

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/10/2019 through 11/16/2019**

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
Baird Funds, Inc. Baird Municipal Bond Fund Institutional Class	Milwaukee, WI	11/15/2019	856199-03	Filed
Baird Funds, Inc. Baird Municipal Bond Fund Investor Class	Milwaukee, WI	11/15/2019	856200-03	Filed
Baird Funds, Inc. Baird Strategic Municipal Bond Fund Institutional Class	Milwaukee, WI	11/15/2019	856197-03	Filed
Baird Funds, Inc. Baird Strategic Municipal Bond Fund Investor Class	Milwaukee, WI	11/15/2019	856198-03	Filed
Guggenheim Defined Portfolios, Series 1954 (Quality Core Equity Portfolio, Series 5)	Chicago, IL	11/14/2019	856194-05	Filed
Guggenheim Defined Portfolios, Series 1954 (US Capital Strength Portfolio, Series 19)	Chicago, IL	11/14/2019	856195-05	Filed
Guggenheim Defined Portfolios, Series 1955 (European Capital Strength Portfolio, Series 19)	Chicago, IL	11/14/2019	856196-05	Filed
Guggenheim Defined Portfolios, Series 1955 (Zacks Income Advantage Strategy Portfolio, Series 48)	Chicago, IL	11/14/2019	856193-05	Filed
Investment Managers Series Trust Vaughan Nelson Emerging Markets Opportunities Fund Investor Class	Milwaukee, WI	11/14/2019	856207-03	Pending-Cleared
Investment Managers Series Trust Vaughan Nelson international Small Cap Fund Investor Class	Milwaukee, WI	11/14/2019	856206-03	Pending-Cleared

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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
SmartTrust 449 - Healthcare Innovations Trust, Series 8 Initial	Parsippany, NJ	11/14/2019	856165-05	Pending-Cleared
SmartTrust 449 - Technology Revolution Trust, Series 4 Initial	Parsippany, NJ	11/14/2019	856166-05	Pending-Cleared
DFA Investment Dimensions Group, Inc. Global Social Core Equity Portfolio Institutional Class Shares	Austin, TX	11/13/2019	856164-03	Filed
AB Corporate Shares AB Tax-Aware Real Return Income Shares	New York, NY	11/12/2019	856159-03	Pending-Cleared
AB Corporate Shares AB Tax-Aware Real Return Income Shares	New York, NY	11/12/2019	856160-03	Filed
American Funds Global Insight Fund Class F-3	Irvine, CA	11/12/2019	856162-03	Filed
American Funds International Vantage Fund Class F-3	Irvine, CA	11/12/2019	856163-03	Filed
Russell Investment Company Multifactor Bond Fund Class Y	Seattle, WA	11/12/2019	856161-03	Filed
FT 8091 (Corporate Investment Grade Portfolio, 3-7 Year, Series 11)	Wheaton, IL	11/11/2019	856155-05	Filed
FT 8356 (Municipal Advantage Closed-End and ETF Portfolio, Series 56)	Wheaton, IL	11/11/2019	856156-05	Filed
FT 8358 (Innovative Health Care Portfolio, Series 2)	Wheaton, IL	11/11/2019	856157-05	Filed
FT 8363 (Interest Rate Hedge and ETF Portfolio, Series 25)	Wheaton, IL	11/11/2019	856158-05	Filed
Number of Investment Company Filings: 22				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Advenir@Legado Ranch Investors, LP	Aventura, FL	11/14/2019	856172-07	Filed
AMC Small Cap Fund 2, LLC	Northridge, CA	11/14/2019	856171-07	Filed
Bryn Pharma, LLC	Raleigh, NC	11/14/2019	856188-07	Filed
CBC Partners, LLC	Charleston, SC	11/14/2019	856175-07	Filed
Crescat Global Macro Fund LP	Denver, CO	11/14/2019	856167-07	Filed
CSB Myrtles, LLC	Blue Bell, PA	11/14/2019	856190-07	Filed
Ekkda Research, LLC	Kingsland, TX	11/14/2019	856182-07	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
Endeavor Catalyst III, L.P.	New York, NY	11/14/2019	856183-07	Filed
Farmers TX Investors QOF LP	New York, NY	11/14/2019	856176-07	Filed
Fenix TX Investors QOF LP	New York, NY	11/14/2019	856177-07	Filed
Gab AI Inc.	Clarks Summit, PA	11/14/2019	856174-07	Filed
Hollywood Burger Holdings, Inc.	New York, NY	11/14/2019	856173-07	Filed
HWC-Watermill LLC	Houston, TX	11/14/2019	856187-07	Filed
iVeena Delivery Systems, Inc.	Salt Lake City, UT	11/14/2019	856191-07	Filed
Linden Structured Capital Fund LP	Chicago, IL	11/14/2019	856170-07	Filed
Lumber City Partners LLC	Canton, GA	11/14/2019	856186-07	Filed
M HC Austin Investments, LLC	Loveland, CO	11/14/2019	856181-07	Filed
Nashville TN Investors QOF I LP	New York, NY	11/14/2019	856180-07	Filed
Oakhurst Real Estate Fund XII, LP	Pasadena, CA	11/14/2019	856179-07	Filed
Oaktree Mezzanine Fund V, L.P.	Los Angeles, CA	11/14/2019	856185-07	Filed
Oaktree Real Estate Opportunities Fund VIII Feeder (Cayman), L.P.	Los Angeles, CA	11/14/2019	856169-07	Filed
Pistil Partners Inc.	Cote Sant-Luc, QC	11/14/2019	856192-07	Filed
Savannah GA Investors QOF LP	New York, NY	11/14/2019	856178-07	Filed
Solutions Sofdesk Inc./Sofdesk Inc.	Montreal, QC	11/14/2019	856184-07	Filed
Spring Hills Holdings, LLC	Edison, NJ	11/14/2019	856168-07	Filed
Transitiv, Inc.	Atlanta, GA	11/14/2019	856189-07	Filed
Acretraer 115, LLC	Fayetteville, AR	11/13/2019	856226-07	Filed
Two Sigma Risk Premia Enhanced Cayman Fund, Ltd.	Grand Cayman,	11/12/2019	856227-07	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
Madabolic Franchise System, LLC / Madabolic	Charlotte, NC	11/15/2019	624382	Registered
SERVPRO FRANCHISOR, LLC / Servpro (Distributorship)	Gallatin, TN	11/15/2019	624381	Registered
SERVPRO FRANCHISOR, LLC / Servpro (Unit)	Gallatin, TN	11/15/2019	624380	Registered

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Legal Name / Trade Name	Location	Date Received	File Number	Status
The Lash Lounge Franchise, LLC / THE LASH LOUNGE	Grapevine, TX	11/14/2019	624377	Registered
Presotea (USA) Co., Ltd. / Presotea	Wilmington, DE	11/13/2019	624375	Registered
G.J. Gardner Homes (USA) PTY LTD / G.J. Gardner Homes	Mooloolaba,	11/13/2019	624374	Registered
OFW Brands LLC	Waukesha, WI	11/13/2019	624372	Registered
World of Beer Franchising, LLC / World of Beer	Tampa, FL	11/13/2019	624371	Registered
Tommy's Express LLC / Tommy's Express Car Wash	Holland, MI	11/13/2019	624369	Registered
MMI BUSINESS BROKERS LLC / Sunbelt Business Brokers	INDEPENDENCE, OH	11/11/2019	624368	Registered
Number of Franchise Filings: 10				