

**WI Securities Law and Franchise Law Filings
for 7/16/2017 through 7/22/2017**

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
PENN CAPITAL FUNDS TR PENN CAPITAL DEFENSIVE SHORT DURATION HIGH INCOME FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	7/17/2017	00809108-03	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
BROADWAY TIERRA PARTNERS LLC	MILWAUKEE, WI	7/21/2017	00810634-07	Filed
MLG PF BRECKENRIDGE CO INVESTOR LLC	BROOKFIELD, WI	7/21/2017	00810641-07	Filed
Number of Regulation D Notice Filings: 2				