

**WI Securities Law and Franchise Law Filings
for 10/6/2019 through 10/12/2019**

| 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 |
| Bancorp of New Glarus, Inc. | New Glarus, WI | 10/8/2019 | 855818-08 | Not Disallowed |
| Number of Exemption Filings: 1 | | | | |

| 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 |
| Investment Managers Series Trust II AXS Alternative Growth Fund Class A | Milwaukee, WI | 10/11/2019 | 855847-03 | Filed |
| Investment Managers Series Trust II AXS Alternative Growth Fund Class I | Milwaukee, WI | 10/11/2019 | 855848-03 | Filed |
| Investment Managers Series Trust II AXS Aspect Core Diversified Strategy Fund Class A | Milwaukee, WI | 10/11/2019 | 855844-03 | Filed |
| Investment Managers Series Trust II AXS Aspect Core Diversified Strategy Fund Class C | Milwaukee, WI | 10/11/2019 | 855845-03 | Filed |
| Investment Managers Series Trust II AXS Aspect Core Diversified Strategy Fund Class I | Milwaukee, WI | 10/11/2019 | 855846-03 | Filed |
| Investment Managers Series Trust II AXS Chesapeake Strategy Fund Class A | Milwaukee, WI | 10/11/2019 | 855850-03 | Filed |
| Investment Managers Series Trust II AXS Chesapeake Strategy Fund Class C | Milwaukee, WI | 10/11/2019 | 855849-03 | Filed |
| Investment Managers Series Trust II AXS Chesapeake Strategy Fund Class I | Milwaukee, WI | 10/11/2019 | 855851-03 | Filed |
| Investment Managers Series Trust II AXS Managed Futures Strategy Fund Class A | Milwaukee, WI | 10/11/2019 | 855853-03 | Filed |

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|--|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| Investment Managers Series Trust II AXS Managed Futures Strategy Fund Class C | Milwaukee, WI | 10/11/2019 | 855852-03 | Filed |
| Investment Managers Series Trust II AXS Managed Futures Strategy Fund Class I | Milwaukee, WI | 10/11/2019 | 855854-03 | Filed |
| Investment Managers Series Trust II AXS Multi-Strategy Alternative Fund Class I | Milwaukee, WI | 10/11/2019 | 855855-03 | Filed |
| Investment Managers Series Trust II AXS Multi-Strategy Alternative Fund Class R-1 | Milwaukee, WI | 10/11/2019 | 855856-03 | Filed |
| Frontier Funds Frontier MFG Global Sustainable Fund Institutional Class Shares | Milwaukee, WI | 10/9/2019 | 855774-03 | Filed |
| Number of Investment Company Filings: 14 | | | | |

| Federal Covered Security-Regulation D Notice Filings Made by Wisconsin Companies with DFI's Securities Division | | | | |
|--|-----------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| SignalWire, Inc. | Brookfield, WI | 10/11/2019 | 855914-07 | Filed |
| Water Financial Center, LLC | Milwaukee, WI | 10/11/2019 | 855912-07 | Filed |
| Number of Regulation D Notice Filings: 2 | | | | |

| Franchise Law Filings Made by Wisconsin Companies with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|---------------|
| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| SandalStone Ventures, Inc. / Vanguard Cleaning Systems of SE Wisconsin | Greenfield, WI | 10/8/2019 | 624255 | Registered |
| Number of Franchise Filings: 1 | | | | |