



**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:** 2020

**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**

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**

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 CAPITAL MARKETS IN THE STATE OF 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

DIRECTOR	BRENT F. KORTE	5900 O STREET LINCOLN, NE 68510 USA
SECOND VICE PRESIDENT, BROKER DEALER COMPLIANCE	MARIA E. SHERFFIUS	5900 O STREET LINCOLN, NE 68510-2234 USA
SECOND VICE PRESIDENT, BUSINESS DEVELOPMENT	BRANDON M. MANN	5900 O STREET LINCOLN, NE 68510-2234 USA
VICE PRESIDENT, COMPLIANCE	JAMES E. CLEMENTS	5900 O STREET LINCOLN, NE 68510-2234 USA
VICE PRESIDENT, WEALTH MANAGEMENT & INVESTMENT SERVICES	CONNIE S. GROSSER	1876 WAYCROSS RD. CINCINNATI, OH 45240 USA
VICE PRESIDENT, PUBLIC FINANCE	JENNIFER A. KOBZA	440 REGENCY PKWY DR., STE. #222 OMAHA, NE 68114 USA
SECOND VICE PRESIDENT, WEALTH MANAGEMENT SERVICES	MICHAEL J. MOSS	5900 O STREET LINCOLN, NE 68510-2234 USA
DIRECTOR	WILLIAM W. LESTER	5900 O STREET LINCOLN, NE 68510-2234 USA
VICE PRESIDENT, CHIEF FINANCIAL OFFICER	GERALD Q. HERBERT	5900 O STREET LINCOLN, NE 68510 USA
VICE PRESIDENT, PUBLIC FINANCE	JOHN E TRECEK	440 REGENCY PKWY DR., STE. #222 OMAHA, NE 68114 USA
ASSISTANT SECRETARY, TAX ACCOUNTING	MARY H. RUTFORD	5900 O STREET LINCOLN, NE 68510-2234 USA
SECOND VICE PRESIDENT, OPERATIONS	DEIDRE D. CADWELL	5900 O STREET LINCOLN, NE 68510-2234 USA
DIRECTOR, CHAIR	RYAN C. BEASLEY	5900 O STREET LINCOLN, NE 68510-2234 USA
SENIOR VICE PRESIDENT, OPERATIONS, AIC	HEATHER J. NAGENGAST	5900 O STREET LINCOLN, NE 68510-2234 USA
CORPORATE SECRETARY	CHRISTINE M. NEIGHBORS	5900 O STREET LINCOLN, NE 68510-2234 USA
ASSISTANT SECRETARY	ROBERT-JOHN H. SANDS	789 STEPHANIE CIRCLE GREAT FALLS, VA 22066 USA
VICE PRESIDENT & MANAGING DIRECTOR, PUBLIC FINANCE	MICHAEL E. SHOEMAKER	5900 O STREET LINCOLN, NE 68510-2234 USA
DIRECTOR, SVP, AGENCY & ADVISOR DISTRIBUTION & AIC PRESIDENT	KURT J. SHALLOW	128 PROSPECT STREET AUBURN, MA 01501 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 30 Day of January, 2020 at 7:20:49 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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