



**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:** 2018

**1. Corporate ID No.** 000797258

**2. Name of Corporation** Transamerica Investors Securities Corporation

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

No. and Street: 408 ST. PETER STREET,SUITE 230  
MS 3550

City or Town: ST. PAUL State: MN Zip: 55101 Country: USA

**4. Business Phone No.**

9166273000

**5. State of Incorporation**

State: DE

**ARTICLE III**

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes [here](#). More information on [NAICS](#) can be found online.

524210

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

THE PURPOSE OF THE CORPORATION IS TO ENGAGE IN THE BROKER-DEALER  
BUSINESS

OR

ANY LAWFUL ACT OR ACTIVITY FOR WHICH CORPORATIONS MAY BE ORGANIZED  
TO DO

BUSINESS UNDER THE LAWS OF ITS JURISDICTION OF INCORPORATION.

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

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

<b>Title</b>	<b>Individual Name</b> First, Middle, Last, Suffix	<b>Address</b> Address, City or Town, State, Zip Code, Country
PRESIDENT	JOSEPH P. CARUSONE	440 MAMARONECK AVENUE HARRISON, NY 10528 USA
TREASURER	JOSEPH P. CARUSONE	440 MAMARONECK AVENUE HARRISON, NY 10528 USA
SECRETARY	GREG MILLER-BREETZ	100 LIGHT STREET BALTIMORE, MD 21202 USA
DIRECTOR	JOSEPH P. CARUSONE	440 MAMARONECK AVENUE HARRISON, NY 10528 USA
DIRECTOR	PHILIP ECKMAN	408 ST. PETER STREET ST PAUL, MN 55101 USA
DIRECTOR	WILLIAM NOYES	440 MAMARONECK AVENUE HARRISON, NY 10528 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>
CWP		\$1.0000	1,000.00	1000

**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 24 Day of October, 2018 at 3:27:21 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 GREG MILLER-BREETZ  
Signature of Authorized Representative of the Corporation

Form No. 630  
Revised 09/07

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