

**WI Securities Law and Franchise Law Filings
for 12/31/2017 through 1/6/2018**

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
MANAGER DIRECTED PORTFOLIOS SPYGLASS GROWTH FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	1/5/2018	00829701-03	Registered
WESTCHESTER CAPITAL FUNDS WCM ALTERNATIVES CREDIT EVENT FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	1/4/2018	00829461-03	Registered
WESTCHESTER CAPITAL FUNDS WCM ALTERNATIVES CREDIT EVENT FUND INVESTOR CLASS SHARES	MILWAUKEE, WI	1/4/2018	00829460-03	Registered
BRANDES INVESTMENT TR BRANDES SMALL CAP VALUE FUND CLASS A	MILWAUKEE, WI	1/2/2018	00829192-03	Registered
BRANDES INVESTMENT TR BRANDES SMALL CAP VALUE FUND CLASS I	MILWAUKEE, WI	1/2/2018	00829191-03	Registered
BRANDES INVESTMENT TR BRANDES SMALL CAP VALUE FUND CLASS R6	MILWAUKEE, WI	1/2/2018	00829190-03	Registered
HORIZON FUNDS HORIZON DEFINED RISK FUND INVESTOR CLASS	MILWAUKEE, WI	1/2/2018	00829187-03	Registered

**WI Securities Law and Franchise Law Filings
for 12/31/2017 through 1/6/2018**

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
SERIES PORTFOLIOS TR HEITMAN US REAL ESTATE SECURITIES FUND INSTITUTIONAL CLASS	WEST ALLIS, WI	1/2/2018	00829188-03	Registered
SERIES PORTFOLIOS TR HEITMAN US REAL ESTATE SECURITIES FUND INVESTOR CLASS	WEST ALLIS, WI	1/2/2018	00829189-03	Registered
Number of Investment Company Filings: 9				

Federal Covered Security-Regulation D Notice Filings Made by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MANAGECORE LLC	BROOKFIELD, WI	1/5/2018	00830000-07	Filed
Number of Regulation D Notice Filings: 1				