

**WI Securities Law and Franchise Law Filings
for 1/5/2020 through 1/11/2020**

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 Advisor Class	Milwaukee, WI	1/8/2020	856742-03	Filed
State Street Institutional Funds State Street Institutional Small-Cap Equity Fund Investment Class	West Allis, WI	1/8/2020	856743-03	Filed
Number of Investment Company Filings: 2				

Federal Covered Security-Regulation D Notice Filings Made by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
Agricycle Global Inc.	Milwaukee, WI	1/9/2020	856800-07	Filed
Number of Regulation D Notice Filings: 1				