

**WI Securities Law and Franchise Law Filings
for 11/10/2019 through 11/16/2019**

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
Baird Funds, Inc. Baird Municipal Bond Fund Institutional Class	Milwaukee, WI	11/15/2019	856199-03	Filed
Baird Funds, Inc. Baird Municipal Bond Fund Investor Class	Milwaukee, WI	11/15/2019	856200-03	Filed
Baird Funds, Inc. Baird Strategic Municipal Bond Fund Institutional Class	Milwaukee, WI	11/15/2019	856197-03	Filed
Baird Funds, Inc. Baird Strategic Municipal Bond Fund Investor Class	Milwaukee, WI	11/15/2019	856198-03	Filed
Investment Managers Series Trust Vaughan Nelson Emerging Markets Opportunities Fund Investor Class	Milwaukee, WI	11/14/2019	856207-03	Pending-Cleared
Investment Managers Series Trust Vaughan Nelson international Small Cap Fund Investor Class	Milwaukee, WI	11/14/2019	856206-03	Pending-Cleared
Number of Investment Company Filings: 6				

Federal Covered Security-Regulation D Notice Filings Made by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Number of Regulation D Notice Filings: 0				

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Franchise Law Filings Made by Wisconsin Companies with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
OFW Brands LLC	Waukesha, WI	11/13/2019	624372	Registered
Number of Franchise Filings: 1				