

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/15/2019 through 12/21/2019**

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
CION Ares Diversified Credit Fund Class W Shares	New York, NY	12/20/2019	856583-59	Filed
Advisors Disciplined Trust 1973 Ubiquitous Opportunities Portfolio, Series 2019-2	Monument, CO	12/19/2019	856534-05	Pending-Cleared
Advisors Disciplined Trust 1974 Bahl & Gaynor smig (Small/Mid Cap Income Growth) Portfolio, Series 2019-4Q	Monument, CO	12/19/2019	856536-05	Pending-Cleared
Advisors Disciplined Trust 1974 Cohen & Steers Preferred Income Opportunities Portfolio, Series 2019-4Q	Monument, CO	12/19/2019	856574-05	Pending-Cleared
Advisors Disciplined Trust 1974 Core Angels Portfolio, Series 2019-2	Monument, CO	12/19/2019	856537-05	Pending-Cleared
Advisors Disciplined Trust 1974 Emerging Markets Dividend Portfolio, Series 2019-4Q	Monument, CO	12/19/2019	856572-05	Pending-Cleared
Advisors Disciplined Trust 1974 High 50® Dividend Strategy Portfolio, Series 2019-4Q	Monument, CO	12/19/2019	856571-05	Pending-Cleared
Advisors Disciplined Trust 1974 Kames Sustainable Equity Portfolio, Series 2019-4Q	Monument, CO	12/19/2019	856570-05	Pending-Cleared
Advisors Disciplined Trust 1974 Next Generation ESG Strategy Portfolio, Series 2019-4Q - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	12/19/2019	856569-05	Pending-Cleared

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Advisors Disciplined Trust 1974 Peroni Growth Portfolio, Winter 2020 Series	Monument, CO	12/19/2019	856568-05	Pending-Cleared
Advisors Disciplined Trust 1974 REIT Portfolio, Series 2019-4Q - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	12/19/2019	856567-05	Pending-Cleared
Advisors Disciplined Trust 1974 The Dividend Income Value Strategy Portfolio, Series 2019-4Q	Monument, CO	12/19/2019	856573-05	Pending-Cleared
Advisors Disciplined Trust 1974 Utilities Portfolio, Series 2019-4Q - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	12/19/2019	856538-05	Pending-Cleared
Advisors Disciplined Trust 1975 Building America Strategy Portfolio, Series 2019-4	Monument, CO	12/19/2019	856576-05	Pending-Cleared
Advisors Disciplined Trust 1975 Business Development Company Opportunities Portfolio, Series 2019-4	Monument, CO	12/19/2019	856577-05	Pending-Cleared
Advisors Disciplined Trust 1975 Cohen & Steers MLP, Midstream & Energy Income Closed-End Portfolio, Series 2019-4	Monument, CO	12/19/2019	856578-05	Pending-Cleared
Advisors Disciplined Trust 1975 Cohen & Steers Municipal Closed-End Portfolio, Series 2019-4	Monument, CO	12/19/2019	856579-05	Pending-Cleared
Advisors Disciplined Trust 1975 Health Care Opportunities Portfolio, Series 2019-4	Monument, CO	12/19/2019	856580-05	Pending-Cleared
Axonix Funds Axonix Strategic Income Fund Institutional Class	New York, NY	12/19/2019	856502-03	Filed
FT 8388 Dividend & Income Value Portfolio	Wheaton, IL	12/19/2019	856518-05	Pending-Cleared
FT 8391 Dow® Target 10 Dec. '19 - Term 1/8/21	Wheaton, IL	12/19/2019	856533-05	Pending-Cleared
FT 8392 High-Yield Income Closed-End Portfolio, Series 87	Wheaton, IL	12/19/2019	856514-05	Pending-Cleared
FT 8395 Preferred Income Portfolio, Series 101	Wheaton, IL	12/19/2019	856516-05	Pending-Cleared
FT 8396 Aerospace & Defense Portfolio, Series 27	Wheaton, IL	12/19/2019	856528-05	Pending-Cleared

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FT 8397 Mega-Cap Portfolio, Series 55	Wheaton, IL	12/19/2019	856526-05	Pending-Cleared
FT 8398 Tactical Income Portfolio, Series 60	Wheaton, IL	12/19/2019	856529-05	Pending-Cleared
FT 8399 Global Deep Value Dividend Portfolio, Series 25	Wheaton, IL	12/19/2019	856527-05	Pending-Cleared
FT 8400 Richard Bernstein Advisors Tactical Series, American Industrial Renaissance®, 2019-2	Wheaton, IL	12/19/2019	856535-05	Pending-Cleared
FT 8416 Balanced Income Equity and ETF Portfolio, Series 40	Wheaton, IL	12/19/2019	856525-05	Pending-Cleared
FT 8421 Interest Rate Hedge Portfolio, Series 128	Wheaton, IL	12/19/2019	856515-05	Pending-Cleared
FT 8451 Digital World Leaders Strategy Portfolio, Series 3	Wheaton, IL	12/19/2019	856530-05	Pending-Cleared
FT 8478 Senior Loan & Limited Duration Opportunities Closed-End Portfolio, Series 66	Wheaton, IL	12/19/2019	856517-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1963 Discount Opportunity Strategy Portfolio of CEFs, Series 17	Chicago, IL	12/19/2019	856521-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1963 Equity & Income Portfolio of CEFs, Series 47	Chicago, IL	12/19/2019	856520-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1964 Covered Call & Income Portfolio of CEFs, Series 44	Chicago, IL	12/19/2019	856522-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1965 Income & Treasury Limited Duration Portfolio of Funds, Series 62	Chicago, IL	12/19/2019	856531-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1966 Diversified Income Wave Portfolio, Series 75	Chicago, IL	12/19/2019	856532-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1967 UBS Opportunistic Equity Income: 2019-4, Series 19	Chicago, IL	12/19/2019	856575-05	Pending-Cleared
John Hancock Investment Trust John Hancock Alternative Risk Premia Fund Class R6	Boston, MA	12/19/2019	856503-03	Filed
SEI Institutional Investments Trust Large Cap Disciplined Equity Fund Class A Shares	Oaks, PA	12/19/2019	856507-03	Filed

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Firm Name	Location	Date Received	File Number	Status
SEI Institutional Investments Trust Opportunistic Income Fund Class A Shares	Oaks, PA	12/19/2019	856506-03	Filed
SEI Institutional Managed Trust Core Fixed Income Fund Class I Shares	Oaks, PA	12/19/2019	856508-03	Filed
SEI Institutional Managed Trust High Yield Bond Fund Class I Shares	Oaks, PA	12/19/2019	856513-03	Filed
SEI Institutional Managed Trust Large Cap Growth Fund Class I Shares	Oaks, PA	12/19/2019	856509-03	Filed
SEI Institutional Managed Trust Large Cap Value Fund Class I Shares	Oaks, PA	12/19/2019	856510-03	Filed
SEI Institutional Managed Trust Small Cap Growth Fund Class I Shares	Oaks, PA	12/19/2019	856511-03	Filed
SEI Institutional Managed Trust Small Cap Value Fund Class I Shares	Oaks, PA	12/19/2019	856512-03	Filed
SmartTrust 455 Tax Free Income Trust, Series 33	Parsippany, NJ	12/19/2019	856519-05	Pending-Cleared
Transamerica Funds Transamerica Emerging Markets Opportunities Class I Shares	Denver, CO	12/19/2019	856504-03	Pending-Cleared
Transamerica Funds Transamerica Emerging Markets Opportunities Class I2 Shares	Denver, CO	12/19/2019	856505-03	Pending-Cleared
Columbia Funds Series Trust I Multi-Manager Growth Strategies Fund Institutional 3	Boston, MA	12/18/2019	856497-03	Filed
Columbia Funds Series Trust I Multi-Manager International Equity Strategies Fund Institutional 3	Boston, MA	12/18/2019	856499-03	Filed
Columbia Funds Series Trust I Multi-Manager Small Cap Equity Strategies Fund Institutional 3	Boston, MA	12/18/2019	856498-03	Filed
Columbia Funds Series Trust I Multi-Manager Total Return Bond Strategies Fund Institutional 3	Boston, MA	12/18/2019	856500-03	Filed
Columbia Funds Series Trust II Multi-Manager Value Strategies Fund Institutional 3	Boston, MA	12/18/2019	856501-03	Filed
American Funds Global Insight Fund Class A	Irvine, CA	12/17/2019	856473-03	Filed

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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
American Funds Global Insight Fund Class C	Irvine, CA	12/17/2019	856491-03	Filed
American Funds Global Insight Fund Class F-1	Irvine, CA	12/17/2019	856474-03	Filed
American Funds Global Insight Fund Class F-2	Irvine, CA	12/17/2019	856485-03	Filed
American Funds Global Insight Fund Class R-1	Irvine, CA	12/17/2019	856475-03	Filed
American Funds Global Insight Fund Class R-2	Irvine, CA	12/17/2019	856495-03	Filed
American Funds Global Insight Fund Class R-2E	Irvine, CA	12/17/2019	856477-03	Filed
American Funds Global Insight Fund Class R-3	Irvine, CA	12/17/2019	856487-03	Filed
American Funds Global Insight Fund Class R-4	Irvine, CA	12/17/2019	856479-03	Filed
American Funds Global Insight Fund Class R-5	Irvine, CA	12/17/2019	856493-03	Filed
American Funds Global Insight Fund Class R-5E	Irvine, CA	12/17/2019	856481-03	Filed
American Funds Global Insight Fund Class R-6	Irvine, CA	12/17/2019	856489-03	Filed
American Funds International Vantage Fund Class A	Irvine, CA	12/17/2019	856476-03	Filed
American Funds International Vantage Fund Class C	Irvine, CA	12/17/2019	856478-03	Filed
American Funds International Vantage Fund Class F-1	Irvine, CA	12/17/2019	856480-03	Filed
American Funds International Vantage Fund Class F-2	Irvine, CA	12/17/2019	856482-03	Filed
American Funds International Vantage Fund Class R-1	Irvine, CA	12/17/2019	856483-03	Filed
American Funds International Vantage Fund Class R-2	Irvine, CA	12/17/2019	856484-03	Filed
American Funds International Vantage Fund Class R-2E	Irvine, CA	12/17/2019	856486-03	Filed
American Funds International Vantage Fund Class R-3	Irvine, CA	12/17/2019	856488-03	Filed
American Funds International Vantage Fund Class R-4	Irvine, CA	12/17/2019	856490-03	Filed
American Funds International Vantage Fund Class R-5	Irvine, CA	12/17/2019	856492-03	Filed
American Funds International Vantage Fund Class R-5E	Irvine, CA	12/17/2019	856494-03	Filed
American Funds International Vantage Fund Class R-6	Irvine, CA	12/17/2019	856496-03	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
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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
Bluerock Total Income+ Real Estate Fund Class M	New York, NY	12/17/2019	856471-59	Pending-Cleared
The Advisors` Inner Circle Fund II Champlain Emerging Markets Fund Institutional Shares	Oaks, PA	12/17/2019	856472-03	Filed
Invesco Unit Trusts, Municipal Series 1344	Downers Grove, IL	12/16/2019	856467-05	Pending-Cleared
Invesco Unit Trusts, Municipal Series 1345	Downers Grove, IL	12/16/2019	856469-05	Pending-Cleared
Invesco Unit Trusts, Series 2022	Downers Grove, IL	12/16/2019	856460-05	Pending-Cleared
Invesco Unit Trusts, Series 2023	Downers Grove, IL	12/16/2019	856461-05	Pending-Cleared
Invesco Unit Trusts, Series 2024	Downers Grove, IL	12/16/2019	856462-05	Pending-Cleared
Invesco Unit Trusts, Series 2025	Downers Grove, IL	12/16/2019	856463-05	Pending-Cleared
Invesco Unit Trusts, Series 2026	Downers Grove, IL	12/16/2019	856464-05	Pending-Cleared
Invesco Unit Trusts, Series 2027	Downers Grove, IL	12/16/2019	856459-05	Pending-Cleared
Invesco Unit Trusts, Series 2028	Downers Grove, IL	12/16/2019	856466-05	Pending-Cleared
Invesco Unit Trusts, Series 2029	Downers Grove, IL	12/16/2019	856465-05	Pending-Cleared
Invesco Unit Trusts, Taxable Income Series 629	Downers Grove, IL	12/16/2019	856468-05	Pending-Cleared
Nationwide Mutual Funds Nationwide Mellon Disciplined Value Fund Class A	West Allis, WI	12/16/2019	856449-03	Filed
Nationwide Mutual Funds Nationwide Mellon Disciplined Value Fund Class K	West Allis, WI	12/16/2019	856450-03	Filed
Nationwide Mutual Funds Nationwide Mellon Disciplined Value Fund Class R6	West Allis, WI	12/16/2019	856451-03	Filed
Nationwide Mutual Funds Nationwide Mellon Disciplined Value Fund Eagle Class	West Allis, WI	12/16/2019	856452-03	Filed
Nationwide Mutual Funds Nationwide Mellon Disciplined Value Fund Institutional Service Class	West Allis, WI	12/16/2019	856448-03	Filed
Prudential Investment Portfolios 5 Prudential Day One 2065 Fund Class R1	Newark, NJ	12/16/2019	856453-03	Filed
Prudential Investment Portfolios 5 Prudential Day One 2065 Fund Class R2	Newark, NJ	12/16/2019	856454-03	Filed
Prudential Investment Portfolios 5 Prudential Day One 2065 Fund Class R3	Newark, NJ	12/16/2019	856457-03	Filed

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Firm Name	Location	Date Received	File Number	Status
Prudential Investment Portfolios 5 Prudential Day One 2065 Fund Class R4	Newark, NJ	12/16/2019	856455-03	Filed
Prudential Investment Portfolios 5 Prudential Day One 2065 Fund Class R5	Newark, NJ	12/16/2019	856456-03	Filed
Prudential Investment Portfolios 5 Prudential Day One 2065 Fund Class R6	Newark, NJ	12/16/2019	856458-03	Filed
The Advisors` Inner Circle Fund III Catholic Investor Long/Short Equity Fund I Shares	Oaks, PA	12/16/2019	856470-03	Filed
Number of Investment Company Filings: 104				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
1 WorldNow LLC	Phoenix, AZ	12/19/2019	856546-07	Filed
1031 Xchange Trust II	Fairway, KS	12/19/2019	856555-07	Filed
73rd Street Partners, LLC	Scottsdale, AZ	12/19/2019	856551-07	Filed
AB PR QOF II L.P.	New York, NY	12/19/2019	856558-07	Filed
BFC-INK, LLC	Grand Rapids, MI	12/19/2019	856563-07	Filed
Chondrial Therapeutics Holdings, LLC	Bala Cynwyd, PA	12/19/2019	856548-07	Filed
Coatue Growth Fund IV Private Investors, L.L.C.	New York, NY	12/19/2019	856543-07	Filed
Decisio Health, Inc.	Houston, TX	12/19/2019	856541-07	Filed
Elliott Associates, L.P.	New York, NY	12/19/2019	856557-07	Filed
EVA Fund I, a series of AngelList-Forefront Venture Partners-Funds, LP	Seattle, WA	12/19/2019	856561-07	Filed
ExchangeRight Net Leased Portfolio 30 DST	Pasadena, CA	12/19/2019	856544-07	Filed
Gillware Digital Forensics, Inc.	Madison, WI	12/19/2019	856547-07	Filed
Gridiron Strategic Advisors Fund IV, L.P.	New Canaan, CT	12/19/2019	856556-07	Filed
KOCO Investors IX, L.P.	Mount Kisco, NY	12/19/2019	856545-07	Filed
Launch Angels Management Company, LLC	Manchester, NH	12/19/2019	856539-07	Filed
Levine Leichtman Capital Partners Europe II SCSP	Beverly Hills, CA	12/19/2019	856566-07	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
Midloch Value Fund, LLC	Minneapolis, MN	12/19/2019	856565-07	Filed
ML Brewery Parking Sidecar, LLC	Minneapolis, MN	12/19/2019	856564-07	Filed
Motivate Ventures Fund I, LP	Chicago, IL	12/19/2019	856553-07	Filed
MVP LS Fund XCIV LLC	Austin, TX	12/19/2019	856540-07	Filed
North Branch Capital Fund I, L.P.	Oak Brook, IL	12/19/2019	856550-07	Filed
NP Strategic Co-Investment Partners IV LP	New York, NY	12/19/2019	856559-07	Filed
Premier TX Investors LP	New York, NY	12/19/2019	856560-07	Filed
ROM3 Rehab LLC	Las Vegas, NV	12/19/2019	856542-07	Filed
Sky Holdco Corp	New York, NY	12/19/2019	856552-07	Filed
Tesseract Structural Innovations, Inc.	Fayetteville, AR	12/19/2019	856562-07	Filed
Western Wealth Capital L US Investor, LP	North Vancouver, BC	12/19/2019	856549-07	Filed
Wisconsin Ave Holdings LLC	Norfolk, VA	12/19/2019	856554-07	Filed
MFR Partners XIX, LLC	Wayzata, MN	12/17/2019	856523-07	Filed
PAIR Fund I, a series of Riverside Ventures, LP	Seattle, WA	12/16/2019	856524-07	Filed
Number of Regulation D Notice Filings: 30				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Seniors Helping Seniors, LLC / Seniors Helping Seniors	Wyomissing Hills, PA	12/21/2019	624481	Registered
Fyzical, LLC / Fyzical	Sarasota, FL	12/20/2019	624480	Registered
Driverseat, Inc. / Driverseat	Kitchener, ON	12/19/2019	624479	Registered
Nurse Next Door Home Healthcare Services (USA) Inc / George Eyd	BUFFALO, NY	12/19/2019	624478	Registered
Hilton Franchise Holding LLC / Tempo by Hilton	McLean, VA	12/18/2019	624475	Registered
Luby's Fuddruckers Restaurants, LLC / "Fuddruckers" and "Fuddruckers, World's Greatest Hamburgers"	Houston, TX	12/18/2019	624474	Registered
Phenix Salon Suites Franchising, LLC / Phenix Salon Suites	Encinitas, CA	12/18/2019	624473	Registered
Legacy Franchise Group, LLC / Country Kitchen Restaurants	Middleton, WI	12/17/2019	624472	Registered

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Legal Name / Trade Name	Location	Date Received	File Number	Status
Zoom Room Franchising, LLC / Zoom Room	Culver City, CA	12/17/2019	624471	Registered
Signal Health Group / Signal Health Group Franchise	INDIANAPOLIS, IN	12/16/2019	624466	Registered
MONKEY JOES FRANCHISING INC / Monkey Joe's	ATLANTA, GA	12/16/2019	624465	Registered
Number of Franchise Filings: 11				