

**WI Securities Law and Franchise Law Filings
for 12/30/2013 through 1/10/2014**

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
BAIRD FUNDS INC BAIRD ULTRA SHORT BOND FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/2/2014	00693973-03	Registered
BAIRD FUNDS INC BAIRD ULTRA SHORT BOND FUND INVESTOR CLASS	MILWAUKEE, WI	1/2/2014	00693972-03	Registered
BROOKFIELD INVESTMENT FUNDS BROOKFIELD US LISTED REAL ESTATE FUND CLASS A	WEST ALLIS, WI	1/2/2014	00693966-03	Registered
BROOKFIELD INVESTMENT FUNDS BROOKFIELD US LISTED REAL ESTATE FUND CLASS C	WEST ALLIS, WI	1/2/2014	00693967-03	Registered
BROOKFIELD INVESTMENT FUNDS BROOKFIELD US LISTED REAL ESTATE FUND CLASS I	WEST ALLIS, WI	1/2/2014	00693968-03	Registered
BROOKFIELD INVESTMENT FUNDS BROOKFIELD US LISTED REAL ESTATE FUND CLASS Y	WEST ALLIS, WI	1/2/2014	00693969-03	Registered

**WI Securities Law and Franchise Law Filings
for 12/30/2013 through 1/10/2014**

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
CALAMOS INVESTMENT TR CALAMOS EMERGING MARKET EQUITY FUND CLASS R SHARES	MILWAUKEE, WI	1/2/2014	00693946-03	Registered
CALAMOS INVESTMENT TR CALAMOS EMERGING MARKET EQUITY FUND CLASS I SHARES	MILWAUKEE, WI	1/2/2014	00693945-03	Registered
CALAMOS INVESTMENT TR CALAMOS EMERGING MARKET EQUITY FUND CLASS C SHARES	MILWAUKEE, WI	1/2/2014	00693944-03	Registered
CALAMOS INVESTMENT TR CALAMOS EMERGING MARKET EQUITY FUND CLASS A SHARES	MILWAUKEE, WI	1/2/2014	00693943-03	Registered
CAPITAL GUARDIAN FUNDS TR CAPITAL GUARDIAN CORE BALANCED FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/2/2014	00693941-03	Registered
CAPITAL GUARDIAN FUNDS TR CAPITAL GUARDIAN CORE BALANCED GROWTH FUND INVESTOR CLASS SHARES	MILWAUKEE, WI	1/2/2014	00693942-03	Registered
HCIM TR HATTERAS DISCIPLINED OPPORTUNITY FD INSTITUTIONAL CLASS	MILWAUKEE, WI	1/2/2014	00693976-03	Registered
INVESTMENT MANAGERS SERIES TR CHILTON REALTY INCOME & GROWTH FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	1/2/2014	00693957-03	Registered
INVESTMENT MANAGERS SERIES TR CHILTON REALTY INCOME & GROWTH FUND CLASS C SHARES	MILWAUKEE, WI	1/2/2014	00693956-03	Registered
INVESTMENT MANAGERS SERIES TR CHILTON REALTY INCOME & GROWTH FUND CLASS A SHARES	MILWAUKEE, WI	1/2/2014	00693955-03	Registered

**WI Securities Law and Franchise Law Filings
for 12/30/2013 through 1/10/2014**

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
LOCORR INVESTMENT TR LOCORR SPECTRUM INCOME FUND CLASS C	MILWAUKEE, WI	1/2/2014	00693978-03	Registered
LOCORR INVESTMENT TR LOCORR SPECTRUM INCOME FUND CLASS A	MILWAUKEE, WI	1/2/2014	00693979-03	Registered
LOCORR INVESTMENT TR LOCORR SPECTRUM INCOME FUND CLASS I	MILWAUKEE, WI	1/2/2014	00693977-03	Registered
MANAGED PORTFOLIO SERIES CONSILIUM EMERGING MARKET SMALL CAP FUND INVESTOR CLASS SHARES	MILWAUKEE, WI	1/2/2014	00693964-03	Registered
MANAGED PORTFOLIO SERIES CONSILIUM EMERGING MARKET SMALL CAP FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	1/2/2014	00693965-03	Registered
MANAGED PORTFOLIO SERIES NUANCE MID CAP VALUE FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	1/2/2014	00693963-03	Registered
MANAGED PORTFOLIO SERIES NUANCE MID CAP VALUE FUND INVESTOR CLASS SHARES	MILWAUKEE, WI	1/2/2014	00693962-03	Registered
MANAGED PORTFOLIO SERIES SMITH GROUP SMALL CAP FOCUSED GROWTH FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	1/2/2014	00693960-03	Registered
MANAGED PORTFOLIO SERIES SMITH GROUP SMALL CAP FOCUSED GROWTH FUND INVESTOR CLASS SHARES	MILWAUKEE, WI	1/2/2014	00693961-03	Registered
PROFESSIONALLY MANAGED PORTFOLIOS BP CAPITAL TWINLINE ENERGY FUND CLASS A	MILWAUKEE, WI	1/2/2014	00693959-03	Registered

**WI Securities Law and Franchise Law Filings
for 12/30/2013 through 1/10/2014**

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
PROFESSIONALLY MANAGED PORTFOLIOS BP CAPITAL TWINLINE MLP FUND CLASS A	MILWAUKEE, WI	1/2/2014	00693958-03	Registered
WESTCHESTER CAPITAL FUNDS WCM ALTERNATIVES EVENT DRIVEN FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	1/2/2014	00693954-03	Registered
Number of Investment Company Filings: 28				

Federal Covered Security-Regulation D Notice Filings Made by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
NEXVEX INC	MILWAUKEE, WI	1/3/2014	00694005-07	Filed
LAYTON PARK FINANCIAL GROUP INC	WEST ALLIS, WI	1/2/2014	00693938-07	Filed
RILEY TECHNOLOGIES LLC	APPLETON, WI	1/2/2014	00693981-07	Filed
Number of Regulation D Notice Filings: 3				

Franchise Law Filings Made by Wisconsin Companies with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Falbo Bros Franchising, LLC / Falbo Bros Pizzeria	Madison, WI	1/6/2014	606773	Registered
SB Acquisition, LLC / Pizza Pit	Monona, WI	12/31/2013	606742	Registered
Legacy Franchise Group, LLC / Country Kitchen Restaurants	Madison, WI	12/30/2013	606771	Registered
Number of Franchise Filings: 3				