

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 3/7/2021 through 3/13/2021**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CNL Strategic Capital, LLC	Orlando, FL	3/12/2021	863289-01	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 2071 UBS Tactical Investment Portfolios, POTUS 46	Monument, CO	3/12/2021	863444-05	Pending-Cleared
FT 9200 Capital Strength Portfolio, Series 55	Wheaton, IL	3/12/2021	863373-05	Pending-Cleared
FT 9207 AI, Robotics & Technology Opportunity Portfolio, Series 15	Wheaton, IL	3/12/2021	863375-05	Pending-Cleared
FT 9208 E-Commerce Opportunity Portfolio, Series 15	Wheaton, IL	3/12/2021	863376-05	Pending-Cleared
FT 9209 MLP Closed-End Fund and Energy Portfolio, Series 71	Wheaton, IL	3/12/2021	863377-05	Pending-Cleared
FT 9210 Mega-Cap Portfolio, Series 60	Wheaton, IL	3/12/2021	863379-05	Pending-Cleared
FT 9211 NextGen Communications and Technology Portfolio, Series 9	Wheaton, IL	3/12/2021	863378-05	Pending-Cleared
FT 9212 Aerospace & Defense Portfolio, Series 31	Wheaton, IL	3/12/2021	863383-05	Pending-Cleared
FT 9213 Brookmont Equity Dividend Portfolio, Series 27	Wheaton, IL	3/12/2021	863382-05	Pending-Cleared
FT 9214 Dow Jones Global Titans Portfolio, Series 33	Wheaton, IL	3/12/2021	863380-05	Pending-Cleared
FT 9239 REIT Growth & Income Select Portfolio, Series 56	Wheaton, IL	3/12/2021	863381-05	Pending-Cleared
FT 9247 Strategic Income Select Closed-End Portfolio, Series 49	Wheaton, IL	3/12/2021	863374-05	Pending-Cleared
GolfSuites 1, Inc.	Riverview, FL	3/12/2021	863333-25	Filed

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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
Good Earth Organics, Inc.	Cave Junction, OR	3/12/2021	863332-25	Filed
Invesco Unit Trusts, Series 2114 Defensive Equity & Income Portfolio 2021-1	Downers Grove, IL	3/12/2021	863428-05	Filed
Invesco Unit Trusts, Series 2114 Digital Gaming Portfolio 2021-1	Downers Grove, IL	3/12/2021	863429-05	Filed
Invesco Unit Trusts, Series 2114 Emerging Markets Dividend Portfolio 2021-1	Downers Grove, IL	3/12/2021	863430-05	Filed
Invesco Unit Trusts, Series 2115 Select 10 Industrial Portfolio 2021-2	Downers Grove, IL	3/12/2021	863431-05	Filed
Invesco Unit Trusts, Series 2116 ETF Allocation Portfolio 2021-1	Downers Grove, IL	3/12/2021	863432-05	Filed
Invesco Unit Trusts, Series 2116 ETF Diversified Income Portfolio 2021-1	Downers Grove, IL	3/12/2021	863433-05	Filed
Invesco Unit Trusts, Series 2117 ESG Opportunity Portfolio 2021-2	Downers Grove, IL	3/12/2021	863434-05	Filed
Invesco Unit Trusts, Series 2117 Insider Buy Strategy 2021-2	Downers Grove, IL	3/12/2021	863436-05	Filed
Invesco Unit Trusts, Series 2117 The Dow Jones Total Market Portfolio, Enhanced Index Strategy 2021-2	Downers Grove, IL	3/12/2021	863435-05	Filed
Invesco Unit Trusts, Series 2118 Global Water Portfolio 2021-1	Downers Grove, IL	3/12/2021	863437-05	Filed
Invesco Unit Trusts, Series 2119 American Innovation Leaders Portfolio 2021-1	Downers Grove, IL	3/12/2021	863440-05	Filed
Invesco Unit Trusts, Series 2119 Global Technology Leaders Portfolio 2021-2	Downers Grove, IL	3/12/2021	863438-05	Filed
Invesco Unit Trusts, Series 2119 New World Leaders Portfolio 2021-1	Downers Grove, IL	3/12/2021	863441-05	Filed
Invesco Unit Trusts, Series 2119 U.S. Defense Portfolio 2021-1	Downers Grove, IL	3/12/2021	863439-05	Filed
Invesco Unit Trusts, Series 2120 American Innovation Leaders CDA Portfolio 2021-1	Downers Grove, IL	3/12/2021	863443-05	Filed
Invesco Unit Trusts, Series 2120 Global Technology Leaders CDA Portfolio 2021-2	Downers Grove, IL	3/12/2021	863442-05	Filed
RAD Diversified REIT, Inc.	Tampa, FL	3/12/2021	863331-25	Filed

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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
Dodge & Cox Funds Dodge & Cox Emerging Markets Stock Fund	San Francisco, CA	3/11/2021	863255-03	Filed
Morgan Stanley Institutional Fund Trust Dynamic Value Portfolio Class A	New York, NY	3/11/2021	863251-03	Pending-Cleared
Morgan Stanley Institutional Fund Trust Dynamic Value Portfolio Class C	New York, NY	3/11/2021	863252-03	Pending-Cleared
Morgan Stanley Institutional Fund Trust Dynamic Value Portfolio Class I	New York, NY	3/11/2021	863253-03	Pending-Cleared
Morgan Stanley Institutional Fund Trust Dynamic Value Portfolio Class IS	New York, NY	3/11/2021	863254-03	Pending-Cleared
Waycross Independent Trust Waycross Focused Equity Fund	Louisville, KY	3/11/2021	863256-03	Filed
Virtus Opportunities Trust Virtus KAR International Small-Mid Cap Fund Class A	Greenfield, MA	3/10/2021	863235-03	Filed
Smead Funds Trust Smead Value Fund Class Y Shares	Seattle, WA	3/9/2021	863257-03	Filed
Advisors Preferred Trust Quantified Tactical Sectors Fund Investor Class Shares	Omaha, NE	3/8/2021	863231-03	Filed
Number of Investment Company Filings: 40				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
All Pro Monument Ridge LLLP	Colorado Springs, CO	3/12/2021	863337-07	Filed
BG LLH, LLC	San Francisco, CA	3/12/2021	863349-07	Filed
Blue Stem Properties, LLC	New York, NY	3/12/2021	863336-07	Filed
California Ethanol Power, LLC	Brawley, CA	3/12/2021	863340-07	Filed
Circulogene Theranostics, Inc.	Birmingham, AL	3/12/2021	863342-07	Filed
Continental Properties Real Estate Development Fund I, L.P.	Menomonee Falls, WI	3/12/2021	863346-07	Filed
CWS SAF XII QPF, LLC	Newport Beach, CA	3/12/2021	863366-07	Filed
GeoOptics, Inc.	Pasadena, CA	3/12/2021	863352-07	Filed
GOF Finance VI, L.P.	Dayton, OH	3/12/2021	863339-07	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
IK Small Cap III DC Fund No. 1 SCSp	Luxembourg,	3/12/2021	863343-07	Filed
IK Small Cap III Fund No. 1 SCSp	Luxembourg,	3/12/2021	863344-07	Filed
Imperial Helium Corp.	Calgary, AB	3/12/2021	863368-07	Filed
Industry Ventures IX Private Investors Offshore, L.P.	New York, NY	3/12/2021	863357-07	Filed
Innovation X Holdings Series 2021-1 QP, LLC	New York, NY	3/12/2021	863338-07	Filed
Jage Media, Inc.	Bainbridge Island, WA	3/12/2021	863350-07	Filed
KO Storage of Portage II, LLC	Minneapolis, MN	3/12/2021	863354-07	Filed
Kula Ventures 2 LTD	Las Vegas, NV	3/12/2021	863362-07	Filed
LLCP Lower Middle Market Fund III, L.P.	Beverly Hills, CA	3/12/2021	863351-07	Filed
MCG Madison Apex Investors Pref, LLC	Charlotte, NC	3/12/2021	863348-07	Filed
MVP All-Star Fund IV, LP	New York, NY	3/12/2021	863365-07	Filed
Oak Apartment Portfolio VI, LP	Deerfield, IL	3/12/2021	863359-07	Filed
Origin Ventures V-A, L.P.	Chicago, IL	3/12/2021	863347-07	Filed
OXOS Series #5 Holdings, LLC	Atlanta, GA	3/12/2021	863345-07	Filed
Penwood Select Industrial Fund VI, L.P.	West Hartford, CT	3/12/2021	863360-07	Filed
RWF Rock Hill, LLC	Santa Barbara, CA	3/12/2021	863356-07	Filed
S2A Investments 9, LLC	Palo Alto, CA	3/12/2021	863367-07	Filed
SmartKem, Inc.	Manchester,	3/12/2021	863363-07	Filed
Sprott Hathaway Special Situations Fund (US) LP	Carlsbad, CA	3/12/2021	863334-07	Filed
Sunrise Ho Omana LLC	Las Vegas, NV	3/12/2021	863358-07	Filed
Sunrise Ohana LLC	Las Vegas, NV	3/12/2021	863355-07	Filed
USR Rolater LLC	Frisco, TX	3/12/2021	863341-07	Filed
Vinings Holdings, Inc.	Wexford, PA	3/12/2021	863353-07	Filed
Western Magnesium Corp.	Vancouver, BC	3/12/2021	863364-07	Filed
Westridge Lending Fund II, LLC	Los Angeles, CA	3/12/2021	863335-07	Filed
Zila Works, SPC	Renton, WA	3/12/2021	863361-07	Filed
Carolina Cloud Exchange, Inc.	Huntersville, NC	3/9/2021	863287-07	Filed
Number of Regulation D Notice Filings: 36				

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Black Beer, LLC / The Growler Guys	Grants Pass, OR	3/12/2021	628800	Registered
PAR FOOD SERVICE, INC. / GEORGE WEBB RESTAURANTS	WAUKESHA, WI	3/12/2021	628799	Registered
Enviro-Master International Franchise, LLC / Enviro-Master	Charlotte, NC	3/11/2021	628796	Registered
ABC, Inc., a North Dakota corporation / abc Seamless	Fargo, ND	3/11/2021	628795	Registered
Breadsmith Franchising Inc / Breadsmith	Whitefish Bay, WI	3/10/2021	628794	Registered
ROI Franchising, Inc. / Roll On In	Batavia, OH	3/10/2021	628793	Registered
Buzzed Bull Franchising, LLC / Buzzed Bull Creamery	Batavia, OH	3/10/2021	628791	Registered
Transworld Business Advisors, LLC / Transworld	West Palm Beach, FL	3/10/2021	628792	Registered
BAB Ventures Franchising, LLC / PureOne Services	Brooklyn Park, MN	3/10/2021	628790	Registered
Premier Franchising Group, LLC / Premier Martial Arts Studios	Knoxville, TN	3/10/2021	628789	Registered
Murphy Business & Financial Corporation LLC / Murphy Business & Financial Corporation	Clearwater, FL	3/9/2021	628787	Registered
Inter-State Studio Franchise, LLC / Inter-State Studio	Sedalia, MO	3/9/2021	628786	Registered
GK USA Franchise, LLC / Garage Kings	Wilmington, DE	3/9/2021	628785	Registered
JFE Franchising, Inc. / JFE, Sushi Box, Snow Fox	Houston, TX	3/9/2021	628784	Registered
Matco Tools Corporation / "Matco Tools", "Matco Tools Corporation", and "Matco"	STOW, OH	3/8/2021	628782	Registered
Koala Franchise, LLC / Koala Insulation	Melbourne, FL	3/8/2021	628780	Registered
Number of Franchise Filings: 16				