

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 10/20/2019 through 10/26/2019**

<b>Securities Law Registration Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
<b>Number of Registration Filings: 0</b>				

<b>Securities Law Exemption Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
<b>Number of Exemption Filings: 0</b>				

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Advisors Disciplined Trust 1964 Balanced Portfolio, Series 2019-4	Monument, CO	10/25/2019	855949-05	Filed
Advisors Disciplined Trust 1964 Cohen & Steers Equity Dividend & Income Closed-End Portfolio, Series 2019-4	Monument, CO	10/25/2019	855950-05	Filed
Advisors Disciplined Trust 1964 Dividend Strength Portfolio, Series 2019-4 – A Hartford Investment Management Company (“HIMCO”) Portfolio	Monument, CO	10/25/2019	855953-05	Filed
Advisors Disciplined Trust 1964 Financial Opportunities Portfolio, Series 2019-4	Monument, CO	10/25/2019	855951-05	Filed
Advisors Disciplined Trust 1964 Ubiquitous Strategy Portfolio, Series 2019-4	Monument, CO	10/25/2019	855952-05	Filed
Advisors Disciplined Trust 1965 Angels Portfolio, Series 2019-4Q	Monument, CO	10/25/2019	855955-05	Filed
Advisors Disciplined Trust 1965 Brand Favorites Focus Portfolio, Series 2019-4Q	Monument, CO	10/25/2019	855954-05	Filed
Advisors Disciplined Trust 1965 Bulldog Portfolio, Series 2019-4Q — A Cyrus J. Lawrence LLC (“CJL”) Portfolio	Monument, CO	10/25/2019	855956-05	Filed
Advisors Disciplined Trust 1965 Cohen & Steers Real Estate Income Strategy Portfolio, Series 2019-4Q	Monument, CO	10/25/2019	855957-05	Filed

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Advisors Disciplined Trust 1965 Global Dividend Strategy Portfolio, Series 2019-4Q — A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	10/25/2019	855958-05	Filed
Advisors Disciplined Trust 1965 Global Technology Portfolio, Series 2019-4Q	Monument, CO	10/25/2019	855959-05	Filed
Advisors Disciplined Trust 1965 NASDAQ Q-50 IndexSM Portfolio, Series 2019-4Q	Monument, CO	10/25/2019	855960-05	Filed
Advisors Disciplined Trust 1965 Strategic High 50/Q-50 Dividend and Growth Portfolio, Series 2019-4Q	Monument, CO	10/25/2019	855961-05	Filed
Advisors Disciplined Trust 1965 Todd International Intrinsic Value Portfolio, Series 2019-4Q	Monument, CO	10/25/2019	855962-05	Filed
Advisors Disciplined Trust 1965 Transformers Strategy Portfolio, Series 2019-4Q	Monument, CO	10/25/2019	855963-05	Filed
Federated Adviser Series Federated Hermes SDG Engagement Equity Fund Class A Shares	Warrendale, PA	10/25/2019	855942-03	Filed
SmartTrust 446 Strategic Growth & Income Trust, Series 19	Monument, CO	10/25/2019	855964-05	Filed
Morgan Stanley Portfolios, Series 37- Optimized Equity Dividend Strategy, Series 8	Purchase, NY	10/24/2019	855943-05	Filed
Diamond Hill Funds Diamond Hill Corporate Credit Fund Class Y	Columbus, OH	10/22/2019	855890-03	Filed
Guggenheim Defined Portfolios, Series 1948 (S&P Dividend Aristocrats Select 25 Strategy Portfolio, Series 17)	Chicago, IL	10/22/2019	855900-05	Filed
Guggenheim Defined Portfolios, Series 1948 (US 50 Dividend Strategy Portfolio, Series 22)	Chicago, IL	10/22/2019	855903-05	Filed
Guggenheim Defined Portfolios, Series 1949 (NDR Rising Rate Defensive Equity Portfolio, Series 13)	Chicago, IL	10/22/2019	855902-05	Filed
Guggenheim Defined Portfolios, Series 1949 (Technology Portfolio, Series 26)	Chicago, IL	10/22/2019	855901-05	Filed
Forum Funds DF Dent Small Cap Growth Fund Institutional Shares	Portland, ME	10/21/2019	855862-03	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
T. Rowe Price International Funds, Inc. T. Rowe Price China Evolution Equity Fund	Baltimore, MD	10/21/2019	855864-03	Filed
T. Rowe Price International Funds, Inc. T. Rowe Price China Evolution Equity Fund T. Rowe Price China Evolution Equity Fund - I Class	Baltimore, MD	10/21/2019	855863-03	Filed
Wilmington Funds Trust Wilmington U.S. Treasury Money Market Fund Institutional Class	Baltimore, MD	10/21/2019	855861-03	Filed
<b>Number of Investment Company Filings: 27</b>				

<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
37P - Clairmont LLC	Richmond, VA	10/25/2019	855988-07	Filed
Amber Solutions, Inc.	Dublin, CA	10/25/2019	856002-07	Filed
Azura Brookfield, LLC	Milwaukee, WI	10/25/2019	855981-07	Filed
Bird Dog Hospitality Fund 2, LLC	Sioux Falls, SD	10/25/2019	856005-07	Filed
Black Diamond Arbitrage Ltd.	Camana Bay,	10/25/2019	856001-07	Filed
Brio Device LLC	Ann Arbor, MI	10/25/2019	855997-07	Filed
Cordillera High Band Co-Investment, L.P.	Menlo Park, CA	10/25/2019	855986-07	Terminated
Cove Thistlewood Townhomes DST	Rolling Hills Estates, CA	10/25/2019	855982-07	Filed
Crake Global US Feeder LP	Wilmington, DE	10/25/2019	855985-07	Filed
Disruptive Ventures LLC	New York, NY	10/25/2019	856007-07	Filed
Driftwood Qualified Opportunity Fund I, LLC	Coral Gables, FL	10/25/2019	855979-07	Filed
Eight Sleep Inc.	New York, NY	10/25/2019	855980-07	Filed
Fosse Capital Fund Ltd	Grand Cayman,	10/25/2019	856009-07	Filed
Harbert Seniors Housing Fund II, L.P.	Birmingham, AL	10/25/2019	855998-07	Filed
HG Vora Opportunistic Capital Fund LP	New York, NY	10/25/2019	856003-07	Filed
Hudson GA Investors LP	New York, NY	10/25/2019	855990-07	Filed
IIF LP	New York, NY	10/25/2019	856004-07	Filed
Jackson Boulevard Investors LLC	Chicago, IL	10/25/2019	855999-07	Filed

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Leitbox Portfolio Partners Self Storage Fund I, LLC	Birmingham, AL	10/25/2019	856006-07	Filed
MariCap Blue Dog 2019, L.P.	Frisco, TX	10/25/2019	855992-07	Filed
Nextphase Capital Fund IV, LP	New York, NY	10/25/2019	855983-07	Filed
Oakwood Bancshares, Inc.	Dallas, TX	10/25/2019	856008-07	Filed
Pharos Capital Partners IV-A, L.P.	Dallas, TX	10/25/2019	855989-07	Filed
RE Fund I, a series of Angellist-Forefront Venture Partners-Funds, LP	Seattle, WA	10/25/2019	855991-07	Filed
Realterm Logistics Fund III, L.P.	Annapolis, MD	10/25/2019	855987-07	Filed
Tectonic Metals Inc.	Vancouver, BC	10/25/2019	855995-07	Filed
Tivic Health Systems, Inc.	Menlo Park, CA	10/25/2019	856000-07	Filed
TPEG Partners Capital IV LLC	Southlake, TX	10/25/2019	855994-07	Filed
TPEG Southlake Hotel Investors LLC	Southlake, TX	10/25/2019	855993-07	Filed
VCM Offshore Fund I LP	George Town,	10/25/2019	855996-07	Filed
Western Wealth Capital XLVIII US Investor, LP	North Vancouver, BC	10/25/2019	855984-07	Filed
Caribou Global Equity Fund LP	Boulder, CO	10/24/2019	855977-07	Filed
Healthy Outcomes, Inc.	Denver, CO	10/24/2019	855975-07	Filed
AL Fund I, a series of JMWTX Investments, LP	Seattle, WA	10/22/2019	855893-07	Filed
BL Fund I, a series of Angellist-Forefront Venture Partners-Funds, LP	Seattle, WA	10/22/2019	855891-07	Filed
NE Fund I, a series of Hemisphere Ventures, LP	Seattle, WA	10/22/2019	855892-07	Filed
<b>Number of Regulation D Notice Filings: 36</b>				

<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AdvantaClean Systems, LLC / AdvantaClean	Huntersville, NC	10/26/2019	624310	Registered
American Decorative Coatings, LLC / Concrete Craft	Irvine, CA	10/26/2019	624309	Registered
Tailored Living, LLC / Tailored Living	Irvine, CA	10/26/2019	624308	Registered
Budget Blinds, LLC / Budget Blinds	Irvine, CA	10/26/2019	624307	Registered

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<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ARTHUR MURRAY INTERNATIONAL, INC / Arthur Murray Dance Studio	CORAL GABLES, FL	10/25/2019	624306	Registered
Mai Franchising, LLC / Mai Sushi Bars	Philadelphia, PA	10/25/2019	624304	Registered
AGILE PURSUITS FRANCHISING, INC / Tide Cleaners	CINCINNATI, OH	10/24/2019	624299	Registered
Network Lead Exchange, LLC / Network LEX	West Palm Beach, FL	10/22/2019	624289	Registered
<b>Number of Franchise Filings: 8</b>				