

**WI Securities Law and Franchise Law Filings
for 12/22/2019 through 12/28/2019**

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
Horizon Funds Horizon ESG Defensive Core Fund Investor Class	Milwaukee, WI	12/26/2019	856584-03	Filed
Number of Investment Company Filings: 1				

Federal Covered Security-Regulation D Notice Filings Made by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Mezlight, LLC	Fitchburg, WI	12/27/2019	856709-07	Filed
Number of Regulation D Notice Filings: 1				