

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/2/2020 through 2/8/2020**

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
Mutual Fund & Variable Insurance Trust Rational/NuWave Enhanced Market Opportunity Fund Class A	Omaha, NE	2/7/2020	857095-03	Filed
Advisors Disciplined Trust 1985 UBS Longer Term Investments Series - Environmental Trends Portfolio, Series 2020-1	Monument, CO	2/6/2020	857056-05	Pending-Cleared
Advisors Disciplined Trust 1985 UBS Longer Term Investments Series - Healthcare Trends Portfolio, Series 2020-1	Monument, CO	2/6/2020	857053-05	Pending-Cleared
Advisors Disciplined Trust 1985 UBS Longer Term Investments Series - Retirement Trends Portfolio, Series 2020-1	Monument, CO	2/6/2020	857055-05	Pending-Cleared
Advisors Disciplined Trust 1985 UBS Longer Term Investments Series - Secular Technology Trends Portfolio, Series 2020-1	Monument, CO	2/6/2020	857054-05	Pending-Cleared
Advisors Disciplined Trust 1986 60/40 Asset Allocation Portfolio, Series 2020-1Q	Monument, CO	2/6/2020	857061-05	Pending-Cleared
Advisors Disciplined Trust 1987 Dividend Ruler Portfolio, Series 2020A	Monument, CO	2/6/2020	857069-05	Pending-Cleared
Advisors Disciplined Trust 2003 ACE MLT?, Buffered Portfolio Series 2020-1	Monument, CO	2/6/2020	857074-05	Pending-Cleared
City National Rochdale Funds City National Rochdale Corporate Bond Fund Class N	Beverly Hills, CA	2/6/2020	857036-03	Filed

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Firm Name	Location	Date Received	File Number	Status
City National Rochdale Funds City National Rochdale Government Bond Fund Class N	Beverly Hills, CA	2/6/2020	857035-03	Filed
FT 8443 S&P Dividend Aristocrats Buy-Write Portfolio, Series 9	Wheaton, IL	2/6/2020	857052-05	Pending-Cleared
FT 8444 Equity Income Select Portfolio, Series 64	Wheaton, IL	2/6/2020	857060-05	Pending-Cleared
FT 8445 Market Strength Allocation Opportunity Portfolio, Series 12	Wheaton, IL	2/6/2020	857047-05	Pending-Cleared
FT 8446 Market Strength Allocation Select Portfolio, Series 39	Wheaton, IL	2/6/2020	857063-05	Pending-Cleared
FT 8469 Technology Dividend Portfolio, Series 33	Wheaton, IL	2/6/2020	857042-05	Pending-Cleared
FT 8471 Dividend Edge Portfolio, Series 14	Wheaton, IL	2/6/2020	857064-05	Pending-Cleared
FT 8473 Capital Strength Opportunity Portfolio, Series 12	Wheaton, IL	2/6/2020	857070-05	Pending-Cleared
FT 8474 Capital Strength Portfolio, Series 50	Wheaton, IL	2/6/2020	857048-05	Pending-Cleared
FT 8475 U.S. Revenue Portfolio, Series 17	Wheaton, IL	2/6/2020	857072-05	Pending-Cleared
FT 8487 Wedbush Equity Ideas 2020 Trust	Wheaton, IL	2/6/2020	857050-05	Pending-Cleared
FT 8498 Deep Value Dividend Portfolio, Series 26	Wheaton, IL	2/6/2020	857051-05	Pending-Cleared
FT 8499 Diversified High Income Closed-End Portfolio, Series 39	Wheaton, IL	2/6/2020	857058-05	Pending-Cleared
FT 8501 American Agenda Portfolio, Series 12	Wheaton, IL	2/6/2020	857046-05	Pending-Cleared
FT 8502 Senior Loan & Limited Duration Closed-End Portfolio, Series 93	Wheaton, IL	2/6/2020	857057-05	Pending-Cleared
FT 8503 Alternative Income Portfolio, Series 36	Wheaton, IL	2/6/2020	857075-05	Pending-Cleared
FT 8519 Senior Loan Closed-End and ETF Portfolio, Series 30	Wheaton, IL	2/6/2020	857073-05	Pending-Cleared
FT 8532 Balanced Income Equity and ETF Portfolio, Series 41	Wheaton, IL	2/6/2020	857049-05	Pending-Cleared
FT 8535 Interest Rate Hedge Portfolio, Series 129	Wheaton, IL	2/6/2020	857062-05	Pending-Cleared
FT 8536 Tax-Advantaged Municipal Closed-End Portfolio, Series 59	Wheaton, IL	2/6/2020	857071-05	Pending-Cleared

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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
Guggenheim Defined Portfolios, Series 1978 S&P Dividend Aristocrats Select 25 Strategy Portfolio, Series 18	Chicago, IL	2/6/2020	857044-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1978 US 50 Dividend Strategy Portfolio, Series 23	Chicago, IL	2/6/2020	857045-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1979 Balanced Income Builder Portfolio, Series 30	Chicago, IL	2/6/2020	857065-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 1980 Defined Outcome Trust: Large Cap Buffer 20 Portfolio, January 2022	Chicago, IL	2/6/2020	857059-05	Pending-Cleared
SmartTrust 461 Defensive 50 Equities Trust, Series 22	Parsippany, NJ	2/6/2020	857066-05	Pending-Cleared
SmartTrust 461 Dorsey Wright® International Momentum Trust, Series 18	Parsippany, NJ	2/6/2020	857067-05	Pending-Cleared
SmartTrust 461 Smart Ten Trust, Series 19	Parsippany, NJ	2/6/2020	857068-05	Pending-Cleared
The First Trust® Combined Series 599 Investment Grade Multi-Asset Income Portfolio, Long Term, Series 32	Wheaton, IL	2/6/2020	857043-05	Pending-Cleared
PIMCO Funds PIMCO Total Return ESG Fund Class A	Newport Beach, CA	2/5/2020	857033-03	Filed
PIMCO Funds PIMCO Total Return ESG Fund Class C	Newport Beach, CA	2/5/2020	857034-03	Filed
Jet Token Inc.	Las Vegas, NV	2/4/2020	857040-25	Filed
Red Oak Capital Fund IV, LLC	Grand Rapids, MI	2/4/2020	857041-25	Filed
GK Investment Property Holdings II, LLC	Barrington, IL	2/3/2020	857039-25	Filed
Starboard Investment Trust Cavalier Growth Opportunities Fund Class A Shares	Rocky Mount, NC	2/3/2020	857032-03	Filed
Number of Investment Company Filings: 43				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
OnPoint Property Tech, Inc.	Fort Lauderdale, FL	2/7/2020	857098-07	Filed
Ambassador Development Group Investments - III, LLC	Sugar Land, TX	2/6/2020	857079-07	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
Deloitte Consulting LLP	New York, NY	2/6/2020	857083-07	Filed
Deloitte Tax LLP	New York, NY	2/6/2020	857082-07	Filed
Deloitte Touche Tohmatsu Services, LLC	New York, NY	2/6/2020	857087-07	Filed
Fifth Avenue Real Assets 5, LLC	New York, NY	2/6/2020	857077-07	Filed
Finistere Ventures III, L.P.	San Diego, CA	2/6/2020	857091-07	Filed
First Cloud Investment Group, LLC	Bellingham, WA	2/6/2020	857090-07	Filed
Inceptiv Investors, LLC	Los Angeles, CA	2/6/2020	857088-07	Filed
Lion's Reach, LP	Mesquite, TX	2/6/2020	857078-07	Filed
Meridian Corp	Malvern, PA	2/6/2020	857086-07	Filed
Palette Riverbend Select, LP	Norfolk, VA	2/6/2020	857080-07	Filed
Preferred Office Growth Fund, LLC	Atlanta, GA	2/6/2020	857076-07	Filed
React Mobile, Inc.	Seattle, WA	2/6/2020	857085-07	Filed
Reef Capital Partners LLC	Alpine, UT	2/6/2020	857081-07	Filed
Staton Techiya, LLC	Delray Beach, FL	2/6/2020	857092-07	Filed
Viaphoton Inc.	New York, NY	2/6/2020	857089-07	Filed
Watermark 3G Multifamily Development Fund II, LP	Terre Haute, IN	2/6/2020	857084-07	Filed
Wheeler County Partners, LLC	Canton, GA	2/6/2020	857093-07	Filed
LSC-3 Office, DST	Radnor, PA	2/4/2020	857037-07	Filed
ZH Fund I, a series of AX-RN-Funds, LP	Seattle, WA	2/3/2020	857038-07	Filed
Number of Regulation D Notice Filings: 21				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Apex Fun Run, LLC / Apex Fun Run	Phoenix, AZ	2/7/2020	625590	Registered
Coaching Matters, LLC / Fundraising U	Overland Park, KS	2/7/2020	625588	Registered
BAB SYSTEMS INC / BIG APPLE BAGELS	DEERFIELD, IL	2/7/2020	625587	Registered
ATC HEALTHCARE SERVICES LLC / ATC Healthcare Services	LAKE SUCCESS, NY	2/6/2020	625586	Registered
SB Acquisition, LLC / Pizza Pit	Monona, WI	2/6/2020	625584	Registered

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Franchise Law Filings Made with DFI's Securities Division				
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Modern Market Franchising, LLC / Modern Market Eatery	Denver, CO	2/6/2020	625583	Registered
Quick Lane Franchising LLC / Quick Lane, Quick Lane Tire & Auto Center	Dearborn, MI	2/6/2020	625582	Registered
ANNEX BRANDS INC / Annex Brands Commercial Center	SAN DIEGO, CA	2/5/2020	625580	Registered
Number of Franchise Filings: 8				