

**WI Securities Law and Franchise Law Filings
for 1/1/2017 through 1/7/2017**

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
MANAGED PORTFOLIO SERIES JACKSON SQUARE SMID CAP GROWTH FUND IS CLASS	MILWAUKEE, WI	1/5/2017	00794459-03	Registered
NEEDHAM FUNDS INC NEEDHAM AGGRESSIVE GROWTH FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/3/2017	00794432-03	Registered
NEEDHAM FUNDS INC NEEDHAM GROWTH FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/3/2017	00794434-03	Registered
NEEDHAM FUNDS INC NEEDHAM SMALL CAP GROWTH FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/3/2017	00794433-03	Registered
USA MUTUALS USA MUTUALS CARBON BEACH DEEP VALUE FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	1/3/2017	00794431-03	Registered
Number of Investment Company Filings: 5				

**WI Securities Law and Franchise Law Filings
for 1/1/2017 through 1/7/2017**

Federal Covered Security-Regulation D Notice Filings Made by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
RE MIXERS INC	MADISON, WI	1/6/2017	00794013-07	Filed
FRED SYNERGY LLC	MILWAUKEE, WI	1/3/2017	00794439-07	Filed
Number of Regulation D Notice Filings: 2				