



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: 2017

1. Corporate ID No. 000093033

2. Name of Corporation Ameritas Investment Corp.

3. Street Address Principal Business Office:

No. and Street: 5900 O STREET  
City or Town: LINCOLN State: NE Zip: 68510-2234 Country: USA

4. Business Phone No.

402-467-6938

5. State of Incorporation

State: NE

ARTICLE III

Using the following NAICS codes, please select the code that best describes your business.

NAICS Code  52

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

AIC IS A FULL SERVICE BROKER/DEALER WHO SELLS STOCKS, BONDS, MUTUAL FUNDS AND ANNUITIES. AIC ALSO ACTS AS UNDERWRITER FOR VARIABLE PRODUCTS AND OPERATES INVESTMENT BANKING BUSINESS FOR PUBLIC FINANCE IN THE STATES OF MISSOURI AND NEBRASKA.

7. Names and Addresses of the Officers and Directors:

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

Title	Individual Name	Address
	First, Middle, Last, Suffix	Address, City or Town, State, Zip Code, Country

VICE PRESIDENT, CHIEF ADMINISTRATION OFFICER	DARLA G. WILTON	5900 O STREET LINCOLN, NE 68510 USA
VICE PRESIDENT, PUBLIC FINANCE	JAY A. SPEARMAN	440 REGENCY PKWY DR., STE. #222 OMAHA, NE 68114 USA
VICE PRESIDENT, PUBLIC FINANCE	BRUCE D. LEFLER	440 REGENCY PKWY DR., STE. #222 OMAHA, NE 68114 USA
SENIOR VICE PRESIDENT, CHIEF COMPLIANCE & RISK MGMT. OFFICER	MICHAEL D. BURNS	5900 O STREET LINCOLN, NE 68510 USA
ASSISTANT SECRETARY	DAVID M WILLIAMS	5900 O STREET LINCOLN, NE 68510 USA
VICE PRESIDENT, DIRECTOR, PUBLIC FINANCE	MATTHEW V. WEBSTER	800 WEST 47TH STREET, SUITE 600 KANSAS CITY, MO 64112 USA
ASST. VICE PRESIDENT, PUBLIC FINANCE	KAROLYN K. CLINE	800 WEST 47TH STREET, SUITE 600 KANSAS CITY, MO 64112 USA
PRESIDENT & DIRECTOR	SALENE M. HITCHCOCK-GEAR	4550 MONTGOMERY AVE. BETHESDA, MD 20814 USA
CORPORATE SECRETARY	ROBERT-JOHN H. SANDS	4550 MONTGOMERY AVE. BETHESDA , MD 20814 USA
VICE PRESIDENT, BROKER DEALER COMPLIANCE	MARIA E SHERFFIUS	5900 O STREET LINCOLN, NE 68510 USA
VICE PRESIDENT, OPERATIONS	DEIDRE D CADWELL	5900 O STREET LINCOLN, NE 68510 USA
VICE PRESIDENT, RISK & ANALYTICS	CONNIE S. GROSSER	1876 WAYCROSS RD CINCINNATI, OH 45240 USA
VICE PRESIDENT, PUBLIC FINANCE	JOHN E TRECEK	440 REGENCY PKWY DR., STE. #222 OMAHA, NE 68114 USA
DIRECTOR	WILLIAM W. LESTER	5900 O STREET LINCOLN, NE 68510 USA
DIRECTOR & CHAIR	TIMMY L. STONEHOCKER	5900 O STREET LINCOLN, NE 68510 USA
VICE PRESIDENT, MANAGING DIRECTOR, PUBLIC FINANCE	JOHN M. HOLLAND	800 WEST 47TH STREET, SUITE 600 KANSAS CITY, MO 64112 USA
VICE PRESIDENT, MANAGING DIRECTOR, PUBLIC FINANCE	BRADFORD J. MAX	800 WEST 47TH STREET, SUITE 600 KANSAS CITY, MO 64112 USA
VICE PRESIDENT, DIRECTOR, PUBLIC FINANCE	JOHN C. MCARTHUR	800 WEST 47TH STREET, SUITE 600 KANSAS CITY, MO 64112 USA
VICE PRESIDENT, DIRECTOR, PUBLIC FINANCE	MICHAEL L. SHORT	800 WEST 47TH STREET, SUITE 600 KANSAS CITY, MO 64112 USA
VICE PRESIDENT, PUBLIC FINANCE	DALLAS W. WATKINS	390 N. COTNER BLVD. LINCOLN, NE 68510-2234 USA
SENIOR VICE PRESIDENT, AIC CAPITAL MARKETS	SCOTT E. FLETCHER	390 N. COTNER BLVD. LINCOLN, NE 68510-2234 USA
VICE PRESIDENT, RETAIL SALES	HEATHER J. JANSEN	390 N. COTNER BLVD. LINCOLN, NE 68510-2234 USA
VICE PRESIDENT	VERNA M. CURRY	390 N. COTNER BLVD. LINCOLN, NE 68510-2234 USA
VICE PRESIDENT	ROBERT W. MORROW	390 N. COTNER BLVD. LINCOLN, NE 68510-2234 USA
VICE PRESIDENT	MARC C. MUNFORD	390 N. COTNER BLVD. LINCOLN, NE 68510-2234 USA
VICE PRESIDENT, FIXED INCOME TRADING	DONITA G. ERICKSON	390 N. COTNER BLVD. LINCOLN, NE 68510-2234 USA
ASST. VICE PRESIDENT, PUBLIC	BRADLEY J. SLAUGHTER	390 N. COTNER BLVD.

FINANCE		LINCOLN, NE 68510-2234 USA
VICE PRESIDENT & MANAGING DIRECTOR, PUBLIC FINANCE	SCOTT D. KEENE	390 N. COTNER LINCOLN, NE 68510-2234 USA
ASSISTANT SECRETARY, TAX ACCOUNTING	MARY H. RUTFORD	5900 O STREET LINCOLN, NE 68510-2234 USA
VICE PRESIDENT, CHIEF FINANCIAL OFFICER	GERALD Q. HERBERT	5900 O STREET LINCOLN, NE 68510 USA
DIRECTOR	RYAN C. BEASLEY	5900 O STREET LINCOLN, NE 68510-2234 USA

## 8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of Shares</i>
STK		\$0.1000	500,000.00	300007

**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 20 Day of January, 2017 at 5:08:46 PM.** *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 GERALD Q. HERBERT  
Signature of Authorized Representative of the Corporation

Form No. 630  
Revised 09/07

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