

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/29/2019 through 1/4/2020**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Divine Gospel Mission International	Raleigh, NC	1/3/2020	856773-02	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 1955 Advisors Corporate Trust - Navellier/Dial High Income Opportunities Portfolio, Series 137	Monument, CO	1/3/2020	856758-05	Pending-Cleared
Advisors Disciplined Trust 1977 Q-GARP Portfolio, Series 2019-4Q	Monument, CO	1/3/2020	856756-05	Pending-Cleared
Advisors Disciplined Trust 1978 Building America Opportunities Portfolio, Series 2019-2	Monument, CO	1/3/2020	856757-05	Pending-Cleared
AGF Investments Trust AGF Emerging Markets Equity Fund Class I	Milwaukee, WI	1/3/2020	856685-03	Filed
AGF Investments Trust AGF Emerging Markets Equity Fund Class R6	Milwaukee, WI	1/3/2020	856686-03	Filed
FS Series Trust FS Long/Short Equity Fund Class A	Philadelphia, PA	1/3/2020	856682-03	Filed
FS Series Trust FS Long/Short Equity Fund Class I	Philadelphia, PA	1/3/2020	856681-03	Filed
FT 8405 Brookmont Equity Dividend Portfolio, Series 22	Wheaton, IL	1/3/2020	856760-05	Pending-Cleared
FT 8406 NextGen Communications and Technology Portfolio, Series 4	Wheaton, IL	1/3/2020	856759-05	Pending-Cleared
FT 8407 Sabrient Baker's Dozen Portfolio, December 2019 Series	Wheaton, IL	1/3/2020	856761-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FT 8408 Stonebridge Preferred Income Portfolio, Series 25	Wheaton, IL	1/3/2020	856752-05	Pending-Cleared
FT 8412 UBS EAG Quality Momentum Trust 2019, Series 2	Wheaton, IL	1/3/2020	856753-05	Pending-Cleared
FT 8413 Income Dividend Equity Allocation (IDEA) Portfolio, Series 23	Wheaton, IL	1/3/2020	856764-05	Pending-Cleared
FT 8442 Capital Strength Buy-Write Portfolio, Series 48	Wheaton, IL	1/3/2020	856749-05	Pending-Cleared
FT 8454 ETF Growth and Income Dec. '19	Wheaton, IL	1/3/2020	856745-05	Pending-Cleared
FT 8455 Precious Metals Select Portfolio, Series 43	Wheaton, IL	1/3/2020	856746-05	Pending-Cleared
FT 8456 Deep Value Dividend Opportunity Portfolio, Series 11	Wheaton, IL	1/3/2020	856750-05	Pending-Cleared
FT 8457 Emerging Markets Strength Portfolio, Series 47	Wheaton, IL	1/3/2020	856762-05	Pending-Cleared
FT 8458 Richard Bernstein Advisors Quality Income Portfolio, Series 36	Wheaton, IL	1/3/2020	856763-05	Pending-Cleared
FT 8459 Senior Loan and Dividend Growers Portfolio, Series 26	Wheaton, IL	1/3/2020	856748-05	Pending-Cleared
FT 8461 Strategic Income Closed-End Portfolio, Series 75	Wheaton, IL	1/3/2020	856754-05	Pending-Cleared
FT 8483 Global Equity Income Closed-End Portfolio, Series 68	Wheaton, IL	1/3/2020	856751-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1971 MLP/Midstream & Energy Portfolio, Series 27	Chicago, IL	1/3/2020	856755-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1972 Defined Outcome Trust: Large Cap Buffer 20 Portfolio, December 2021	Chicago, IL	1/3/2020	856747-05	Pending-Cleared
Segall Bryant & Hamill Trust Segall Bryant & Hamill Small Cap Core Fund Institutional Class	Chicago, IL	1/3/2020	856683-03	Filed
Segall Bryant & Hamill Trust Segall Bryant & Hamill Small Cap Core Fund Retail Class	Chicago, IL	1/3/2020	856684-03	Filed
CalTier Fund I, LP	San Diego, CA	1/2/2020	856607-25	Filed
Investment Managers Series Trust II Raub Brock Dividend Growth Fund Institutional Class Shares	Milwaukee, WI	1/2/2020	856677-03	Filed

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Firm Name	Location	Date Received	File Number	Status
Advisors Preferred Trust Quantified Common Ground Fund Investor Class Shares	Omaha, NE	12/31/2019	856596-03	Filed
FMI Funds, Inc. FMI International Fund II - Currency Unhedged Institutional Class	Milwaukee, WI	12/31/2019	856592-03	Filed
State Street Institutional Investment Trust State Street ESG Liquid Reserves Fund Institutional Class	Boston, MA	12/31/2019	856595-03	Filed
State Street Institutional Investment Trust State Street ESG Liquid Reserves Fund Investor Class	Boston, MA	12/31/2019	856594-03	Filed
Stone Ridge Trust VI NYDIG Bitcoin Strategy Fund	West Allis, WI	12/31/2019	856593-59	Filed
DFA Investment Dimensions Group, Inc. Dimensional 2065 Target Date Retirement Income Fund Institutional Class Shares	Austin, TX	12/30/2019	856630-03	Pending-Cleared
Golden Seed, Inc.	Newport Beach, CA	12/30/2019	856609-25	Filed
PIMCO Equity Series PIMCO REALPATH Blend 2060 Fund Administrative Class	Newport Beach, CA	12/30/2019	856628-03	Filed
PIMCO Equity Series PIMCO REALPATH Blend 2060 Fund Class A	Newport Beach, CA	12/30/2019	856627-03	Filed
PIMCO Equity Series PIMCO REALPATH Blend 2060 Fund Institutional Class	Newport Beach, CA	12/30/2019	856629-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2020 Fund Class R6 Shares	Boston, MA	12/30/2019	856635-03	Pending-Cleared
Putnam RetirementReady Funds Putnam Retirement Advantage 2025 Fund Class R6 Shares	Boston, MA	12/30/2019	856636-03	Pending-Cleared
Putnam RetirementReady Funds Putnam Retirement Advantage 2030 Fund Class R6 Shares	Boston, MA	12/30/2019	856640-03	Pending-Cleared
Putnam RetirementReady Funds Putnam Retirement Advantage 2035 Fund Class R6 Shares	Boston, MA	12/30/2019	856637-03	Pending-Cleared
Putnam RetirementReady Funds Putnam Retirement Advantage 2040 Fund Class R6 Shares	Boston, MA	12/30/2019	856638-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
Putnam RetirementReady Funds Putnam Retirement Advantage 2045 Fund Class R6 Shares	Boston, MA	12/30/2019	856639-03	Pending-Cleared
Putnam RetirementReady Funds Putnam Retirement Advantage 2050 Fund Class R6 Shares	Boston, MA	12/30/2019	856631-03	Pending-Cleared
Putnam RetirementReady Funds Putnam Retirement Advantage 2055 Fund Class R6 Shares	Boston, MA	12/30/2019	856632-03	Pending-Cleared
Putnam RetirementReady Funds Putnam Retirement Advantage 2060 Fund Class R6 Shares	Boston, MA	12/30/2019	856633-03	Pending-Cleared
Putnam RetirementReady Funds Putnam Retirement Advantage Maturity Fund Class R6 Shares	Boston, MA	12/30/2019	856634-03	Pending-Cleared
Voya Equity Trust Voya Corporate Leaders 100 Fund Class A	Scottsdale, AZ	12/30/2019	856641-03	Filed
Voya Equity Trust Voya Corporate Leaders 100 Fund Class C	Scottsdale, AZ	12/30/2019	856642-03	Filed
Voya Equity Trust Voya Corporate Leaders 100 Fund Class I	Scottsdale, AZ	12/30/2019	856643-03	Filed
Voya Equity Trust Voya Corporate Leaders 100 Fund Class R	Scottsdale, AZ	12/30/2019	856652-03	Filed
Voya Equity Trust Voya Corporate Leaders 100 Fund Class R6	Scottsdale, AZ	12/30/2019	856646-03	Filed
Voya Equity Trust Voya Corporate Leaders 100 Fund Class W	Scottsdale, AZ	12/30/2019	856650-03	Filed
Voya Equity Trust Voya Global Multi-Asset Fund Class A	Scottsdale, AZ	12/30/2019	856648-03	Filed
Voya Equity Trust Voya Global Multi-Asset Fund Class C	Scottsdale, AZ	12/30/2019	856644-03	Filed
Voya Equity Trust Voya Global Multi-Asset Fund Class I	Scottsdale, AZ	12/30/2019	856645-03	Filed
Voya Equity Trust Voya Global Multi-Asset Fund Class R6	Scottsdale, AZ	12/30/2019	856647-03	Filed
Voya Equity Trust Voya Global Multi-Asset Fund Class W	Scottsdale, AZ	12/30/2019	856649-03	Filed
Voya Equity Trust Voya Mid Cap Research Enhanced Index Fund Class A	Scottsdale, AZ	12/30/2019	856651-03	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
Voya Equity Trust Voya Mid Cap Research Enhanced Index Fund Class C	Scottsdale, AZ	12/30/2019	856653-03	Filed
Voya Equity Trust Voya Mid Cap Research Enhanced Index Fund Class I	Scottsdale, AZ	12/30/2019	856654-03	Filed
Voya Equity Trust Voya Mid Cap Research Enhanced Index Fund Class R	Scottsdale, AZ	12/30/2019	856657-03	Filed
Voya Equity Trust Voya Mid Cap Research Enhanced Index Fund Class W	Scottsdale, AZ	12/30/2019	856671-03	Filed
Voya Equity Trust Voya Small Company Fund Class A	Scottsdale, AZ	12/30/2019	856659-03	Filed
Voya Equity Trust Voya Small Company Fund Class C	Scottsdale, AZ	12/30/2019	856666-03	Filed
Voya Equity Trust Voya Small Company Fund Class I	Scottsdale, AZ	12/30/2019	856661-03	Filed
Voya Equity Trust Voya Small Company Fund Class R	Scottsdale, AZ	12/30/2019	856663-03	Filed
Voya Equity Trust Voya Small Company Fund Class R6	Scottsdale, AZ	12/30/2019	856668-03	Filed
Voya Equity Trust Voya Small Company Fund Class W	Scottsdale, AZ	12/30/2019	856655-03	Filed
Voya Funds Trust Voya Government Money Market Fund Class A	Scottsdale, AZ	12/30/2019	856667-03	Filed
Voya Funds Trust Voya Government Money Market Fund Class C	Scottsdale, AZ	12/30/2019	856669-03	Filed
Voya Funds Trust Voya Government Money Market Fund Class I	Scottsdale, AZ	12/30/2019	856670-03	Filed
Voya Funds Trust Voya Government Money Market Fund Class W	Scottsdale, AZ	12/30/2019	856672-03	Filed
Voya Mutual Funds Voya Global Diversified Payment Fund Class A	Scottsdale, AZ	12/30/2019	856656-03	Filed
Voya Mutual Funds Voya Global Diversified Payment Fund Class C	Scottsdale, AZ	12/30/2019	856658-03	Filed
Voya Mutual Funds Voya Global Diversified Payment Fund Class I	Scottsdale, AZ	12/30/2019	856660-03	Filed
Voya Mutual Funds Voya Global Diversified Payment Fund Class R	Scottsdale, AZ	12/30/2019	856662-03	Filed

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Firm Name	Location	Date Received	File Number	Status
Voya Mutual Funds Voya Global Diversified Payment Fund Class R6	Scottsdale, AZ	12/30/2019	856664-03	Filed
Voya Mutual Funds Voya Global Diversified Payment Fund Class W	Scottsdale, AZ	12/30/2019	856665-03	Filed
Number of Investment Company Filings: 80				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
1205457 BC Ltd.	Vancouver, BC	1/3/2020	856729-07	Filed
ASC Carkeek Park LLC	Bellevue, WA	1/3/2020	856724-07	Filed
Caprock Minerals, LLC	Midland, TX	1/3/2020	856725-07	Filed
Digital Asset Index Fund, LLC	San Francisco, CA	1/3/2020	856731-07	Filed
FEA Fund I, a series of Brad Flora Investments, LP	Seattle, WA	1/3/2020	856719-07	Filed
FirstMark Capital OF III, L.P.	New York, NY	1/3/2020	856740-07	Filed
FirstMark Capital V, L.P.	New York, NY	1/3/2020	856726-07	Filed
FMR LLC	Boston, MA	1/3/2020	856739-07	Filed
GDP Haven Elgin LLC	Houston, TX	1/3/2020	856734-07	Filed
Health Scholars, Inc.	Westminster, CO	1/3/2020	856722-07	Filed
L Catterton IX, L.P.	Greenwich, CT	1/3/2020	856737-07	Filed
Lewis & Clark RBIC Fund II, L.P.	Saint Louis, MO	1/3/2020	856728-07	Filed
May River Capital Fund II, LP	Chicago, IL	1/3/2020	856730-07	Filed
Notable Labs, Inc.	Foster City, CA	1/3/2020	856721-07	Filed
OVR Apartments, LP	New York, NY	1/3/2020	856736-07	Filed
Peachtree Hotel Value & Income Fund III, LP	Atlanta, GA	1/3/2020	856720-07	Filed
Peer Street Funding, LLC	El Segundo, CA	1/3/2020	856723-07	Filed
SFM Secured Credit II LLC	Alpine, UT	1/3/2020	856738-07	Filed
Shamrock Capital Content Fund II, L.P.	Los Angeles, CA	1/3/2020	856732-07	Filed
SIR Fund I, a series of PLG Master Partnership, LP	Seattle, WA	1/3/2020	856718-07	Filed
Strategic Energy Assets VIII Referral Fund, LLC	Dover, DE	1/3/2020	856727-07	Filed
Tidal Petroleum Inc.	Schertz, TX	1/3/2020	856735-07	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
VP Dislocation Fund, L.P.	Minneapolis, MN	1/3/2020	856733-07	Filed
American Provenance II, Inc.	Mount Horeb, WI	1/2/2020	856608-07	Filed
RES Fund I, a series of Chapter One Ventures, LP	Seattle, WA	12/30/2019	856605-07	Filed
Number of Regulation D Notice Filings: 25				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
NextHome, Inc. / NextHome	Pleasanton, CA	1/3/2020	624503	Registered
Koala Franchise, LLC / Koala Insulation	Melbourne, FL	1/2/2020	624502	Registered
Hommati Franchise Network, Inc. / Hommati	Westerville, OH	12/31/2019	624500	Registered
YGM Franchise LL / You've Got MAIDS	Mount Pleasant, SC	12/30/2019	624499	Registered
US LAWNS INC / U.S. LAWNS	ORLANDO, FL	12/30/2019	624498	Registered
Number of Franchise Filings: 5				