

**2002 UNIFORM BUSINESS REPORT (UBR)**

**FILED**  
**Apr 10, 2002 8:00 am**  
**Secretary of State**

04-10-2002 90446 025 \*\*\*150.00

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**DOCUMENT # 287814**

1. Entity Name  
**SECURITIES MANAGEMENT AND RESEARCH INC**

Principal Place of Business <b>2450 S. SHORE BLVD.                  STE 400                  LEAGUE CITY TX 77573                  US</b>	Mailing Address <b>PO BOX 58969                  HOUSTON TX 77258                  US</b>
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80064226



DO NOT WRITE IN THIS SPACE

2. Principal Place of Business Suite, Apt. #, etc.	3. Mailing Address Suite, Apt. #, etc.
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City & State	City & State	4. FEI Number <b>59-1145041</b>	Applied For <input type="checkbox"/> Not Applicable
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Zip	Country	Zip	Country	5. Certificate of Status Desired <input type="checkbox"/> <b>\$8.75</b> Additional Fee Required
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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 \_\_\_\_\_ (NOTE: Registered Agent signature required when reinstating) DATE \_\_\_\_\_  
Signature, typed or printed name of registered agent and title if applicable.

9. This corporation is eligible to satisfy its Intangible Tax filing requirement and elects to do so.

**FILE NOW!!! FEE IS \$150.00**  
**After May 1, 2002 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 NAME STREET ADDRESS CITY-ST-ZIP	<b>V UNGER, EMERSON V. 2450 SOUTH SHORE BLVD., SUITE 400 LEAGUE CITY TX 77573</b>	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>VPS AXELSON, TERESA 2450 SOUTH SHORE BLVD., SUITE 400 LEAGUE CITY TX 77573</b>	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>VPCF KOELEMAY, BREANDA 2450 SOUTH SHORE BLVD., SUITE 400 LEAGUE CITY TX 77573</b>	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>VPCI DIXON, GORDON D 2450 SOUTH SHORE BLVD., SUITE 400 LEAGUE CITY TX 77573</b>	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>PDCE MCCROSKEY, MICHAEL W 2450 SOUTH SHORE BLVD., SUITE 400 LEAGUE CITY TX 77573</b>	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>AVP GEIB, STEVEN D 2450 SOUTH SHORE BLVD., SUITE 400 LEAGUE CITY TX 77573</b>	<input type="checkbox"/> Delete

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11		
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<i>see attached</i>	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition

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: *Steven D Geib* **STEVEN D GEIB** 4/2/02 281 334-2469  
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

CR2E034 (9/01)

X212

Attachment  
ID# 287814  
60064226

**Securities Management & Research, Inc.  
Directors and Officers  
Year 2001**

**Directors**

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
Gordon D. Dixon	Securities Management & Research, Inc.

**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