# **2001 UNIFORM BUSINESS REPORT (UBR)**

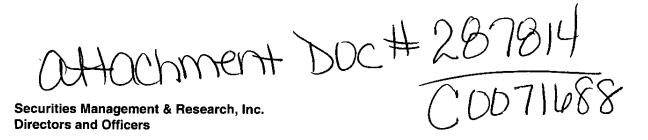
#### FILED Jun 20, 2001 8:00 am Secretary of State **DOCUMENT # 287814** 1. Entity Name 06-20-2001 90011 013 \*\*\*550 00 SECURITIES MANAGEMENT AND RESEARCH INC Principal Place of Business Mailing Address 2450 S. SHORE BLVD. PO POX 58969 STE 400 **HOUSTON TX 77258** LEAGUE CITY TX 77573 HS 2. Principal Place of Business 3. Mailing Address duite, Apt. #, etc. Suite, Apt. #, etc. DO NOT WRITE IN THIS SPACE Applied For City & State City & State 4. FEI Number 59-1145041 Not Applicable Country Country \$8.75 Additional 5. Certificate of Status Desired Fee Required 7. Name and Address of New Registered Agent 6. Name and Address of Current Registered Agent CT CORPORATION SYSTEM Street Address (P.O. Box Number is Not Acceptable) 1200 S. PINE ISLAND ROAD PLANTATION FL 33324 Zip Code FL 8. The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida Signature, typed or printed name of registered agent and title if applicable. (NOTE: Registered Agent signature required when reinstating) DATE 9. This corporation is eligible to satisfy its Intangible FILE NOW!!! FEE IS \$150.00 10. Election Campaign Financing \$5.00 May Be Tax filing requirement and elects to do so. After MAY 1, 2001 Fee will be \$550.00 Trust Fund Contribution. Added to Fees (See criteria on back) Make Check Payable to Department of State 11. OFFICERS AND DIRECTORS ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11 12. TITLE ☐ Delete TITLE Change ☐ Addition UNGER, EMERSON V. NAME NAME STREET ADDRESS STREET ODRESS ONE MOODY PLAZA CITY-ST-7IP Y-ST-ZIP **GAVELSTON TX** TITLE □ Delete TITLE ☐ Change Addition **AXELSON, TERESA** NAME NAME STREET ADDRESS ONE MOODY PLAZA STREET ADDRESS

CITY-ST-ZIP CITY-ST-ZIP GAVELSTON TX TITLE ☐ Delete TITLE ☐ Change ☐ Addition KOELEMAY, BRENDA T STREET ADDRESS ONE MOODY PLAZA STREET ADDRESS CITY-ST-ZIP CITY-ST-ZIP **GAVELSTON TX** TITLE ☐ Delete TITLE ☐ Change ☐ Addition DIXON, GORDON D. NAME ONE MOODY PLAZA STREET ADDRESS STREET ADDRESS CITY-ST-7IP GALVESTON TX 7550 CITY-ST-ZIP TITLE ☐ Delete TITLE ☐ Addition MCCRSKEY, MICHAEL W NAME NAME STREET ADDRESS ONE MOODY PLAZA STREET ADDRESS CITY-ST-ZIP CITY-ST-ZIP GAVELSTON TX TITLE Delete TITLE Change Addition NAME WHEELER, DAVID K. NAME STREET AND DRESS ONE MOODY PLAZA STREET ADDRESS CITY-ST-ZIP **GALVESTON TX** CITY-ST-ZIP

13. I hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this report or supplemental report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears in Block 11 or Block 12 if changed, or on an attachment

SIGNATURE:

CR2E034 (10/00)



# **Directors**

Gordon D. Dixon
G.Richard Ferdinandsten
David A. Behrens
R.Eugene Lucas
Michael W. McCroskey-----Ronald J. Welch

Securities Management & Research, Inc. American National Insurance Company American National Insurance Company American National Insurance Company Securities Management & Research; Inc. American National Insurance Company

### Officers

President - CEO
Senior VP - Chief Investment Officer
Vice President - Secretary
Vice President - CFO
Vice President
Vice President
Assistant VP
Assistant VP
Assistant VP
Assistant Secretary

Michael W. McCroskey Gordon D. Dixon Teresa Axelson Brenda Koelemay Emerson Unger T.Brett Harrington Steven D. Geib Vicki R. Douglas Sally F. Praker Michele S. Lord Securities Management & Research, Inc. Securities Management & Research, Inc.

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