

**WI Securities Law and Franchise Law Filings
for 5/19/2014 through 5/30/2014**

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
BMO FUNDS INC BMO AGGRESSIVE ALLOCATION FUND RETIREMENT CLASS R6	MILWAUKEE, WI	5/22/2014	00704571-03	Registered
BMO FUNDS INC BMO AGGRESSIVE ALLOCATION FUND RETIREMENT CLASS R3	MILWAUKEE, WI	5/22/2014	00704570-03	Registered
BMO FUNDS INC BMO AGGRESSIVE ALLOCATION FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	5/22/2014	00704569-03	Registered
BMO FUNDS INC BMO AGGRESSIVE ALLOCATION FUND INVESTOR CLASS	MILWAUKEE, WI	5/22/2014	00704572-03	Registered
BMO FUNDS INC BMO AGGRESSIVE STOCK FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	5/22/2014	00704573-03	Registered
BMO FUNDS INC BMO AGGRESSIVE STOCK FUND INVESTOR CLASS	MILWAUKEE, WI	5/22/2014	00704576-03	Registered
BMO FUNDS INC BMO AGGRESSIVE STOCK FUND RETIREMENT CLASS R3	MILWAUKEE, WI	5/22/2014	00704574-03	Registered
BMO FUNDS INC BMO AGGRESSIVE STOCK FUND RETIREMENT CLASS R6	MILWAUKEE, WI	5/22/2014	00704575-03	Registered

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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
BMO FUNDS INC BMO DIVERSIFIED INCOME FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	5/22/2014	00704577-03	Registered
BMO FUNDS INC BMO DIVERSIFIED INCOME FUND INVESTOR CLASS	MILWAUKEE, WI	5/22/2014	00704579-03	Registered
BMO FUNDS INC BMO DIVERSIFIED INCOME FUND RETIREMENT CLASS R3	MILWAUKEE, WI	5/22/2014	00704578-03	Registered
BMO FUNDS INC BMO DIVERSIFIED INCOME FUND RETIREMENT CLASS R6	MILWAUKEE, WI	5/22/2014	00704580-03	Registered
BMO FUNDS INC BMO DIVERSIFIED STOCK FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	5/22/2014	00704581-03	Registered
BMO FUNDS INC BMO DIVERSIFIED STOCK FUND INVESTOR CLASS	MILWAUKEE, WI	5/22/2014	00704583-03	Registered
BMO FUNDS INC BMO DIVERSIFIED STOCK FUND RETIREMENT CLASS R3	MILWAUKEE, WI	5/22/2014	00704582-03	Registered
BMO FUNDS INC BMO DIVERSIFIED STOCK FUND RETIREMENT CLASS R6	MILWAUKEE, WI	5/22/2014	00704584-03	Registered
BMO FUNDS INC BMO DIVIDEND INCOME FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704595-03	Pending-Cleared
BMO FUNDS INC BMO GLOBAL LOW VOLATILITY EQUITY FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704598-03	Pending-Cleared
BMO FUNDS INC BMO GLOBAL NATURAL RESOURCES FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704599-03	Pending-Cleared
BMO FUNDS INC BMO GROWTH BALANCED FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	5/22/2014	00704585-03	Registered

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BMO FUNDS INC BMO GROWTH BALANCED FUND INVESTOR CLASS	MILWAUKEE, WI	5/22/2014	00704587-03	Registered
BMO FUNDS INC BMO GROWTH BALANCED FUND RETIREMENT CLASS R3	MILWAUKEE, WI	5/22/2014	00704586-03	Registered
BMO FUNDS INC BMO GROWTH BALANCED FUND RETIREMENT CLASS R6	MILWAUKEE, WI	5/22/2014	00704588-03	Registered
BMO FUNDS INC BMO INTERMEDIATE TAX FREE FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704601-03	Pending-Cleared
BMO FUNDS INC BMO LARGE CAP GROWTH FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704602-03	Pending-Cleared
BMO FUNDS INC BMO LARGE CAP VALUE FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704604-03	Pending-Cleared
BMO FUNDS INC BMO LLOYD GEORGE EMERGING MARKETS EQUITY FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704596-03	Pending-Cleared
BMO FUNDS INC BMO LOW VOLATILITY EQUITY FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704603-03	Pending-Cleared
BMO FUNDS INC BMO MICRO CAP FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704605-03	Pending-Cleared
BMO FUNDS INC BMO MID CAP GROWTH FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704607-03	Pending-Cleared
BMO FUNDS INC BMO MID CAP GROWTH FUND RETIREMENT CLASS R3	MILWAUKEE, WI	5/22/2014	00704609-03	Pending-Cleared
BMO FUNDS INC BMO MID CAP GROWTH FUND RETIREMENT CLASS R6	MILWAUKEE, WI	5/22/2014	00704608-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
BMO FUNDS INC BMO MID CAP VALUE FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704610-03	Pending-Cleared
BMO FUNDS INC BMO MID CAP VALUE FUND RETIREMENT CLASS R3	MILWAUKEE, WI	5/22/2014	00704611-03	Pending-Cleared
BMO FUNDS INC BMO MID CAP VALUE FUND RETIREMENT CLASS R6	MILWAUKEE, WI	5/22/2014	00704612-03	Pending-Cleared
BMO FUNDS INC BMO MODERATE BALANCED FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	5/22/2014	00704589-03	Registered
BMO FUNDS INC BMO MODERATE BALANCED FUND INVESTOR CLASS	MILWAUKEE, WI	5/22/2014	00704592-03	Registered
BMO FUNDS INC BMO MODERATE BALANCED FUND RETIREMENT CLASS R3	MILWAUKEE, WI	5/22/2014	00704590-03	Registered
BMO FUNDS INC BMO MODERATE BALANCED FUND RETIREMENT CLASS R6	MILWAUKEE, WI	5/22/2014	00704591-03	Registered
BMO FUNDS INC BMO MONEGY HIGH YIELD BOND FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704613-03	Pending-Cleared
BMO FUNDS INC BMO MORTGAGE INCOME FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704597-03	Pending-Cleared
BMO FUNDS INC BMO MULTI ASSET INCOME FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704606-03	Pending-Cleared
BMO FUNDS INC BMO PYRFORD GLOBAL EQUITY FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704614-03	Pending-Cleared
BMO FUNDS INC BMO PYRFORD GLOBAL STRATEGIC RETURN FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704615-03	Pending-Cleared

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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
BMO FUNDS INC BMO PYRFORD INTERNATIONAL STOCK FUND RETIREMENT CLASS R6	MILWAUKEE, WI	5/22/2014	00704618-03	Pending-Cleared
BMO FUNDS INC BMO PYRFORD INTERNATIONAL STOCK FUND RETIREMENT CLASS R3	MILWAUKEE, WI	5/22/2014	00704617-03	Pending-Cleared
BMO FUNDS INC BMO PYRFORD INTERNATIONAL STOCK FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704616-03	Pending-Cleared
BMO FUNDS INC BMO SHORT TAX FREE FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704624-03	Pending-Cleared
BMO FUNDS INC BMO SHORT TERM INCOME FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704623-03	Pending-Cleared
BMO FUNDS INC BMO SMALL CAP CORE FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704619-03	Pending-Cleared
BMO FUNDS INC BMO SMALL CAP VALUE FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704620-03	Pending-Cleared
BMO FUNDS INC BMO SMALL CAP VALUE FUND RETIREMENT CLASS R3	MILWAUKEE, WI	5/22/2014	00704622-03	Pending-Cleared
BMO FUNDS INC BMO SMALL CAP VALUE FUND RETIREMENT CLASS R6	MILWAUKEE, WI	5/22/2014	00704621-03	Pending-Cleared
BMO FUNDS INC BMO TCH CORE PLUS BOND FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704594-03	Pending-Cleared
BMO FUNDS INC BMO TCH CORPORATE INCOME FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704593-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
BMO FUNDS INC BMO TCH EMERGING MARKETS BOND FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704625-03	Pending-Cleared
BMO FUNDS INC BMO TCH INTERMEDIATE INCOME FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704600-03	Pending-Cleared
BMO FUNDS INC BMO ULTRA SHORT TAX FREE FUND ADVISOR CLASS	MILWAUKEE, WI	5/22/2014	00704626-03	Pending-Cleared
Number of Investment Company Filings: 58				

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				

Franchise Law Filings Made by Wisconsin Companies with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
ROYAL FRANCHISING INC / JANI KING OF MILWAUKEE	BROOKFIELD, WI	5/27/2014	607906	Registered
OILERIE USA INC / Oilerie	Egg Harbor, WI	5/23/2014	607910	Registered
PIGGLY WIGGLY MIDWEST LLC	SHEBOYGAN, WI	5/21/2014	607901	Registered
Number of Franchise Filings: 3				