

**2022 FLORIDA PROFIT CORPORATION ANNUAL REPORT**

DOCUMENT# 287814

**FILED  
Apr 24, 2022  
Secretary of State  
5931152845CC**

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

**Current Principal Place of Business:**

4201 42ND ST. NE  
SUITE 100  
CEDAR RAPIDS, IA 52402

**Current Mailing Address:**

4201 42ND ST. NE  
SUITE 100  
CEDAR RAPIDS, IA 52402 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, PRESIDENT,  
CHAIRMAN OF THE BOARD  
Name BERTHEL, THOMAS J.  
Address 4201 42ND ST. NE  
SUITE 100  
City-State-Zip: CEDAR RAPIDS IA 52402

Title SECRETARY  
Name SCHAUL, JOANNA  
Address 4201 42ND ST. NE  
SUITE 100  
City-State-Zip: CEDAR RAPIDS IA 52402

Title TREASURER, DIRECTOR  
Name RUPP, BRIAN  
Address 4201 42ND ST. NE  
SUITE 100  
City-State-Zip: CEDAR RAPIDS IA 52402

Title DIRECTOR  
Name SWARTZENDRUBER, PAIGE  
Address 4201 42ND ST. NE  
SUITE 100  
City-State-Zip: CEDAR RAPIDS IA 52402

Title DIRECTOR  
Name MURPHY, RICHARD M.  
Address 4201 42ND ST. NE  
SUITE 100  
City-State-Zip: CEDAR RAPIDS IA 52402

Title DIRECTOR  
Name CHRISTOFFERSON, ANDREW  
Address 4201 42ND ST. NE  
SUITE 100  
City-State-Zip: CEDAR RAPIDS IA 52402

*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**

**04/24/2022**

Electronic Signature of Signing Officer/Director Detail

Date