

**WI Securities Law and Franchise Law Filings  
for 10/13/2019 through 10/19/2019**

<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>
Investment Managers Series Trust WCM Focused Small Cap Fund Institutional Class Shares	Milwaukee, WI	10/18/2019	855886-03	Pending-Cleared
Investment Managers Series Trust WCM Focused Small Cap Fund Investor Class Shares	Milwaukee, WI	10/18/2019	855889-03	Pending-Cleared
Investment Managers Series Trust WCM Small Cap Growth Fund Institutional Class Shares	Milwaukee, WI	10/18/2019	855888-03	Pending-Cleared
Investment Managers Series Trust WCM Small Cap Growth Fund Investor Class Shares	Milwaukee, WI	10/18/2019	855887-03	Pending-Cleared
<b>Number of Investment Company Filings: 4</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>
Fasetto, Inc.	Superior, WI	10/18/2019	855916-07	Filed
Intuitive Biosciences, Inc.	Madison, WI	10/18/2019	855927-07	Filed
MLG/PF Toro Portfolio Co-Investor LLC	Brookfield, WI	10/18/2019	855939-07	Filed
WP Beverages, LLC	Windsor, WI	10/18/2019	855932-07	Filed
<b>Number of Regulation D Notice Filings: 4</b>				