

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/21/2021 through 2/27/2021**

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
Advisors Disciplined Trust 2056 Aerospace/Defense Opportunities Portfolio, Series 2021-1	Monument, CO	2/26/2021	863154-05	Pending-Cleared
Advisors Disciplined Trust 2056 Cohen & Steers Covered Call & Income Strategies Closed-End Portfolio, Series 2021-1	Monument, CO	2/26/2021	863155-05	Pending-Cleared
Advisors Disciplined Trust 2056 Cohen & Steers Dynamic Income Portfolio, Series 2021-1	Monument, CO	2/26/2021	863156-05	Pending-Cleared
Advisors Disciplined Trust 2056 Tactical Income Closed-End Portfolio, Series 2021-1	Monument, CO	2/26/2021	863157-05	Pending-Cleared
Advisors Disciplined Trust 2057 Biotechnology Opportunities Portfolio - 15 Month, CDA Series 2021-1Q	Monument, CO	2/26/2021	863151-05	Pending-Cleared
Advisors Disciplined Trust 2057 Kayne Anderson Renewable Infrastructure Portfolio, CDA Series 2021-1Q	Monument, CO	2/26/2021	863152-05	Pending-Cleared
Advisors Disciplined Trust 2057 Ubiquitous Strategy Portfolio - 15 Month Portfolio, CDA Series 2021-1Q	Monument, CO	2/26/2021	863153-05	Pending-Cleared
DoubleLine Funds Trust DoubleLine Multi-Asset Trend Fund Class I Shares	West Allis, WI	2/26/2021	863086-03	Filed
DoubleLine Funds Trust DoubleLine Multi-Asset Trend Fund Class N Shares	West Allis, WI	2/26/2021	863087-03	Filed

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Firm Name	Location	Date Received	File Number	Status
FT 9159 Automated Quantitative Analysis (AQA®) Portfolio, Series 22	Wheaton, IL	2/26/2021	863158-05	Pending-Cleared
FT 9160 Dow® Target 10 Feb. '21 - Term 3/9/22	Wheaton, IL	2/26/2021	863161-05	Pending-Cleared
FT 9171 Global Equity Income Closed-End Portfolio, Series 72	Wheaton, IL	2/26/2021	863160-05	Pending-Cleared
FT 9174 Election Portfolio, Series 18	Wheaton, IL	2/26/2021	863164-05	Pending-Cleared
FT 9175 U.S. Equity Closed-End Portfolio, Series 37	Wheaton, IL	2/26/2021	863165-05	Pending-Cleared
FT 9176 Cyclical Strength Portfolio, Series 33	Wheaton, IL	2/26/2021	863166-05	Pending-Cleared
FT 9177 Water Utility & Infrastructure Select Portfolio, Series 61	Wheaton, IL	2/26/2021	863167-05	Pending-Cleared
FT 9181 Corporate Investment Grade Laddered Portfolio, Series 15	Wheaton, IL	2/26/2021	863163-05	Pending-Cleared
FT 9230 Cboe Vest Large Cap Deep Buffered Portfolio, Series 12	Wheaton, IL	2/26/2021	863162-05	Pending-Cleared
FT 9244 Balanced Income Select Portfolio, Series 99	Wheaton, IL	2/26/2021	863159-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2094 Diversified Credit Portfolio of ETFs, Series 18	Chicago, IL	2/26/2021	863234-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2096 Blue Chip Dividend Portfolio, Series 3	Chicago, IL	2/26/2021	863236-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2096 Blue Chip Growth Portfolio, Series 29	Chicago, IL	2/26/2021	863237-05	Pending-Cleared
Invesco Unit Trusts, Taxable Income Series 635:Investment Grade Corporate Trust, 3-7 Year Series 32	Downers Grove, IL	2/26/2021	863232-05	Pending-Cleared
m+ funds Trust m+ Buffer 20 Fund, Series 1-15	Darien, CT	2/26/2021	863218-05	Filed
Parnassus Funds Parnassus Mid Cap Growth Fund Institutional Shares	san Francisco, CA	2/26/2021	863067-03	Filed
Parnassus Funds Parnassus Mid Cap Growth Fund Investor Shares	san Francisco, CA	2/26/2021	863066-03	Filed
SmartTrust 506 Interest Rate Outlook Trust, Series 3	Parsippany, NJ	2/26/2021	863233-05	Pending-Cleared

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The UBS Funds UBS All China Equity Fund Class P	Chicago, IL	2/26/2021	863088-03	Filed
Uncommon Givingt Corporation	Scottsdale, AZ	2/26/2021	863169-25	Filed
Worthy Peer Capital, Inc.	Boca Raton, FL	2/26/2021	863168-25	Filed
Forum Funds Absolute Convertible Arbitrage Fund Investor Shares	Portland, ME	2/25/2021	863053-03	Filed
JPMorgan Trust IV JPMorgan Hedged Equity 2 Fund Class A Shares	New York, NY	2/25/2021	863054-03	Filed
JPMorgan Trust IV JPMorgan Hedged Equity 2 Fund Class C Shares	New York, NY	2/25/2021	863055-03	Filed
JPMorgan Trust IV JPMorgan Hedged Equity 2 Fund Class I Shares	New York, NY	2/25/2021	863056-03	Filed
JPMorgan Trust IV JPMorgan Hedged Equity 2 Fund Class R5 Shares	New York, NY	2/25/2021	863057-03	Filed
JPMorgan Trust IV JPMorgan Hedged Equity 2 Fund Class R6 Shares	New York, NY	2/25/2021	863058-03	Filed
JPMorgan Trust IV JPMorgan Hedged Equity 3 Fund Class A Shares	New York, NY	2/25/2021	863059-03	Filed
JPMorgan Trust IV JPMorgan Hedged Equity 3 Fund Class C Shares	New York, NY	2/25/2021	863060-03	Filed
JPMorgan Trust IV JPMorgan Hedged Equity 3 Fund Class I Shares	New York, NY	2/25/2021	863061-03	Filed
JPMorgan Trust IV JPMorgan Hedged Equity 3 Fund Class R5 Shares	New York, NY	2/25/2021	863062-03	Filed
JPMorgan Trust IV JPMorgan Hedged Equity 3 Fund Class R6 Shares	New York, NY	2/25/2021	863063-03	Filed
KraneShares Trust Krane-UBS China A Share Fund Institutional Class	New York, NY	2/25/2021	863064-03	Pending-Cleared
KraneShares Trust Krane-UBS China A Share Fund Investor Class	New York, NY	2/25/2021	863065-03	Pending-Cleared
Ashmore Funds Ashmore Emerging Markets Corporate Income ESG Fund Institutional Class Shares	London,	2/23/2021	863014-03	Filed

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Firm Name	Location	Date Received	File Number	Status
MFS Series Trust VII MFS Emerging Markets Equity Research Fund Class A Shares	Boston, MA	2/23/2021	863015-03	Filed
MFS Series Trust VII MFS Emerging Markets Equity Research Fund Class C Shares	Boston, MA	2/23/2021	863016-03	Filed
MFS Series Trust VII MFS Emerging Markets Equity Research Fund Class I Shares	Boston, MA	2/23/2021	863017-03	Filed
MFS Series Trust VII MFS Emerging Markets Equity Research Fund Class R1 Shares	Boston, MA	2/23/2021	863019-03	Filed
MFS Series Trust VII MFS Emerging Markets Equity Research Fund Class R2 Shares	Boston, MA	2/23/2021	863021-03	Filed
MFS Series Trust VII MFS Emerging Markets Equity Research Fund Class R3 Shares	Boston, MA	2/23/2021	863018-03	Filed
MFS Series Trust VII MFS Emerging Markets Equity Research Fund Class R4 Shares	Boston, MA	2/23/2021	863020-03	Filed
MFS Series Trust VII MFS Emerging Markets Equity Research Fund Class R6 Shares	Boston, MA	2/23/2021	863022-03	Filed
Smead Funds Trust Smead Value Fund Class C Shares	Seattle, WA	2/22/2021	863220-03	Filed
The Alger Funds Alger Mid Cap Focus Fund Class Y	New York, NY	2/22/2021	863010-03	Filed
Number of Investment Company Filings: 54				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
1031 CF Bridge Fund, LLC	Irvine, CA	2/26/2021	863194-07	Filed
Akeso Biomedical, Inc.	Burlington, MA	2/26/2021	863197-07	Filed
AnswersNow, Inc.	Richmond, VA	2/26/2021	863173-07	Filed
Atalan Offshore Fund, Ltd.	Grand Cayman,	2/26/2021	863215-07	Filed
AVG Anti-Bias Fund 1	Boston, MA	2/26/2021	863203-07	Filed
AVGSF - Ocient 2020, LLC	Boston, MA	2/26/2021	863202-07	Filed
AVGSF - Yumi 2020, LLC	Boston, MA	2/26/2021	863201-07	Filed
AZ Gaingels Fund I, a series of AngelList-GP-Funds-I, LP	Seattle, WA	2/26/2021	863176-07	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
Badger State Opportunity Fund, LLC	Racine, WI	2/26/2021	863226-07	Filed
Caddo LCDA Custodial Account, LLC	Little Rock, AR	2/26/2021	863208-07	Filed
CIP Rev1 LP	Dallas, TX	2/26/2021	863191-07	Filed
Cordoba Indy I LLC	Saratoga, CA	2/26/2021	863211-07	Filed
Credit Alternatives Fund LLC	Chicago, IL	2/26/2021	863172-07	Filed
CS Avalon Investors, LP	Ft Worth, TX	2/26/2021	863199-07	Filed
Disruptive Ventures Remote Revolution LLC Series ZD-I	New York, NY	2/26/2021	863212-07	Filed
Diversified Residential Portfolio DST	Oak Brook, IL	2/26/2021	863185-07	Filed
Enmass Energy Corp	Durham, NC	2/26/2021	863179-07	Filed
Enmass Energy Corp	Durham, NC	2/26/2021	863180-07	Filed
F Street BD, LLC	Milwaukee, WI	2/26/2021	863190-07	Filed
GDP Haven Mansfield, LLC	Houston, TX	2/26/2021	863182-07	Filed
GI Fund I, a series of First Check Ventures, LP	Seattle, WA	2/26/2021	863177-07	Filed
Inspired Biometrics Inc.	Ada, MI	2/26/2021	863189-07	Filed
Ironsides Co-Investment Fund VI, L.P.	Andover, MA	2/26/2021	863187-07	Filed
Ironsides Partnership Fund VI, L.P.	Andover, MA	2/26/2021	863186-07	Filed
Keysville Pecan Orchard Opportunity Fund LLC	Savannah, GA	2/26/2021	863205-07	Filed
KN Fund I, a series of Parade VC, LP	Seattle, WA	2/26/2021	863175-07	Filed
Krensavage Partners Too, LP	New York, NY	2/26/2021	863198-07	Filed
L2 Ventures LP	New York, NY	2/26/2021	863171-07	Filed
LeaseLock, Inc.	Marina DI Rey, CA	2/26/2021	863170-07	Filed
Lighthouse Global Long/Short Fund Ltd	George Town,	2/26/2021	863214-07	Filed
Magnetar PRA Fund LLC	Evanston, IL	2/26/2021	863213-07	Filed
MCAP #9H Joint Venture	Dallas, TX	2/26/2021	863206-07	Filed
Mindful Measures, Inc.	Milwaukee, WI	2/26/2021	863196-07	Filed
Mobileoffer, Inc.	Calabasas, CA	2/26/2021	863183-07	Filed
PM Topco Inc.	Covington, KY	2/26/2021	863204-07	Filed
PR Gaingels Fund I, a series of Zachary Ginsburg Funds, LP	Seattle, WA	2/26/2021	863178-07	Filed
PVM Halter, LLC	Chicago, IL	2/26/2021	863209-07	Filed

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Firm Name	Location	Date Received	File Number	Status
Rackhouse Venture Capital LP	Menlo Park, CA	2/26/2021	863207-07	Filed
Senseware, Inc.	Vienna, VA	2/26/2021	863195-07	Filed
SPI DFW 351 DE, LLC	Dallas, TX	2/26/2021	863193-07	Filed
Sprott Resource Lending & Opportunities Master LP	Carlsbad, CA	2/26/2021	863174-07	Filed
Sy Fund I, a series of AX-RN-Funds, LP	Seattle, WA	2/26/2021	863184-07	Filed
Tudor Riverbend Crossing Partners Ltd.	Toronto, ON	2/26/2021	863216-07	Filed
Turtle Creek Investors LLC	Los Angeles, CA	2/26/2021	863210-07	Filed
VE Fund I, a series of FZM Opportunities, LP	Seattle, WA	2/26/2021	863188-07	Filed
Westminster Realty Partners V LP	Lake Forest, IL	2/26/2021	863200-07	Filed
Yo-Health Inc.	Lido Beach, NY	2/26/2021	863217-07	Filed
YU Fund II, a series of First Check Ventures, LP	Seattle, WA	2/26/2021	863181-07	Filed
RE Fund II, a series of AngelList-Forefront Venture Partners-Funds, LP	Seattle, WA	2/23/2021	863052-07	Filed
Number of Regulation D Notice Filings: 49				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Apna Franchise LLC / Apna Bazar	Hicksville, NY	2/26/2021	628756	Registered
CareBuilders At Home, LLC / CareBuilders At Home	Lake Success, NY	2/26/2021	628755	Registered
RE/MAX North Central, Inc. / RE/MAX	Mississauga, ON	2/26/2021	628754	Registered
PACCAR Leasing Company, a division of PACCAR Financial Corp.	Bellevue, WA	2/26/2021	628752	Registered
Vision Source LP / Vision Source	Kingwood, TX	2/26/2021	628753	Registered
EOS Worldwide Franchising, LLC / EOS Worldwide	Livonia, MI	2/26/2021	628751	Registered
Bonchon Franchise LLC / Bonchon Business and Restaurant	Dallas, TX	2/26/2021	628750	Registered
ANNEX BRANDS INC / Annex Brands Commercial Center	SAN DIEGO, CA	2/25/2021	628748	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Stanley Industrial & Automotive, LLC / Mac Tools Division	Westerville, OH	2/24/2021	628744	Registered
Surface Specialists Systems, Inc. / Surface Specialists	Matthews, NC	2/24/2021	628743	Registered
Young Rembrandts Franchise, Inc. / Young Rembrandts	Elgin, IL	2/23/2021	628742	Registered
DRYER VENT SQUAD FRANCHISING LLC	Nashville, TN	2/22/2021	628741	Registered
Frost Shades Franchise, LLC / Leo Goldberger	Nashville, TN	2/22/2021	628740	Registered
Line-X Franchising, LLC / Line-X	Huntsville, AL	2/22/2021	628737	Registered
Number of Franchise Filings: 14				