

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 6/21/2020 through 6/27/2020**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
iCap Vault 1, LLC; and Vault Holding 1, LLC	Bellevue, WA	6/26/2020	858518-01	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
Advisors Disciplined Trust 2018 American Renaissance Portfolio, Series 2020-2 - A Cyrus J. Lawrence LLC ("CJL") Portfolio	Monument, CO	6/26/2020	858371-05	Filed
Advisors Disciplined Trust 2018 Cohen & Steers Convertible and Income Closed-End Portfolio, Series 2020-2	Monument, CO	6/26/2020	858372-05	Filed
Advisors Disciplined Trust 2018 Cohen & Steers Senior Variable Rate and Income Closed-End Portfolio, Series 2020-2	Monument, CO	6/26/2020	858373-05	Filed
Advisors Disciplined Trust 2018 Global Basic Materials Portfolio, Series 2020-2	Monument, CO	6/26/2020	858374-05	Filed
Advisors Disciplined Trust 2018 Small/Mid-Cap Advantage Portfolio, Series 2020-2	Monument, CO	6/26/2020	858375-05	Filed
Advisors Disciplined Trust 2019 Building America Opportunities Portfolio, Series 2020-1	Monument, CO	6/26/2020	858380-05	Filed
Advisors Disciplined Trust 2019 Building America Strategy Portfolio, Series 2020-2	Monument, CO	6/26/2020	858379-05	Filed
Advisors Disciplined Trust 2019 Business Development Company Opportunities Portfolio, Series 2020-2	Monument, CO	6/26/2020	858381-05	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
Advisors Disciplined Trust 2019 Cohen & Steers MLP, Midstream & Energy Income Closed-End Portfolio, Series 2020-2	Monument, CO	6/26/2020	858382-05	Pending-Cleared
Advisors Disciplined Trust 2019 Cohen & Steers Municipal Closed-End Portfolio, Series 2020-2	Monument, CO	6/26/2020	858383-05	Pending-Cleared
Advisors Disciplined Trust 2019 Health Care Opportunities Portfolio, Series 2020-2	Monument, CO	6/26/2020	858384-05	Pending-Cleared
Advisors Disciplined Trust 2020 Bahl & Gaynor smig (Small/Mid Cap Income Growth) Portfolio, Series 2020-2Q	Monument, CO	6/26/2020	858402-05	Pending-Cleared
Advisors Disciplined Trust 2020 Cohen & Steers Preferred Income Opportunities Portfolio, Series 2020-2Q	Monument, CO	6/26/2020	858396-05	Pending-Cleared
Advisors Disciplined Trust 2020 Emerging Markets Dividend Portfolio, Series 2020-2Q	Monument, CO	6/26/2020	858398-05	Pending-Cleared
Advisors Disciplined Trust 2020 High 50® Dividend Strategy Portfolio, Series 2020-2Q	Monument, CO	6/26/2020	858399-05	Pending-Cleared
Advisors Disciplined Trust 2020 Human Behavior Opportunities Portfolio, Series 2020-2Q	Monument, CO	6/26/2020	858400-05	Pending-Cleared
Advisors Disciplined Trust 2020 Human Behavior Strategy Portfolio, Series 2020-2Q	Monument, CO	6/26/2020	858401-05	Pending-Cleared
Advisors Disciplined Trust 2020 Kames Sustainable Equity Portfolio, Series 2020-2Q	Monument, CO	6/26/2020	858391-05	Pending-Cleared
Advisors Disciplined Trust 2020 Next Generation ESG Strategy Portfolio, Series 2020-2Q - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	6/26/2020	858392-05	Pending-Cleared
Advisors Disciplined Trust 2020 Peroni Growth Portfolio, Summer 2020 Series	Monument, CO	6/26/2020	858393-05	Pending-Cleared
Advisors Disciplined Trust 2020 REIT Portfolio, Series 2020-2Q - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	6/26/2020	858394-05	Pending-Cleared

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Advisors Disciplined Trust 2020 The Dividend Income Value Strategy Portfolio, Series 2020-2Q	Monument, CO	6/26/2020	858397-05	Pending-Cleared
Advisors Disciplined Trust 2020 Utilities Portfolio, Series 2020-2Q - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	6/26/2020	858395-05	Pending-Cleared
Angel Oak Dynamic Financial Strategies Income Term Trust	Milwaukee, WI	6/26/2020	858389-59	Filed
Cloudastructure, Inc.	San Mateo, CA	6/26/2020	858440-25	Filed
FT 8680 MLP Closed-End Fund and Energy Portfolio, Series 68	Wheaton, IL	6/26/2020	858404-05	Pending-Cleared
FT 8734 AQA® Large-Cap Portfolio, Series 4	Wheaton, IL	6/26/2020	858405-05	Pending-Cleared
FT 8737 ETF Growth and Income June '20	Wheaton, IL	6/26/2020	858377-05	Pending-Cleared
FT 8738 Deep Value Dividend Opportunity Portfolio, Series 13	Wheaton, IL	6/26/2020	858385-05	Pending-Cleared
FT 8739 NextGen Communications and Technology Portfolio, Series 6	Wheaton, IL	6/26/2020	858386-05	Pending-Cleared
FT 8742 Cboe Vest Large Cap Buffered Portfolio, Series 8	Wheaton, IL	6/26/2020	858411-05	Pending-Cleared
FT 8743 Dow Jones Global Titans Portfolio, Series 31	Wheaton, IL	6/26/2020	858376-05	Pending-Cleared
FT 8744 Brookmont Equity Dividend Portfolio, Series 24	Wheaton, IL	6/26/2020	858387-05	Pending-Cleared
FT 8754 Municipal Income Opportunities Closed-End Portfolio, Series 62	Wheaton, IL	6/26/2020	858388-05	Pending-Cleared
FT 8757 Municipal Advantage Closed-End and ETF Portfolio, Series 60	Wheaton, IL	6/26/2020	858378-05	Pending-Cleared
FT 8761 Income Dividend Equity Allocation (IDEA) Portfolio, Series 25	Wheaton, IL	6/26/2020	858406-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2029 Kensho New Horizons Portfolio, Series 7	Chicago, IL	6/26/2020	858403-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2030 Dow Jones Value Dividend Focus Portfolio, Series 41	Chicago, IL	6/26/2020	858408-05	Pending-Cleared

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Guggenheim Defined Portfolios, Series 2030 Global 100 Dividend Strategy Portfolio, Series 23	Chicago, IL	6/26/2020	858409-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2031 BDC Scorecard Portfolio, Series 20	Chicago, IL	6/26/2020	858410-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2041 S&P Dividend Aristocrats Select 25 Strategy Portfolio, Series 20	Chicago, IL	6/26/2020	858407-05	Pending-Cleared
Voya Funds Trust Voya GNMA Income Fund Class P	Scottsdale, AZ	6/26/2020	858390-03	Filed
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index 2005 Fund Premier Class	Boston, MA	6/25/2020	858359-03	Filed
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index 2010 Fund Premier Class	Boston, MA	6/25/2020	858361-03	Filed
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index 2015 Fund Premier Class	Boston, MA	6/25/2020	858369-03	Filed
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index 2020 Fund Premier Class	Boston, MA	6/25/2020	858362-03	Filed
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index 2025 Fund Premier Class	Boston, MA	6/25/2020	858364-03	Filed
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index 2030 Fund Premier Class	Boston, MA	6/25/2020	858368-03	Filed
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index 2035 Fund Premier Class	Boston, MA	6/25/2020	858366-03	Filed
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index 2040 Fund Premier Class	Boston, MA	6/25/2020	858363-03	Filed
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index 2045 Fund Premier Class	Boston, MA	6/25/2020	858365-03	Filed
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index 2050 Fund Premier Class	Boston, MA	6/25/2020	858367-03	Filed
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index 2055 Fund Premier Class	Boston, MA	6/25/2020	858356-03	Filed
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index 2060 Fund Premier Class	Boston, MA	6/25/2020	858357-03	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
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index 2065 Fund Premier Class	Boston, MA	6/25/2020	858358-03	Filed
FIDELITY ABERDEEN STREET TRUST Fidelity Freedom Index Income Fund Premier Class	Boston, MA	6/25/2020	858360-03	Filed
Northern Lights Fund Trust Power Dividend Index Fund Class I	Cincinnati, OH	6/25/2020	858370-03	Filed
The Lazard Funds, Inc. Lazard US Sustainable Equity Portfolio Institutional Shares	New York, NY	6/25/2020	858354-03	Filed
The Lazard Funds, Inc. Lazard US Sustainable Equity Portfolio Open Shares	New York, NY	6/25/2020	858355-03	Filed
Miso Robotics, Inc.	Pasadena, CA	6/24/2020	858438-25	Filed
Calamos Investment Trust Calamos Global Equity Fund Class R6 Shares	Milwaukee, WI	6/23/2020	858301-03	Filed
Calamos Investment Trust Calamos Growth and Income Fund Class R6 Shares	Milwaukee, WI	6/23/2020	858302-03	Filed
Calamos Investment Trust Calamos Market Neutral Income Fund Class R6 Shares	Milwaukee, WI	6/23/2020	858300-03	Filed
DFA Investment Dimensions Group, Inc. U.S. Sustainability Targeted Value Portfolio Institutional Class	Austin, TX	6/23/2020	858303-03	Pending-Cleared
MainStay Funds Trust MainStay Conservative ETF Allocation Fund Class A	New York, NY	6/23/2020	858308-03	Filed
MainStay Funds Trust MainStay Conservative ETF Allocation Fund Class C	New York, NY	6/23/2020	858309-03	Filed
MainStay Funds Trust MainStay Conservative ETF Allocation Fund Class I	New York, NY	6/23/2020	858310-03	Filed
MainStay Funds Trust MainStay Conservative ETF Allocation Fund Class R3	New York, NY	6/23/2020	858311-03	Filed
MainStay Funds Trust MainStay Defensive ETF Allocation Fund Class A	New York, NY	6/23/2020	858304-03	Filed
MainStay Funds Trust MainStay Defensive ETF Allocation Fund Class C	New York, NY	6/23/2020	858305-03	Filed

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Firm Name	Location	Date Received	File Number	Status
MainStay Funds Trust MainStay Defensive ETF Allocation Fund Class I	New York, NY	6/23/2020	858306-03	Filed
MainStay Funds Trust MainStay Defensive ETF Allocation Fund Class R3	New York, NY	6/23/2020	858307-03	Filed
MainStay Funds Trust MainStay Equity ETF Allocation Fund Class A	New York, NY	6/23/2020	858320-03	Filed
MainStay Funds Trust MainStay Equity ETF Allocation Fund Class C	New York, NY	6/23/2020	858321-03	Filed
MainStay Funds Trust MainStay Equity ETF Allocation Fund Class I	New York, NY	6/23/2020	858322-03	Filed
MainStay Funds Trust MainStay Equity ETF Allocation Fund Class R3	New York, NY	6/23/2020	858323-03	Filed
MainStay Funds Trust MainStay Growth ETF Allocation Fund Class A	New York, NY	6/23/2020	858316-03	Filed
MainStay Funds Trust MainStay Growth ETF Allocation Fund Class C	New York, NY	6/23/2020	858317-03	Filed
MainStay Funds Trust MainStay Growth ETF Allocation Fund Class I	New York, NY	6/23/2020	858318-03	Filed
MainStay Funds Trust MainStay Growth ETF Allocation Fund Class R3	New York, NY	6/23/2020	858319-03	Filed
MainStay Funds Trust MainStay Moderate ETF Allocation Fund Class A	New York, NY	6/23/2020	858312-03	Filed
MainStay Funds Trust MainStay Moderate ETF Allocation Fund Class C	New York, NY	6/23/2020	858313-03	Filed
MainStay Funds Trust MainStay Moderate ETF Allocation Fund Class I	New York, NY	6/23/2020	858314-03	Filed
MainStay Funds Trust MainStay Moderate ETF Allocation Fund Class R3	New York, NY	6/23/2020	858315-03	Filed
AMG Funds III AMG Managers Cadence Mid Cap Fund Class I	Greenwich, CT	6/22/2020	858273-03	Filed
Number of Investment Company Filings: 85				

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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
A&Q Select (US) LLC - Opportunistic Credit	Stamford, CT	6/26/2020	858488-07	Filed
Artemis Vega Fund, L.P.	Austin, TX	6/26/2020	858487-07	Filed
AVGSF - Glympse Bio 2020	Boston, MA	6/26/2020	858480-07	Filed
AVGSF - Tembo Health 2020	Boston, MA	6/26/2020	858481-07	Filed
Beach Point Strategic Offshore Fund Ltd.	Grand Cayman,	6/26/2020	858468-07	Filed
Boston Common International Catholic SRI Fund LLC	Boston, MA	6/26/2020	858473-07	Filed
EPQ LLC, AMTC PS	Reno, NV	6/26/2020	858482-07	Filed
First Reliance Bancshares Inc.	Florence, SC	6/26/2020	858476-07	Filed
Fortress Credit Opportunities Fund V Expansion (A) LP	New York, NY	6/26/2020	858484-07	Filed
FundersClub MTQ LLC	San Francisco, CA	6/26/2020	858467-07	Filed
Highbridge Convertible Dislocation Fund (Delaware), L.P.	New York, NY	6/26/2020	858478-07	Filed
Innovation X HOLDings Series 2020-1 QP, LLC	New York, NY	6/26/2020	858474-07	Filed
NCS Group Trust International Fund	Edinburgh,	6/26/2020	858470-07	Filed
NuLegacy Gold Corp	Vancouver, BC	6/26/2020	858463-07	Filed
Okami Medical, Inc.	Aliso Viejo, CA	6/26/2020	858471-07	Filed
Reliant Liquidity Fund, LLC	Berwyn, PA	6/26/2020	858479-07	Filed
Shell Shock Technologies, LLC	Westport, CT	6/26/2020	858475-07	Filed
TCW TALF Opportunities Fund LP	Los Angeles, CA	6/26/2020	858472-07	Filed
Thoma Bravo Discover Fund III-A, L.P.	Chicago, IL	6/26/2020	858469-07	Filed
Thoma Bravo Fund XIV, L.P.	Chicago, IL	6/26/2020	858464-07	Filed
Thoma Bravo Fund XIV-A, L.P.	Chicago, IL	6/26/2020	858466-07	Filed
Thoma Bravo Fund XIV-P, L.P.	Chicago, IL	6/26/2020	858465-07	Filed
Thrivent White Rose Real Estate Fund III, L.P.	Minneapolis, MN	6/26/2020	858486-07	Filed
Thrivent White Rose Real Estate GP III, LLC	Minneapolis, MN	6/26/2020	858485-07	Filed
Trutankless, Inc.	Scottsdale, AZ	6/26/2020	858483-07	Filed
Vivaldi Real Estate Platform LLC	Chicago, IL	6/26/2020	858477-07	Filed
Zurex Pharma, Inc.	Middleton, WI	6/26/2020	858489-07	Filed
Brickhouse Ventures Corp.	Vancouver, BC	6/24/2020	858439-07	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
CO Fund I, a series of Xoogler Syndicate, LP	Seattle, WA	6/22/2020	858444-07	Filed
DE Fund I, a series of AngelList-Forefront Venture Partners-Funds, LP	Seattle, WA	6/22/2020	858443-07	Filed
GF Fund III, a series of AX-RN-Funds, LP	Seattle, WA	6/22/2020	858445-07	Filed
Number of Regulation D Notice Filings: 31				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
BNI Franchising, LLC / BNI	Charlotte, NC	6/27/2020	626812	Registered
Tire Pros Francorp, LLC / Tire Pros	Huntersville, NC	6/27/2020	626811	Registered
HEALTH MART SYSTEMS, INC / HEALTH MART	Irving, TX	6/27/2020	626810	Registered
TMC FRANCHISE CORP / Circle K	TEMPE, AZ	6/26/2020	626809	Registered
Holiday Diversified Services, LLC / Holiday Stationstores	Minneapolis, MN	6/26/2020	626808	Registered
Rusty Taco, Inc. / Rusty Taco	Atlanta, GA	6/26/2020	626807	Registered
Pest Authority LLC / Pest Authority	Hickory, NC	6/26/2020	626806	Registered
Famous Dave's of America, Inc. / Famous Dave's®	Minnetonka, MN	6/26/2020	626805	Registered
Jake's Franchising LLC / Wayback Burgers	Cheshire, CT	6/26/2020	626803	Registered
Madabolic Franchise System, LLC / Madabolic	Charlotte, NC	6/26/2020	626802	Registered
Slumberland Franchising, Inc. / Slumberland	Oakdale, MN	6/25/2020	626800	Registered
Groutsmith Franchising, Inc. / Groutsmith	Sarasota, FL	6/25/2020	626799	Registered
E & G FRANCHISE SYSTEMS INC / Erbert & Gerbert's Sandwich Shop	EAU CLAIRE, WI	6/24/2020	626798	Registered
National Property Inspections, Inc.	Omaha, NE	6/24/2020	626796	Registered
Famous Recipe Group, LLC / Lee's Famous Recipe Chicken	Shalimar, FL	6/24/2020	626795	Registered
SP Franchising, LLC / SpeedPro Imaging	Centennial, CO	6/23/2020	626793	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Restoration 1 Franchise Holding, LLC / Restoration 1	Waco, TX	6/22/2020	626791	Registered
Renew Crew, LLC / Renew Crew	Charlottesville, VA	6/22/2020	626790	Registered
Big Air Franchising, LLC / Big Air Trampoline Park	Ladera Ranch, CA	6/22/2020	626789	Registered
Upper Midwest Realty Inc / EXIT Realty Upper Midwest	Lakeville, MN	6/22/2020	626788	Registered
BIMBO FOODS BAKERIES DISTRIBUTION, LLC / Bimbo Foods Bakeries Distribution or BFBD	HORSHAM, PA	6/22/2020	626787	Registered
Number of Franchise Filings: 21				