

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/23/2020 through 2/29/2020**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
National Covenant Properties	Chicago, IL	2/28/2020	857297-02	Registered
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
HG Holdings, Inc.	Charlotte, NC	2/25/2020	857225-08	Not Disallowed
Number of Exemption Filings: 1				

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 C Shares	New York, NY	2/28/2020	857285-59	Filed
CION Ares Diversified Credit Fund Class I Shares	New York, NY	2/28/2020	857286-59	Filed
CION Ares Diversified Credit Fund Class L Shares	New York, NY	2/28/2020	857287-59	Filed
Metropolitan West Funds Metropolitan West Corporate Bond Fund Class I Shares	Los Angeles, CA	2/28/2020	857235-03	Filed
Metropolitan West Funds Metropolitan West Corporate Bond Fund Class M Shares	Los Angeles, CA	2/28/2020	857234-03	Filed
Metropolitan West Funds Metropolitan West Investment Grade Credit Fund Class I Shares	Los Angeles, CA	2/28/2020	857233-03	Filed
Metropolitan West Funds Metropolitan West Investment Grade Credit Fund Class M Shares	Los Angeles, CA	2/28/2020	857232-03	Filed
Mutual Fund Series Trust Catalyst/Stone Beach Income Opportunity Fund Class I	Omaha, NE	2/28/2020	857236-03	Filed
Nationwide Mutual Funds Nationwide Destination 2065 Fund Class A	West Allis, WI	2/28/2020	857238-03	Filed

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Firm Name	Location	Date Received	File Number	Status
Nationwide Mutual Funds Nationwide Destination 2065 Fund Class R	West Allis, WI	2/28/2020	857239-03	Filed
Nationwide Mutual Funds Nationwide Destination 2065 Fund Class R6	West Allis, WI	2/28/2020	857240-03	Filed
Nationwide Mutual Funds Nationwide Destination 2065 Fund Institutional Service Class	West Allis, WI	2/28/2020	857241-03	Filed
Northern Lights Fund Trust III HCM Dividend Sector Plus Fund Class A Shares	Omaha, NE	2/28/2020	857237-03	Filed
Advisors Disciplined Trust 1991 Advisors Core Equity Strategy Portfolio, Series 2020-1Q	Monument, CO	2/27/2020	857264-05	Filed
Advisors Disciplined Trust 1991 Bahl & Gaynor Income Growth Portfolio, Series 2020-1Q	Monument, CO	2/27/2020	857257-05	Filed
Advisors Disciplined Trust 1991 Blue Chip Portfolio, Series 2020- 1Q	Monument, CO	2/27/2020	857258-05	Filed
Advisors Disciplined Trust 1991 Dividend Advantage Portfolio, Series 2020-1Q	Monument, CO	2/27/2020	857256-05	Filed
Advisors Disciplined Trust 1991 Dividend Sustainability Portfolio, Series 2020-1Q - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	2/27/2020	857259-05	Filed
Advisors Disciplined Trust 1991 Energy Opportunities Portfolio, Series 2020-1Q	Monument, CO	2/27/2020	857261-05	Filed
Advisors Disciplined Trust 1991 European Select Portfolio, Series 2020-1Q - A Cyrus J. Lawrence LLC ("CJL") Portfolio	Monument, CO	2/27/2020	857262-05	Filed
Advisors Disciplined Trust 1991 International High 30 Dividend Portfolio, Series 2020-1Q	Monument, CO	2/27/2020	857263-05	Filed
Advisors Disciplined Trust 1991 Minimum Volatility Equity Income Portfolio, Series 2020-1Q - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	2/27/2020	857251-05	Filed
Advisors Disciplined Trust 1991 Strategic Foundations of Growth Portfolio, Series 2020-1Q	Monument, CO	2/27/2020	857252-05	Filed

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Advisors Disciplined Trust 1991 Strategic High 80 Dividend Portfolio, Series 2020-1Q	Monument, CO	2/27/2020	857253-05	Filed
Advisors Disciplined Trust 1991 Tactical Plus Closed-End Portfolio - 15 Month, Series 2020-1Q	Monument, CO	2/27/2020	857254-05	Filed
Advisors Disciplined Trust 1991 The Dow® Value Ten Portfolio, Series 2020-1Q	Monument, CO	2/27/2020	857260-05	Filed
Advisors Disciplined Trust 1991 Ubiquitous Strategy Portfolio - 15 Month, Series 2020-1Q	Monument, CO	2/27/2020	857255-05	Filed
Artisan Partners Funds, Inc. Artisan Select Equity Fund Advisor Shares	Milwaukee, WI	2/27/2020	857228-03	Filed
Artisan Partners Funds, Inc. Artisan Select Equity Fund Institutional Shares	Milwaukee, WI	2/27/2020	857227-03	Filed
Artisan Partners Funds, Inc. Artisan Select Equity Fund Investor Shares	Milwaukee, WI	2/27/2020	857226-03	Filed
FT 8450 Digital World Leaders Opportunity Portfolio, Series 3	Wheaton, IL	2/27/2020	857278-05	Filed
FT 8500 Automated Quantitative Analysis (AQA®) Portfolio, Series 20	Wheaton, IL	2/27/2020	857274-05	Filed
FT 8510 Banking Opportunity Portfolio, Series 37	Wheaton, IL	2/27/2020	857266-05	Filed
FT 8511 Cloud Computing Portfolio, Series 28	Wheaton, IL	2/27/2020	857268-05	Filed
FT 8512 Dividend Strength Opportunity Portfolio, Series 12	Wheaton, IL	2/27/2020	857279-05	Filed
FT 8513 Municipal Income Opportunities Closed-End Portfolio, Series 60	Wheaton, IL	2/27/2020	857273-05	Filed
FT 8514 SMid Capital Strength Opportunity Portfolio, Series 12	Wheaton, IL	2/27/2020	857283-05	Filed
FT 8516 Defensive Equity Portfolio, Series 52	Wheaton, IL	2/27/2020	857281-05	Filed
FT 8518 Core Holdings Growth Trust, 2020 Spring Series	Wheaton, IL	2/27/2020	857277-05	Filed
FT 8521 Dorsey Wright Relative Strength Top 50, Series 38	Wheaton, IL	2/27/2020	857282-05	Filed
FT 8538 Corporate Investment Grade Portfolio, 3-7 Year, Series 12	Wheaton, IL	2/27/2020	857248-05	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
FT 8539 Pacific Northwest Portfolio, Series 4	Wheaton, IL	2/27/2020	857244-05	Filed
FT 8541 Innovative Health Care Portfolio, Series 3	Wheaton, IL	2/27/2020	857243-05	Filed
FT 8542 Strategic International Opportunity Portfolio, Series 12	Wheaton, IL	2/27/2020	857269-05	Filed
FT 8551 Strategic Income Closed-End Portfolio, Series 76	Wheaton, IL	2/27/2020	857267-05	Filed
FT 8555 Cboe Vest Large Cap Buffered Portfolio, Series 4	Wheaton, IL	2/27/2020	857280-05	Filed
FT 8592 Balanced Income Select Portfolio, Series 91	Wheaton, IL	2/27/2020	857247-05	Filed
FT 8593 Core Three Closed-End Allocation Portfolio, Series 44	Wheaton, IL	2/27/2020	857245-05	Filed
FT 8594 Strategic Income Advantage Select, Closed-End Portfolio, Series 90	Wheaton, IL	2/27/2020	857249-05	Filed
FT 8595 Senior Loan & Limited Duration Closed-End Portfolio, Series 94	Wheaton, IL	2/27/2020	857250-05	Filed
FT 8596 Strategic Income Select Closed-End Portfolio, Series 44	Wheaton, IL	2/27/2020	857265-05	Filed
Guggenheim Defined Portfolios, Series 1983 Zacks Income Advantage Strategy Portfolio, Series 49	Chicago, IL	2/27/2020	857270-05	Filed
Guggenheim Defined Portfolios, Series 1984 Diversified Credit Portfolio of ETFs, Series 16	Chicago, IL	2/27/2020	857246-05	Filed
Guggenheim Defined Portfolios, Series 1985 Dividend Growth Portfolio, Series 17	Chicago, IL	2/27/2020	857271-05	Filed
Guggenheim Defined Portfolios, Series 1986 Core Four 60/40 Retirement Portfolio, Series 10	Chicago, IL	2/27/2020	857275-05	Filed
Guggenheim Defined Portfolios, Series 1987 Dow Jones Sustainable Growth Portfolio, Series 10	Chicago, IL	2/27/2020	857276-05	Filed
Guggenheim Defined Portfolios, Series 1992 ML Top Picks for 2020	Chicago, IL	2/27/2020	857272-05	Filed
SmartTrust 463 Strategic Growth & Income Trust, Series 20	Parsippany, NJ	2/27/2020	857242-05	Filed
The Hartford Mutual Funds II, Inc. Hartford Schroders Securitized Income Fund Class C	Wayne, PA	2/27/2020	857231-03	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
Thrivent Mutual Funds Thrivent Mid Cap Growth Fund Class S Shares	Minneapolis, MN	2/27/2020	857229-03	Filed
Thrivent Mutual Funds Thrivent Mid Cap Value Fund Class S Shares	Minneapolis, MN	2/27/2020	857230-03	Filed
Morgan Stanley Portfolios, Series 39- AI & Robotics, Series 2	Purchase, NY	2/26/2020	857284-05	Filed
Quadrant Biosciences Inc.	Syracuse, NY	2/25/2020	857224-25	Filed
UBS Series Funds UBS Select ESG Prime Institutional Fund	New York, NY	2/24/2020	857218-03	Filed
UBS Series Funds UBS Select ESG Prime Investor Fund	New York, NY	2/24/2020	857220-03	Filed
UBS Series Funds UBS Select ESG Prime Preferred Fund	New York, NY	2/24/2020	857219-03	Filed
Number of Investment Company Filings: 66				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
IR Fund I, a series of MV Funds, LP	Seattle, WA	2/28/2020	857296-07	Filed
PI Fund II, a series of Unpopular VC, LP	Seattle, WA	2/28/2020	857295-07	Filed
300 N. Michigan Partners, LLC	Chicago, IL	2/27/2020	857307-07	Filed
Brookfield Infrastructure Access Fund IV, L.P. (M)	New York, NY	2/27/2020	857306-07	Filed
Carlyle International Energy Access Fund II, L.P.	New York, NY	2/27/2020	857298-07	Filed
Debbie Lane Flats Investors, LLC	Dallas, TX	2/27/2020	857303-07	Filed
EVE Energy Infrastructure Fund, LLC	Chicago, IL	2/27/2020	857305-07	Filed
Kohlberg Investors IX, L.P.	Mount Kisco, NY	2/27/2020	857309-07	Filed
Manifold Group Inc.	Chicago, IL	2/27/2020	857301-07	Filed
MCA National Fund, LLC	Philadelphia, PA	2/27/2020	857308-07	Filed
OVP-Silverlabs LLC	Norwalk, CT	2/27/2020	857299-07	Filed
PA Fund I, a series of Angellist-Forefront Venture Partners-Funds, LP	Seattle, WA	2/27/2020	857300-07	Filed
Pamlico Capital V. L.P.	Charlotte, NC	2/27/2020	857311-07	Filed
Project Apollo, LLC	Chicago, IL	2/27/2020	857302-07	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
Shattuck Labs, Inc.	Austin, TX	2/27/2020	857310-07	Filed
Taverna, LLC	Las Vegas, NV	2/27/2020	857304-07	Filed
ET Fund I, a series of Biewald Syndicates, LP	Seattle, WA	2/24/2020	857221-07	Filed
YA Fund II, a series of Unpopular VC, LP	Seattle, WA	2/24/2020	857222-07	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
RE/MAX North Central, Inc. / RE/MAX	Mississauga, ON	2/29/2020	625631	Registered
Hands-On Diagnostics Franchising, LLC / Hands-On Diagnostic Center	Astoria, NY	2/28/2020	625630	Registered
Tierra Encantada Franchising, LLC / Tierra Encantada	Minneapolis, MN	2/28/2020	625629	Registered
SushiFork Franchise System, LLC	Mounds, OK	2/28/2020	625628	Registered
WILD BIRDS UNLIMITED INC	Carmel, IN	2/27/2020	625627	Registered
Experimax Franchising, LLC / Experimax	West Palm Beach, FL	2/27/2020	625626	Registered
PACCAR Leasing Company, a division of PACCAR Financial Corp.	Bellevue, WA	2/26/2020	625625	Registered
Lice Lifters Franchising, LLC / Lice Lifters	Lafayette Hill, PA	2/26/2020	625624	Registered
Stanley Industrial & Automotive, LLC / Mac Tools	Westerville, OH	2/25/2020	625621	Registered
Kwench Juice Franchising, Inc. / Kwench Juice Cafe	BOSTON, MA	2/25/2020	625620	Registered
TFL Franchise Systems, LLC / The Flying Locksmiths	Braintree, MA	2/25/2020	625619	Registered
Contender eSports, LLC	Springfield, MO	2/25/2020	625618	Registered
Scramblers Brands Franchise Development LLC	Toledo, OH	2/24/2020	625616	Registered
Surface Specialists Systems, Inc. / Surface Specialists	Matthews, NC	2/24/2020	625617	Registered
Number of Franchise Filings: 14				