

**WI Securities Law and Franchise Law Filings
for 10/1/2017 through 10/7/2017**

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
USA MUTUALS USA MUTUALS NAVIGATOR FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	10/6/2017	00815498-03	Registered
BROWN ADVISORY FUNDS BROWN ADVISORY MID CAP GROWTH FUND INVESTOR SHARES	MILWAUKEE, WI	10/2/2017	00814987-03	Registered
Number of Investment Company Filings: 2				

Federal Covered Security-Regulation D Notice Filings Made by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ARMADA EQUITY SKY VALLEY LLC	MILWAUKEE, WI	10/2/2017	00815066-07	Filed
Number of Regulation D Notice Filings: 1				