

**WI Securities Law and Franchise Law Filings
for 9/29/2019 through 10/5/2019**

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
Hotchkis & Wiley Funds Large Cap Value Fund Class Z	Milwaukee, WI	9/30/2019	855612-03	Filed
Hotchkis & Wiley Funds Mid-Cap Value Fund Class Z	Milwaukee, WI	9/30/2019	855613-03	Filed
Hotchkis & Wiley Funds Small Cap Diversified Value Fund Class Z	Milwaukee, WI	9/30/2019	855614-03	Filed
Hotchkis & Wiley Funds Small Cap Value Fund Class Z	Milwaukee, WI	9/30/2019	855615-03	Filed
Hotchkis & Wiley Funds Value Opportunities Fund Class Z	Milwaukee, WI	9/30/2019	855616-03	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
Central Standard LLC	Milwaukee, WI	10/4/2019	855808-07	Filed
PROMISS Diagnostics, Inc.	Wauwatosa, WI	10/4/2019	855796-07	Filed
Number of Regulation D Notice Filings: 2				