

**WI Securities Law and Franchise Law Filings  
for 11/7/2011 through 11/18/2011**

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

<b>Securities Law Exemption Filings Made by Wisconsin Companies with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
HSM LLC	MILWAUKEE, WI	11/7/2011	00625168-08	Pending
Number of Exemption Filings: 1				

<b>Securities Law Federal Covered Security-Investment Company Filings Made by Wisconsin Companies with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
NORTHERN LIGHTS FUND TR CIFG MAXOPPSM FUND CLASS A SHARES	HAUPPAUGE, WI	11/7/2011	00625341-05	Pending-Cleared
TR FOR PROFESSIONAL MANAGERS SCHOONER GLOBAL ABSOLUTE RETURN FUND	MILWAUKEE, WI	11/7/2011	00625167-03	Registered
Number of Investment Company Filings: 2				

<b>Federal Covered Security-Regulation D Notice Filings Made by Wisconsin Companies with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Number of Regulation D Notice Filings: 0				