

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 8/30/2020 through 9/5/2020**

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

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
FT 8843 High Dividend Equity Allocation Portfolio, Series 36	Wheaton, IL	9/4/2020	860133-05	Pending-Cleared
FT 8844 U.S. Infrastructure Portfolio, Series 21	Wheaton, IL	9/4/2020	860134-05	Pending-Cleared
FT 8845 Biotechnology Portfolio, Series 50	Wheaton, IL	9/4/2020	860136-05	Pending-Cleared
FT 8850 Capital Strength Opportunity Portfolio, Series 15	Wheaton, IL	9/4/2020	860135-05	Pending-Cleared
FT 8853 Municipal Advantage Closed-End and ETF Portfolio, Series 61	Wheaton, IL	9/4/2020	860130-05	Pending-Cleared
FT 8856 Dividend Growers and Tax-Advantaged Income Portfolio, Series 24	Wheaton, IL	9/4/2020	860131-05	Pending-Cleared
FT 8857 Cyclical Strength Portfolio, Series 31	Wheaton, IL	9/4/2020	860138-05	Pending-Cleared
FT 8858 Water Utility & Infrastructure Select Portfolio, Series 59	Wheaton, IL	9/4/2020	860166-05	Pending-Cleared
FT 8865 Cboe Vest Large Cap Deep Buffered Portfolio, Series 6	Wheaton, IL	9/4/2020	860167-05	Pending-Cleared
FT 8870 UBS Yield at a Reasonable Price: Equity Advisory Group 2020, Series 4	Wheaton, IL	9/4/2020	860137-05	Pending-Cleared
FT 8900 Balanced Income Select Portfolio, Series 95	Wheaton, IL	9/4/2020	860129-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2049 Dividend Strength Portfolio, Series 39	Chicago, IL	9/4/2020	860175-05	Pending-Cleared

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
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Invesco Unit Trusts, Series 2071:High Income Allocation Portfolio 2020-3	Downers Grove, IL	9/4/2020	860171-05	Pending-Cleared
Invesco Unit Trusts, Series 2071:Multi-Asset High Income Portfolio 2020-3	Downers Grove, IL	9/4/2020	860172-05	Pending-Cleared
Invesco Unit Trusts, Series 2071:Preferred Opportunity Portfolio 2020-3	Downers Grove, IL	9/4/2020	860173-05	Pending-Cleared
Invesco Unit Trusts, Series 2072:Dividend Sustainability Strategic Opportunity Portfolio 2020-3	Downers Grove, IL	9/4/2020	860169-05	Pending-Cleared
Invesco Unit Trusts, Series 2072:Global High Dividend Portfolio 2020-3	Downers Grove, IL	9/4/2020	860170-05	Pending-Cleared
Invesco Unit Trusts, Taxable Income Series 634:Investment Grade Corporate Trust, 3-7 Year Series 30	Downers Grove, IL	9/4/2020	860168-05	Pending-Cleared
Morgan Stanley Portfolios, Series 43, Uncommon Values Trust, 2020 Series	Purchase, NY	9/4/2020	860174-05	Pending-Cleared
SmartTrust 489 Portfolio of Closed-End Fund Opportunities Trust, Series 22	Parsippany, NJ	9/4/2020	860176-05	Pending-Cleared
SmartTrust 489 Tax-Advantaged Growth & Income, Series 23	Parsippany, NJ	9/4/2020	860177-05	Pending-Cleared
The First Trust® Combined Series 603 Tax Exempt Municipal Income Trust, Series 313	Wheaton, IL	9/4/2020	860132-05	Pending-Cleared
American Beacon Funds American Beacon The London Company Income Equity Fund R6 Class	Irving, TX	9/3/2020	860127-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2020 Fund Class A Shares	Boston, MA	9/3/2020	860126-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2020 Fund Class C Shares	Boston, MA	9/3/2020	860087-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2020 Fund Class R Shares	Boston, MA	9/3/2020	860116-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2020 Fund Class Y Shares	Boston, MA	9/3/2020	860106-03	Filed

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Putnam RetirementReady Funds Putnam Retirement Advantage 2025 Fund Class A Shares	Boston, MA	9/3/2020	860107-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2025 Fund Class C Shares	Boston, MA	9/3/2020	860108-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2025 Fund Class R Shares	Boston, MA	9/3/2020	860104-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2025 Fund Class Y Shares	Boston, MA	9/3/2020	860109-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2030 Fund Class A Shares	Boston, MA	9/3/2020	860092-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2030 Fund Class C Shares	Boston, MA	9/3/2020	860110-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2030 Fund Class R Shares	Boston, MA	9/3/2020	860117-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2030 Fund Class Y Shares	Boston, MA	9/3/2020	860111-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2035 Fund Class A Shares	Boston, MA	9/3/2020	860112-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2035 Fund Class C Shares	Boston, MA	9/3/2020	860113-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2035 Fund Class R Shares	Boston, MA	9/3/2020	860118-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2035 Fund Class Y Shares	Boston, MA	9/3/2020	860114-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2040 Fund Class A Shares	Boston, MA	9/3/2020	860093-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2040 Fund Class C Shares	Boston, MA	9/3/2020	860094-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2040 Fund Class R Shares	Boston, MA	9/3/2020	860119-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2040 Fund Class Y Shares	Boston, MA	9/3/2020	860095-03	Filed

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Firm Name	Location	Date Received	File Number	Status
Putnam RetirementReady Funds Putnam Retirement Advantage 2045 Fund Class A Shares	Boston, MA	9/3/2020	860096-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2045 Fund Class C Shares	Boston, MA	9/3/2020	860097-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2045 Fund Class R Shares	Boston, MA	9/3/2020	860120-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2045 Fund Class Y Shares	Boston, MA	9/3/2020	860088-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2050 Fund Class A Shares	Boston, MA	9/3/2020	860089-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2050 Fund Class C Shares	Boston, MA	9/3/2020	860098-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2050 Fund Class R Shares	Boston, MA	9/3/2020	860121-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2050 Fund Class Y Shares	Boston, MA	9/3/2020	860099-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2055 Fund Class A Shares	Boston, MA	9/3/2020	860100-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2055 Fund Class C Shares	Boston, MA	9/3/2020	860101-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2055 Fund Class R Shares	Boston, MA	9/3/2020	860105-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2055 Fund Class Y Shares	Boston, MA	9/3/2020	860102-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2060 Fund Class A Shares	Boston, MA	9/3/2020	860103-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2060 Fund Class C Shares	Boston, MA	9/3/2020	860090-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2060 Fund Class R Shares	Boston, MA	9/3/2020	860122-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage 2060 Fund Class Y Shares	Boston, MA	9/3/2020	860091-03	Filed

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Firm Name	Location	Date Received	File Number	Status
Putnam RetirementReady Funds Putnam Retirement Advantage Maturity Fund Class A Shares	Boston, MA	9/3/2020	860123-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage Maturity Fund Class C Shares	Boston, MA	9/3/2020	860124-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage Maturity Fund Class R Shares	Boston, MA	9/3/2020	860115-03	Filed
Putnam RetirementReady Funds Putnam Retirement Advantage Maturity Fund Class Y Shares	Boston, MA	9/3/2020	860125-03	Filed
KKR Credit Opportunities Portfolio Class U Shares	Milwaukee, WI	9/1/2020	860045-59	Filed
MainStay Funds Trust MainStay Conservative Allocation Fund SIMPLE Class	New York, NY	8/31/2020	860015-03	Filed
MainStay Funds Trust MainStay Conservative ETF Allocation Fund SIMPLE Class	New York, NY	8/31/2020	860020-03	Filed
MainStay Funds Trust MainStay Defensive ETF Allocation Fund SIMPLE Class	New York, NY	8/31/2020	860019-03	Filed
MainStay Funds Trust MainStay Epoch International Choice Fund SIMPLE Class	New York, NY	8/31/2020	860018-03	Filed
MainStay Funds Trust MainStay Epoch U.S. Equity Yield Fund SIMPLE Class	New York, NY	8/31/2020	860011-03	Filed
MainStay Funds Trust MainStay Equity Allocation Fund SIMPLE Class	New York, NY	8/31/2020	860021-03	Filed
MainStay Funds Trust MainStay Equity ETF Allocation Fund SIMPLE Class	New York, NY	8/31/2020	860024-03	Filed
MainStay Funds Trust MainStay Floating Rate Fund SIMPLE Class	New York, NY	8/31/2020	860017-03	Filed
MainStay Funds Trust MainStay Growth Allocation Fund SIMPLE Class	New York, NY	8/31/2020	860025-03	Filed
MainStay Funds Trust MainStay Growth ETF Allocation Fund SIMPLE Class	New York, NY	8/31/2020	860023-03	Filed
MainStay Funds Trust MainStay MacKay S&P 500 Index Fund SIMPLE Class	New York, NY	8/31/2020	860014-03	Filed

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Firm Name	Location	Date Received	File Number	Status
MainStay Funds Trust MainStay MacKay Total Return Bond Fund SIMPLE Class	New York, NY	8/31/2020	860012-03	Filed
MainStay Funds Trust MainStay Moderate Allocation Fund SIMPLE Class	New York, NY	8/31/2020	860016-03	Filed
MainStay Funds Trust MainStay Moderate ETF Allocation Fund SIMPLE Class	New York, NY	8/31/2020	860022-03	Filed
MainStay Funds Trust MainStay Short Term Bond Fund SIMPLE Class	New York, NY	8/31/2020	860013-03	Filed
The MainStay Funds MainStay Income Builder Fund SIMPLE Class	New York, NY	8/31/2020	860009-03	Filed
The MainStay Funds MainStay MacKay High Yield Corporate Bond Fund SIMPLE Class	New York, NY	8/31/2020	860006-03	Filed
The MainStay Funds MainStay MacKay Tax Free Bond Fund Class C2	New York, NY	8/31/2020	860007-03	Filed
The MainStay Funds MainStay Money Market Fund SIMPLE Class	New York, NY	8/31/2020	860008-03	Filed
The MainStay Funds MainStay Winslow Large Cap Growth Fund SIMPLE Class	New York, NY	8/31/2020	860010-03	Filed
Number of Investment Company Filings: 84				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AEX Gold Inc.	Toronto, ON	9/4/2020	860139-07	Filed
Arctos Sports Partners Fund I, LP	Dallas, TX	9/4/2020	860151-07	Filed
BH Fund I, a series of Unpopular VC, LP	Seattle, WA	9/4/2020	860154-07	Filed
Bittellelect, Inc.	Delray Beach, FL	9/4/2020	860146-07	Filed
Bungalows on Ash LLC	Scottsdale, AZ	9/4/2020	860155-07	Filed
Charles Thayne Capital SPV I LP	Chicago, IL	9/4/2020	860152-07	Filed
CRA Funding 1, LLC	New York, NY	9/4/2020	860150-07	Filed
Crowdstreet Opportunistic Fund I, LLC - Series I	Portland, OR	9/4/2020	860147-07	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
EPQ LLC, IVP XVII PS	Reno, NV	9/4/2020	860143-07	Filed
EPQ LLC, SWFT PS	Reno, NV	9/4/2020	860148-07	Filed
First Cloud Investment Group, LLC	Bellingham, WA	9/4/2020	860153-07	Filed
Forest Road Company, LLC	New York, NY	9/4/2020	860156-07	Filed
Initialized V Associates L.P.	San Francisco, CA	9/4/2020	860142-07	Filed
MVP LS Fund CLXXIV LLC	Austin, TX	9/4/2020	860141-07	Filed
Navigate Ventures Fund I, LP	Beverly Hills, CA	9/4/2020	860145-07	Filed
North Shore Financial Corp	Duluth, MN	9/4/2020	860149-07	Filed
PRMH Lenders Fund II, LLC	Wilmington, DE	9/4/2020	860140-07	Filed
SP Ventures Fund 8, LLC	New York, NY	9/4/2020	860144-07	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
Lunchbox Franchise, LLC / LunchboxWax	Boise, ID	9/4/2020	627217	Registered
Prime I.V. Hydration & Wellness, Inc. / Prime IV Hydration (Area Representative)	Colorado Springs, CA	9/4/2020	627216	Registered
Prime I.V. Hydration & Wellness, Inc. / Prime IV Hydration (Unit)	Colorado Springs, CA	9/4/2020	627215	Registered
XP League, LLC / XP League	Pearland, TX	9/4/2020	627206	Registered
Freecoat Franchising, LLC / Freecoat	Charlotte, NC	9/4/2020	627203	Registered
Tropical Smoothie Cafe, LLC / Tropical Smoothie Cafe	Atlanta, GA	9/4/2020	627202	Registered
Anodyne Franchising, LLC / Anodyne	Nashville, TN	9/4/2020	627201	Registered
Bruegger's Franchise Corporation / Bruegger's and Bruegger's Bagels	Lakewood, CO	9/4/2020	627200	Registered
Dickey's Barbecue Restaurants, Inc. / Dickey's Barbecue Pit	Dallas, TX	9/3/2020	627199	Registered
DetailXPerts Franchise Systems, LLC / DetailXPerts	Chattanooga, TN	9/3/2020	627198	Registered
Leisure Systems, Inc. / Yogi Bear's Jellystone Park Camp - Resorts	Milford, OH	9/3/2020	627194	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
VIVI Holding Eastern Corp. / VIVI bubble tea	Flushing, NY	9/2/2020	627192	Registered
Rendle Co / Jan-Pro of Northeast Wisconsin	Chilton, WI	9/2/2020	627186	Registered
FRSTeam, LLC / FRSTeam	Alpharetta, GA	9/2/2020	627185	Registered
REF USA Corp. / Renaissance Executive Forums	Wilmington, DE	9/2/2020	627184	Registered
OTA Healthmate, LLC / OTA World	Carrollton, TX	9/1/2020	627183	Registered
TUTOR DOCTOR LEARNING SOLUTIONS, INC. / Tutor Doctor	Wilmington, DE	9/1/2020	627182	Registered
ABS Franchise Services, Inc. / A Better Solution in Home Care	San Diego, CA	9/1/2020	627181	Registered
Labrador Franchises, Inc. / Pet Depot	La Verne, CA	9/1/2020	627180	Registered
Compass Margaritaville, LLC / COMPASS by Margaritaville	Orlando, FL	9/1/2020	627178	Registered
The Original Pancake House Franchising, Inc. / The Original Pancake House	Portland, OR	8/31/2020	627171	Registered
Ram Jack Systems Distribution, LLC / Ram Jack Foundation Solutions	Ada, OK	8/31/2020	627169	Registered
Mossy Oak Properties, Inc.	West Point, MS	8/31/2020	627168	Registered
Mac and Cheese Franchise Operations, LLC / I Heart Mac and Cheese	Boca Raton, FL	8/31/2020	627167	Registered
Bumper Man, Inc. / Bumper Man	Mesquite, TX	8/31/2020	627166	Registered
9Round Franchising, LLC / 9Round	Simpsonville, SC	8/30/2020	627164	Registered
Number of Franchise Filings: 26				