

**WI Securities Law and Franchise Law Filings  
for 10/13/2014 through 10/24/2014**

<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>
<b>Number of Registration Filings: 0</b>				

<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>
<b>Number of Exemption Filings: 0</b>				

<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>
ADVISORS SERIES TR SHENKMAN FLOATING RATE HIGH INCOME FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	10/15/2014	00714459-03	Registered
ADVISORS SERIES TR SCHARF GLOBAL OPPORTUNITY FUND RETAIL CLASS	MILWAUKEE, WI	10/14/2014	00714300-03	Registered
INVESTMENT MANAGERS SERIES TR OAK RIDGE LARGE CAP GROWTH FUND CLASS Y	MILWAUKEE, WI	10/14/2014	00714318-03	Registered
INVESTMENT MANAGERS SERIES TR OAK RIDGE LARGE CAP GROWTH FUND CLASS A	MILWAUKEE, WI	10/14/2014	00714317-03	Registered
INVESTMENT MANAGERS SERIES TR OAK RIDGE LARGE CAP GROWTH FUND CLASS C	MILWAUKEE, WI	10/14/2014	00714316-03	Registered
INVESTMENT MANAGERS SERIES TR OAK RIDGE SMALL CAP GROWTH FUND CLASS A	MILWAUKEE, WI	10/14/2014	00714320-03	Registered
INVESTMENT MANAGERS SERIES TR OAK RIDGE SMALL CAP GROWTH FUND CLASS Y	MILWAUKEE, WI	10/14/2014	00714321-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
INVESTMENT MANAGERS SERIES TR OAK RIDGE SMALL CAP GROWTH FUND CLASS K	MILWAUKEE, WI	10/14/2014	00714322-03	Registered
INVESTMENT MANAGERS SERIES TR OAK RIDGE SMALL CAP GROWTH FUND CLASS C	MILWAUKEE, WI	10/14/2014	00714319-03	Registered
PROFESSIONALLY MANAGED PORTFOLIOS MUZINICH CREDIT OPPORTUNITIES FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	10/14/2014	00714294-03	Registered
<b>Number of Investment Company Filings: 10</b>				

<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>
ROCK FALLS HOTEL GROUP LLC	VERONA, WI	10/21/2014	00714694-07	Filed
<b>Number of Regulation D Notice Filings: 1</b>				