

**WI Securities Law and Franchise Law Filings
for 5/16/2011 through 5/27/2011**

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
SMOKE BREAK LLC	MILWAUKEE, WI	5/19/2011	00612219-08	Pending
FIRST SHARES INC	PLATTEVILLE, WI	5/18/2011	00612271-08	Pending
Number of Exemption Filings: 2				

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
INVESTMENT MANAGERS SERIES TR ZACKS SMALL CAP CORE FUND	MILWAUKEE, WI	5/25/2011	00612513-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR WCM FOCUSED INTERNATIONAL GROWTH FUND	MILWAUKEE, WI	5/17/2011	00612198-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR FAMCO MLP & ENERGY INCOME FUND CLASS A	MILWAUKEE, WI	5/16/2011	00612124-03	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
HSM LLC	MILWAUKEE, WI	5/24/2011	00612402-07	Filed
CASTLE AT THE BAY LLC	ARKDLE, WI	5/23/2011	00612315-07	Filed
Number of Regulation D Notice Filings: 2				

**WI Securities Law and Franchise Law Filings
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Franchise Law Filings Made by Wisconsin Companies with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Crescendo USA, LLC	Madison, WI	5/24/2011	602687	Incomplete
Number of Franchise Filings: 1				