

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/26/2020 through 2/1/2020**

<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>
Pacific Oak Strategic Opportunity REIT, Inc.	W Los Angeles, CA	1/30/2020	857025-30	Pending
<b>Number of Registration Filings: 1</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>
Cushing Mutual Funds Trust Cushing SMID Growth Focused Fund Class A Shares	Milwaukee, WI	1/31/2020	857026-03	Filed
Cushing Mutual Funds Trust Cushing SMID Growth Focused Fund Class I Shares	Milwaukee, WI	1/31/2020	857027-03	Filed
Cushing Mutual Funds Trust Global Clean Equity Fund Class A Shares	Milwaukee, WI	1/31/2020	857028-03	Filed
Cushing Mutual Funds Trust Global Clean Equity Fund Class I Shares	Milwaukee, WI	1/31/2020	857029-03	Filed
Horizon Funds Horizon Defensive Multi-Factor Fund Advisor Class	Milwaukee, WI	1/31/2020	857031-03	Filed
Horizon Funds Horizon Multi- Asset Income Fund Advisor Class	Milwaukee, WI	1/31/2020	857030-03	Filed
Invesco Unit Trusts, Taxable Income Series 630	Downers Grove, IL	1/31/2020	857094-05	Pending-Cleared
Artisan Partners Funds, Inc. Artisan Global Discovery Fund Advisor Shares	Milwaukee, WI	1/30/2020	856977-03	Filed
Artisan Partners Funds, Inc. Artisan Global Discovery Fund Institutional Shares	Milwaukee, WI	1/30/2020	856976-03	Filed
Artisan Partners Funds, Inc. Artisan Thematic Fund Institutional Shares	Milwaukee, WI	1/30/2020	856978-03	Filed

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Capitol Series Trust Fuller & Thaler Behavioral Small-Cap Growth Fund Investor Shares	Cincinnati, OH	1/30/2020	856979-03	Filed
FT 8431 Corporate Investment Grade Laddered Portfolio, Series 11	Wheaton, IL	1/30/2020	856983-05	Pending-Cleared
FT 8434 40/60 Strategic Allocation Port. 1Q '20 - Term 4/16/21	Wheaton, IL	1/30/2020	856984-05	Pending-Cleared
FT 8435 60/40 Strategic Allocation Port. 1Q '20 - Term 4/16/21	Wheaton, IL	1/30/2020	856980-05	Pending-Cleared
FT 8435 75/25 Strategic Allocation Port. 1Q '20 - Term 4/16/21	Wheaton, IL	1/30/2020	856981-05	Pending-Cleared
FT 8436 Diversified Fixed Income ETF Portfolio, Series 42	Wheaton, IL	1/30/2020	856982-05	Pending-Cleared
FT 8438 High Dividend Equity Portfolio, Series 43	Wheaton, IL	1/30/2020	856992-05	Pending-Cleared
FT 8439 Sabrient Baker's Dozen Portfolio, 1st Quarter 2020	Wheaton, IL	1/30/2020	856989-05	Pending-Cleared
FT 8440 DSIP Portfolio, 1st Quarter 2020 Series	Wheaton, IL	1/30/2020	856999-05	Pending-Cleared
FT 8441 Select DSIP Portfolio, 1st Quarter 2020 Series	Wheaton, IL	1/30/2020	857001-05	Pending-Cleared
FT 8481 Target Dvd. Triple Play 1Q '20 - Term 4/9/21	Wheaton, IL	1/30/2020	856986-05	Pending-Cleared
FT 8486 Capital Strength Buy-Write Portfolio, Series 49	Wheaton, IL	1/30/2020	857003-05	Pending-Cleared
FT 8489 Content Leaders Portfolio, Series 16	Wheaton, IL	1/30/2020	857000-05	Pending-Cleared
FT 8491 Content Leaders Opportunity Portfolio, Series 14	Wheaton, IL	1/30/2020	857002-05	Pending-Cleared
FT 8492 Dividend Growers and Tax-Advantaged Income Portfolio, Series 22	Wheaton, IL	1/30/2020	856987-05	Pending-Cleared
FT 8493 Strategic Income Select Closed-End Portfolio, Series 43	Wheaton, IL	1/30/2020	856991-05	Pending-Cleared
FT 8494 Senior Loan Select Closed-End Portfolio, Series 39	Wheaton, IL	1/30/2020	856994-05	Pending-Cleared
FT 8497 European Deep Value Dividend Portfolio, Series 26	Wheaton, IL	1/30/2020	857004-05	Filed
FT 8517 Cboe Vest Large Cap Buffered Portfolio, Series 3	Wheaton, IL	1/30/2020	856985-05	Pending-Cleared
FT 8530 Balanced Income Select Portfolio, Series 90	Wheaton, IL	1/30/2020	856990-05	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
FT 8531 Strategic Income Advantage Select, Closed-End Portfolio, Series 89	Wheaton, IL	1/30/2020	856995-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1977 SMid Dividend Strength Portfolio, Series 13	Chicago, IL	1/30/2020	856998-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1977 US High Dividend Strategy Portfolio, Series 35	Chicago, IL	1/30/2020	856997-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1977 US SMid High Dividend Portfolio, Series 35	Chicago, IL	1/30/2020	856996-05	Pending-Cleared
SmartTrust 460 60/40 Quality Allocation Trust, Series 2	Parsippany, NJ	1/30/2020	856993-05	Pending-Cleared
The First Trust® Combined Series 598 Tax Exempt Municipal Income Trust, Intermediate, Series 44	Wheaton, IL	1/30/2020	856988-05	Pending-Cleared
Ashmore Funds Ashmore Emerging Markets Equity ESG Fund Class A Shares	London,	1/27/2020	856965-03	Filed
Ashmore Funds Ashmore Emerging Markets Equity ESG Fund Class C Shares	London,	1/27/2020	856966-03	Filed
Ashmore Funds Ashmore Emerging Markets Equity ESG Fund Institutional Class Shares	London,	1/27/2020	856967-03	Filed
Morgan Stanley Institutional Fund Trust Senior Loan Portfolio Class A	New York, NY	1/27/2020	856972-03	Filed
Morgan Stanley Institutional Fund Trust Senior Loan Portfolio Class C	New York, NY	1/27/2020	856973-03	Filed
Morgan Stanley Institutional Fund Trust Senior Loan Portfolio Class I	New York, NY	1/27/2020	856974-03	Filed
Morgan Stanley Institutional Fund Trust Senior Loan Portfolio Class IS	New York, NY	1/27/2020	856975-03	Filed
Morgan Stanley Institutional Fund, Inc. Developing Opportunity Portfolio Class A	New York, NY	1/27/2020	856968-03	Filed
Morgan Stanley Institutional Fund, Inc. Developing Opportunity Portfolio Class C	New York, NY	1/27/2020	856969-03	Filed
Morgan Stanley Institutional Fund, Inc. Developing Opportunity Portfolio Class I	New York, NY	1/27/2020	856970-03	Filed

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Morgan Stanley Institutional Fund, Inc. Developing Opportunity Portfolio Class IS	New York, NY	1/27/2020	856971-03	Filed
Wizard Entertainment, Inc.	Los Angeles, CA	1/27/2020	857005-25	Filed
<b>Number of Investment Company Filings: 48</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>
545 Washington Select, LP	Norfolk, VA	1/30/2020	857024-07	Filed
Avista Healthcare Partners, L.P.	New York, NY	1/30/2020	857010-07	Filed
Biomech Holdings, LLC	Midlothian, VA	1/30/2020	857013-07	Filed
Clearlake Capital Partners VI, L.P.	Santa Monica, CA	1/30/2020	857020-07	Filed
Eitlean LLC	Chicago, IL	1/30/2020	857022-07	Filed
EPQ LLC, LFLU PS	Reno, NV	1/30/2020	857017-07	Filed
Eva Medtec, Inc.	Bloomington, MN	1/30/2020	857016-07	Filed
FiTran Fund LP	Madison, WI	1/30/2020	857008-07	Filed
Great Plains Project 1001 Opportunity Fund, LLC	Fargo, ND	1/30/2020	857011-07	Filed
HG LV QOF, LLC	Carmel, IN	1/30/2020	857006-07	Filed
HG Stonebrook Investment Company, LLC	Carmel, IN	1/30/2020	857019-07	Filed
Inrange Systems Inc.	Erie, PA	1/30/2020	857012-07	Filed
Jones Financial Companies LLLP	Des Peres, MO	1/30/2020	857009-07	Filed
Neocova Corp	Saint Louis, MO	1/30/2020	857007-07	Filed
Page One, a series of Chapter One Ventures, LP	Seattle, WA	1/30/2020	857015-07	Filed
Pathfinder Partners Income Fund, L.P.	San Diego, CA	1/30/2020	857021-07	Filed
Sam Domicilium Opportunity Zone Fund I, LLC	Autryville, NC	1/30/2020	857014-07	Filed
TFG Winter Street REIT, LLC	Boston, MA	1/30/2020	857023-07	Filed
Viaphoton Inc.	New York, NY	1/30/2020	857018-07	Filed
<b>Number of Regulation D Notice Filings: 19</b>				

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<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>
Wings Over, Inc	New York, NY	1/31/2020	625577	Registered
ABM Franchising Group, LLC / TEGG	Canonsburg, PA	1/29/2020	625575	Registered
ABM Franchising Group, LLC / Linc Service	Canonsburg, PA	1/29/2020	625574	Registered
Row House Franchise, LLC / Row House	Irvine, CA	1/28/2020	625572	Registered
Saladworks, LLC / Saladworks	West Conshohocken, PA	1/28/2020	625571	Registered
KAM Sharp Franchising America Inc. / FlannelJax's	Mississauga, ON	1/27/2020	625570	Registered
Metal Supermarkets Franchising America Inc. / Metal Supermarkets Franchising America Inc. and Metal Supermarkets	Mississauga, ON	1/27/2020	625569	Registered
Resource Operations International LLC / Resource Operations International	West Palm Beach, FL	1/27/2020	625565	Registered
<b>Number of Franchise Filings: 8</b>				