

1.) CORPORATION NAME: <b>SECURITIES MANAGEMENT AND RESEARCH, INC.</b>	DUE DATE: <b>10/31/2013</b>				
2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS: <b>CORPORATION SERVICE COMPANY          BANK OF AMERICA CENTER, 16TH FLOOR          1111 EAST MAIN STREET           RICHMOND, VA</b>	SCC ID NO: <b>F0196578</b>				
3.) CITY OR COUNTY OF VA REGISTERED OFFICE: <b>RICHMOND CITY</b>	5.) STOCK INFORMATION <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">CLASS</th> <th style="width: 50%;">AUTHORIZED</th> </tr> <tr> <td>COMMON</td> <td>1,000,000</td> </tr> </table>	CLASS	AUTHORIZED	COMMON	1,000,000
CLASS	AUTHORIZED				
COMMON	1,000,000				
4.) STATE OR COUNTRY OF INCORPORATION: <b>FL</b>					

6.) PRINCIPAL OFFICE ADDRESS:

ADDRESS: 701 TAMA ST BLDG B

CITY/ST/ZIP: MARION, IA 52302

7.) DIRECTORS AND PRINCIPAL OFFICERS: All directors and principal officers must be listed. An individual may be designated as both a director and an officer.

NAME: THOMAS J BERTHEL TITLE: CEO ADDRESS: 701 TAMA ST BLDG B CITY/ST/ZIP/CO: MARION, IA 52302	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR	
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NAME: JOANNA SCHAUL TITLE: SVP/SEC/OPR OFF ADDRESS: 701 TAMA STREET BLDG B CITY/ST/ZIP/CO: MARION, IA 52302	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR	
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NAME: RONALD O BRENDENGEN TITLE: COO ADDRESS: 701 TAMA ST BLDG B CITY/ST/ZIP/CO: MARION, IA 52302	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR	
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NAME: DANIEL P WEGMANN TITLE: CFO/TREASURER ADDRESS: 701 TAMA STREET BLDG B CITY/ST/ZIP/CO: MARION, IA 52302	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR	
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I AFFIRM THAT THE INFORMATION CONTAINED IN THIS ELECTRONIC REPORT IS ACCURATE AND COMPLETE AS OF THE DATE BELOW AND THAT I AM LEGALLY AUTHORIZED TO SIGN THIS REPORT.

/s/ JOANNA SCHAUL	JOANNA SCHAUL, SVP/SEC/OPR OFF	10/17/2013
SIGNATURE OF DIRECTOR/OFFICER LISTED IN THIS REPORT	PRINTED NAME AND CORPORATE TITLE	DATE

It is a Class 1 misdemeanor for any person to sign a document, which includes this electronic record, that is false in any material respect with the intent that the document be delivered to the Commission for filing.