

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/23/2021 through 5/29/2021**

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
Healthier Choices Management Corp.	Brentwood, NY	5/25/2021	864305-08	Not Disallowed
Number of Exemption Filings: 1				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Capitol Series Trust Fuller & Thaler Behavioral Unconstrained Equity Fund A Shares	Cincinnati, OH	5/27/2021	864288-03	Filed
Capitol Series Trust Fuller & Thaler Behavioral Unconstrained Equity Fund C Shares	Cincinnati, OH	5/27/2021	864286-03	Filed
Capitol Series Trust Fuller & Thaler Behavioral Unconstrained Equity Fund Institutional Shares	Cincinnati, OH	5/27/2021	864287-03	Filed
FT 9355 Low Volatility Portfolio, Series 24	Wheaton, IL	5/27/2021	864373-05	Pending-Cleared
FT 9356 Global Commodities Opportunity Portfolio, Series 40	Wheaton, IL	5/27/2021	864375-05	Pending-Cleared
FT 9357 Tactical Alpha Portfolio, Series 29	Wheaton, IL	5/27/2021	864376-05	Pending-Cleared
FT 9358 Biotechnology Portfolio, Series 53	Wheaton, IL	5/27/2021	864372-05	Pending-Cleared
FT 9364 S&P Dividend Aristocrats Buy-Write Portfolio, Series 17	Wheaton, IL	5/27/2021	864369-05	Pending-Cleared
FT 9365 Capital Strength Buy-Write Portfolio, Series 57	Wheaton, IL	5/27/2021	864367-05	Pending-Cleared
FT 9378 Dividend Income Trust, Series 19	Wheaton, IL	5/27/2021	864370-05	Pending-Cleared
FT 9382 Technology Dividend Buy-Write Portfolio, Series 3	Wheaton, IL	5/27/2021	864368-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FT 9399 Strategic Income Advantage Opportunity, Closed-End Portfolio, Series 25	Wheaton, IL	5/27/2021	864374-05	Pending-Cleared
FT 9404 Strategic Income Advantage Select, Closed-End Portfolio, Series 98	Wheaton, IL	5/27/2021	864371-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2124 Blue Chip Dividend Portfolio, Series 4	Chicago, IL	5/27/2021	864361-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2124 Blue Chip Growth Portfolio, Series 30	Chicago, IL	5/27/2021	864362-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2124 Tekla Medical Science Innovation Portfolio, Series 2	Chicago, IL	5/27/2021	864363-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2124 US Capital Strength Portfolio, Series 22	Chicago, IL	5/27/2021	864364-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2125 European Capital Strength Portfolio, Series 22	Chicago, IL	5/27/2021	864360-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2126 Core Four 60/40 Retirement Portfolio, Series 15	Chicago, IL	5/27/2021	864365-05	Pending-Cleared
Guggenheim Defined Portfolios, Series 2127 Dow 50 Growth Portfolio, Series 15	Chicago, IL	5/27/2021	864366-05	Pending-Cleared
m+ funds Trust m+ Buffer 20 Fund, Series 1-20	New York, NY	5/27/2021	864377-05	Filed
Transamerica Funds Transamerica Emerging Markets Opportunities Class R6 Shares	Denver, CO	5/27/2021	864285-03	Filed
Transamerica Funds Transamerica Intermediate Bond Class R6 Shares	Denver, CO	5/27/2021	864284-03	Filed
Transamerica Funds Transamerica Large Growth Class R6 Shares	Denver, CO	5/27/2021	864283-03	Filed
Transamerica Funds Transamerica Mid Cap Growth Class R6 Shares	Denver, CO	5/27/2021	864282-03	Filed
Transamerica Funds Transamerica US Growth Class R6 Shares	Denver, CO	5/27/2021	864281-03	Filed
Northern Lights Fund Trust Sierra Tactical Risk Spectrum 50 Fund Instl Class	Cincinnati, OH	5/26/2021	864250-03	Filed

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Firm Name	Location	Date Received	File Number	Status
Northern Lights Fund Trust Sierra Tactical Risk Spectrum 50 Fund Investor Class	Cincinnati, OH	5/26/2021	864251-03	Filed
Prudential Investment Portfolios 3 PGIM QMA Large-Cap Value Fund Class R6	Newark, NJ	5/26/2021	864253-03	Filed
Prudential Sector Funds, Inc. PGIM Jennison Health Sciences Fund Class R6	Newark, NJ	5/26/2021	864254-03	Filed
SCM Trust Shelton Emerging Markets Fund Investor Class	Denver, CO	5/26/2021	864252-03	Filed
Prudential Sector Funds, Inc. PGIM Jennison Utility Fund Class R6	Newark, NJ	5/25/2021	864201-03	Filed
Number of Investment Company Filings: 32				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
10 Federal Self Storage Acquisition Co 3, LLC	Raleigh, NC	5/27/2021	864331-07	Filed
11661 Midwown Apartments LLC	Dallas, TX	5/27/2021	864321-07	Filed
740 PLANKINTON JV INVESTORS, LLC	ROSEMONT, IL	5/27/2021	864344-07	Filed
AVGSF - PulseData 2021, LLC	Boston, MA	5/27/2021	864330-07	Filed
Bitwise DeFi Crypto Index Fund	SAN FRANCISCO, CA	5/27/2021	864349-07	Filed
Block 216 QOF II, LLC	Portland, OR	5/27/2021	864325-07	Filed
Brown Advisory Venture Capital Partners 2, LLLP	Baltimore, MD	5/27/2021	864324-07	Filed
Bungalows on Village Way LLC	Scottsdale, AZ	5/27/2021	864327-07	Filed
Chicago2875 LLC	IRVING, TX	5/27/2021	864340-07	Filed
Coatue CT 109 LLC	New York, NY	5/27/2021	864333-07	Filed
Diamond Club Entertainment LLC	Waukesha, WI	5/27/2021	864318-07	Filed
Empire Holdings, LP	NORFOLK, VA	5/27/2021	864339-07	Filed
Evoke Industrial Real Estate Fund II (Dermody), LP	Los Angeles, CA	5/27/2021	864314-07	Filed
Garrett Motion Inc.	Rolle,	5/27/2021	864332-07	Filed
GoldenTree Select Offshore Fund, Ltd.	GRAND CAYMAN,	5/27/2021	864338-07	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
GSP 3 FT AC, L.P.	NEW YORK, NY	5/27/2021	864334-07	Filed
GV 2021 GP, L.P.	MOUNTAIN VIEW, CA	5/27/2021	864348-07	Filed
HealthBridge Financial, Inc.	GRAND RAPIDS, MI	5/27/2021	864341-07	Filed
InSolve Global Credit Fund V, L.P.	SCOTTSDALE, AZ	5/27/2021	864345-07	Filed
IP Fund I, a series of Matthew Doka Funds, LP	Seattle, WA	5/27/2021	864326-07	Filed
Luckey Ranch San Antonio, LLC	Addison, TX	5/27/2021	864317-07	Filed
MI Fund II, a series of Jetstream Syndicates, LP	Seattle, WA	5/27/2021	864346-07	Filed
MJ Opportunity I, LLC	Deerfield, IL	5/27/2021	864319-07	Filed
Mountaingate Capital Fund II, L.P.	DENVER, CO	5/27/2021	864347-07	Filed
Net Lease Grocery Portfolio DST	OAK BROOK, IL	5/27/2021	864337-07	Filed
Nokomis Lyndale LLC	Minneapolis, MN	5/27/2021	864320-07	Filed
OH Fund I, a series of Riverside Ventures, LP	Seattle, WA	5/27/2021	864322-07	Filed
PLI Fund II, a series of New Stack Ventures, LP	Seattle, WA	5/27/2021	864343-07	Filed
Purple Arch Ventures Fund 5, LLC	Boston, MA	5/27/2021	864329-07	Filed
Recognize Partners I, L.P.	New York, NY	5/27/2021	864328-07	Filed
RS2 Ventures, LP - MD Series A	Dallas, TX	5/27/2021	864323-07	Filed
RUME Capital Income & Growth Fund I, LP	WEST CHICAGO, IL	5/27/2021	864336-07	Filed
Summit Pork III, LLP	Alden, IA	5/27/2021	864316-07	Filed
TPEG DAYBREAK INVESTORS LLC	SOUTHLAKE, TX	5/27/2021	864342-07	Filed
Trail Creek West, LLC	Jackson Hole, WY	5/27/2021	864315-07	Filed
Veritas Capital Vantage Fund, L.P.	NEW YORK, NY	5/27/2021	864335-07	Filed
Number of Regulation D Notice Filings: 36				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Volofit Franchising, LLC / Volofit (area representative)	Charlotte, NC	5/29/2021	629915	Registered

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Volofit Franchising, LLC / Volofit (unit)	Charlotte, NC	5/29/2021	629914	Registered
Pestmaster Franchise Network, LLC / Pestmaster Services	Reno, NV	5/28/2021	629913	Registered
MAIDPRO FRANCHISE, LLC / MAIDPRO	Boston, MA	5/28/2021	629912	Registered
Skedaddle Franchising LLC / Skedaddle	Ancaster, ON	5/28/2021	629911	Registered
Renovation Franchise North America, LLC / Refresh Renovations	Pensacola, FL	5/28/2021	629907	Registered
The Waxxpot Group Franchise, LLC / Waxxpot	Columbus, OH	5/28/2021	629906	Registered
CAR-X, LLC / CAR-X	Schaumburg, IL	5/28/2021	629905	Registered
Benvenuto's Franchising Systems LLC / Benvenuto's Italian Grill	Stoughton, WI	5/28/2021	629903	Registered
Better Together, LLC / Dogtopia	Phoenix, AZ	5/27/2021	629900	Registered
RED BRICK PIZZA FC, LLC / Red Brick Pizza	Dallas, TX	5/27/2021	629898	Registered
CML Storefront LLC / Cousins Maine Lobster	Los Angeles, CA	5/27/2021	629897	Registered
STRETCH ZONE FRANCHISING, LLC / Stretch Zone	FORT LAUDERDALE, FL	5/27/2021	629896	Registered
Dog Training Elite Franchising, LLC / Dog Training Elite	Lehi, UT	5/27/2021	629893	Registered
Petro Franchise Systems LLC / Petro Stopping Centers	Westlake, OH	5/27/2021	629894	Registered
Wahlburgers Franchising, LLC / Wahlburgers	Hingham, MA	5/27/2021	629891	Registered
DL Franchise Group, LLC / The Dolly Llama	Los Angeles, CA	5/26/2021	629889	Registered
Bloomin Blinds Franchise Corp. / Bloomin' Blinds	Lewisville, TX	5/26/2021	629888	Registered
Integra Realty Resources, Inc. / IRR and Integra	Denver, CO	5/26/2021	629886	Registered
Donut King System LLC / Donut King	Chicago, IL	5/26/2021	629885	Registered
Wingstop Franchising LLC / WING-STOP®	Dallas, TX	5/26/2021	629887	Registered
Cafe & Bakery Group, LLC / Apple Spice	Salt Lake City, UT	5/26/2021	629884	Registered
The Round Table Franchise Corporation / Round Table Pizza	Atlanta, GA	5/26/2021	629883	Registered

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CULLIGAN INTERNATIONAL COMPANY / CULLIGAN	Rosemont, IL	5/26/2021	629882	Registered
PM Franchising, LLC / Pretzelmaker	Atlanta, GA	5/26/2021	629881	Registered
MARBLE SLAB FRANCHISING, LLC / Marble Slab Creamery	Atlanta, GA	5/26/2021	629880	Registered
WORKOUT ANYTIME FRANCHISING SYSTEMS LLC / WORKOUT ANYTIME	Alpharetta, GA	5/26/2021	629879	Registered
HDOS Franchising, LLC / HOT DOG ON A STICK	Atlanta, GA	5/26/2021	629877	Registered
GAC FRANCHISING, LLC / Great American Cookies	Atlanta, GA	5/26/2021	629876	Registered
GN Independents, Inc / Glass Nickel Pizza Co.	Madison, WI	5/25/2021	629874	Registered
Twin Restaurant Franchise, LLC / Twin Peaks	Dallas, TX	5/25/2021	629873	Registered
Captain D's, LLC	Nashville, TN	5/25/2021	629872	Registered
MERLIN FRANCHISOR SPV LLC / MERLIN 200,000 MILES SHOP	Charlotte, NC	5/25/2021	629871	Registered
Diesel Barbershop Franchising, LLC / Diesel Barbershop	San Antonio, TX	5/25/2021	629870	Registered
Zoomin Groomin USA LLC dba Zoomin Groomin - Unit / Zoomin Groomin	Virginia Beach, VA	5/25/2021	629866	Registered
Zoomin Groomin USA LLC dba Zoomin Groomin - Area / Zoomin Groomin	Virginia Beach, VA	5/25/2021	629865	Registered
Critter Control, Inc. / Critter Control	Atlanta, GA	5/24/2021	629862	Registered
One Hour Air Conditioning Franchising SPE LLC / "One Hour Air Conditioning and Heating; One Hour Heating and Air Conditioning"	Columbia, MD	5/24/2021	629861	Registered
Capriotti's Sandwich Shop, Inc. / Capriotti's Sandwich Shop and Capriotti's	Las Vegas, NV	5/24/2021	629860	Registered
CITY PUBLICATIONS FRANCHISE GROUP INC / City Publications	ATLANTA, GA	5/24/2021	629859	Registered
Mental Health Branding, LLC / LivingRite	Gatlinburg, TN	5/24/2021	629857	Registered
MEINEKE FRANCHISOR SPV LLC / MEINEKE®	Charlotte, NC	5/24/2021	629856	Registered

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Barre Code Franchisor, L.L.C. / The Barre Code	Chicago, IL	5/23/2021	629855	Registered
Benjamin Franklin Franchising SPE LLC / Benjamin Franklin Plumbing	Columbia, MD	5/23/2021	629854	Registered
Ninja Nation Fitness Group, LLC / Ninja Nation	Castle Pines, CO	5/23/2021	629852	Registered
Freecoat Franchising, LLC (area representative) / Freecoat	Charlotte, NC	5/23/2021	629851	Registered
Freecoat Franchising, LLC / Freecoat	Charlotte, NC	5/23/2021	629850	Registered
The Cleaning Authority Franchising SPE LLC / The Cleaning Authority	Columbia, MD	5/23/2021	629849	Registered
Number of Franchise Filings: 48				