



**State of Rhode Island and Providence Plantations  
Office of the Secretary of State**

Fee: \$50.00

Division Of Business Services  
148 W. River Street  
Providence RI 02904-2615  
(401) 222-3040

**Foreign Business Corporation  
Annual Report**

Filing Period: January 1 - March 1

*In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501 (c&d)) is subject to a penalty fee of \$25.00.*

**ANNUAL REPORT YEAR:** 2014

**1. Corporate ID No.** 000055658

**2. Name of Corporation** USAA Investment Management Company

**3. Street Address Principal Business Office:**

No. and Street: 9800 FREDERICKSBURG ROAD

City or Town: SAN ANTONIO

State: TX Zip: 78288-0227 Country: USA

**4. Business Phone No.**

210-498-4924

**5. State of Incorporation**

State: DE

**6. Brief Description of the Character of Business Conducted in Rhode Island**

SELF-CLEARING BROKER DEALER, UNDERWRITER AND DISTRIBUTOR OF MUTUAL FUNDS AND RELATED SECURITIES ACTIVITIES

**7. Names and Addresses of the Officers and Directors:**

**All officers and directors must be listed.**

| Title          | Individual Name<br>First, Middle, Last, Suffix | Address<br>Address, City or Town, State, Zip Code, Country |
|----------------|------------------------------------------------|------------------------------------------------------------|
| PRESIDENT      | DANIEL MCNAMARA                                | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA      |
| SECRETARY      | JAMES G. WHETZEL                               | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA      |
| SVP            | BROOKS ENGLEHARDT                              | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA      |
| VICE PRESIDENT | JEFFREY D. HILL                                | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA      |

|                               |                     |                                                       |
|-------------------------------|---------------------|-------------------------------------------------------|
| SFO, TREASURER                | BRODY MERRILL       | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| ASSISTANT VICE PRESIDENT      | SUSAN OWENS         | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| VICE PRESIDENT                | BERNARD P. WILLIAMS | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| ASSISTANT SECRETARY           | DANIEL J. MAVICO    | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| CHIEF COMPLIANCE OFFICER      | JOSHUA ANDERSEN     | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| VICE PRESIDENT                | KEITH SLOANE        | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| VICE PRESIDENT                | PATRICK A. WAGEMAN  | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| VP, CONTROLLER                | KIRSTEN M. REGISTER | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| ASSISTANT VICE PRESIDENT      | JEFF KISSNER        | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| AVP, CHIEF COMPLIANCE OFFICER | DAVID H. SMITH      | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| ASSISTANT VICE PRESIDENT      | MICHAEL PODRACKY    | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| ASSISTANT VICE PRESIDENT      | PAUL FULMER         | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| ASSISTANT VICE PRESIDENT      | SEAN B. GRINDALL    | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| VICE PRESIDENT                | CHARLES K. CRAFT    | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| VICE PRESIDENT                | ZACHRY GIPSON       | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| VICE PRESIDENT                | TERRI L. LUENSMANN  | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| DIRECTOR                      | DANIEL MCNAMARA     | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| DIRECTOR                      | BROOKS ENGLEHARDT   | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |
| DIRECTOR                      | CARL C. LIEBERT III | 9800 FREDERICKSBURG ROAD<br>SAN ANTONIO, TX 78288 USA |

## 8. Shares Authorized and Issued

| Class of Stock | Series of Stock | Par Value Per Share | Total Authorized<br>Shares<br><i>Number of Shares</i> | Total Issued<br>and<br>Outstanding<br><i>Num of<br/>Shares</i> |
|----------------|-----------------|---------------------|-------------------------------------------------------|----------------------------------------------------------------|
| PWP            |                 | \$100.0000          | 50,000.00                                             | 50000                                                          |
| CWP            |                 | \$0.0100            | 1,000.00                                              | 100                                                            |

**9. This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.**

**Signed this 14 Day of February, 2014 at 11:37:19 AM.** *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By DANIEL J. MAVICO

Signature of Authorized Representative of the Corporation

ASSISTANT SECRETARY

Title

**This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in section 7.**

Form No. 630  
Revised 09/07

© 2007 - 2014 State of Rhode Island and Providence Plantations  
All Rights Reserved