

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/12/2020 through 1/18/2020**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
KBS Real Estate Investment Trust III Inc	Newport Beach, CA	1/17/2020	856853-30	Pending-Cleared
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
Collaborative Investment Series Trust Tactical Growth Allocation Fund Class I	Greenwich, CT	1/17/2020	856851-03	Filed
Morgan Stanley Portfolios, Series 38- Optimized Equity Dividend Strategy, Series 9	Purchase, NY	1/17/2020	856852-05	Pending-Cleared
Mutual Fund Series Trust Catalyst Growth of Income Fund Class I	Omaha, NE	1/17/2020	856846-03	Filed
Siouxland Renewable Holdings, LLC	Jackson, NE	1/17/2020	856859-25	Filed
The Lazard Funds, Inc. Lazard US Small-Mid Cap Equity Portfolio R6 Shares	New York, NY	1/17/2020	856845-03	Filed
The Saratoga Advantage Trust James Alpha Structured Credit Value Portfolio Class I	Goodyear, AZ	1/17/2020	856847-03	Filed
Wasatch Funds Trust Wasatch Micro Cap Fund Institutional Class	Salt Lake City, UT	1/17/2020	856849-03	Pending-Cleared
Wasatch Funds Trust Wasatch Micro Cap Value Fund Institutional Class	Salt Lake City, UT	1/17/2020	856850-03	Pending-Cleared
Wasatch Funds Trust Wasatch Ultra Growth Fund Institutional Class	Salt Lake City, UT	1/17/2020	856848-03	Pending-Cleared
AB Bond Fund, Inc. AB Short Duration Income Portfolio Advisor Class	New York, NY	1/16/2020	856817-03	Filed

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Firm Name	Location	Date Received	File Number	Status
AB Bond Fund, Inc. AB Short Duration Income Portfolio Class A	New York, NY	1/16/2020	856816-03	Filed
AB Bond Fund, Inc. AB Short Duration Income Portfolio Class C	New York, NY	1/16/2020	856815-03	Filed
Advisors Disciplined Trust 1981 Balanced Portfolio, Series 2020-1	Monument, CO	1/16/2020	856834-05	Pending-Cleared
Advisors Disciplined Trust 1981 Cohen & Steers Equity Dividend & Income Closed-End Portfolio, Series 2020-1	Monument, CO	1/16/2020	856835-05	Pending-Cleared
Advisors Disciplined Trust 1981 Dividend Strength Portfolio, Series 2020-1 - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	1/16/2020	856836-05	Pending-Cleared
Advisors Disciplined Trust 1981 Financial Opportunities Portfolio, Series 2020-1	Monument, CO	1/16/2020	856837-05	Pending-Cleared
Advisors Disciplined Trust 1981 Ubiquitous Strategy Portfolio, Series 2020-1	Monument, CO	1/16/2020	856838-05	Pending-Cleared
Advisors Disciplined Trust 1982 Blue Chip Covered Call Portfolio, Series 2020-1Q	Monument, CO	1/16/2020	856843-05	Pending-Cleared
FT 8432 Dividend Strength Portfolio, Series 47	Wheaton, IL	1/16/2020	856821-05	Pending-Cleared
FT 8464 Core Three Closed-End Allocation Portfolio, Series 43	Wheaton, IL	1/16/2020	856823-05	Pending-Cleared
FT 8465 Sabrient Dividend Opportunity Portfolio, Series 8	Wheaton, IL	1/16/2020	856827-05	Pending-Cleared
FT 8466 Sabrient Dividend Portfolio, Series 30	Wheaton, IL	1/16/2020	856822-05	Pending-Cleared
FT 8467 Stifel Best Picks, January 2020	Wheaton, IL	1/16/2020	856824-05	Pending-Cleared
FT 8470 Technology Select Portfolio, Series 76	Wheaton, IL	1/16/2020	856828-05	Pending-Cleared
FT 8484 UBS Fallen Angels: Equity Advisor Group, 2020 Portfolio	Wheaton, IL	1/16/2020	856830-05	Pending-Cleared
FT 8485 Municipal Advantage Closed-End and ETF Portfolio, Series 57	Wheaton, IL	1/16/2020	856831-05	Pending-Cleared
FT 8488 S&P International Dividend Aristocrats Port. 1Q '20	Wheaton, IL	1/16/2020	856832-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FT 8528 Municipal Income Select, Closed-End Portfolio, Series 109	Wheaton, IL	1/16/2020	856826-05	Pending-Cleared
FT 8529 Senior Loan & Limited Duration Opportunities Closed-End Portfolio, Series 67	Wheaton, IL	1/16/2020	856833-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1973 Dow 10 Portfolio, Series 40	Chicago, IL	1/16/2020	856819-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1973 International Dividend Strategy Portfolio, Series 46	Chicago, IL	1/16/2020	856820-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1974 Strategic Income Portfolio, Series 108	Chicago, IL	1/16/2020	856825-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1975 Alerian Energy Infrastructure & MLP Capital Strength Portfolio, Series 9	Chicago, IL	1/16/2020	856829-05	Pending-Cleared
SmartTrust 458 Fundamental Equity Contrarians Trust, Series 1	Parsippany, NJ	1/16/2020	856840-05	Pending-Cleared
SmartTrust 459 Argus Dividend Growers Total Return Trust, Series 23	Parsippany, NJ	1/16/2020	856841-05	Pending-Cleared
SmartTrust 459 Morningstar Dividend Yield Select Trust, Series 12	Parsippany, NJ	1/16/2020	856842-05	Pending-Cleared
The First Trust® Combined Series 597 Tax Exempt Municipal Income Trust, Series 310	Wheaton, IL	1/16/2020	856839-05	Pending-Cleared
Invesco Unit Trusts, Municipal Series 1346 Insured Municipals Income Trust, Series 710	Downers Grove, IL	1/15/2020	856791-05	Pending-Cleared
Invesco Unit Trusts, Series 2030 Inflation Hedge Portfolio 2020-1	Downers Grove, IL	1/15/2020	856785-05	Pending-Cleared
Invesco Unit Trusts, Series 2031	Downers Grove, IL	1/15/2020	856786-05	Pending-Cleared
Invesco Unit Trusts, Series 2032 Balanced Dividend Sustainability & Income Portfolio 2020-1	Downers Grove, IL	1/15/2020	856787-05	Pending-Cleared
Invesco Unit Trusts, Series 2033	Downers Grove, IL	1/15/2020	856788-05	Pending-Cleared
Invesco Unit Trusts, Series 2034	Downers Grove, IL	1/15/2020	856789-05	Pending-Cleared
Invesco Unit Trusts, Series 2036	Downers Grove, IL	1/15/2020	856790-05	Pending-Cleared
Trust For Professional Managers Jensen Quality Value Fund Class Y Shares	Milwaukee, WI	1/15/2020	856792-03	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
GMO Trust GMO Climate Change Fund Class I	Boston, MA	1/14/2020	856782-03	Filed
GMO Trust GMO Emerging Markets Fund Class I	Boston, MA	1/14/2020	856783-03	Filed
Goldman Sachs Trust Goldman Sachs Income Fund Class A Shares	Chicago, IL	1/14/2020	856775-03	Filed
Goldman Sachs Trust Goldman Sachs Income Fund Class C Shares	Chicago, IL	1/14/2020	856776-03	Filed
Goldman Sachs Trust Goldman Sachs Income Fund Class P Shares	Chicago, IL	1/14/2020	856778-03	Filed
Goldman Sachs Trust Goldman Sachs Income Fund Class R Shares	Chicago, IL	1/14/2020	856779-03	Filed
Goldman Sachs Trust Goldman Sachs Income Fund Class R6 Shares	Chicago, IL	1/14/2020	856781-03	Filed
Goldman Sachs Trust Goldman Sachs Income Fund Institutional Shares	Chicago, IL	1/14/2020	856777-03	Filed
Goldman Sachs Trust Goldman Sachs Income Fund Investor Shares	Chicago, IL	1/14/2020	856780-03	Filed
JPMorgan Trust I JPMorgan 100% U.S. Treasury Securities Money Market Fund IM Shares	New York, NY	1/14/2020	856784-03	Filed
The Advisors` Inner Circle Fund III Catholic Investor U.S. All Cap Index Fund I Shares	Oaks, PA	1/13/2020	856774-03	Filed
Number of Investment Company Filings: 56				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
All Pro Bell Station LLLP	Colorado Springs, CO	1/16/2020	856860-07	Filed
AMC Fund 16, LLC	Northridge, CA	1/16/2020	856864-07	Filed
ArcTrust III, Inc.	Clifton, NJ	1/16/2020	856873-07	Filed
Ascent Private Real Assets Fund, L.P.	New York, NY	1/16/2020	856891-07	Filed
BBSC Group LLC	Chicago, IL	1/16/2020	856880-07	Filed
Bungalows at Westgate LLC	Scottsdale, AZ	1/16/2020	856892-07	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
Cantilever Investors Fund I L.P.	Ann Arbor, MI	1/16/2020	856888-07	Filed
CC4 Investors LLC	Santa Barbara, CA	1/16/2020	856893-07	Filed
Clara Insurance, Inc.	Hoboken, NJ	1/16/2020	856871-07	Filed
Clearcover, Inc.	Chicago, IL	1/16/2020	856872-07	Filed
CNL Strategic Capital, LLC	Orlando, FL	1/16/2020	856883-07	Filed
CrowdStreet Opportunity Zone Portfolio, LLC	Portland, OR	1/16/2020	856818-07	Filed
Cunat Exchange I DST	McHenry, IL	1/16/2020	856889-07	Filed
Drake's Organic Spirits, LLC	Minnetonka, MN	1/16/2020	856868-07	Filed
Edquity, Inc.	New York, NY	1/16/2020	856874-07	Filed
Emerald Shoals Targeted Opportunities Fund LP	Westerville, OH	1/16/2020	856878-07	Filed
Griffin Capital Qualified Opportunity Zone Fund, L.P.	El Segundo, CA	1/16/2020	856879-07	Filed
Jenny Life, Inc.	Seattle, WA	1/16/2020	856890-07	Filed
Madison Dearborn Capital Partners VIII-C, L.P.	Chicago, IL	1/16/2020	856870-07	Filed
MedCore Realty Eden Hill, LLC	Dallas, TX	1/16/2020	856876-07	Filed
Morgan Stanley Direct lending Fund	New York, NY	1/16/2020	856877-07	Filed
Mossy Flats Investments, LLC	Atlanta, GA	1/16/2020	856862-07	Filed
MU Fund I, a series of Zeitgeist, LP	Seattle, WA	1/16/2020	856865-07	Filed
Ocologica, Inc.	New York, NY	1/16/2020	856887-07	Filed
Opa Group LP	Hudson, WI	1/16/2020	856875-07	Filed
Paradigm Holdings, LLC	Nashville, TN	1/16/2020	856863-07	Filed
S19 Investments, a series of Medici VC II, LP	Seattle, WA	1/16/2020	856884-07	Filed
S19, a series of Chris Golda Investments, LP	Seattle, WA	1/16/2020	856881-07	Filed
S19, a series of Ethan Perlstein Funds, LP	Seattle, WA	1/16/2020	856882-07	Filed
S19, a series of IA Fund, LP	Seattle, WA	1/16/2020	856886-07	Filed
S19, a Series of Jude Gomila's Funds, LP	Seattle, WA	1/16/2020	856885-07	Filed
Transparent Health Marketplace, Inc.	West Bradford, PA	1/16/2020	856869-07	Filed
Trigger Gap Investments LLC	Destin, VA	1/16/2020	856867-07	Filed
Turn/River Capital IV (QP-A), L.P.	San Francisco, CA	1/16/2020	856861-07	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
Velocity at Deer Rund, LLC	Destin, FL	1/16/2020	856866-07	Filed
BL Fund I, a/series of Unpopular VC, LP	Seattle, WA	1/13/2020	856772-07	Filed
Number of Regulation D Notice Filings: 36				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Black Beer, LLC / The Growler Guys	Grants Pass, OR	1/16/2020	624543	Registered
Class 101, Inc. / Class 101	Lexington, KY	1/14/2020	624540	Registered
Fowling Franchise, LLC / Fowling Warehouse	Hamtramck, MI	1/13/2020	624538	Registered
Number of Franchise Filings: 3				