

**WI Securities Law and Franchise Law Filings  
for 6/9/2019 through 6/15/2019**

<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>
Ellington Income Opportunities Fund, Class A Shares	Milwaukee, WI	6/10/2019	852552-59	Filed
Ellington Income Opportunities Fund, Class C Shares	Milwaukee, WI	6/10/2019	852553-59	Filed
Ellington Income Opportunities Fund, Class I Shares	Milwaukee, WI	6/10/2019	852554-59	Filed
Ellington Income Opportunities Fund, Class M Shares	Milwaukee, WI	6/10/2019	852555-59	Filed
Investment Managers Series Trust II, Kennedy Capital ESG SMID Cap Fund, Institutional Class Shares	Milwaukee, WI	6/10/2019	852561-03	Pending-Cleared
<b>Number of Investment Company Filings: 5</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>
Wangard Opportunity Fund, LLC	Milwaukee, WI	6/14/2019	853664-07	Filed
<b>Number of Regulation D Notice Filings: 1</b>				