

**WI Securities Law and Franchise Law Filings
for 11/17/2014 through 11/28/2014**

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
BROOKFIELD INVESTMENT FUNDS BROOKFIELD REAL ASSETS SECURITIES FUND CLASS C	WEST ALLIS, WI	11/18/2014	00718258-03	Registered
BROOKFIELD INVESTMENT FUNDS BROOKFIELD REAL ASSETS SECURITIES FUND CLASS A	WEST ALLIS, WI	11/18/2014	00718257-03	Registered
BROOKFIELD INVESTMENT FUNDS BROOKFIELD REAL ASSETS SECURITIES FUND CLASS Y	WEST ALLIS, WI	11/18/2014	00718260-03	Registered
BROOKFIELD INVESTMENT FUNDS BROOKFIELD REAL ASSETS SECURITIES FUND CLASS I	WEST ALLIS, WI	11/18/2014	00718259-03	Registered
Number of Investment Company Filings: 4				

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				