



**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: 2019

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.

201-772-5259

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.

523120

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

INTRODUCING BROKER-DEALER THAT OFFERS BROKERAGE PRODUCTS AND SERVICES TO ITS CUSTOMERS.

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
PRESIDENT	BRANDON CARTER	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA

ASSISTANT SECRETARY	SEBA KURIAN	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
CHIEF COMPLIANCE OFFICER- BROKER DEALER COMPL	JAMES MUIR	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
CHIEF COMPLIANCE OFFICER- INVESTMNT ADVISER COMPL	STEPHANIE HIGBY	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
SFO & TREASURER	DIANA DOMINGUEZ	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
VICE PRESIDENT	SEAN B. GRINDALL	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
ASSISTANT VP	CHARLES B. MASSEY	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
VICE PRESIDENT	KEITH SLOANE	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
ASSISTANT VICE PRESIDENT	MICHAEL PODRACKY	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
ASSISTANT VICE PRESIDENT	PAUL FULMER	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
VICE PRESIDENT	CHARLES K. CRAFT	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
ASSISTANT VICE PRESIDENT	KAREN HANKS	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
ASSISTANT VICE PRESIDENT	STEVE MCCOY	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
SECRETARY	CHRISTINE J. WARREN	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
ASSISTANT SECRETARY	SALLY A MURPHY	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
AML COMPLIANCE OFFICER	LYNDA JAMMERMAN	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
VICE PRESIDENT	WILLIAM WHITE	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
CHIEF INVESTMENT OFFICER	BRIAN HERSCOVICI	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
SENIOR VICE PRESIDENT - CONTROLLER	MARTHA D. LEIPER	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
VICE PRESIDENT - INVESTMENTS COMPLIANCE	JEFFREY D. HILL	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
VICE PRESIDENT - TAX OFFICER	PATRICK A. WAGEMAN	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
ASSISTANT VICE PRESIDENT	SHANNON FALLS	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
DIRECTOR	DANIEL MCNAMARA	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
DIRECTOR	BROOKS ENGLEHARDT	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA
DIRECTOR	BRANDON CARTER	9800 FREDERICKSBURG ROAD SAN ANTONIO, TX 78288 USA

8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized	Total Issued and Outstanding
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			Shares Number of Shares	Num of Shares
PWP		\$100.0000	50,000.00	0
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 15 Day of February, 2019 at 5:54:48 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 CHRISTINE J. WARREN
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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