

**WI Securities Law and Franchise Law Filings  
for 2/26/2017 through 3/4/2017**

<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 CLASS F	MILWAUKEE, WI	3/1/2017	00798677-03	Registered
MANAGER DIRECTED PORTFOLIOS HOOD RIVER SMALL CAP GROWTH FUND RETIREMENT SHARES	MILWAUKEE, WI	3/1/2017	00798678-03	Registered
CALAMOS INVESTMENT TR CALAMOS CONVERTIBLE FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799807-03	Registered
CALAMOS INVESTMENT TR CALAMOS DIVIDEND GROWTH FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799811-03	Registered
CALAMOS INVESTMENT TR CALAMOS EMERGING MARKET EQUITY FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799809-03	Registered
CALAMOS INVESTMENT TR CALAMOS EVOLVING WORLD GROWTH FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799813-03	Registered
CALAMOS INVESTMENT TR CALAMOS GLOBAL COVERTIBLE FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799819-03	Registered

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CALAMOS INVESTMENT TR CALAMOS GLOBAL EQUITY FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799810-03	Registered
CALAMOS INVESTMENT TR CALAMOS GROWTH & INCOME FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799808-03	Registered
CALAMOS INVESTMENT TR CALAMOS GROWTH & INCOME FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799812-03	Registered
CALAMOS INVESTMENT TR CALAMOS GROWTH FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799818-03	Registered
CALAMOS INVESTMENT TR CALAMOS HEDGED EQUITY INCOME FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799814-03	Registered
CALAMOS INVESTMENT TR CALAMOS HIGH INCOME FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799816-03	Registered
CALAMOS INVESTMENT TR CALAMOS INTERNATIONAL GROWTH FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799820-03	Registered
CALAMOS INVESTMENT TR CALAMOS MARKET NEUTRAL INCOME FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799821-03	Registered
CALAMOS INVESTMENT TR CALAMOS OPPORTUNISTIC VALUE FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799815-03	Registered
CALAMOS INVESTMENT TR CALAMOS PHINEUS LONG SHORT FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799817-03	Registered

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CALAMOS INVESTMENT TR CALAMOS TOTAL RETURN BOND FUND CLASS T SHARES	MILWAUKEE, WI	2/28/2017	00799806-03	Registered
HENNESSY FUNDS TR HENNESSY GAS UTILITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	2/28/2017	00799804-03	Registered
SERIES PORTFOLIOS TR WEISS ALTERNATIVE BALANCED RISK FUND INVESTOR CLASS	WEST ALLIS, WI	2/28/2017	00799805-03	Registered
BMO FUNDS INC BMO PYRFORD INTERNATIONAL STOCK FUND CLASS F3	MILWAUKEE, WI	2/27/2017	00799792-03	Pending-Cleared
BMO FUNDS INC BMO SMALL CAP GROWTH FUND ADVISOR CLASS	MILWAUKEE, WI	2/27/2017	00799793-03	Registered
<b>Number of Investment Company Filings: 22</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>
OKANJO PARTNERS INC	MILWAUKEE, WI	3/3/2017	00799775-07	Filed
EWM ALTERNATIVE INVESTMENTS SPECIAL PURPOSE VEHICLE LLC SERIES 1 PT	APPLETON, WI	2/27/2017	00799797-07	Filed
EWM ALTERNATIVE INVESTMENTS SPV LLC SERIES 2 UNICORN TECHNOLOGY	APPLETON, WI	2/27/2017	00799796-07	Filed
EWM SPECIAL PURPOSE VEHICLE ADE LLC	APPLETON, WI	2/27/2017	00799794-07	Filed
EWM SPECIAL PURPOSE VEHICLE FF LLC	APPLETON, WI	2/27/2017	00799795-07	Filed
<b>Number of Regulation D Notice Filings: 5</b>				

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