

**WI Securities Law and Franchise Law Filings
for 9/20/2010 through 10/1/2010**

| 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 |
| MSB BANCORP INC | MARION, WI | 9/20/2010 | 00592274-08 | Not Disallowed |
| Number of Exemption Filings: 1 | | | | |

| 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 |
| TR FOR PROFESSIONAL MANAGERS HEARTLAND INTENATIONAL SMALL CAP FUND | MILWAUKEE, WI | 10/1/2010 | 00593649-03 | Pending-Cleared |
| INVESTMENT MANAGERS SERIES TR GAVEKAL PLATFORM CO FUND INSTITUTIONAL CLASS | MILWAUKEE, WI | 9/20/2010 | 00592271-05 | Pending-Cleared |
| INVESTMENT MANAGERS SERIES TR GAVEKAL PLATFORM CO FUND ADVISOR CLASS | MILWAUKEE, WI | 9/20/2010 | 00592270-03 | 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 |
| Number of Regulation D Notice Filings: 0 | | | | |