

# 2011 FOR PROFIT CORPORATION ANNUAL REPORT

DOCUMENT# 287814

FILED  
Mar 14, 2011  
Secretary of State

**Entity Name:** SECURITIES MANAGEMENT AND RESEARCH, INC.

**Current Principal Place of Business:**

2450 S. SHORE BLVD.  
STE 400  
LEAGUE CITY, TX 77573 US

**New Principal Place of Business:**

701 TAMA STREET, BLDG B  
MARION, IA 52302 US

**Current Mailing Address:**

PO BOX 58969  
HOUSTON, TX 77258 US

**New Mailing Address:**

701 TAMA STREET, BLDG B  
MARION, IA 52302 US

FEI Number: 59-1145041

FEI Number Applied For ( )

FEI Number Not Applicable ( )

Certificate of Status Desired ( )

**Name and Address of Current Registered Agent:**

CT CORPORATION SYSTEM  
1200 S. PINE ISLAND ROAD  
PLANTATION, FL 33324 US

**Name and Address of New Registered Agent:**

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: \_\_\_\_\_

Electronic Signature of Registered Agent

\_\_\_\_\_ Date

**OFFICERS AND DIRECTORS:**

Title: CEO  
Name: BERTHEL, THOMAS J  
Address: 701 TAMA STREET, BLDG B  
City-St-Zip: MARION, IA 52302

Title: PRES  
Name: BRENDENGEN, RONALD O  
Address: 701 TAMA STREET, BLDG B  
City-St-Zip: MARION, IA 52302

Title: VPF  
Name: GILKES, SETH R  
Address: 701 TAMA STREET, BLDG B  
City-St-Zip: MARION, IA 52302

Title: CCO  
Name: SCHILLING, BRIAN W  
Address: 701 TAMA STREET, BLDG B  
City-St-Zip: MARION, IA 52302

I hereby certify that the information indicated on this report or supplemental report is true and accurate and that my electronic 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 above, or on an attachment with all other like empowered.

SIGNATURE: SETH R GILKES

VP

03/14/2011

\_\_\_\_\_  
Electronic Signature of Signing Officer or Director

\_\_\_\_\_  
Date