

**WI Securities Law and Franchise Law Filings  
for 3/22/2020 through 3/28/2020**

<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>
Series Portfolios Trust Palm Valley Capital Fund Investor Class	West Allis, WI	3/26/2020	857501-03	Filed
Investment Managers Series Trust WCM China Quality Growth Fund Institutional Class Shares	Milwaukee, WI	3/24/2020	857480-03	Filed
Investment Managers Series Trust WCM China Quality Growth Fund Investor Class Shares	Milwaukee, WI	3/24/2020	857481-03	Filed
Investment Managers Series Trust WCM Focused ESG Emerging Markets Fund Institutional Class Shares	Milwaukee, WI	3/24/2020	857482-03	Filed
Investment Managers Series Trust WCM Focused ESG Emerging Markets Fund Investor Class Shares	Milwaukee, WI	3/24/2020	857483-03	Filed
Investment Managers Series Trust WCM Focused ESG International Fund Institutional Class Shares	Milwaukee, WI	3/24/2020	857484-03	Filed
Investment Managers Series Trust WCM Focused ESG International Fund Investor Class Shares	Milwaukee, WI	3/24/2020	857485-03	Filed
Managed Portfolio Series Principal Street High Income Municipal Fund Investor Class	Milwaukee, WI	3/23/2020	857476-03	Pending-Cleared
<b>Number of Investment Company Filings: 8</b>				

**WI Securities Law and Franchise Law Filings  
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<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>
OnLume Inc.	Monona, WI	3/27/2020	857545-07	Filed
OvalInnovations, LLC	Middleton, WI	3/27/2020	857556-07	Filed
<b>Number of Regulation D Notice Filings: 2</b>				

<b>Franchise Law Filings Made by Wisconsin Companies with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
COUSINS SUBS SYSTEMS, INC. / Cousins Subs	MENOMONEE FALLS, WI	3/27/2020	625817	Registered
CULVER FRANCHISING SYSTEM LLC / Culver's	PRAIRIE DU SAC, WI	3/27/2020	625802	Registered
Batteries Plus, L.L.C. / Batteries Plus	Hartland, WI	3/27/2020	625800	Registered
Toppers Pizza, Inc. / Toppers Pizza	Whitewater, WI	3/27/2020	625791	Registered
<b>Number of Franchise Filings: 4</b>				