

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/8/2019 through 12/14/2019**

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
FT 8377 Top Picks November 2019 Portfolio	Wheaton, IL	12/12/2019	856422-05	Pending-Cleared
FT 8382 S&P/Drucker Institute Corporate Effectiveness Portfolio Series	Wheaton, IL	12/12/2019	856423-05	Pending-Cleared
FT 8384 Biotechnology Portfolio, Series 47	Wheaton, IL	12/12/2019	856417-05	Pending-Cleared
FT 8386 REIT Growth & Income Select Portfolio, Series 52	Wheaton, IL	12/12/2019	856427-05	Pending-Cleared
FT 8387 Strategic Dividend Select Portfolio, Series 39	Wheaton, IL	12/12/2019	856430-05	Pending-Cleared
FT 8389 Energy Select Portfolio, Series 74	Wheaton, IL	12/12/2019	856421-05	Pending-Cleared
FT 8390 High Dividend Equity Allocation Portfolio, Series 34	Wheaton, IL	12/12/2019	856418-05	Pending-Cleared
FT 8393 Innovative Technology Portfolio, Series 25	Wheaton, IL	12/12/2019	856431-05	Pending-Cleared
FT 8394 Low Volatility Portfolio, Series 18	Wheaton, IL	12/12/2019	856432-05	Pending-Cleared
FT 8411 January Effect Portfolio, Series 9	Wheaton, IL	12/12/2019	856428-05	Pending-Cleared
FT 8419 Tactical Alpha Portfolio, Series 23	Wheaton, IL	12/12/2019	856429-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1960 Financials Portfolio, Series 14	Chicago, IL	12/12/2019	856419-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1961 Total Income Portfolio, Series 19	Chicago, IL	12/12/2019	856420-05	Pending-Cleared

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Guggenheim Defined Portfolios, Series 1962 NDR Thematic Opportunities Portfolio, Series 10	Chicago, IL	12/12/2019	856424-05	Pending-Cleared
SmartTrust 453 Preferred Plus Trust, Series 11	Parsippany, NJ	12/12/2019	856425-05	Pending-Cleared
SmartTrust 454 High 20 Dividend Strategy Trust, Series 24	Parsippany, NJ	12/12/2019	856426-05	Pending-Cleared
BlackRock Funds BlackRock Technology Opportunities Fund Class K Shares	Wilmington, DE	12/11/2019	856409-03	Filed
Fundrise Balanced eREIT, LLC	Washington, DC	12/11/2019	856416-25	Filed
Fundrise Growth eREIT VI, LLC	Washington, DC	12/11/2019	856415-25	Filed
Fundrise Income eREIT VI, LLC	Washington, DC	12/11/2019	856414-25	Filed
Invesco Management Trust Invesco Conservative Income Fund Class Y Shares	Houston, TX	12/11/2019	856408-03	Filed
PIMCO Funds PIMCO Climate Bond Fund Class A	Newport Beach, CA	12/11/2019	856403-03	Filed
PIMCO Funds PIMCO Climate Bond Fund Class C	Newport Beach, CA	12/11/2019	856404-03	Filed
PIMCO Funds PIMCO Climate Bond Fund Class I-2	Newport Beach, CA	12/11/2019	856405-03	Filed
PIMCO Funds PIMCO Climate Bond Fund Class I-3	Newport Beach, CA	12/11/2019	856406-03	Filed
PIMCO Funds PIMCO Climate Bond Fund Institutional Class	Newport Beach, CA	12/11/2019	856407-03	Filed
BlackRock Large Cap Focus Growth Fund, Inc. Class K Shares	Wilmington, DE	12/10/2019	856400-03	Filed
Pioneer Securitized Income Fund	Boston, MA	12/9/2019	856401-59	Filed
Pioneer Securitized Income Fund	Boston, MA	12/9/2019	856398-59	Filed
Segall Bryant & Hamill Trust Segall Bryant & Hamill Small Cap Value Fund Retail Class	Chicago, IL	12/9/2019	856397-03	Filed
State Street Institutional Investment Trust State Street ESG Liquid Reserves Fund Premier Class	Boston, MA	12/9/2019	856399-03	Filed
State Street Institutional Investment Trust State Street ESG Liquid Reserves Fund Premier Class	Boston, MA	12/9/2019	856402-03	Filed
Number of Investment Company Filings: 32				

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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
Bourne Seniors Housing V, LLC	Winter Park, FL	12/12/2019	856434-07	Filed
Buddy Mac Holdings, LLC	Desoto, TX	12/12/2019	856436-07	Filed
BW Gas & Convenience Investment Fund II, L.P.	Beverly, MA	12/12/2019	856441-07	Filed
BW Gas & Convenience Offshore Fund II, L.P.	Beverly, MA	12/12/2019	856440-07	Filed
Cornerstone Bancorp Inc / DE	Palatine, IL	12/12/2019	856437-07	Filed
EMG Iron Ore Phase 3 (Q4 19) Co-Investment, LP	Dallas, TX	12/12/2019	856446-07	Filed
FTV VI, L.P.	San Francisco, CA	12/12/2019	856438-07	Filed
Larson Capital Debt Fund I, LLC	Chesterfield, MO	12/12/2019	856442-07	Filed
LCOZ Fund I, LLC	Chesterfield, MO	12/12/2019	856445-07	Filed
Livingston at Laurel Hills, LLC	Woodland Hls, CA	12/12/2019	856443-07	Filed
M25 Fund III, L.P.	Chicago, IL	12/12/2019	856444-07	Filed
USEDC 2019 A Drilling Fund LP	Arlington, TX	12/12/2019	856435-07	Filed
Westminster Realty Partners IV LP	Lake Forest, IL	12/12/2019	856439-07	Filed
YS REL II LLC	New York, NY	12/12/2019	856447-07	Filed
Grandview 545, LLC	Lynnwood, WA	12/10/2019	856413-07	Filed
Fund I, a series of Remote First Capital, LP	Seattle, WA	12/9/2019	856410-07	Filed
Thrivent White Rose Endurance Fund, L.P.	Minneapolis, MN	12/9/2019	856411-07	Filed
Thrivent White Rose Endurance GP, LLC	Minneapolis, MN	12/9/2019	856412-07	Filed
Number of Regulation D Notice Filings: 18				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Chatime USA, LLC / Chatime (Master Franchise)	Zhubei City, Hsinchu County,	12/13/2019	624461	Registered
Chatime USA, LLC / Chatime (Unit Franchise)	Zhubei City, Hsinchu County,	12/13/2019	624460	Registered
Storm Guard Franchise Systems, LLC / Storm Guard	Fort Worth, TX	12/12/2019	624459	Registered
MMI-CPR, LLC / Computer Troubleshooters	Independence, OH	12/12/2019	624457	Registered
RBM Franchising Corp. / Running Boards Marketing	Watertown, NE	12/12/2019	624456	Registered

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MMI-CPR, LLC / Cell Phone Repair (Area Rep)	Independence, OH	12/11/2019	624455	Registered
Alair Enterprises USA Inc. / Alair Homes	Nanaimo, BC	12/10/2019	624447	Registered
Alair Enterprises USA Inc. / Alair Homes	Nanaimo, BC	12/10/2019	624446	Registered
SANDLER SYSTEMS INC / SANDLER	Owings Mills, MD	12/10/2019	624445	Registered
DIFFERENT RULES, LLC / JACK IN THE BOX	San Diego, CA	12/9/2019	624441	Registered
RestorFX Automotive, Inc. / RestorFX	Bellingham, WA	12/9/2019	624440	Registered
Number of Franchise Filings: 11				