

2017 FLORIDA PROFIT CORPORATION ANNUAL REPORT

DOCUMENT# 287814

FILED
Apr 11, 2017
Secretary of State
CC9409242850

Entity Name: SECURITIES MANAGEMENT AND RESEARCH, INC.

Current Principal Place of Business:

4201 42ND ST. NE
SUITE 100
CEDAR RAPIDS, IA 52410

Current Mailing Address:

4201 42ND ST. NE
SUITE 100
CEDAR RAPIDS, IA 52410 US

FEI Number: 59-1145041

Certificate of Status Desired: No

Name and Address of Current Registered Agent:

CORPORATION SERVICE COMPANY
1201 HAYS STREET
TALLAHASSEE, FL 32301-2525 US

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

Officer/Director Detail :

Title DIRECTOR, CEO
Name BERTHEL, THOMAS J.
Address 4201 42ND ST. NE
SUITE 100
City-State-Zip: CEDAR RAPIDS IA 52410

Title PRESIDENT
Name MURPHY, RICHARD M.
Address 4201 42ND ST. NE
SUITE 100
City-State-Zip: CEDAR RAPIDS IA 52410

Title SENIOR VICE PRESIDENT,
OPERATING OFFICER, SECRETARY
Name SCHAUL, JOANNA
Address 4201 42ND ST. NE
SUITE 100
City-State-Zip: CEDAR RAPIDS IA 52410

Title DIRECTOR
Name WEGMANN, DANIEL P.
Address 4201 42ND ST. NE
SUITE 100
City-State-Zip: CEDAR RAPIDS IA 52410

Title COO, CFO, TREASURER, DIRECTOR
Name BRENDENGEN, RONALD O.
Address 4201 42ND ST. NE
SUITE 100
City-State-Zip: CEDAR RAPIDS IA 52410

Title SENIOR VICE PRESIDENT
Name CHRISTOFFERSON , ANDREW
Address 4201 42ND ST. NE
SUITE 100
City-State-Zip: CEDAR RAPIDS IA 52410

Title CHIEF COMPLIANCE OFFICER
Name WILCOX, RANDY
Address 4201 42ND ST. NE
SUITE 100
City-State-Zip: CEDAR RAPIDS IA 52410

Title ASSISTANT CHIEF COMPLIANCE
OFFICER
Name BERNER, SARAH
Address 4201 42ND ST. NE
SUITE 100
City-State-Zip: CEDAR RAPIDS IA 52410

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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: JOANNA SCHAUL

SECRETARY

04/11/2017

Electronic Signature of Signing Officer/Director Detail

Date

Officer/Director Detail Continued :

Title ASSISTANT VICE PRESIDENT
Name DAVENPORT, SHELLEY
Address 4201 42ND ST. NE
SUITE 100
City-State-Zip: CEDAR RAPIDS IA 52410