

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/24/2021 through 1/30/2021**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Nuveen Global Cities REIT, Inc.	New York, NY	1/29/2021	862768-30	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 2052 Angels Portfolio, Series 2021-1Q	Monument, CO	1/29/2021	862805-05	Pending-Cleared
Advisors Disciplined Trust 2052 Brand Favorites Focus Portfolio, Series 2021-1Q	Monument, CO	1/29/2021	862806-05	Pending-Cleared
Advisors Disciplined Trust 2052 Bulldog Portfolio, Series 2021-1Q - A Cyrus J. Lawrence LLC ("CJL") Portfolio	Monument, CO	1/29/2021	862807-05	Pending-Cleared
Advisors Disciplined Trust 2052 Global Dividend Strategy Portfolio, Series 2021-1Q - A Hartford Investment Management Company ("HIMCO") Portfolio	Monument, CO	1/29/2021	862808-05	Pending-Cleared
Advisors Disciplined Trust 2052 Global Technology Portfolio, Series 2021-1Q	Monument, CO	1/29/2021	862809-05	Pending-Cleared
Advisors Disciplined Trust 2052 Todd International Intrinsic Value Portfolio, Series 2021-1Q	Monument, CO	1/29/2021	862810-05	Pending-Cleared
Advisors Disciplined Trust 2052 Transformers Opportunities Portfolio, Series 2021-1Q	Monument, CO	1/29/2021	862811-05	Pending-Cleared
Advisors Disciplined Trust 2052 Transformers Strategy Portfolio, Series 2021-1Q	Monument, CO	1/29/2021	862812-05	Pending-Cleared
Advisors Disciplined Trust 2053 Blue Chip Covered Call Portfolio, Series 2021-1Q	Monument, CO	1/29/2021	862813-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/24/2021 through 1/30/2021**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Franklin Fund Allocator Series Franklin LifeSmart 2060 Retirement Target Fund Advisor Class	San Mateo, CA	1/29/2021	862763-03	Filed
Franklin Fund Allocator Series Franklin LifeSmart 2060 Retirement Target Fund Class A	San Mateo, CA	1/29/2021	862759-03	Filed
Franklin Fund Allocator Series Franklin LifeSmart 2060 Retirement Target Fund Class C	San Mateo, CA	1/29/2021	862760-03	Filed
Franklin Fund Allocator Series Franklin LifeSmart 2060 Retirement Target Fund Class R	San Mateo, CA	1/29/2021	862761-03	Filed
Franklin Fund Allocator Series Franklin LifeSmart 2060 Retirement Target Fund Class R6	San Mateo, CA	1/29/2021	862762-03	Filed
FT 9112 40/60 Strategic Allocation Port. 1Q '21 - Term 4/18/22	Wheaton, IL	1/29/2021	862847-05	Pending-Cleared
FT 9113 60/40 Strategic Allocation Port. 1Q '21 - Term 4/18/22	Wheaton, IL	1/29/2021	862849-05	Pending-Cleared
FT 9113 75/25 Strategic Allocation Port. 1Q '21 - Term 4/18/22	Wheaton, IL	1/29/2021	862850-05	Pending-Cleared
FT 9114 Diversified Fixed Income ETF Portfolio, Series 46	Wheaton, IL	1/29/2021	862848-05	Pending-Cleared
FT 9117 High Dividend Equity Portfolio, Series 47	Wheaton, IL	1/29/2021	862851-05	Pending-Cleared
FT 9118 Technology Dividend Portfolio, Series 37	Wheaton, IL	1/29/2021	862854-05	Pending-Cleared
FT 9119 DSIP Portfolio, 1st Quarter 2021 Series	Wheaton, IL	1/29/2021	862864-05	Pending-Cleared
FT 9120 Select DSIP Portfolio, 1st Quarter 2021 Series	Wheaton, IL	1/29/2021	862865-05	Pending-Cleared
FT 9125 Capital Strength Buy- Write Portfolio, Series 55	Wheaton, IL	1/29/2021	862861-05	Pending-Cleared
FT 9126 S&P Dividend Aristocrats Buy-Write Portfolio, Series 15	Wheaton, IL	1/29/2021	862858-05	Pending-Cleared
FT 9141 Strategic Income Select Closed-End Portfolio, Series 48	Wheaton, IL	1/29/2021	862852-05	Pending-Cleared
FT 9143 Strategic International Opportunity Portfolio, Series 16	Wheaton, IL	1/29/2021	862853-05	Pending-Cleared
FT 9144 Strategic Dividend Select Portfolio, Series 44	Wheaton, IL	1/29/2021	862855-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/24/2021 through 1/30/2021**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 9146 Energy Select Portfolio, Series 78	Wheaton, IL	1/29/2021	862856-05	Pending-Cleared
FT 9147 Global Dividend Portfolio, Series 65	Wheaton, IL	1/29/2021	862859-05	Pending-Cleared
FT 9158 High Dividend Equity Allocation Portfolio, Series 37	Wheaton, IL	1/29/2021	862863-05	Pending-Cleared
FT 9161 International High Dividend Equity Portfolio, Series 42	Wheaton, IL	1/29/2021	862868-05	Pending-Cleared
FT 9162 Tactical Income Portfolio, Series 64	Wheaton, IL	1/29/2021	862866-05	Pending-Cleared
FT 9163 Cboe Vest Large Cap Deep Buffered Portfolio, Series 11	Wheaton, IL	1/29/2021	862857-05	Pending-Cleared
FT 9188 Tax-Advantaged Municipal Closed-End Portfolio, Series 62	Wheaton, IL	1/29/2021	862862-05	Pending-Cleared
FT 9189 High-Yield Income Closed-End Portfolio, Series 93	Wheaton, IL	1/29/2021	862860-05	Pending-Cleared
FT 9199 Municipal Income Select, Closed-End Portfolio, Series 119	Wheaton, IL	1/29/2021	862867-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2086 Health Care Portfolio, Series 30	Chicago, IL	1/29/2021	862815-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2086 Utilities Portfolio, Series 33	Chicago, IL	1/29/2021	862816-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2087 Balanced Income Builder Portfolio, Series 34	Chicago, IL	1/29/2021	862817-05	Pending-Cleared
Invesco Unit Trusts, Municipal Series 1353: Investment Grade Municipal Trust, 20+ Year Series 196	Downers Grove, IL	1/29/2021	862814-05	Filed
Monogram Orthopaedics Inc.	Austin, TX	1/29/2021	862770-25	Filed
Mutual Fund Series Trust Eventide Core Bond Fund Class I Shares	Elkhorn, NE	1/29/2021	862765-03	Filed
RBC Funds Trust RBC Small Cap Value Fund Class A	Minneapolis, MN	1/29/2021	862764-03	Filed
Red Oak Capital Intermediate Income F	Grand Rapids, MI	1/29/2021	862769-25	Filed
SmartTrust 503 60/40 Quality Allocation Trust, Series 4	Parsippany, NJ	1/29/2021	862869-05	Pending-Cleared
Worthy Community Bonds II, Inc.	Boca Raton, FL	1/29/2021	862771-25	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/24/2021 through 1/30/2021**

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/Pier 88 Convertible Securities Fund Class A Shares	Cincinnati, OH	1/28/2021	862757-03	Filed
Mutual Fund Series Trust Eventide Core Bond Fund Class C Shares	Elkhorn, NE	1/28/2021	862756-03	Filed
Mutual Fund Series Trust Eventide Limited-Term Bond Fund Class C	Elkhorn, NE	1/28/2021	862758-03	Filed
AMG Funds IV AMG Managers LMCG Small Cap Growth Fund Class I	Greenwich, CT	1/25/2021	862738-03	Filed
GuideStone Funds Global Impact Fund Institutional Class	Dallas, TX	1/25/2021	862732-03	Filed
GuideStone Funds Global Impact Fund Investor Class	Dallas, TX	1/25/2021	862733-03	Filed
Nationwide Mutual Funds Nationwide GQG US Quality Equity Fund Class A	West Allis, WI	1/25/2021	862734-03	Filed
Nationwide Mutual Funds Nationwide GQG US Quality Equity Fund Class R6	West Allis, WI	1/25/2021	862735-03	Filed
Nationwide Mutual Funds Nationwide GQG US Quality Equity Fund Eagle Class	West Allis, WI	1/25/2021	862737-03	Filed
Nationwide Mutual Funds Nationwide GQG US Quality Equity Fund Institutional Service Class	West Allis, WI	1/25/2021	862736-03	Filed
PIMCO Flexible Credit Income Fund Class A-1	New York, NY	1/25/2021	862739-59	Filed
Number of Investment Company Filings: 57				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Acretrader 143, LLC	Fayetteville, AR	1/29/2021	862840-07	Filed
AireHealth, Inc.	Winter Springs, FL	1/29/2021	862778-07	Filed
AKO European Long-Only Fund Ltd	Grand Cayman,	1/29/2021	862832-07	Filed
Alkeon Innovation Offshore Fund II, LP	Dublin,	1/29/2021	862801-07	Filed
Antara Capital Onshore Fund LP	New York, NY	1/29/2021	862824-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/24/2021 through 1/30/2021**

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ArrowStream Topco Partnership, L.P.	New York, NY	1/29/2021	862823-07	Filed
Augusta 156, LLC	Mukilteo, WA	1/29/2021	862780-07	Filed
AVG - December 2020 Total Access Fund Q	Boston, MA	1/29/2021	862825-07	Filed
AVG Basecamp 2021	Boston, MA	1/29/2021	862826-07	Filed
Basswood Financial Long Only Fund, L.P.	New York, NY	1/29/2021	862791-07	Filed
BC Exchange Clayton Commerce Center DST	Denver, CO	1/29/2021	862784-07	Filed
BMC Crosswinds, LLC	New York, NY	1/29/2021	862828-07	Filed
BMC Hotel Portfolio, LLC	New York, NY	1/29/2021	862798-07	Filed
Brown Advisory Global Managers, LLLP	Baltimore, MD	1/29/2021	862802-07	Filed
Bunchs Creek Investments, LLC	Jericho, NY	1/29/2021	862772-07	Filed
CFC SS & MHP Fund I, LLC	Van Nuys, CA	1/29/2021	862777-07	Filed
Cloud All Star Fund, LP	Redwood City, CA	1/29/2021	862833-07	Filed
Cobblestone MHC Fund II LP	Oakbrook Terrace, IL	1/29/2021	862799-07	Filed
Commerce Home Mortgage, LLC	Irvine, CA	1/29/2021	862837-07	Filed
CS1031 Promenade at Newnan Crossing Apartments, DST	Glen Allen, VA	1/29/2021	862830-07	Filed
DealArts, Inc.	Mill Valley, CA	1/29/2021	862841-07	Filed
DLP Housing Fund LLC	St Augustine, FL	1/29/2021	862872-07	Filed
Eagle Crest Apartments, LP	New York, NY	1/29/2021	862822-07	Filed
EI Fund I, a series of Shrug Capital, LP	Seattle, WA	1/29/2021	862787-07	Filed
F Street 4949, LLC	Milwaukee, WI	1/29/2021	862796-07	Filed
Gaicho Group Holdings, Inc.	New York, NY	1/29/2021	862781-07	Filed
GBank Financial Holdings Inc.	Las Vegas, NV	1/29/2021	862786-07	Filed
Greenlight Capital Offshore Qualified, Ltd	New York, NY	1/29/2021	862834-07	Filed
Greer Road Investors, LLC	Canton, GA	1/29/2021	862776-07	Filed
GS Elan Harvest Green QOF, LP	Charleston, SC	1/29/2021	862838-07	Filed
GWM-IAR, L.P.	New Orleans, LA	1/29/2021	862793-07	Filed
HedgePremier/Srarboard Value & Opportunity Fund LP	New York, NY	1/29/2021	862779-07	Filed
iCap Equity, LLC	Bellevue, WA	1/29/2021	862789-07	Filed
LODE Payments International LLC	Wilmington, DE	1/29/2021	862795-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/24/2021 through 1/30/2021**

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
LP Operating, LLC	Boerne, TX	1/29/2021	862827-07	Filed
MacKay Municipal High Income Opportunities Fund LP	New York, NY	1/29/2021	862835-07	Filed
MaxOne, Inc.	Michigan, MI	1/29/2021	862803-07	Filed
MC2 Security Fund, LP	Washington, DC	1/29/2021	862790-07	Filed
MLG Private Fund V LLC	Brookfield, WI	1/29/2021	862792-07	Filed
NexPoint Gamma DST	Dallas, TX	1/29/2021	862839-07	Filed
North Rock Fund, L.P.	Palm Beach Gardens, FL	1/29/2021	862785-07	Filed
Northpointe Bancshares Inc.	Grand Rapids, MI	1/29/2021	862831-07	Filed
Osteal Therapeutics, Inc.	San Clemente, CA	1/29/2021	862782-07	Filed
Palace Mortgage Fund, L.P.	Scottsdale, AZ	1/29/2021	862829-07	Filed
Red Clay Provisions, LLC	Charleston, SC	1/29/2021	862821-07	Filed
Sand Lake 4805 LLC	Coral Springs, FL	1/29/2021	862836-07	Filed
Sky Holdco Corp	New York, NY	1/29/2021	862804-07	Filed
Sterling Co-Investment Fund II, LLC	Cleveland, OH	1/29/2021	862800-07	Filed
Sutton Bancshares, Inc.	Attica, OH	1/29/2021	862794-07	Filed
Ubiquity Partners, LP	Overland Park, KS	1/29/2021	862783-07	Filed
YS S3 REL II LLC	New York, NY	1/29/2021	862797-07	Filed
YU Gaingels Fund I, a series of Zachary Ginsburg Funds, LP	Seattle, WA	1/29/2021	862788-07	Filed
LA Fund I, a series of Telegraph Treehouse, LP	Seattle, WA	1/25/2021	862767-07	Filed
Number of Regulation D Notice Filings: 53				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Heyday Franchise, LLC / Heyday	Wilmington, DE	1/29/2021	627685	Registered
KAM Sharp Franchising America Inc. / FlannelJax's	Mississauga, ON	1/29/2021	627683	Registered
InFrasys, Inc. / SealMaster	Sandusky, OH	1/29/2021	627682	Registered
1 Percent Lists Franchises, LLC	Covington, LA	1/28/2021	627681	Registered
Heatwave 101, LLC / 3 Degrees	Sioux Falls, SD	1/28/2021	627680	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/24/2021 through 1/30/2021**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Metal Supermarkets Franchising America Inc. / Metal Supermarkets Franchising America Inc. and Metal Supermarkets	Mississauga, ON	1/28/2021	627679	Registered
ChiroWay Franchise, LLC / ChiroWay	Woodbury, MN	1/28/2021	627677	Registered
Wings Over, Inc	Las Vegas, NV	1/28/2021	627678	Registered
LEADING EDGE MARKETING, INC. / ProSource Wholesale	St. Louis, MO	1/28/2021	627673	Registered
Freecoat Franchising, LLC (area representative) / Freecoat	Charlotte, NC	1/28/2021	627672	Registered
Quiz Holdings, LLC / Quiznos and Quiznos Sub	Denver, CO	1/27/2021	627671	Registered
Beerhead FC, LLC / Beerhead Bar & Eatery	West Palm Beach, FL	1/26/2021	627669	Registered
Exercise Coach USA, LLC / Exercise Coach	Lake Zurich, IL	1/25/2021	627667	Registered
CGI INTERNATIONAL, INC. / COLOR GLO INTERNATIONAL	EDINA, MN	1/25/2021	627666	Registered
Saladworks, LLC / Saladworks	West Conshohocken, PA	1/25/2021	627662	Registered
Jack USA, LLC / Jumping Jack Taxes	Philadelphia, PA	1/25/2021	627659	Registered
DRIPBaR Franchising, LLC / I.M. DRIPBaR	Wrentham, MA	1/25/2021	627657	Registered
DRIPBaR Franchising, LLC / I.M. DRIPBaR (Area Representative)	Wrentham, MA	1/25/2021	627656	Registered
Number of Franchise Filings: 18				