/2019	624258	Registered
Delivery.com Franchising, LLC / Delivery.com	Austin, TX	10/8/2019	624257	Registered
SandalStone Ventures, Inc. / Vanguard Cleaning Systems of SE Wisconsin	Greenfield, WI	10/8/2019	624255	Registered
LAB Holding Company, LLC / L.A. BIKINI	Hoover, AL	10/7/2019	624249	Registered
LAB Holding Company, LLC / L.A. BIKINI	Hoover, AL	10/7/2019	624248	Registered
Aurelio's Is Pizza Franchise, Ltd.	Homewood, IL	10/7/2019	624246	Registered
Playa Bowls Franchisor LLC / Playa Bowls	Belmar, NJ	10/7/2019	624247	Registered
Touching Hearts Inc.	Edina, MN	10/7/2019	624245	Registered
Number of Franchise Filings: 14				