

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 5/24/2020 through 5/30/2020**

<b>Securities Law Registration Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
<b>Number of Registration Filings: 0</b>				

<b>Securities Law Exemption Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Healthcare Trust, Inc.	New York, NY	5/29/2020	858141-08	Not Disallowed
New York City REIT, Inc.	New York, NY	5/29/2020	858140-08	Not Disallowed
Kish Bancorp, Inc.	State College, PA	5/26/2020	858111-08	Not Disallowed
<b>Number of Exemption Filings: 3</b>				

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
FT 8683 Strategic International Opportunity Portfolio, Series 13	Wheaton, IL	5/29/2020	858120-05	Filed
FT 8684 Senior Loan & Limited Duration Closed-End Portfolio, Series 95	Wheaton, IL	5/29/2020	858122-05	Filed
FT 8685 Dividend Income Trust, Series 18	Wheaton, IL	5/29/2020	858131-05	Filed
FT 8686 Top Picks May 2020 Portfolio	Wheaton, IL	5/29/2020	858132-05	Filed
FT 8687 SMid Capital Strength Opportunity Portfolio, Series 13	Wheaton, IL	5/29/2020	858127-05	Filed
FT 8688 Cybersecurity Portfolio, Series 20	Wheaton, IL	5/29/2020	858128-05	Filed
FT 8689 Defensive Equity Portfolio, Series 53	Wheaton, IL	5/29/2020	858129-05	Filed
FT 8700 Cboe Vest Large Cap Buffered Portfolio, Series 7	Wheaton, IL	5/29/2020	858119-05	Filed
FT 8717 Global Equity Income Closed-End Portfolio, Series 70	Wheaton, IL	5/29/2020	858121-05	Filed
FT 8718 Strategic Income Advantage Select, Closed-End Portfolio, Series 92	Wheaton, IL	5/29/2020	858123-05	Filed
FT 8719 Digital World Leaders Opportunity Portfolio, Series 4	Wheaton, IL	5/29/2020	858133-05	Filed

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Guggenheim Defined Portfolios, Series 2020 Blue Chip Growth Portfolio, Series 26	Chicago, IL	5/29/2020	858124-05	Filed
Guggenheim Defined Portfolios, Series 2020 US Capital Strength Portfolio, Series 20	Chicago, IL	5/29/2020	858125-05	Filed
Guggenheim Defined Portfolios, Series 2021 European Capital Strength Portfolio, Series 20	Chicago, IL	5/29/2020	858126-05	Filed
Invesco Unit Trusts, Municipal Series 1349 - Quality Municipal Income Trust, 20+ Year Series 208	Downers Grove, IL	5/29/2020	858130-05	Pending-Cleared
The First Trust® Combined Series 600 Tax Exempt Municipal Income Trust, Intermediate, Series 45	Wheaton, IL	5/29/2020	858118-05	Pending-Cleared
Cohen & Steers Low Duration Preferred and Income Fund, Inc. Class F	New York, NY	5/28/2020	858117-03	Filed
Putnam Funds Trust Putnam Mortgage Opportunities Fund Class R6	Boston, MA	5/28/2020	858115-03	Pending-Cleared
Putnam Global Health Care Fund Class R6	Boston, MA	5/28/2020	858116-03	Filed
AQR Funds AQR Diversifying Strategies Fund Class I	Greenwich, CT	5/26/2020	858085-03	Pending-Cleared
AQR Funds AQR Diversifying Strategies Fund Class N	Greenwich, CT	5/26/2020	858084-03	Pending-Cleared
AQR Funds AQR Diversifying Strategies Fund Class R6	Greenwich, CT	5/26/2020	858083-03	Pending-Cleared
Chemesis International Inc.	Vancouver, BC	5/26/2020	858114-25	Filed
Lord Abbett Trust I Lord Abbett Climate Focused Bond Fund Class A	Jersey City, NJ	5/26/2020	858088-03	Filed
Lord Abbett Trust I Lord Abbett Climate Focused Bond Fund Class C	Jersey City, NJ	5/26/2020	858089-03	Filed
Lord Abbett Trust I Lord Abbett Climate Focused Bond Fund Class F	Jersey City, NJ	5/26/2020	858090-03	Filed
Lord Abbett Trust I Lord Abbett Climate Focused Bond Fund Class F3	Jersey City, NJ	5/26/2020	858091-03	Filed
Lord Abbett Trust I Lord Abbett Climate Focused Bond Fund Class I	Jersey City, NJ	5/26/2020	858092-03	Filed

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Lord Abbett Trust I Lord Abbett Climate Focused Bond Fund Class R3	Jersey City, NJ	5/26/2020	858093-03	Filed
Lord Abbett Trust I Lord Abbett Climate Focused Bond Fund Class R4	Jersey City, NJ	5/26/2020	858094-03	Filed
Lord Abbett Trust I Lord Abbett Climate Focused Bond Fund Class R5	Jersey City, NJ	5/26/2020	858086-03	Filed
Lord Abbett Trust I Lord Abbett Climate Focused Bond Fund Class R6	Jersey City, NJ	5/26/2020	858087-03	Filed
StartEngine Crowdfunding, Inc.	West Hollywood, CA	5/26/2020	858112-25	Filed
<b>Number of Investment Company Filings: 33</b>				

<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
10X Fund I, a series of AngelList-GP-Funds-I, LP	Seattle, WA	5/29/2020	858189-07	Filed
9 Meters Biopharma, Inc.	Raleigh, NC	5/29/2020	858190-07	Filed
A. Capital Partners III, L.P.	Menlo Park, CA	5/29/2020	858173-07	Filed
AdAdapted, Inc.	Ann Arbor, MI	5/29/2020	858177-07	Filed
American Infrastructure Group, Inc.	Brookshire, TX	5/29/2020	858188-07	Filed
Ardenton Capital Corp	Vancouver, BC	5/29/2020	858178-07	Filed
Ares Specially Opportunities Fund, L.P.	Los Angeles, CA	5/29/2020	858183-07	Filed
Ares Special Opportunities Fund, L.P.	Los Angeles, CA	5/29/2020	858184-07	Filed
AVGSF - Wasabi 2020	Boston, MA	5/29/2020	858171-07	Filed
BBH Wealth Strategies, LLC - Port Capital Small Cap Series	New York, NY	5/29/2020	858172-07	Filed
Canyon Distressed Opportunity Fund III (Cayman), L.P.	Grand Cayman,	5/29/2020	858181-07	Filed
Crosby Street Fund, L.P.	New York, NY	5/29/2020	858187-07	Filed
Esguard Fund FL, LP	Reno, NV	5/29/2020	858170-07	Filed
Fourthstone QP Opportunity Fund LP	St. Louis, MO	5/29/2020	858152-07	Filed
Fund I, a series of Utsav Somani Investments, LP	Seattle, WA	5/29/2020	858186-07	Filed

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
GEMS Fund 5, L.P.	Chicago, IL	5/29/2020	858175-07	Filed
Lexaria Bioscience Corp.	Kelowna, BC	5/29/2020	858174-07	Filed
Lightspring Capital I, LP	Minneapolis, MN	5/29/2020	858151-07	Filed
Medical Engineering Innovations, Inc.	Madison, WI	5/29/2020	858169-07	Filed
Nuveen High Yield Municipal Opportunities Fund LP	Chicago, IL	5/29/2020	858185-07	Filed
Orbita, Inc.	Boston, MA	5/29/2020	858179-07	Filed
React Mobile, Inc	Seattle, WA	5/29/2020	858182-07	Filed
Rotor-Sarcos, LLC	New York, NY	5/29/2020	858176-07	Filed
Star Self Storage Manitowoc, LLC	De Pere, WI	5/29/2020	858180-07	Filed
Wellings Income Fund II, LLC	Lynchburg, VA	5/29/2020	858149-07	Filed
Wolfe Fund Chicory, LLC	Plano, TX	5/29/2020	858150-07	Filed
NO Fund I, a series of Zachary Ginsburg Funds, LP	Seattle, WA	5/26/2020	858113-07	Filed
<b>Number of Regulation D Notice Filings: 27</b>				

<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
1-800-Services, LLC / 1-800-Plumber	Pearland, TX	5/29/2020	626663	Registered
Amada Franchise, Inc. / Amada Senior Care	San Clemente, CA	5/29/2020	626662	Registered
QSL Franchise Systems LLC / Quaker Steak & Lube	Westlake, OH	5/29/2020	626661	Registered
Take 5 Franchisor SPV LLC / Take 5	Charlotte, NC	5/29/2020	626658	Registered
CARSTAR Franchisor SPV LLC / CARSTAR	Charlotte, NC	5/29/2020	626657	Registered
Mosquito Shield Franchise Corporation / Mosquito Shield	North Attleboro, MA	5/29/2020	626656	Registered
Nekter Franchise, Inc. / Nekter Juice Bar	Santa Ana, CA	5/28/2020	626655	Registered
SLLR Enterprises, LLC / RockBox Fitness	Huntersville, NC	5/28/2020	626654	Registered
MAACO FRANCHISOR SPV LLC / MAACO, MAACO COLLISION REPAIR & AUTO PAINTING, MAACO AUTO PAINTING & BODYWORKS	Charlotte, NC	5/28/2020	626653	Registered

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ANGRY CRAB SHACK FRANCHISE, LLC / ANGRY CRAB SHACK	MESA, AZ	5/28/2020	626652	Registered
MERLIN FRANCHISOR SPV LLC / MERLIN 200,000 MILES SHOP	Charlotte, NC	5/28/2020	626651	Registered
The Halal Guys Franchise Inc. / The Halal Guys	Flushing, NY	5/28/2020	626650	Registered
MEINEKE FRANCHISOR SPV LLC / MEINEKE®	Charlotte, NC	5/27/2020	626648	Registered
CITY PUBLICATIONS FRANCHISE GROUP INC	ATLANTA, GA	5/27/2020	626647	Registered
Maid Right, LLC / Maid Right	Charlottesville, VA	5/27/2020	626646	Registered
Kitchen Wise, LLC / Kitchen Wise	Charlottesville, VA	5/27/2020	626645	Registered
Handyman Pro, LLC / Handyman Pro	Charlottesville, VA	5/27/2020	626644	Registered
CICI ENTERPRISES LP / Cicis and Cicis To Go	Irving, TX	5/26/2020	626641	Registered
HOSPITALITY INTERNATIONAL INC / Hospitality International, Inc.	TUCKER, GA	5/26/2020	626640	Registered
World Gym International, LLC / World Gym	Newport Beach, CA	5/26/2020	626639	Registered
PIGGLY WIGGLY MIDWEST, LLC	Sheboygan, WI	5/26/2020	626638	Registered
MowBot, Inc. / MowBot	Durham, NC	5/26/2020	626637	Registered
<b>Number of Franchise Filings: 22</b>				