

**WI Securities Law and Franchise Law Filings
for 3/19/2017 through 3/25/2017**

Securities Law Registration Filings Made by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
RELATIVE VALUE FUND CIA CLASS SHARES	MILWAUKEE, WI	3/20/2017	00800687-01	Pending
RELATIVE VALUE FUND PEAK ALLIANCE CLASS SHARES	MILWAUKEE, WI	3/20/2017	00800688-01	Pending
Number of Registration Filings: 2				

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
WESTCHESTER CAPITAL FUNDS WCM ALTERNATIVES EVENT DRIVEN FUND INVESTOR CLASS SHARES	MILWAUKEE, WI	3/20/2017	00800692-03	Registered
Number of Investment Company Filings: 1				

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				

Franchise Law Filings Made by Wisconsin Companies with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Pro One Janitorial, Inc. / Pro One Janitorial	Green Bay, WI	3/24/2017	615672	Registered
Breadsmith Franchising, Inc. / Breadsmith	Whitefish Bay, WI	3/22/2017	614651	Registered
Number of Franchise Filings: 2				

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