

2001 UNIFORM BUSINESS REPORT (UBR)

FILED
Jun 20, 2001 8:00 am
Secretary of State

06-20-2001 90011 013 ***550.00

0631890

DOCUMENT # 287814

1. Entity Name
SECURITIES MANAGEMENT AND RESEARCH INC

Principal Place of Business Mailing Address
2450 S. SHORE BLVD. **PO BOX 58969**
STE 400 **HOUSTON TX 77258**
LEAGUE CITY TX 77573 **US**
US



DO NOT WRITE IN THIS SPACE

2. Principal Place of Business 3. Mailing Address
 Suite, Apt. #, etc. Suite, Apt. #, etc.
 City & State City & State

Zip Country Zip Country

4. FEI Number **59-1145041** Applied For
 Not Applicable
 5. Certificate of Status Desired **\$8.75** Additional Fee Required

6. Name and Address of Current Registered Agent
CT CORPORATION SYSTEM
1200 S. PINE ISLAND ROAD
PLANTATION FL 33324

7. Name and Address of New Registered Agent
 Name
 Street Address (P.O. Box Number is Not Acceptable)
 City **FL** Zip Code

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 _____ DATE _____
Signature, typed or printed name of registered agent and title if applicable. (NOTE: Registered Agent signature required when reinstating)

9. This corporation is eligible to satisfy its Intangible Tax filing requirement and elects to do so. (See criteria on back)

FILE NOW!!! FEE IS \$150.00
After MAY 1, 2001 Fee will be \$550.00
Make Check Payable to Department of State

10. Election Campaign Financing Trust Fund Contribution. **\$5.00** May Be Added to Fees

11. OFFICERS AND DIRECTORS

TITLE	V	<input type="checkbox"/> Delete
NAME	UNGER, EMERSON V.	
STREET ADDRESS	ONE MOODY PLAZA	
CITY-ST-ZIP	GAVELSTON TX	
TITLE	S	<input type="checkbox"/> Delete
NAME	AXELSON, TERESA	
STREET ADDRESS	ONE MOODY PLAZA	
CITY-ST-ZIP	GAVELSTON TX	
TITLE	VT	<input type="checkbox"/> Delete
NAME	KOELEMAY, BRENDA T	
STREET ADDRESS	ONE MOODY PLAZA	
CITY-ST-ZIP	GAVELSTON TX	
TITLE	VP	<input type="checkbox"/> Delete
NAME	DIXON, GORDON D.	
STREET ADDRESS	ONE MOODY PLAZA	
CITY-ST-ZIP	GALVESTON TX 77550	
TITLE	PD	<input type="checkbox"/> Delete
NAME	MCCRSKEY, MICHAEL W	
STREET ADDRESS	ONE MOODY PLAZA	
CITY-ST-ZIP	GAVELSTON TX	
TITLE	VP	<input checked="" type="checkbox"/> Delete
NAME	WHEELER, DAVID K.	
STREET ADDRESS	ONE MOODY PLAZA	
CITY-ST-ZIP	GALVESTON TX	

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE	<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	
STREET ADDRESS	
CITY-ST-ZIP	
TITLE	<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	
STREET ADDRESS	
CITY-ST-ZIP	
TITLE	<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	
STREET ADDRESS	
CITY-ST-ZIP	
TITLE	<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	
STREET ADDRESS	
CITY-ST-ZIP	
TITLE	<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	
STREET ADDRESS	
CITY-ST-ZIP	

See attached

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 with an address, with all other like empowered.

SIGNATURE: *Stevend Gatz* **STEVEND GATZ** 5/23/01 (281)334-2469
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

CR2E034 (10/00)

X212

Attachment Doc # 287814
C0071688

**Securities Management & Research, Inc.
Directors and Officers**

Directors

Gordon D. Dixon	Securities Management & Research, Inc.
G. Richard Ferdinandsten	American National Insurance Company
David A. Behrens	American National Insurance Company
R. Eugene Lucas	American National Insurance Company
Michael W. McCroskey	Securities Management & Research, Inc.
Ronald J. Welch	American National Insurance Company

Officers

President - CEO	Michael W. McCroskey	Securities Management & Research, Inc.
Senior VP - Chief Investment Officer	Gordon D. Dixon	Securities Management & Research, Inc.
Vice President - Secretary	Teresa Axelson	Securities Management & Research, Inc.
Vice President - CFO	Brenda Koelemay	Securities Management & Research, Inc.
Vice President	Emerson Unger	Securities Management & Research, Inc.
Vice President	T. Brett Harrington	Securities Management & Research, Inc.
Assistant VP	Steven D. Geib	Securities Management & Research, Inc.
Assistant VP	Vicki R. Douglas	Securities Management & Research, Inc.
Assistant VP	Sally F. Praker	Securities Management & Research, Inc.
Assistant Secretary	Michele S. Lord	Securities Management & Research, Inc.

Address:

American National Insurance Company
One Moody Plaza
Galveston, Texas 77550-7999

Securities Management & Research, Inc.
2450 South Shore Blvd, Suite 400
League City, Texas 77573

Phone: (281) 334-2469 x212

Steven D. Geib
5/23/01