

**WI Securities Law and Franchise Law Filings
for 8/25/2014 through 9/5/2014**

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
HOTCHKIS & WILEY FUNDS SMALL CAP DIVERSIFIED VALUE FUND CLASS A	MILWAUKEE, WI	8/29/2014	00711568-03	Registered
HOTCHKIS & WILEY FUNDS SMALL CAP DIVERSIFIED VALUE FUND CLASS I	MILWAUKEE, WI	8/29/2014	00711569-03	Registered
Number of Investment Company Filings: 2				

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
DANCE WORKS OF WI LLC	PEWAUKEE, WI	8/28/2014	608244	Registered
Number of Franchise Filings: 1				