

**WI Securities Law and Franchise Law Filings
for 6/30/2014 through 7/11/2014**

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
INVESTMENT MANAGERS SERIES TR CHARTWELL SHORT DURATION HIGH YIELD FUND CLASS I SHARES	MILWAUKEE, WI	7/7/2014	00707091-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR CHARTWELL SHORT DURATION HIGH YIELD FUND CLASS A SHARES	MILWAUKEE, WI	7/7/2014	00707090-03	Pending-Cleared
AMG FUNDS AMG YACKTMAN SPECIAL OPPORTUNITIES FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	7/1/2014	00707036-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR AAM HIMCO SHORT DURATION FUND CLASS A	MILWAUKEE, WI	7/1/2014	00707037-03	Registered
INVESTMENT MANAGERS SERIES TR AAM HIMCO SHORT DURATION FUND CLASS C	MILWAUKEE, WI	7/1/2014	00707038-03	Registered
INVESTMENT MANAGERS SERIES TR AAM HIMCO SHORT DURATION FUND CLASS I	MILWAUKEE, WI	7/1/2014	00707039-03	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
LOCORR INVESTMENT TR LOCORR MARKET TREND FUND CLASS A	MILWAUKEE, WI	7/1/2014	00707033-03	Registered
LOCORR INVESTMENT TR LOCORR MARKET TREND FUND CLASS C	MILWAUKEE, WI	7/1/2014	00707034-03	Registered
LOCORR INVESTMENT TR LOCORR MARKET TREND FUND CLASS I	MILWAUKEE, WI	7/1/2014	00707035-03	Registered
Number of Investment Company Filings: 9				

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
TailWaggers Franchise Trio / TailWaggers Doggy Daycare	Greenville, WI	7/11/2014	608080	Registered
Number of Franchise Filings: 1				