

**WI Securities Law and Franchise Law Filings
for 10/20/2014 through 10/31/2014**

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
HEARTLAND GROUP INC HEARTLAND MID CAP VALUE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	10/29/2014	00716575-03	Pending-Cleared
HEARTLAND GROUP INC HEARTLAND MID CAP VALUE FUND INVESTOR CLASS	MILWAUKEE, WI	10/29/2014	00716576-03	Pending-Cleared
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
ROCK FALLS HOTEL GROUP LLC	VERONA, WI	10/21/2014	00714694-07	Filed
Number of Regulation D Notice Filings: 1				