

# 2003 FOR PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

**FILED**  
**Mar 10, 2003 8:00 am**  
**Secretary of State**

03-10-2003 90173 031 \*\*\*150.00

**DOCUMENT # 287814**  
1. Entity Name  
**SECURITIES MANAGEMENT AND RESEARCH INC**



Principal Place of Business  
**2450 S. SHORE BLVD.  
STE 400  
LEAGUE CITY TX 77573  
US**

Mailing Address  
**PO BOX 58969  
HOUSTON TX 77258  
US**



2. Principal Place of Business  
Suite, Apt. #, etc.  
City & State  
Zip Country

3. Mailing Address  
Suite, Apt. #, etc.  
City & State  
Zip Country

4. FEI Number **59-1145041**  
Applied For  
Not Applicable

5. Certificate of Status Desired  **\$8.75 Additional Fee Required**

CHECK HERE IF MAKING CHANGES

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. I am familiar with, and accept the obligations of registered agent.

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

**FILE NOW!!! FEE IS \$150.00**  
**After May 1, 2003 Fee will be \$550.00**  
**Make Check Payable to Florida Department of State**

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

10. OFFICERS AND DIRECTORS	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>V</b> <b>UNGER, EMERSON V.</b> <b>2450 SOUTH SHORE BLVD., SUITE 400</b> <b>LEAGUE CITY TX 77573</b>
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>VPS</b> <b>AXELSON, TERESA</b> <b>2450 SOUTH SHORE BLVD., SUITE 400</b> <b>LEAGUE CITY TX 77573</b>
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>VPCF</b> <b>KOELEMAY, BREANDA</b> <b>2450 SOUTH SHORE BLVD., SUITE 400</b> <b>LEAGUE CITY TX 77573</b>
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>VPCI</b> <b>DIXON, GORDON D</b> <b>2450 SOUTH SHORE BLVD., SUITE 400</b> <b>LEAGUE CITY TX 77573</b>
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>PDCE</b> <b>MCCROSKEY, MICHAEL W</b> <b>2450 SOUTH SHORE BLVD., SUITE 400</b> <b>LEAGUE CITY TX 77573</b>
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>AVP</b> <b>GEIB, STEVEN D</b> <b>2450 SOUTH SHORE BLVD., SUITE 400</b> <b>LEAGUE CITY TX 77573</b>

11. 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	<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
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition

*see attached*

12. 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 10 or Block 11 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE: STEVEN D. GEIB **RESTEVEDD, Geib** 3/6/03 281334-2469  
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

CR2E034 (10/02)

*Attachment*

*80650769*  
*289814*

**Securities Management & Research, Inc.  
Directors and Officers  
Year 2003**

**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