

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 1/17/2021 through 1/23/2021**

<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>
<b>Number of Registration Filings: 0</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>
Advisors Disciplined Trust 2050 Agri-Business Opportunities Portfolio, Series 2021-1	Monument, CO	1/22/2021	862696-05	Pending-Cleared
Advisors Disciplined Trust 2050 BRIC Advantage Portfolio, Series 2021-1	Monument, CO	1/22/2021	862745-05	Pending-Cleared
Advisors Disciplined Trust 2051 Balanced Portfolio, Series 2021-1	Monument, CO	1/22/2021	862748-05	Pending-Cleared
Advisors Disciplined Trust 2051 Cohen & Steers Equity Dividend & Income Closed-End Portfolio, Series 2021-1	Monument, CO	1/22/2021	862749-05	Pending-Cleared
Advisors Disciplined Trust 2051 Cohen & Steers New Economy Real Estate Portfolio, Series 2021-1	Monument, CO	1/22/2021	862750-05	Pending-Cleared
Advisors Disciplined Trust 2051 Dividend Strength Portfolio, Series 2021-1 - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	1/22/2021	862751-05	Pending-Cleared
Advisors Disciplined Trust 2051 Financial Opportunities Portfolio, Series 2021-1	Monument, CO	1/22/2021	862752-05	Pending-Cleared
Advisors Disciplined Trust 2051 Ubiquitous Strategy Portfolio, Series 2021-1	Monument, CO	1/22/2021	862753-05	Pending-Cleared
Advisors Disciplined Trust 2055 Bulldog Portfolio, CDA Series 2021-1Q - A Cyrus J. Lawrence LLC ("CJL") Portfolio	Monument, CO	1/22/2021	862746-05	Pending-Cleared

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Advisors Disciplined Trust 2055 Global Dividend Strategy Portfolio, CDA Series 2021-1Q - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	1/22/2021	862747-05	Pending-Cleared
FT 9091 FTP S&P Dvd. Aristocrats Target 25 1Q '21	Wheaton, IL	1/22/2021	862680-05	Pending-Cleared
FT 9091 FTP Value Line® Target Safety 30 1Q '21	Wheaton, IL	1/22/2021	862681-05	Pending-Cleared
FT 9094 Discount Opportunity Closed-End Portfolio, Series 12	Wheaton, IL	1/22/2021	862659-05	Pending-Cleared
FT 9095 UBS Fallen Angels: Equity Advisory Group, 2021 Portfolio	Wheaton, IL	1/22/2021	862660-05	Pending-Cleared
FT 9096 S&P International Dividend Aristocrats Port. 1Q '21	Wheaton, IL	1/22/2021	862666-05	Pending-Cleared
FT 9097 American Recovery Portfolio, Series 4	Wheaton, IL	1/22/2021	862662-05	Pending-Cleared
FT 9098 FTP American Recovery Portfolio, Series 2	Wheaton, IL	1/22/2021	862665-05	Pending-Cleared
FT 9099 Market Strength Allocation Opportunity Portfolio, Series 16	Wheaton, IL	1/22/2021	862663-05	Pending-Cleared
FT 9100 Content Leaders Opportunity Portfolio, Series 18	Wheaton, IL	1/22/2021	862691-05	Pending-Cleared
FT 9101 Content Leaders Portfolio, Series 20	Wheaton, IL	1/22/2021	862692-05	Pending-Cleared
FT 9103 Income Allocation Closed-End 1Q '21	Wheaton, IL	1/22/2021	862684-05	Pending-Cleared
FT 9104 Dow® Target 10 Jan. '21 - Term 2/9/22	Wheaton, IL	1/22/2021	862685-05	Pending-Cleared
FT 9105 Diversified Equity Strategic Allocation Port. 1Q '21 - Term 4/15/22	Wheaton, IL	1/22/2021	862686-05	Pending-Cleared
FT 9106 Target Divsd. Global Allocation 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862687-05	Pending-Cleared
FT 9107 Value Line® Target Safety 30 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862688-05	Pending-Cleared
FT 9108 Target Dvd. Dbl. Play 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862682-05	Pending-Cleared
FT 9108 Target Dvd. Triple Play 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862683-05	Pending-Cleared
FT 9109 Target Dvd. Blend 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862689-05	Pending-Cleared
FT 9109 Target High Quality Dvd. 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862690-05	Pending-Cleared

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FT 9110 Dow® Target 5 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862669-05	Pending-Cleared
FT 9110 Dow® Target Dvd. 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862674-05	Pending-Cleared
FT 9110 S&P Dvd. Aristocrats Target 25 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862675-05	Pending-Cleared
FT 9110 S&P Target 24 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862676-05	Pending-Cleared
FT 9110 S&P Target SMid 60 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862677-05	Pending-Cleared
FT 9110 Target Divsd. Dvd. 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862678-05	Pending-Cleared
FT 9110 Target Focus 4 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862679-05	Pending-Cleared
FT 9110 Target Global Dvd. Leaders 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862668-05	Pending-Cleared
FT 9110 Target Growth 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862670-05	Pending-Cleared
FT 9110 Target Triad 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862671-05	Pending-Cleared
FT 9110 Target VIP 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862672-05	Pending-Cleared
FT 9110 Value Line® Target 25 1Q '21 - Term 4/8/22	Wheaton, IL	1/22/2021	862673-05	Pending-Cleared
FT 9111 Stifel Best Picks, January 2021	Wheaton, IL	1/22/2021	862694-05	Pending-Cleared
FT 9136 Pharmaceutical Select Portfolio, Series 43	Wheaton, IL	1/22/2021	862667-05	Pending-Cleared
FT 9137 Interest Rate Hedge Portfolio, Series 134	Wheaton, IL	1/22/2021	862661-05	Pending-Cleared
FT 9138 Core Three Closed-End Allocation Portfolio, Series 47	Wheaton, IL	1/22/2021	862664-05	Pending-Cleared
FT 9140 Balanced Income Select Portfolio, Series 98	Wheaton, IL	1/22/2021	862693-05	Pending-Cleared
FT 9142 Strategic Income Closed-End Portfolio, Series 80	Wheaton, IL	1/22/2021	862695-05	Pending-Cleared
Segall Bryant & Hamill Trust Segall Bryant & Hamill All Cap Fund Retail Class	Cincinnati, OH	1/22/2021	862655-03	Filed
Segall Bryant & Hamill Trust Segall Bryant & Hamill Emerging Markets Fund Retail Class	Cincinnati, OH	1/22/2021	862656-03	Filed
SmartTrust 502 Argus Dividend Growers Total Return Trust, Series 27	Parsippany, NJ	1/22/2021	862754-05	Pending-Cleared

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SmartTrust 502 Morningstar Dividend Yield Select Trust, Series 16	Parsippany, NJ	1/22/2021	862755-05	Pending-Cleared
Legg Mason Global Asset Management Trust BrandywineGLOBAL - Global Opportunities Bond Fund (USD Hedged) Class A	Baltimore, MD	1/21/2021	862606-03	Filed
Legg Mason Global Asset Management Trust BrandywineGLOBAL - Global Opportunities Bond Fund (USD Hedged) Class C	Baltimore, MD	1/21/2021	862607-03	Filed
BBH Trust BBH Partner Fund - Select Short Term Assets	New York, NY	1/20/2021	862573-03	Filed
Cavanal Hill Funds Hedged Income Fund A Shares	Columbus, OH	1/20/2021	862570-03	Filed
Cavanal Hill Funds Hedged Income Fund Institutional Shares	Columbus, OH	1/20/2021	862571-03	Filed
Cavanal Hill Funds Hedged Income Fund Investor Shares	Columbus, OH	1/20/2021	862572-03	Filed
<b>Number of Investment Company Filings: 57</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>
9051 Normandale Apartments, LP	Frisco, TX	1/22/2021	862709-07	Filed
AseptiScope, Inc.	San Diego, CA	1/22/2021	862706-07	Filed
ASP Willows Bend LLC	Minneapolis, MN	1/22/2021	862722-07	Filed
AVGSF - Axiom Space 2020	Boston, MA	1/22/2021	862727-07	Filed
Babylon Micro-Farms Inc.	Charlottesville, VA	1/22/2021	862715-07	Filed
Blackstone COF IV Co-Investment Fund LP	New York, NY	1/22/2021	862713-07	Filed
Block One Fund, LP	Mc Kinney, TX	1/22/2021	862723-07	Filed
Cadence Group Platform, LLC	New York, NY	1/22/2021	862726-07	Filed
CAI Las Vegas Hotel Partners, LLC	Las Vegas, NV	1/22/2021	862728-07	Filed
CAZ Private Equity Ownership Fund III, L.P.	Houston, TX	1/22/2021	862729-07	Filed
ColdQuanta, Inc.	Boulder, CO	1/22/2021	862725-07	Filed
ENB Financial Corp	Ephrata, PA	1/22/2021	862712-07	Filed

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Flatirons Self-Storage IV DST	Houston, TX	1/22/2021	862720-07	Filed
Harvest Small Cap Partners Qualified, L.P.	San Francisco, CA	1/22/2021	862718-07	Filed
Health Tech Fund I, a series of Voyagers Funds, LP	Seattle, WA	1/22/2021	862719-07	Filed
HSCP Strategic II L.P.	San Francisco, CA	1/22/2021	862717-07	Filed
HUGE Play Inc.	Barrington, RI	1/22/2021	862710-07	Filed
LAGO Innovation Fund II-AI, LP	Atlanta, GA	1/22/2021	862711-07	Filed
Litera Holdco LP	Chicago, IL	1/22/2021	862721-07	Filed
Monetary Metals Bond I, LLC	Scottsdale, AZ	1/22/2021	862714-07	Filed
MVP LS Fund CCXXVIII LLC	Austin, TX	1/22/2021	862702-07	Filed
Normandy Investors TX, LLC	Austin, TX	1/22/2021	862705-07	Filed
Oaktree Opportunities Access Fund XI, L.P.	New York, NY	1/22/2021	862724-07	Filed
Olive Farm Holdings, LLC	Atlanta, GA	1/22/2021	862730-07	Filed
OnLume Inc.	Madison, WI	1/22/2021	862703-07	Filed
Otemanu Mining Fund 2020 LLC	Atlanta, GA	1/22/2021	862731-07	Filed
OUstanding Foods, Inc.	Los Angeles, CA	1/22/2021	862708-07	Filed
Parting Stone, Inc.	Santa Fe, NM	1/22/2021	862707-07	Filed
Quail Ridge 20, LLC	Flowood, MS	1/22/2021	862700-07	Filed
Residence at Hargrove Investors, LLC	Houston, TX	1/22/2021	862716-07	Filed
TGF 1717 R.I. Avenue REIT, LLC	Boston, MA	1/22/2021	862699-07	Filed
Transphorm, Inc.	Goleta, CA	1/22/2021	862704-07	Filed
Yodelay Capital Group LLC	Madison, WI	1/22/2021	862701-07	Filed
<b>Number of Regulation D Notice Filings: 33</b>				

<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>
LearningRx Franchise Corporation / LearningRx Training Center	COLORADO SPRINGS, CO	1/22/2021	627652	Registered
VALVOLINE INSTANT OIL CHANGE FRANCHISING, INC. / VALVOLINE INSTANT OIL CHANGE	LEXINGTON, KY	1/21/2021	627645	Registered

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THE HBH FRANCHISE COMPANY, LLC / "HoneyBaked," "The Honey Baked Ham Co.," and "Honey Baked Ham"	Alphretta, GA	1/20/2021	627643	Registered
Happy Joe's Franchising, Inc. / Happy Joes Pizza and Ice Cream Parlor	Bettendorf, IA	1/19/2021	627638	Registered
The Maids International, LLC / The Maids	Omaha, NE	1/19/2021	627637	Registered
Valmis Corporation / Valmis	Arden Hills, MN	1/19/2021	627634	Registered
<b>Number of Franchise Filings: 6</b>				