

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/24/2019 through 11/30/2019**

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
Bull's Eye Loan Fund, LLC	Wisconsin Rapids, WI	11/29/2019	856317-08	Not Disallowed
National Rural Utilities Cooperative Finance Corporation	Dulles, VA	11/29/2019	856318-08	Not Disallowed
Number of Exemption Filings: 2				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Advisors Disciplined Trust 1970 Advisors Core Equity Strategy Portfolio, Series 2019-4Q	Monument, CO	11/29/2019	856294-05	Pending-Cleared
Advisors Disciplined Trust 1970 Bahl & Gaynor Income Growth Portfolio, Series 2019-4Q	Monument, CO	11/29/2019	856295-05	Pending-Cleared
Advisors Disciplined Trust 1970 Blue Chip Portfolio, Series 2019-4Q	Monument, CO	11/29/2019	856296-05	Pending-Cleared
Advisors Disciplined Trust 1970 Dividend Advantage Portfolio, Series 2019-4Q	Monument, CO	11/29/2019	856297-05	Pending-Cleared
Advisors Disciplined Trust 1970 Dividend Sustainability Portfolio, Series 2019-4Q - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	11/29/2019	856298-05	Pending-Cleared
Advisors Disciplined Trust 1970 Energy Opportunities Portfolio, Series 2019-4Q	Monument, CO	11/29/2019	856300-05	Pending-Cleared
Advisors Disciplined Trust 1970 The Dow® Value Ten Portfolio, Series 2019-4Q	Monument, CO	11/29/2019	856299-05	Pending-Cleared
Advisors Disciplined Trust 1971 European Select Portfolio, Series 2019-4Q - A Cyrus J. Lawrence LLC ("CJL") Portfolio	Monument, CO	11/29/2019	856301-05	Pending-Cleared

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Advisors Disciplined Trust 1971 International High 30 Dividend Portfolio, Series 2019-4Q	Monument, CO	11/29/2019	856302-05	Pending-Cleared
Advisors Disciplined Trust 1971 Minimum Volatility Equity Income Portfolio, Series 2019-4Q - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	11/29/2019	856303-05	Pending-Cleared
Advisors Disciplined Trust 1971 Strategic Foundations of Growth Portfolio, Series 2019-4Q	Monument, CO	11/29/2019	856304-05	Pending-Cleared
Advisors Disciplined Trust 1971 Strategic High 80 Dividend Portfolio, Series 2019-4Q	Monument, CO	11/29/2019	856305-05	Pending-Cleared
Advisors Disciplined Trust 1971 Tactical Plus Closed-End Portfolio - 15 Month, Series 2019-4Q	Monument, CO	11/29/2019	856306-05	Pending-Cleared
Advisors Disciplined Trust 1971 Ubiquitous Strategy Portfolio - 15 Month, Series 2019-4Q	Monument, CO	11/29/2019	856307-05	Pending-Cleared
Advisors Preferred Trust Quantified All-Cap Equity Fund Investor Class Shares	Omaha, NE	11/29/2019	856291-03	Filed
Advisors Preferred Trust Quantified Alternative Investment Fund Investor Class Shares	Omaha, NE	11/29/2019	856292-03	Filed
Financial Investors Trust ALPS/Kotak India Growth Fund Class II Shares	Denver, CO	11/29/2019	856293-03	Filed
FT 8365 Strategic International Opportunity Portfolio, Series 11	Wheaton, IL	11/29/2019	856312-05	Pending-Cleared
FT 8366 Banking Opportunity Portfolio, Series 36	Wheaton, IL	11/29/2019	856309-05	Pending-Cleared
FT 8367 Cloud Computing Portfolio, Series 27	Wheaton, IL	11/29/2019	856313-05	Pending-Cleared
FT 8369 UBS Yield at a Reasonable Price: Equity Advisory Group 2019, Series 3	Wheaton, IL	11/29/2019	856316-05	Pending-Cleared
FT 8414 Tax-Advantaged Municipal Closed-End Portfolio, Series 58	Wheaton, IL	11/29/2019	856314-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1956 Core Four 60/40 Retirement Portfolio, Series 9	Chicago, IL	11/29/2019	856308-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1957 Blue Chip Growth Portfolio, Series 24	Chicago, IL	11/29/2019	856311-05	Pending-Cleared

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Guggenheim Defined Portfolios, Series 1957 Dow Jones Sustainable Growth Portfolio, Series 9	Chicago, IL	11/29/2019	856310-05	Pending-Cleared
The First Trust® Combined Series 596 Tax Exempt Municipal Income Trust, Intermediate, Series 43	Wheaton, IL	11/29/2019	856315-05	Pending-Cleared
Managed Portfolio Series Coho Relative Value ESG Fund	Milwaukee, WI	11/27/2019	856289-03	Filed
Voya Equity Trust Voya U.S. High Dividend Low Volatility Fund Class R6	Scottsdale, AZ	11/27/2019	856290-03	Filed
Harbor Funds Harbor Mid Cap Fund Institutional Class	Chicago, IL	11/26/2019	856270-03	Filed
Harbor Funds Harbor Mid Cap Fund Investor Class	Chicago, IL	11/26/2019	856271-03	Filed
Harbor Funds Harbor Mid Cap Fund Retirement Class	Chicago, IL	11/26/2019	856272-03	Filed
Harbor Funds Harbor Robeco Emerging Markets Active Equities Fund Institutional Class	Chicago, IL	11/26/2019	856273-03	Filed
Harbor Funds Harbor Robeco Emerging Markets Active Equities Fund Investor Class	Chicago, IL	11/26/2019	856274-03	Filed
Harbor Funds Harbor Robeco Emerging Markets Active Equities Fund Retirement Class	Chicago, IL	11/26/2019	856275-03	Filed
Harbor Funds Harbor Robeco Emerging Markets Conservative Equities Fund Institutional Class	Chicago, IL	11/26/2019	856276-03	Filed
Harbor Funds Harbor Robeco Emerging Markets Conservative Equities Fund Investor Class	Chicago, IL	11/26/2019	856277-03	Filed
Harbor Funds Harbor Robeco Emerging Markets Conservative Equities Fund Retirement Class	Chicago, IL	11/26/2019	856278-03	Filed
Harbor Funds Harbor Robeco Global Conservative Equities Fund Institutional Class	Chicago, IL	11/26/2019	856279-03	Filed
Harbor Funds Harbor Robeco Global Conservative Equities Fund Investor Class	Chicago, IL	11/26/2019	856280-03	Filed
Harbor Funds Harbor Robeco Global Conservative Equities Fund Retirement Class	Chicago, IL	11/26/2019	856281-03	Filed

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Firm Name	Location	Date Received	File Number	Status
Harbor Funds Harbor Robeco International Conservative Equities Fund Institutional Class	Chicago, IL	11/26/2019	856282-03	Filed
Harbor Funds Harbor Robeco International Conservative Equities Fund Investor Class	Chicago, IL	11/26/2019	856283-03	Filed
Harbor Funds Harbor Robeco International Conservative Equities Fund Retirement Class	Chicago, IL	11/26/2019	856284-03	Filed
Harbor Funds Harbor Robeco US Conservative Equities Fund Institutional Class	Chicago, IL	11/26/2019	856285-03	Filed
Harbor Funds Harbor Robeco US Conservative Equities Fund Investor Class	Chicago, IL	11/26/2019	856286-03	Filed
Harbor Funds Harbor Robeco US Conservative Equities Fund Retirement Class	Chicago, IL	11/26/2019	856287-03	Filed
Hussman Investment Trust Hussman Strategic Allocation Fund	Cincinnati, OH	11/26/2019	856288-03	Filed
Real Goods Solar, Inc.	Denver, CO	11/26/2019	856320-25	Filed
Ancora Funds Ancora/Thelen Small-Mid Cap Fund Class S	Cleveland, OH	11/25/2019	856228-03	Filed
REITless Impact Income Strategies, LLC	Salt Lake City, UT	11/25/2019	856229-25	Filed
Number of Investment Company Filings: 50				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
1313 Randolph LLC	Chicago, IL	11/29/2019	856351-07	Filed
Acon Equity Partners III, L.P.	Washington, DC	11/29/2019	856325-07	Filed
Acon Pop Merger Sub, L.P.	Washington, DC	11/29/2019	856324-07	Filed
Aero Capital Solutions Fund II, LP	Austin, TX	11/29/2019	856326-07	Filed
Base10 Partners II, L.P.	San Francisco, CA	11/29/2019	856341-07	Filed
BC Exchange Suniland DST	Denver, CO	11/29/2019	856327-07	Filed
Boyd Hollow Resorts, Inc.	Knoxville, TN	11/29/2019	856328-07	Filed
CAI Stoneleigh Equity Fund, LP	Dallas, TX	11/29/2019	856350-07	Filed
Crosslink Emerging Growth Fund LP	San Francisco, CA	11/29/2019	856331-07	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
CrowdStreet, Inc.	Portland, OR	11/29/2019	856321-07	Filed
CVI Aviation Income Fund A LP	Hopkins, MN	11/29/2019	856339-07	Filed
DHX Media Ltd.	Halifax, NS	11/29/2019	856340-07	Filed
Empire Village at Pioneer Park, LLC	Scottsdale, AZ	11/29/2019	856353-07	Filed
ExchangeRight Income Fund, a Maryland statutory trust	Pasadena, CA	11/29/2019	856345-07	Filed
Halle Capital Partners I, LP	New York, NY	11/29/2019	856330-07	Filed
Hill Venture, LLC	Northridge, CA	11/29/2019	856347-07	Filed
Juhl Clean Energy Assets, Inc.	Chanhassen, MN	11/29/2019	856323-07	Filed
Morpheus AA International SP	La Grange, IL	11/29/2019	856346-07	Filed
Par Club of Florida, Inc.	Village of Golf, FL	11/29/2019	856348-07	Filed
Par Club of Florida, Inc.	Village of Golf, FL	11/29/2019	856342-07	Filed
Par Club of Florida, Inc.	Village of Golf, FL	11/29/2019	856343-07	Filed
Scythian Real Estate Fund, LLC	Denver, CO	11/29/2019	856329-07	Filed
Seeley Fargo LLC	Highland Park, IL	11/29/2019	856349-07	Filed
Steadfast Long Capital, Ltd.	George Town,	11/29/2019	856322-07	Filed
Transparent Health Marketplace, Inc.	West Chester, PA	11/29/2019	856344-07	Filed
Uptown Newport Development Co., LLC	Irvine, CA	11/29/2019	856352-07	Filed
Number of Regulation D Notice Filings: 26				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
NP FRANCHISE GROUP LLC / PRICELESS, PRICELESS CAR AND TRUCK RENTAL, PRICELESS CAR AND VAN RENTAL	Rockville, MD	11/27/2019	624418	Registered
Transblue Franchise Company, LLC / Transblue	Lynnwood, WA	11/27/2019	624417	Registered
GLORIA JEANS GOURMET COFFEES FRANCHISING CORP / Gloria Jean's Coffee	Santa Fe Springs, CA	11/27/2019	624416	Registered
HydroDog, LLC / HYDRODOG Master Developer Franchise	Clearwater, FL	11/26/2019	624415	Registered
HydroDog, LLC / HYDRODOG Unit Franchise	Clearwater, FL	11/26/2019	624414	Registered

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Humble Donut Holdings LLC / Humble Donut Co. Area Representative Program	OKLAHOMA CITY, OK	11/25/2019	624408	Registered
Humble Donut Holdings LLC / Humble Donuts Co.	OKLAHOMA CITY, OK	11/25/2019	624407	Registered
Number of Franchise Filings: 7				