

**WI Securities Law and Franchise Law Filings
for 11/29/2015 through 12/5/2015**

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
MADISON FUNDS TARGET RETIREMENT 2020 FUND CLASS R6 SHARES	MADISON, WI	12/2/2015	00754494-03	Registered
PENN CAPITAL FUNDS TR PENN CAPITAL HIGH YIELD FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/1/2015	00754417-03	Registered
PENN CAPITAL FUNDS TR PENN CAPITAL HIGH YIELD FUND INVESTOR CLASS	MILWAUKEE, WI	12/1/2015	00754418-03	Registered
PENN CAPITAL FUNDS TR PENN CAPITAL SENIOR FLOATING RATE INCOME FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/1/2015	00754419-03	Registered
PENN CAPITAL FUNDS TR PENN CAPITAL SENIOR FLOATING RATE INCOME FUND INVESTOR CLASS	MILWAUKEE, WI	12/1/2015	00754420-03	Registered
PENN CAPITAL FUNDS TR PENN CAPITAL SMALL MID CAP EQUITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/1/2015	00754421-03	Registered
PENN CAPITAL FUNDS TR PENN CAPITAL SMALL MID CAP EQUITY FUND INVESTOR CLASS	MILWAUKEE, WI	12/1/2015	00754422-03	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
INVESTMENT MANAGERS SERIES TR OAK RIDGE DYNAMIC SMALL CAP FUND CLASS I	MILWAUKEE, WI	11/30/2015	00754504-03	Registered
INVESTMENT MANAGERS SERIES TR OAK RIDGE DYNAMIC SMALL CAP FUND CLASS A	MILWAUKEE, WI	11/30/2015	00754503-03	Registered
INVESTMENT MANAGERS SERIES TR OAK RIDGE INTERNATIONAL SMALL CAP FUND CLASS A	MILWAUKEE, WI	11/30/2015	00754505-03	Registered
TR FOR ADVISED PORTFOLIOS ZIEGLER FAMCO COVERED CALL FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	11/30/2015	00754645-03	Registered
TR FOR ADVISED PORTFOLIOS ZIEGLER FAMCO COVERED CALL FUND CLASS C	MILWAUKEE, WI	11/30/2015	00754646-03	Registered
TR FOR ADVISED PORTFOLIOS ZIEGLER FAMCO COVERED CALL FUND CLASS A	MILWAUKEE, WI	11/30/2015	00754647-03	Registered
Number of Investment Company Filings: 13				

Federal Covered Security-Regulation D Notice Filings Made by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
2700 NOVATION PARKWAY LLC	MADISON, WI	12/4/2015	00754885-07	Filed
DAIRYVATIVE TECHNOLOGIES LLC	MARKESAN, WI	12/4/2015	00754883-07	Filed
Number of Regulation D Notice Filings: 2				