

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/22/2019 through 12/28/2019**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Local Initiatives Support Corporation	New York, NY	12/23/2019	856687-02	Pending
Number of Registration Filings: 1				

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
Advisors Disciplined Trust 1976 American Renaissance Portfolio, Series 2019-4 - A Cyrus J. Lawrence LLC ("CJL") Portfolio	Monument, CO	12/27/2019	856621-05	Pending-Cleared
Advisors Disciplined Trust 1976 Cohen & Steers Convertible and Income Closed-End Portfolio, Series 2019-4	Monument, CO	12/27/2019	856622-05	Pending-Cleared
Advisors Disciplined Trust 1976 Cohen & Steers Senior Variable Rate and Income Closed-End Portfolio, Series 2019-4	Monument, CO	12/27/2019	856623-05	Pending-Cleared
Advisors Disciplined Trust 1976 Global Basic Materials Portfolio, Series 2019-4	Monument, CO	12/27/2019	856619-05	Pending-Cleared
Advisors Disciplined Trust 1976 Small/Mid-Cap Advantage Portfolio, Series 2019-4	Monument, CO	12/27/2019	856620-05	Pending-Cleared
American Beacon Sound Point Enhanced Income Fund T Class Shares	Irving, TX	12/27/2019	856585-59	Pending-Cleared
Centaur Mutual Funds Trust Lebenthal Ultra Short Tax-Free Income Fund Class A Shares	New York, NY	12/27/2019	856588-03	Pending-Cleared
Centaur Mutual Funds Trust Lebenthal Ultra Short Tax-Free Income Fund Class I Shares	New York, NY	12/27/2019	856589-03	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
FT 8401 Richard Bernstein Advisors Global Dividend Kings®, Series 33	Wheaton, IL	12/27/2019	856610-05	Pending-Cleared
FT 8402 AI, Robotics & Technology Opportunity Portfolio, Series 10	Wheaton, IL	12/27/2019	856614-05	Pending-Cleared
FT 8403 E-Commerce Opportunity Portfolio, Series 10	Wheaton, IL	12/27/2019	856612-05	Pending-Cleared
FT 8404 International High Dividend Equity Portfolio, Series 39	Wheaton, IL	12/27/2019	856675-05	Pending-Cleared
FT 8447 Covered Call Select Closed-End Portfolio, Series 74	Wheaton, IL	12/27/2019	856611-05	Pending-Cleared
FT 8448 Global Bond Income Closed-End Portfolio, Series 33	Wheaton, IL	12/27/2019	856625-05	Pending-Cleared
FT 8449 Multi-Sector Income Portfolio, Series 48	Wheaton, IL	12/27/2019	856617-05	Pending-Cleared
FT 8452 Nasdaq® Dividend Achievers 25 Portfolio, Series 18	Wheaton, IL	12/27/2019	856615-05	Pending-Cleared
FT 8453 Sabrient Small Cap Growth Portfolio, Series 25	Wheaton, IL	12/27/2019	856618-05	Pending-Cleared
FT 8460 Strategic Income Advantage Select, Closed-End Portfolio, Series 88	Wheaton, IL	12/27/2019	856676-05	Pending-Cleared
FT 8479 Balanced Income Select Portfolio, Series 89	Wheaton, IL	12/27/2019	856616-05	Pending-Cleared
FT 8480 Municipal Income Select, Closed-End Portfolio, Series 108	Wheaton, IL	12/27/2019	856624-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1968 Kensho New Horizons Portfolio, Series 5	Chicago, IL	12/27/2019	856613-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1969 Dow Jones Value Dividend Focus Portfolio, Series 39	Chicago, IL	12/27/2019	856626-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1969 Global 100 Dividend Strategy Portfolio, Series 21	Chicago, IL	12/27/2019	856673-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1970 BDC Scorecard Portfolio, Series 18	Chicago, IL	12/27/2019	856674-05	Pending-Cleared
Guggenheim Funds Trust Guggenheim SMid Cap Value Fund Institutional Class	Rockville, MD	12/27/2019	856587-03	Filed
Invesco Unit Trusts, Municipal Series 1337	Downers Grove, IL	12/27/2019	856586-05	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
Unified Series Trust Standpoint Multi-Asset Fund Institutional Class	Cincinnati, OH	12/27/2019	856590-03	Filed
Unified Series Trust Standpoint Multi-Asset Fund Investor Class	Cincinnati, OH	12/27/2019	856591-03	Filed
DF Growth REIT, LLC	San Diego, CA	12/26/2019	856606-25	Filed
Horizon Funds Horizon ESG Defensive Core Fund Investor Class	Milwaukee, WI	12/26/2019	856584-03	Filed
Pioneer Fund Class K Shares	Boston, MA	12/23/2019	856582-03	Filed
Touchstone Strategic Trust Touchstone Sands Capital Emerging Markets Growth Fund Class C	Cincinnati, OH	12/23/2019	856581-03	Filed
Number of Investment Company Filings: 32				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AdvicePay Inc.	Bozeman, MT	12/27/2019	856691-07	Filed
Amesite Inc.	Ann Arbor, MI	12/27/2019	856696-07	Filed
AVGSF - Zeus Living 2019	Boston, MA	12/27/2019	856704-07	Filed
BC Double Impact II ASP Fund, a series of Alternative Strategies Private Capital Platform, LLC	Charlotte, NC	12/27/2019	856694-07	Filed
Bennview Field Development Joint Venture	Shavano Park, TX	12/27/2019	856695-07	Filed
Canyon Distressed Opportunity Fund III (Delaware), L.P.	Los Angeles, CA	12/27/2019	856708-07	Filed
Clearisle Capital Fund LLC	Boston, MA	12/27/2019	856705-07	Filed
DarioHealth Corp.	Caesarea Industrial Park,	12/27/2019	856701-07	Filed
Freedom 3 Investments IV, LP	New York, NY	12/27/2019	856706-07	Filed
Heart Test Laboratories, Inc.	Southlake, TX	12/27/2019	856707-07	Filed
LSC-UKHS HC2, DST	Radnor, PA	12/27/2019	856692-07	Filed
MetaProp Ventures III, L.P.	New York, NY	12/27/2019	856702-07	Filed
Mezlight, LLC	Fitchburg, WI	12/27/2019	856709-07	Filed
Midloch Fund Manager, LLC	Minneapolis, MN	12/27/2019	856690-07	Filed
Mullan Road Partners, LLC	Jackson Hole, WY	12/27/2019	856689-07	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
OrbiMed Asia Partners IV ASP Fund, a series of Alternative Strategies Private Capital Platform, LLC	Charlotte, NC	12/27/2019	856693-07	Filed
PA Small Co Private Equity Fund IX, LP	Richmond, VA	12/27/2019	856688-07	Filed
Partners for Payment Relief DE IV, LLC	Berwyn, PA	12/27/2019	856710-07	Filed
Passco Lakeview Villas DST	Irvine, CA	12/27/2019	856697-07	Filed
Thrivent White Rose Fund XIII Equity Direct, L.P.	Minneapolis, MN	12/27/2019	856603-07	Filed
Thrivent White Rose Fund XIII Fund of Funds, L.P.	Minneapolis, MN	12/27/2019	856602-07	Filed
Thrivent White Rose GP XIII, LLC	Minneapolis, MN	12/27/2019	856604-07	Filed
TOSK Inc.	Sunnyvale, CA	12/27/2019	856703-07	Filed
Trainual, Inc.	Scottsdale, AZ	12/27/2019	856700-07	Filed
Voleon Institutional Strategies Fund LP	Berkeley, CA	12/27/2019	856699-07	Filed
Voleon Investors Fund LP	Berkeley, CA	12/27/2019	856698-07	Filed
4D Fund I, a series of Unpopular VC, LP	Seattle, WA	12/23/2019	856600-07	Filed
Celsee, Inc.	Ann Arbor, MI	12/23/2019	856598-07	Filed
DE Fund I, a series of Chris Golda Investments, LP	Seattle, WA	12/23/2019	856599-07	Filed
Uranium Royalty Corp.	Vancouver, BC	12/23/2019	856601-07	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
CML Storefront, LLC / Cousins Maine Lobster	Los Angeles, CA	12/27/2019	624495	Registered
A Sub Above, LLC / Jersey Mike's	Manasquan, NJ	12/26/2019	624493	Registered
Moms on the Run LLC / Moms on the Run	Columbus, MN	12/23/2019	624492	Registered
Pie Five Pizza Company, Inc. / Pie Five Restaurants (Consolidated Program)	The Colony, TX	12/23/2019	624491	Registered
AMERISOURCEBERGEN DRUG CORPORATION / Good Neighbor Pharmacy	Conshohocken, PA	12/23/2019	624490	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
SW Franchise, Inc. / Springwell	Ann Arbor, MI	12/23/2019	624488	Registered
House of Colour USA, Inc. / House of Colour	Watford, Herts,	12/23/2019	624486	Registered
HEW Franchising, LLC / Hard Exercise Works	Jupiter, FL	12/22/2019	624482	Registered
Number of Franchise Filings: 8				