

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/14/2021 through 2/20/2021**

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
FT 9151 American Agenda Portfolio, Series 16	Wheaton, IL	2/19/2021	863005-05	Pending-Cleared
FT 9152 Deep Value Dividend Portfolio, Series 30	Wheaton, IL	2/19/2021	863006-05	Pending-Cleared
FT 9153 Diversified High Income Closed-End Portfolio, Series 43	Wheaton, IL	2/19/2021	863007-05	Pending-Cleared
FT 9164 Preferred Income Portfolio, Series 106	Wheaton, IL	2/19/2021	863008-05	Pending-Cleared
FT 9165 Banking Opportunity Portfolio, Series 41	Wheaton, IL	2/19/2021	863009-05	Pending-Cleared
FT 9166 Cloud Computing Portfolio, Series 32	Wheaton, IL	2/19/2021	863068-05	Pending-Cleared
FT 9167 Defensive Equity Portfolio, Series 56	Wheaton, IL	2/19/2021	863069-05	Pending-Cleared
FT 9168 SMid Capital Strength Opportunity Portfolio, Series 16	Wheaton, IL	2/19/2021	863071-05	Pending-Cleared
FT 9169 Dorsey Wright Relative Strength Top 50, Series 42	Wheaton, IL	2/19/2021	863073-05	Pending-Cleared
FT 9170 Dorsey Wright Relative Strength Dividend Portfolio, Series 42	Wheaton, IL	2/19/2021	863075-05	Pending-Cleared
FT 9172 Cybersecurity Portfolio, Series 23	Wheaton, IL	2/19/2021	863072-05	Pending-Cleared
FT 9192 Equity Closed-End Portfolio, Series 60	Wheaton, IL	2/19/2021	863070-05	Pending-Cleared
FT 9202 Senior Loan & Limited Duration Opportunities Closed-End Portfolio, Series 73	Wheaton, IL	2/19/2021	863074-05	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 2092 National Municipal Portfolio of CEFs, Series 49	Chicago, IL	2/19/2021	863146-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2093 REIT Portfolio, Series 24	Chicago, IL	2/19/2021	863148-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2104 Blue Chip Multinationals Portfolio, Series 20	Chicago, IL	2/19/2021	863149-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2112 Flaherty & Crumrine Preferred Portfolio, Series 52	Chicago, IL	2/19/2021	863147-05	Pending-Cleared
Invesco Unit Trusts, Series 2111:Diversified Healthcare Portfolio 2021-1	Downers Grove, IL	2/19/2021	863076-05	Filed
Invesco Unit Trusts, Series 2111:Energy Portfolio 2021-1	Downers Grove, IL	2/19/2021	863077-05	Filed
Invesco Unit Trusts, Series 2111:Financial Institutions Portfolio 2021-1	Downers Grove, IL	2/19/2021	863078-05	Filed
Invesco Unit Trusts, Series 2111:REIT Income Portfolio 2021-1	Downers Grove, IL	2/19/2021	863079-05	Filed
Invesco Unit Trusts, Series 2111:Utility Income Portfolio 2021-1	Downers Grove, IL	2/19/2021	863080-05	Filed
Invesco Unit Trusts, Series 2112:Dividend Sustainability Strategic Opportunity Portfolio 2021-1	Downers Grove, IL	2/19/2021	863081-05	Filed
Invesco Unit Trusts, Series 2112:Global High Dividend Portfolio 2021-1	Downers Grove, IL	2/19/2021	863082-05	Filed
Invesco Unit Trusts, Series 2113:High Income Allocation Portfolio 2021-1	Downers Grove, IL	2/19/2021	863083-05	Filed
Invesco Unit Trusts, Series 2113:Multi-Asset High Income Portfolio 2021-1	Downers Grove, IL	2/19/2021	863084-05	Filed
Invesco Unit Trusts, Series 2113:Preferred Opportunity Portfolio 2021-1	Downers Grove, IL	2/19/2021	863085-05	Filed
The First Trust® Combined Series 607 Tax Exempt Municipal Income Trust, Series 317	Wheaton, IL	2/19/2021	863150-05	Pending-Cleared
Schwab Capital Trust Schwab Target 2065 Fund	San Francisco, CA	2/18/2021	863003-03	Filed

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Firm Name	Location	Date Received	File Number	Status
Schwab Capital Trust Schwab Target 2065 Index Fund	San Francisco, CA	2/18/2021	863004-03	Filed
JPMorgan Trust I JPMorgan 100% U.S. Treasury Securities Money Market Fund Empower Shares	New York, NY	2/17/2021	862999-03	Filed
JPMorgan Trust I JPMorgan Prime Money Market Fund Empower Shares	New York, NY	2/17/2021	863000-03	Filed
JPMorgan Trust II JPMorgan U.S. Government Money Market Fund Empower Shares	New York, NY	2/17/2021	863001-03	Filed
JPMorgan Trust II JPMorgan U.S. Treasury Plus Money Market Fund Empower Shares	New York, NY	2/17/2021	863002-03	Filed
The Advisors` Inner Circle Fund III SouthernSun Small Cap Fund Class I Shares	Oaks, PA	2/16/2021	862983-03	Filed
The Advisors` Inner Circle Fund III SouthernSun Small Cap Fund Class N Shares	Oaks, PA	2/16/2021	862982-03	Filed
The Advisors` Inner Circle Fund III SouthernSun U.S. Equity Fund Class I Shares	Oaks, PA	2/16/2021	862985-03	Filed
The Advisors` Inner Circle Fund III SouthernSun U.S. Equity Fund Class N Shares	Oaks, PA	2/16/2021	862984-03	Filed
Number of Investment Company Filings: 38				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
1276268 B.C. Ltd	Vancouver, BC	2/19/2021	863035-07	Filed
4001 South Willow QOF, LLC	Seattle, WA	2/19/2021	863041-07	Filed
80 Christian Dr, LP	Ada, OK	2/19/2021	863038-07	Filed
Activant Ventures IV, LP	Greenwich, CT	2/19/2021	863040-07	Filed
Alkeon Growth Offshore Fund II, Ltd.	Grand Cayman,	2/19/2021	863049-07	Filed
Alkeon Innovation Fund II, LP	New York, NY	2/19/2021	863037-07	Filed
Avenue Growth Partners Fund I LP	Washington, DC	2/19/2021	863045-07	Filed
AWE Lakeview Investor LLC	New York, NY	2/19/2021	863050-07	Filed
Axiom Direct Investors, LLC	Baltimore, MD	2/19/2021	863026-07	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
Bowery Capital III Friends, L.P.	New York, NY	2/19/2021	863028-07	Filed
EAM Long-Only Emerging Markets Fund Delaware, LP	London,	2/19/2021	863027-07	Filed
FOXO Technologies Inc.	Minneapolis, MN	2/19/2021	863051-07	Filed
Gauge Capital III LP	Southlake, TX	2/19/2021	863033-07	Filed
HGI Opportunity Fund XV, LP	Norfolk, VA	2/19/2021	863043-07	Filed
Kabouter International Opportunities Offshore Fund II, Ltd.	Grand Cayman,	2/19/2021	863023-07	Filed
LC Kentucky 360 Partners, LLC	Carmel, IN	2/19/2021	863036-07	Filed
LSC-Lewisville 55 Plus, DST	Radnor, PA	2/19/2021	863046-07	Filed
MB Banc Corp, Inc.	Wall Township, NJ	2/19/2021	863032-07	Filed
Medical Engineering Innovations, Inc.	Madison, WI	2/19/2021	863042-07	Filed
MVP LS Fund CCXL, LLC	Austin, TX	2/19/2021	863025-07	Filed
Pearlmark Mezzanine Realty Partners V, L.P.	Chicago, IL	2/19/2021	863029-07	Filed
Preceptis Medical, Inc.	Maple Grove, MN	2/19/2021	863048-07	Filed
ROM Technologies, Inc.	Brookfield, CT	2/19/2021	863031-07	Filed
Tempe Investors 1, LLC	Redondo Beach, CA	2/19/2021	863039-07	Filed
Tommy's Express Holdings, Inc.	Sarasota, FL	2/19/2021	863034-07	Filed
TPI Goal Acquisitions Investment I, LLC	Franklin, MA	2/19/2021	863024-07	Filed
W&D Real Estate Opportunities Fund, L.P.	Denver, CO	2/19/2021	863047-07	Filed
W&D Real Estate Opportunities Fund, L.P.	Denver, CO	2/19/2021	863044-07	Filed
Western Wealth Capital LIX US Investor, LP	Phoenix, AZ	2/19/2021	863030-07	Filed
Diametric Partners, LP	Fredericksbrg, VA	2/15/2021	862986-07	Filed
Number of Regulation D Notice Filings: 30				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Your CBD Stores Franchising, LLC / Your CBD Store	Palmetto, FL	2/19/2021	628733	Registered

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GREAT HARVEST FRANCHISING, INC / Great Harvest Bread Co.	DILLON, MT	2/19/2021	628732	Registered
GNC Holdings, LLC / GNC	Pittsburgh, PA	2/19/2021	628731	Registered
Cobblestone Hotels, LLC / Cobblestone Inn & Suites; Cobblestone Hotel & Suites	Neenah, WI	2/19/2021	628730	Registered
Cobblestone Hotels, LLC / Boarders Inn & Suites by Cobblestone	Neenah, WI	2/19/2021	628729	Registered
Cobblestone Hotels, LLC / Key West	Neenah, WI	2/19/2021	628728	Registered
Cobblestone Hotels, LLC / Centerstone	Neenah, WI	2/19/2021	628727	Registered
CK Franchising, Inc. / Comfort Keepers	Irvine, CA	2/18/2021	628725	Registered
Color Me Mine LLC / Color Me Mine	Mandeville, LA	2/18/2021	628724	Registered
Coaching Matters, LLC / Fundraising U	Loch Lloyd, MO	2/17/2021	627723	Registered
Jan-Pro Franchising International, Inc. / Jan-Pro	Alpharetta, GA	2/16/2021	627722	Registered
The Intelligent Office System, LLC	Alpharetta, GA	2/15/2021	627721	Registered
The Beef Jerky Outlet Franchise, Inc. / The Beef Jerky Experience	Kodak, TN	2/15/2021	627719	Registered
Legion Franchise Group, LLC / Lead Innovations	Bellevue, NE	2/15/2021	627720	Registered
JPAR FRANCHISING, LLC / JPAR	Frisco, TX	2/15/2021	627718	Registered
Number of Franchise Filings: 15				