

**WI Securities Law and Franchise Law Filings
for 2/28/2021 through 3/6/2021**

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
Investment Managers Series Trust II AXS Alternative Value Fund Class I	Milwaukee, WI	3/4/2021	863223-03	Filed
Investment Managers Series Trust II AXS Alternative Value Fund Investor Class	Milwaukee, WI	3/4/2021	863224-03	Filed
Investment Managers Series Trust II AXS Market Neutral Fund Class I	Milwaukee, WI	3/4/2021	863222-03	Filed
Investment Managers Series Trust II AXS Market Neutral Fund Investor Class	Milwaukee, WI	3/4/2021	863221-03	Filed
Number of Investment Company Filings: 4				

Federal Covered Security-Regulation D Notice Filings Made by Wisconsin Companies with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
NEI VII, LLC	Waukesha, WI	3/5/2021	863311-07	Filed
Number of Regulation D Notice Filings: 1				