

**WI Securities Law and Franchise Law Filings
for 6/23/2019 through 6/29/2019**

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
North Capital Funds Trust, North Capital Emerging Technology Fund, Institutional Class Shares	Milwaukee, WI	6/27/2019	853740-03	Filed
North Capital Funds Trust, North Capital Emerging Technology Fund, Investor Class Shares	Milwaukee, WI	6/27/2019	853739-03	Filed
North Capital Funds Trust, North Capital Treasury Money Market Fund, Institutional Class Shares	Milwaukee, WI	6/27/2019	853738-03	Filed
Horizon Funds, Horizon Multi-Asset Income Fund, Investor Class	Milwaukee, WI	6/26/2019	853698-03	Filed
Horizon Funds, Horizon US Risk Assist Fund, Investor Class	Milwaukee, WI	6/26/2019	853697-03	Filed
Number of Investment Company Filings: 5				

Federal Covered Security-Regulation D Notice Filings Made by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
S.B.C.P. Bancorp, Inc.	Cross Plains, WI	6/27/2019	853883-07	Filed
Number of Regulation D Notice Filings: 1				