

**WI Securities Law and Franchise Law Filings
for 12/21/2009 through 1/1/2010**

Securities Law Registration Filings Made by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Number of Registration Filings: 0				

Securities Law Exemption Filings Made by Wisconsin Companies 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 by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
1ST AMERICA INVESTMENT FUNDS INC TACTICAL MARKET OPPORTUNITIES FUND CLASS Y	MILWAUKEE, WI	12/30/2009	00573463-03	Pending-Cleared
TR FOR PROFESSIONAL MANAGERS MARINER 130 30 FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/29/2009	00573407-03	Pending-Cleared
TR FOR PROFESSIONAL MANAGERS MARINER 130 30 FUND INVESTMENT CLASS	MILWAUKEE, WI	12/29/2009	00573406-03	Pending-Cleared
Number of Investment Company Filings: 3				

Federal Covered Security-Regulation D Notice Filings Made by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FOX RIVER FINANCIAL CORP	BURLINGTON, WI	12/21/2009	00573338-07	Filed
Number of Regulation D Notice Filings: 1				

Franchise Law Filings Made by Wisconsin Companies with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
GWB ENTERPRISES INC	EAU CLAIRE, WI	12/23/2009	600021	Registered
Number of Franchise Filings: 1				

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