

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 11/17/2019 through 11/23/2019**

| <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 1969 Aerospace/Defense Opportunities Portfolio, Series 2019-4                                   | Monument, CO    | 11/22/2019           | 856221-05          | Pending-Cleared |
| Advisors Disciplined Trust 1969 Cohen & Steers Covered Call & Income Strategies Closed-End Portfolio, Series 2019-4        | Monument, CO    | 11/22/2019           | 856222-05          | Pending-Cleared |
| Advisors Disciplined Trust 1969 Cohen & Steers Dynamic Income Portfolio, Series 2019-4                                     | Monument, CO    | 11/22/2019           | 856223-05          | Pending-Cleared |
| Advisors Disciplined Trust 1969 Cohen & Steers Global Covered Call & Income Strategies Closed-End Portfolio, Series 2019-4 | Monument, CO    | 11/22/2019           | 856224-05          | Pending-Cleared |
| Advisors Disciplined Trust 1969 Tactical Income Closed-End Portfolio, Series 2019-4  | Monument, CO    | 11/22/2019           | 856225-05          | Pending-Cleared |
| American Century ETF Trust Avantis Emerging Markets Equity Fund Institutional Class  | Kansas City, MO | 11/22/2019           | 856216-03          | Filed           |
| American Century ETF Trust Avantis International Equity Fund Institutional Class   | Kansas City, MO | 11/22/2019           | 856217-03          | Filed           |
| American Century ETF Trust Avantis International Small Cap Value Fund Institutional Class                                  | Kansas City, MO | 11/22/2019           | 856215-03          | Filed           |
| American Century ETF Trust Avantis U.S. Equity Fund Institutional Class  | Kansas City, MO | 11/22/2019           | 856218-03          | Filed           |

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| American Century ETF Trust<br>Avantis U.S. Small Cap Value<br>Fund Institutional Class                        | Kansas City, MO   | 11/22/2019           | 856219-03          | Filed           |
| GMO Trust GMO Benchmark-<br>Free Allocation Fund Class R6   | Boston, MA        | 11/22/2019           | 856211-03          | Filed           |
| GMO Trust GMO Climate<br>Change Fund Class R6   | Boston, MA        | 11/22/2019           | 856212-03          | Filed           |
| GMO Trust GMO Quality Fund<br>Class R6  | Boston, MA        | 11/22/2019           | 856213-03          | Filed           |
| SmartTrust 450 CEFA Select<br>BDC Trust, Series 17  | Parsippany, NJ    | 11/22/2019           | 856220-05          | Pending-Cleared |
| Voya Funds Trust Voya Short<br>Term Bond Fund Class P2  | Scottsdale, AZ    | 11/22/2019           | 856214-03          | Filed           |
| AB Bond Fund, Inc. AB Income<br>Fund Class Z  | New York, NY      | 11/19/2019           | 856208-03          | Filed           |
| AB Cap Fund, Inc. AB<br>International Strategic Core<br>Portfolio Class Z                                     | New York, NY      | 11/19/2019           | 856209-03          | Filed           |
| Collaborative Investment Series<br>Trust Tactical Moderate<br>Allocation Fund Class I                         | Greenwich, CT     | 11/19/2019           | 856205-03          | Filed           |
| Diamond Hill Funds Diamond Hill<br>International Fund Class I   | Columbus, OH      | 11/19/2019           | 856210-03          | Filed           |
| Invesco Unit Trusts, Taxable<br>Income Series 628   | Downers Grove, IL | 11/18/2019           | 856204-05          | Filed           |
| Mutual Fund & Variable<br>Insurance Trust Rational Special<br>Situations Income Fund Class A<br>Shares        | Omaha, NE         | 11/18/2019           | 856202-03          | Filed           |
| Northern Lights Fund Trust III<br>Leland Thomson Reuters<br>Venture Capital Index Fund<br>Class C Shares      | Omaha, NE         | 11/18/2019           | 856203-03          | Filed           |
| Northern Lights Fund Trust III<br>Swan Defined Risk Growth Fund<br>Class A Shares                             | Omaha, NE         | 11/18/2019           | 856201-03          | Filed           |
| <b>Number of Investment Company Filings: 23</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> |
| 2201 Jefferson LLC  | Eden Prairie, MN  | 11/22/2019           | 856254-07          | Filed         |
| Akeso Biomedical, Inc.  | Burlington, MA    | 11/22/2019           | 856258-07          | Filed         |
| Ames Hotel Associates, LLC  | North Liberty, IA | 11/22/2019           | 856262-07          | Filed         |

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| <b>Firm Name</b>  | <b>Location</b>   | <b>Date Received</b> | <b>File Number</b> | <b>Status</b> |
| Aspen Growth IV, LLC  | Overland Park, KS | 11/22/2019           | 856261-07          | Filed         |
| BCP VIII Access Fund L.P.   | New York, NY      | 11/22/2019           | 856263-07          | Filed         |
| BR Meadows, DST   | New York, NY      | 11/22/2019           | 856259-07          | Filed         |
| Bridge Opportunity Zone Fund II-A, LP   | Sandy, UT         | 11/22/2019           | 856267-07          | Filed         |
| CanAm Pennsylvania Regional Center, LP X  | Philadelphia, PA  | 11/22/2019           | 856245-07          | Filed         |
| Cascadia Holdings Puyallup, LLC   | Yakima, WA        | 11/22/2019           | 856269-07          | Filed         |
| Central FL Investors LP   | New York, NY      | 11/22/2019           | 856264-07          | Filed         |
| CF Investco Holdings, LLC   | Vero Beach, FL    | 11/22/2019           | 856235-07          | Filed         |
| Chicago Atlantic GIC Fund, LLC  | Chicago, IL       | 11/22/2019           | 856238-07          | Filed         |
| CS1031 Misty Ridge Apartments, DST  | Glen Allen, VA    | 11/22/2019           | 856234-07          | Filed         |
| Fidelity Federal Bancorp  | Evansville, IN    | 11/22/2019           | 856268-07          | Filed         |
| Five Point Energy Fund III, LP  | Houston, TX       | 11/22/2019           | 856236-07          | Filed         |
| Fort Worth Waterside Lodging Associates, LLC  | Madison, WI       | 11/22/2019           | 856240-07          | Filed         |
| FortifyData, Inc.   | Kennesaw, GA      | 11/22/2019           | 856249-07          | Filed         |
| Go Store It Louisville Storage DST  | Charlotte, NC     | 11/22/2019           | 856239-07          | Filed         |
| Kachuwa Investment Cooperative PBC  | Boulder, CO       | 11/22/2019           | 856260-07          | Filed         |
| KKR European Access Fund V, L.P.  | New York, NY      | 11/22/2019           | 856256-07          | Filed         |
| Marley's Chains Ltd Liability Co  | New York, NY      | 11/22/2019           | 856237-07          | Filed         |
| Mldas Opportunity Zone Fund II, LLC   | Saint Louis, MO   | 11/22/2019           | 856244-07          | Filed         |
| MSP C3 Alpha, LLC   | New York, NY      | 11/22/2019           | 856242-07          | Filed         |
| MVP LS Fund LXVIII, LLC   | Austin, TX        | 11/22/2019           | 856243-07          | Filed         |
| NewRoad Fund III, L.P.  | Rogers, AR        | 11/22/2019           | 856253-07          | Filed         |
| Paxafe, Inc.  | Milwaukee, WI     | 11/22/2019           | 856257-07          | Filed         |
| Peach Finance Inc.  | Oakland, CA       | 11/22/2019           | 856252-07          | Filed         |
| Pleasant Hill Hospitality, LLC  | Boca Raton, FL    | 11/22/2019           | 856246-07          | Filed         |
| Raise Green, Inc.   | Somerville, MA    | 11/22/2019           | 856241-07          | Filed         |
| REO Injection Well Joint Venture LLC  | Athens, TX        | 11/22/2019           | 856266-07          | Filed         |
| Serra Capital III (SBIC), L.P.  | Champaign, IL     | 11/22/2019           | 856255-07          | Filed         |
| Smylen, Inc.  | Great Neck, NY    | 11/22/2019           | 856265-07          | Filed         |
| South Dakota Bancshares, Inc.   | Pierre, SD        | 11/22/2019           | 856248-07          | Filed         |

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| TFG West Century Drive REIT, LLC  | Boston, MA         | 11/22/2019           | 856250-07          | Filed         |
| Tower Hill Prospect Partners  | Hendersonville, TN | 11/22/2019           | 856251-07          | Filed         |
| WPS Holdings, LLC/DE  | Huntington, NY     | 11/22/2019           | 856247-07          | Filed         |
| ACTnano, Inc.   | Boston, MA         | 11/21/2019           | 856232-07          | Filed         |
| SkySpecs, Inc.  | Ann Arbor, MI      | 11/19/2019           | 856233-07          | Filed         |
| VA Fund I, a series of Unpopular VC, LP   | Seattle, WA        | 11/18/2019           | 856231-07          | Filed         |
| WH Fund I, a series of Moving Capital, LP   | Seattle, WA        | 11/18/2019           | 856230-07          | Filed         |
| <b>Number of Regulation D Notice Filings: 40</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> |
| Chick'nCone Franchise, LLC / Chick'nCone                               | Bangor, PA       | 11/22/2019           | 624396             | Registered    |
| Jamie's Shoes / Ver Hagen  | Mosinee, WI      | 11/21/2019           | 624395             | Registered    |
| Gecko Development Corporation / Gecko Hospitality                      | Fort Myers, FL   | 11/21/2019           | 624394             | Registered    |
| Auto-Lab Franchising, LLC / Auto-Lab Complete Care Care Centers (AREA) | Auburn Hills, MI | 11/19/2019           | 624388             | Registered    |
| Auto-Lab Franchising, LLC / Auto-Lab Complete Care Care Centers (UNIT) | Auburn Hills, MI | 11/19/2019           | 624387             | Registered    |
| Everdry Marketing and Management, Inc.                                 | Macedonia, OH    | 11/18/2019           | 624385             | Registered    |
| <b>Number of Franchise Filings: 6</b>                                  |                  |                      |                    |               |