

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 3/15/2020 through 3/21/2020**

| Securities Law Registration Filings Made with DFI's Securities Division | | | | |
|--|------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| BioVie Inc | Santa Monica, CA | 3/16/2020 | 857406-29 | 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 |
| Advisers Investment Trust JOHCM International Opportunities Fund Institutional Class | Gahanna, OH | 3/20/2020 | 857453-03 | Filed |
| Advisors Disciplined Trust 1993 American Renaissance Portfolio, Series 2020-1 - A Cyrus J. Lawrence LLC ("CJL") Portfolio | Monument, CO | 3/20/2020 | 857444-05 | Filed |
| Advisors Disciplined Trust 1993 Cohen & Steers Convertible and Income Closed-End Portfolio, Series 2020-1 | Monument, CO | 3/20/2020 | 857445-05 | Filed |
| Advisors Disciplined Trust 1993 Cohen & Steers Senior Variable Rate and Income Closed-End Portfolio, Series 2020-1 | Monument, CO | 3/20/2020 | 857446-05 | Filed |
| Advisors Disciplined Trust 1993 Global Basic Materials Portfolio, Series 2020-1 | Monument, CO | 3/20/2020 | 857447-05 | Filed |
| Advisors Disciplined Trust 1993 Small/Mid-Cap Advantage Portfolio, Series 2020-1 | Monument, CO | 3/20/2020 | 857448-05 | Filed |
| FT 8560 Dow® Target 10 Mar. '20 - Term 4/9/21 | Wheaton, IL | 3/20/2020 | 857441-05 | Filed |
| FT 8562 Aerospace & Defense Portfolio, Series 28 | Wheaton, IL | 3/20/2020 | 857431-05 | Filed |
| FT 8563 Innovative Technology Portfolio, Series 26 | Wheaton, IL | 3/20/2020 | 857432-05 | Filed |
| FT 8564 Mega-Cap Portfolio, Series 56 | Wheaton, IL | 3/20/2020 | 857433-05 | Filed |

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| Firm Name | Location | Date Received | File Number | Status |
| FT 8565 Preferred Income Portfolio, Series 102 | Wheaton, IL | 3/20/2020 | 857434-05 | Filed |
| FT 8566 Tactical Income Portfolio, Series 61 | Wheaton, IL | 3/20/2020 | 857437-05 | Filed |
| FT 8567 Global Deep Value Dividend Portfolio, Series 26 | Wheaton, IL | 3/20/2020 | 857438-05 | Filed |
| FT 8568 AI, Robotics & Technology Opportunity Portfolio, Series 11 | Wheaton, IL | 3/20/2020 | 857442-05 | Filed |
| FT 8569 E-Commerce Opportunity Portfolio, Series 11 | Wheaton, IL | 3/20/2020 | 857443-05 | Filed |
| FT 8571 Nasdaq® Dividend Achievers 25 Portfolio, Series 19 | Wheaton, IL | 3/20/2020 | 857451-05 | Filed |
| FT 8591 Digital World Leaders Strategy Portfolio, Series 4 | Wheaton, IL | 3/20/2020 | 857436-05 | Filed |
| FT 8597 Dividend Growers and Tax-Advantaged Income Portfolio, Series 23 | Wheaton, IL | 3/20/2020 | 857450-05 | Filed |
| FT 8628 Senior Loan & Limited Duration Opportunities Closed-End Portfolio, Series 68 | Wheaton, IL | 3/20/2020 | 857452-05 | Filed |
| Guggenheim Defined Portfolios, Series 1993 Diversified Dividend & Income Portfolio, Series 32 | Chicago, IL | 3/20/2020 | 857435-05 | Filed |
| Guggenheim Defined Portfolios, Series 1994 Income & Treasury Limited Duration Portfolio of Funds, Series 63 | Chicago, IL | 3/20/2020 | 857439-05 | Filed |
| Guggenheim Defined Portfolios, Series 1995 Diversified Income Wave Portfolio, Series 76 | Chicago, IL | 3/20/2020 | 857440-05 | Filed |
| Guggenheim Defined Portfolios, Series 1996 UBS Opportunistic Equity Income: 2020-1, Series 20 | Chicago, IL | 3/20/2020 | 857449-05 | Filed |
| Capitol Series Trust Alta Quality Growth Fund Institutional Shares | Cincinnati, OH | 3/17/2020 | 857407-03 | Filed |
| Emerald Health Bioceticals Inc. | San Diego, CA | 3/17/2020 | 857430-25 | Filed |
| American Funds Multi-Sector Income Fund Class A | Los Angeles, CA | 3/16/2020 | 857399-03 | Filed |
| CION Ares Diversified Credit Fund Class U2 Shares | New York, NY | 3/16/2020 | 857403-59 | Filed |
| TCW Funds, Inc. TCW Core Fixed Income Fund Class P | Los Angeles, CA | 3/16/2020 | 857400-03 | Filed |
| TCW Funds, Inc. TCW Emerging Markets Income Fund Class P | Los Angeles, CA | 3/16/2020 | 857401-03 | Filed |

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|---|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| TCW Funds, Inc. TCW Total Return Bond Fund Class P | Los Angeles, CA | 3/16/2020 | 857402-03 | Filed |
| Number of Investment Company Filings: 30 | | | | |

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| Acretrader 118, LLC | Fayetteville, AR | 3/20/2020 | 857473-07 | Filed |
| Beast Coast Gaming, Inc. | New York, NY | 3/20/2020 | 857469-07 | Filed |
| Coliseum NC Investors LP | New York, NY | 3/20/2020 | 857464-07 | Filed |
| Enveil, Inc. | Fulton, MD | 3/20/2020 | 857471-07 | Filed |
| Ibex Israel VC LP | Denver, CO | 3/20/2020 | 857472-07 | Filed |
| JK Williams Distilling, LLC | East Peoria, IL | 3/20/2020 | 857462-07 | Filed |
| Midwest Senior Living Portfolio DST | Oak Brook, IL | 3/20/2020 | 857463-07 | Filed |
| NB Crossroads Private Markets Fund VI LP | New York, NY | 3/20/2020 | 857461-07 | Filed |
| Next Generation Vehicles Fund (Cayman), Ltd. | Grand Cayman, | 3/20/2020 | 857470-07 | Filed |
| OrbiMed Asia Partners IV L.P. | New York, NY | 3/20/2020 | 857468-07 | Filed |
| Progress Ventures Fund 4, L.P. | Boston, MA | 3/20/2020 | 857465-07 | Filed |
| Ready Set Technologies, Inc. | De Pere, WI | 3/20/2020 | 857467-07 | Filed |
| Rething Impact II, LP | White Plains, NY | 3/20/2020 | 857458-07 | Filed |
| SC/CA GP Investor I, LLC | Evanston, IL | 3/20/2020 | 857460-07 | Filed |
| Self-Storage Portfolio X DST | Oak Brook, IL | 3/20/2020 | 857457-07 | Filed |
| SP Pilot Butte LLC | Seattle, WA | 3/20/2020 | 857456-07 | Filed |
| Strive Orthopedics, Inc. | Green Bay, WI | 3/20/2020 | 857466-07 | Filed |
| Townsend Real Estate Alpha Fund III, L.P. | Cleveland, OH | 3/20/2020 | 857459-07 | Filed |
| DR Fund II, a series of AX-RN-Funds, LP | Seattle, WA | 3/19/2020 | 857454-07 | Filed |
| W20, a series of Chris Golda Investments, LP | Seattle, WA | 3/19/2020 | 857455-07 | Filed |
| Number of Regulation D Notice Filings: 20 | | | | |

**All Securities Law, Franchise Law, and Take-Over Law Filings
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| Franchise Law Filings Made with DFI's Securities Division | | | | |
|--|-------------------|----------------------|--------------------|---------------|
| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| KFC US, LLC / KFC (Traditional) | Louisville, KY | 3/20/2020 | 625731 | Registered |
| KFC US, LLC / KFC (NON-TRADITIONAL) | Louisville, KY | 3/20/2020 | 625730 | Registered |
| Pro One Janitorial, Inc. / Pro One Janitorial | Green Bay, WI | 3/20/2020 | 625729 | Registered |
| Drama Kids International, Inc. / Drama Kids | Fort Myers, FL | 3/20/2020 | 625728 | Registered |
| SYLVAN LEARNING, LLC / "Sylvan Learning," "Sylvan Learning Center," and "Sylvan" | Hunt Valley, MD | 3/20/2020 | 625727 | Registered |
| Schmizza International, Inc. / Pizza Schmizza | Salem, OR | 3/20/2020 | 625726 | Registered |
| Figaro's Italian Pizza, Inc. / Figaro's and Nick-N-Willy's | Salem, OR | 3/20/2020 | 625724 | Registered |
| AmSpirit Franchise Corp / AmSpirit Business Connections | Columbus, OH | 3/20/2020 | 625723 | Registered |
| HEALTHSOURCE CHIROPRACTIC, INC / HealthSource Chiropractic Single-Unit Clinics | Avon, OH | 3/20/2020 | 625722 | Registered |
| Tread Connection International, LLC / Tread Connection | Charlotte, NC | 3/20/2020 | 625721 | Registered |
| Border Magic Franchising, LLC / Border Magic | Waco, TX | 3/20/2020 | 625720 | Registered |
| Hisho International, Inc. / Hisho Sushi, Oumi Sushi | Charlotte, NC | 3/19/2020 | 625719 | Registered |
| Steak n Shake Enterprises, Inc. / Franchise Partner Program | Indianapolis, IN | 3/19/2020 | 625718 | Registered |
| Steak n Shake Enterprises, Inc. | Indianapolis, IN | 3/19/2020 | 625717 | Registered |
| TeamLogic, Inc. / TeamLogicIT | Mission Viejo, CA | 3/19/2020 | 625716 | Registered |
| Bonchon Franchise LLC / Bonchon Business and Restaurant | New York, NY | 3/19/2020 | 625715 | Registered |
| Breadsmith Franchising Inc | Whitefish Bay, WI | 3/19/2020 | 625714 | Registered |
| Boulder Designs Franchising, LLC / Boulder Designs | Waco, TX | 3/19/2020 | 625713 | Registered |
| Hi-5 ABA, Inc. / Hi-5 ABA | Warrenton, VA | 3/19/2020 | 625712 | Registered |
| Sir Speedy, Inc. / Sir Speedy Printing | Mission Viejo, CA | 3/18/2020 | 625710 | Registered |
| LG AS Franchisor LLC / stayAPT Suites | Matthews, NC | 3/18/2020 | 625709 | Registered |
| V'S BARBERSHOP FRANCHISE LLC / V's Barbershop | PHOENIX, AZ | 3/18/2020 | 625708 | Registered |
| Coastal Angler Magazine Franchising Inc / Coastal Angler | Cocoa Beach, FL | 3/18/2020 | 625707 | Registered |

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| The Little Gym International, Inc. / The Little Gym | Scottsdale, AZ | 3/18/2020 | 625705 | Registered |
| Scooter's Coffee, LLC / Scooter's Coffee | Omaha, NE | 3/17/2020 | 625703 | Registered |
| Payroll Vault Franchising, LLC / Payroll Vault | Greenwood Vilalge, CO | 3/17/2020 | 625702 | Registered |
| Germinator Mobile Sanitizing Franchising, Inc. / Germinator Mobile Sanitizing | Cumming, GA | 3/17/2020 | 625701 | Registered |
| Restoration Specialties Franchise Group, LLC / ART | Livonia, MI | 3/17/2020 | 625700 | Registered |
| Restoration Specialties Franchise Group, LLC / ERS | Livonia, MI | 3/17/2020 | 625699 | Registered |
| STARCYLE FRANCHISE, LLC / STARCYLE | Lake Oswego, OR | 3/16/2020 | 625698 | Registered |
| Mobile Repair Guys New L.L.C. | Rubicon, WI | 3/16/2020 | 625697 | Registered |
| NewPoint Franchisor, LLC / Homes & Land; Estates & Homes | Bee Cave, TX | 3/16/2020 | 625695 | Registered |
| FLOORS TO GO LLC / Floors To Go | BONITA SPRINGS, FL | 3/16/2020 | 625694 | Registered |
| ABBEY CARPET CO., INC. / Abbey Carpet & Floor Showrooms | BONITA SPRINGS, FL | 3/16/2020 | 625693 | Registered |
| Trident Investment Partners, Inc. / Handyman Connection | Blue Ash, OH | 3/16/2020 | 625692 | Registered |
| ROLY POLY FRANCHISING SYSTEMS LLC / Roly Poly | Key West, FL | 3/16/2020 | 625691 | Registered |
| HomeSmart International, LLC / HomeSmart | Scottsdale, AZ | 3/16/2020 | 625690 | Registered |
| Winmark Corporation / Style Encore | Minneapolis, MN | 3/16/2020 | 625689 | Registered |
| Winmark Corporation / Plato's Closet | Minneapolis, MN | 3/16/2020 | 625688 | Registered |
| The Intelligent Office System, LLC / Intelligent Office Centers | Alpharetta, GA | 3/16/2020 | 625685 | Registered |
| Winmark Corporation / Music Go Round | Minneapolis, MN | 3/16/2020 | 625687 | Registered |
| WINMARK CORP / Once Upon A Child Franchise Program | MINNEAPOLIS, MN | 3/16/2020 | 625686 | Registered |
| Winmark Corporation / Play It Again Sports | Minneapolis, MN | 3/16/2020 | 625684 | Registered |
| Number of Franchise Filings: 43 | | | | |