

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/5/2020 through 1/11/2020**

<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>
<b>Number of Exemption Filings: 0</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 8417 FT Equity Allocation ETF Model Portfolio, 1Q '20	Wheaton, IL	1/9/2020	856769-05	Pending-Cleared
FT 8418 FT High Income Model Portfolio, 1Q '20	Wheaton, IL	1/9/2020	856771-05	Pending-Cleared
FT 8462 MLP Closed-End Portfolio, Series 28	Wheaton, IL	1/9/2020	856768-05	Pending-Cleared
FT 8463 Limited Duration Fixed Income ETF Portfolio, Series 33	Wheaton, IL	1/9/2020	856770-05	Pending-Cleared
SmartTrust 457 Enhanced Value II Trust, Series 25	Parsippany, NJ	1/9/2020	856765-05	Pending-Cleared
SmartTrust 457 Portfolio of Closed-End Fund Opportunities Trust, Series 20	Parsippany, NJ	1/9/2020	856766-05	Pending-Cleared
SmartTrust 457 Tax-Advantaged Growth & Income, Series 21	Parsippany, NJ	1/9/2020	856767-05	Pending-Cleared
Horizon Funds Horizon ESG Defensive Core Fund Advisor Class	Milwaukee, WI	1/8/2020	856742-03	Filed
State Street Institutional Funds State Street Institutional Small-Cap Equity Fund Investment Class	West Allis, WI	1/8/2020	856743-03	Filed
Hartford Schoders Opportunistic Income Fund Class A2 Shares	Wayne, PA	1/7/2020	856741-59	Pending-Cleared
Baron Select Funds Baron FinTech Fund Institutional Shares	New York, NY	1/6/2020	856714-03	Filed
Baron Select Funds Baron FinTech Fund R6 Shares	New York, NY	1/6/2020	856716-03	Filed

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Baron Select Funds Baron FinTech Fund Retail Shares	New York, NY	1/6/2020	856715-03	Filed
Rimrock Funds Trust Rimrock Core Bond Fund	Irvine, CA	1/6/2020	856711-03	Filed
Sit U.S. Government Securities Fund, Inc. Class Y	Minneapolis, MN	1/6/2020	856717-03	Filed
The Advisors` Inner Circle Fund III Aperture Discover Equity Fund Class X Shares	Oaks, PA	1/6/2020	856713-03	Filed
The Advisors` Inner Circle Fund III Aperture Discover Equity Fund Institutional Class Shares	Oaks, PA	1/6/2020	856712-03	Filed
<b>Number of Investment Company Filings: 17</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>
AG Energy Credit Opportunities Fund IV, L.P.	New York, NY	1/9/2020	856811-07	Filed
Agricycle Global Inc.	Milwaukee, WI	1/9/2020	856800-07	Filed
ArborCrowd Investment IX, LLC	Uniondale, NY	1/9/2020	856796-07	Filed
Arc Suppression Technologies, LLC	Bloomington, MN	1/9/2020	856802-07	Filed
Blackstone Alternatives Solutions VI L.P.	New York, NY	1/9/2020	856814-07	Filed
Caraday Funding I, LLC	Fairfield, CT	1/9/2020	856807-07	Filed
Chronic Care Management, Inc.	Solon, OH	1/9/2020	856793-07	Filed
Crown Cleveland #28 Joint Venture	Carrollton, TX	1/9/2020	856795-07	Terminated
Genesis Software Innovations, LLC	Grand Rapids, MI	1/9/2020	856809-07	Filed
Hampden Agencies Ltd	London,	1/9/2020	856844-07	Filed
HGI Opportunity Fund XIV, LP	Norfolk, VA	1/9/2020	856812-07	Filed
Neighbor Storage, Inc.	American Fork, UT	1/9/2020	856813-07	Filed
Northern Lights Group Inc.	Chicago, IL	1/9/2020	856798-07	Filed
Pine Forest Reserve IP, LLC	Atlanta, GA	1/9/2020	856799-07	Filed
R7 Partners Fund II, LP	Chicago, IL	1/9/2020	856794-07	Filed
RD Real Estate Debt Fund II LP	Westport, CT	1/9/2020	856806-07	Filed
Red & Blue Ventures II, LP	Philadelphia, PA	1/9/2020	856797-07	Filed

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
S.T.L. Resources Drilling Fund A, L.P.	Wexford, PA	1/9/2020	856810-07	Filed
S2 Genomics, Inc.	Livermore, CA	1/9/2020	856808-07	Filed
SMTP Co-Invest II (AWC), L.P.	Chicago, IL	1/9/2020	856801-07	Filed
StormSensor Inc.	Seattle, WA	1/9/2020	856803-07	Filed
Violation Capital Fund IV, L.P.	Boston, MA	1/9/2020	856804-07	Filed
Volition Capital Select Fund I, L.P.	Boston, MA	1/9/2020	856805-07	Filed
<b>Number of Regulation D Notice Filings: 23</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>
Happy Joe's Franchising, Inc. / Happy Joes Pizza and Ice Cream Parlor	Bettendorf, IA	1/10/2020	624518	Registered
LearningRx Franchise Corporation / LearningRx Training Center	COLORADO SPRINGS, CO	1/10/2020	624516	Registered
VALVOLINE INSTANT OIL CHANGE FRANCHISING, INC. / VALVOLINE INSTANT OIL CHANGE	LEXINGTON, KY	1/8/2020	624514	Registered
BoxDrop, LLC / BoxDrop	Dublin, OH	1/8/2020	624512	Registered
Everbowl Franchise, LLC / Everbowl	Vista, CA	1/7/2020	624510	Registered
Alliance Franchise Brands LLC / Signs By Tomorrow or Signs Now	Plymouth, MI	1/6/2020	624508	Registered
Alliance Franchise Brands LLC / Image360	Plymouth, MI	1/6/2020	624506	Registered
<b>Number of Franchise Filings: 7</b>				