All Securities Law, Franchise Law, and Take-Over Law Filings for 9/29/2019 through 10/5/2019

### Securities Law Registration Filings Made with DFI’s Securities Division

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Number of Registration Filings: 0

### Securities Law Exemption Filings Made with DFI’s Securities Division

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### Securities Law Federal Covered Security-Investment Company Filings Made with DFI’s Securities Division

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### Securities Law Federal Covered Security-Investment Company Filings Made with DFI’s Securities Division

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**Number of Investment Company Filings: 120**

### Federal Covered Security-Regulation D Notice Filings Made with DFI’s Securities Division

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Federal Covered Security-Regulation D Notice Filings Made with DFI’s Securities Division

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Number of Regulation D Notice Filings: 24

Franchise Law Filings Made with DFI’s Securities Division

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Number of Franchise Filings: 6