

List of Supervisory and Registered Personnel

Exhibit 1.01

The following is a current list of the names, registrations, and effective dates of supervisory and registered personnel who are employed with the Firm or affiliated as independent contractors:

List of Supervisory Personnel

Last Updated: 06/30/2024

Name	Title	Location	Registrations	Effective Dates
Clarence Yee	President	San Ramon Home Office	GP, FN, MP	05/72
Nicholas Cochran	Vice-President	San Ramon Home Office	GP	04/92
Laura Wich	Operations Manager	San Ramon Home Office	GP	07/98
Emmanuel Comes	Compliance Officer	San Ramon Home Office	GP, MP, SU	01/11

Designation and Responsibility of Oversight

** Note: For the purposes of supervisory responsibility and oversight, any reference to “designated supervisor,” or “designated principal” within this Manual shall refer to the designated Supervisor (OSJ Branch Manager) as disclosed in the List of Supervisory and Registered Personnel herein, and as stated on the Central Registration Depository (CRD) unless otherwise specified.*

Designation of Supervisory Responsibility by Firm Operations

General Operations	Designated Supervisor(s)	Effective Date(s)
Personnel, Licensing & Registration	Clarence Yee	03/88
Standards of Conduct	Clarence Yee	03/88
General Supervision	Clarence Yee	05/73
Continuing Education & Training	Nicholas Cochran	02/95
Books and Records Requirements	Clarence Yee	05/73
Financial Reporting	Clarence Yee	05/73
Communications with the Public	Clarence Yee	03/88
Customer Accounts and Transactions	Clarence Yee	03/88
Privacy Policies & Regulation S-P	Clarence Yee	07/01/01
Anti-Money Laundering Procedures	Nicholas Cochran	04/24/02
OSJ Branch Office Procedures	Clarence Yee	03/88

Designation of Supervisory Responsibility by Firm Product Line

Product Lines	Designated Supervisor(s)	Effective Date(s)
Corp. Fixed Income Securities (TRACE)	Clarence Yee	05/73
Direct Participation Programs (DPPs)	Clarence Yee; Nicholas Cochran	05/73; 04/92
Equities	Clarence Yee	05/73
Government Securities	Clarence Yee	05/73
Independent Contractors	Clarence Yee	05/73
Municipal Securities	Clarence Yee	05/73
Mutual Funds	Clarence Yee	05/73
Private Placements & Offerings	Clarence Yee; Nicholas Cochran	05/73; 04/92
Variable Contracts	Clarence Yee	05/73

Designation of Appropriate Registered Principals

In accordance with FINRA Rule 3110(a)(4) (formerly NASD Rule 3010(a)(4)), the Firm will designate one or more appropriately registered principals in each OSJ and one or more appropriately registered

representatives or principals in each non-OSJ branch office, or Residential Supervisory Location (RSL) with authority to carry out the supervisory responsibilities assigned to that office by the firm.
(Regulatory Notice 24-02; January 23, 2024)

CRD Branch Number	Branch Location	Supervisor/PIC
116446	101 Lucas Valley Road, Suite 265 SAN RAFAEL, CA 94903 United States	LOCOCO, JOHN EDWARD (5645603)
116448	215 W. WASHINGTON AVE. FERGUS FALLS, MN 56537 United States	CORNISH, LINDA SUSAN (1915532)
116451	1600 VALLEY RIVER DRIVE, SUITE 385 EUGENE, OR 97401 United States	CONLEY, GARY EARL (52159)
116452	274 E. HAMILTON AVE # B CAMPBELL, CA 95008 United States	HARY, ANDRE ROLAND (239301)
116455	207 G STREET ANTIOCH, CA 94509 United States	POLLARD, STEPHEN ALAN (1312642)
116456	13620 LINCOLN WAY, SUITE 280 AUBURN, CA 95603 United States	BLAIR, FORREST RANDALL (2677843)
210319	12667 ALCOSTA BLVD., SUITE 160 SAN RAMON, CA 94583 United States	YEE, CLARENCE (474356) COCHRAN, NICHOLAS COWLES (713570)
212156	7300 JOHNSTON RD. PLEASANTON, CA 94588 United States	HAUPT, BRADLEY LEE (821393)
259807	2909 COFFEE ROAD, SUITE 8 MODESTO, CA 95355 United States	DERBY, DAVID ROE (1851860)
259810	44220 SANDIA CREEK DRIVE TEMECULA, CA 92590 United States	ALBIN, GREGORY JAMES (802526)
259812	3417 STREAMSIDE CIRCLE #117 PLEASANTON, CA 94588 United States	BAER, JOHN WALTER (9940)
259814	660 SPAR DRIVE REDWOOD CITY, CA 94065 United States	CARLINO, CHAO-KANG KUAN (1179555)
260753	345 NORTH STATE STREET. UKIAH, CA 95482 United States	DELBOSCO, DOUGLAS BARRY (2382645)
271391	1265 AVENIDA SEVILLA 2B WALNUT CREEK, CA 94595 United States	DEVINNEY, FREDERIC HUNTER (66638)

271686	307 S. AUBURN ST. GRASS VALLEY, CA 95945 United States	GRAHAM, STACY ANNE (1458142)
271697	9825 BLUE LARKSPUR LANE MONTEREY, CA 93940 United States	KNIGHT, JOEL BERNARD (1379212)
273489	1818 MANOR DR. SANTA ROSA, CA 95403 United States	JOSSE, FREDERICK JOHN (719755)
273490	559 FAIRHILLS DR SAN RAFAEL, CA 94901 United States	KAMLER, PETER CHARLES (1249817)
273492	45 E. JULIAN STREET SAN JOSE, CA 95112 United States	KESSLER, JOHN INGLEITALO (1771455)
273493	10080 N Wolfe Road, Suite SW3-200 Cupertino, CA 95014 United States	LAFOSSE, EDUARDO ENRIQUE (1431987)
274422	6101 Bollinger Canyon Rd, Suite 310 SAN RAMON, CA 94583 United States	LOOFBOURROW, ERIC ANDREW (5536022)
274499	3658 MT. DIABLO BLVD., STE. 210 LAFAYETTE, CA 94549 United States	MOSHER, JERRY SMITH (341322)
276701	84 SCHOONER COURT RICHMOND, CA 94804 United States	MEANS, CLIFORD DAVID (2978111)
279569	251 WATERMAN CIRCLE DANVILLE, CA 94526 United States	PADILLA, MONICA (1370322)
279757	525 J STREET, SUITE B LOS BANOS, CA 93635 United States	PRUITT, ROGER HAYDEN (1239536)
279837	2654 Gianelli Lane Escondido, CA 92025 United States	LIU, MENDY Y (2343591)
279845	2193 BRAEMAR ROAD OAKLAND, CA 94602 United States	GREEN, THOMAS ROBBINS (228653)
279855	132 Mill Street, Suite 208 HEALDSBURG, CA 95448 United States	GEMMER, ROBERT ARDEN (858158)
281446	1511 JEFFERSON STREET, UNIT 105 OAKLAND, CA 94612 United States	SHIH, STEVE I-CHUNG (1284147)
282504	1655 N. MAIN STREET, STE. 270 WALNUT CREEK, CA 94596 United States	COIT, ROGER KENNETH (50331)
302942	1300 CLAY STREET, #600 OAKLAND, CA 94612 United States	CHARNEY, ROYCE ALAN (1310948)

354965	777 CASS STREET MONTEREY, CA 93940 United States	AUBUCHON, KIMBERLY ANNE (1460513)
513593	2150 Greenview Dr. Woodstock, IL 60098 United States	ALEXANDER, KENT ROBERT (5562573)
537036	5007 FEDSCO DRIVE CONCORD, CA 94521 United States	GUTHREAU, WILLIAM HENRY (2584389)
537758	5701 LONETREE BLVD., SUITE 215 ROCKLIN, CA 95765 United States	MEHREN, SCOTT CHRISTOPHER (4249198)
592720	4630 Driftwood Court El Sobrante, CA 94803 United States	ROSE, PAULA JEAN (2871324)
645205	414 South Franklin Street Fort Bragg, CA 95437 United States	DELBOSCO, DOUGLAS BARRY (2382645)
665013	3350 Cherry Hills Road Room B-308 FAIRFIELD, CA 94534 United States	BAYOL, FRANKLIN MONDEK (15447)
687842	924 Camino Drive SANTA CLARA, CA 95050 United States	MADRUGA, THOMAS CARDOSO (3276072)
688630	2635 N. First Street, Suite 230 San Jose, CA 95134 United States	LOCOCO, JOHN EDWARD (5645603)
739301	4027 E 3rd Street, Apt B Long Beach, CA 90814 United States	Delossantos, Frankel Tandog (3171700)
779735	7075 REDWOOD BLVD., SUITE I NOVATO, CA 94945 United States	Grotjahn, Anthony (1314101)
824581	4340 REDWOOD HWY STE 118 SAN RAFAEL, CA 94903 United States	COHN, RICHARD JAY (1185303)

List of Registered Personnel

Last Updated: 06/30/2024

Individual Name	Rep #	Branch Office Location	OSJ (If not Branch)	Effective Date
ALBIN, GREGORY JAMES	2447	TEMECULA	HO/SAN RAMON	1/27/1977
ALEXANDER, KENT ROBERT	6130	WOODSTOCK, IL	HO/SAN RAMON	9/05/2012
AUBUCHON, KIMBERLY	7076	MONTEREY	HO/SAN RAMON	1/3/2008
BAER, JOHN WALTER	2442	LOS ALTOS	HO/SAN RAMON	2/14/1996
BAYOL, FRANKLIN MONDEK	7239	FAIRFIELD	HO/SAN RAMON	6/30/2017
BLAIR, FORREST RANDALL	7161	AUBURN	HO/SAN RAMON	9/12/1997
CARLINO, CHAO-KANG KUAN	2601	REDWOOD CITY	HO/SAN RAMON	5/21/2002
CHARNEY, CHERYL LYNNE	7173	OAKLAND	HO/SAN RAMON	8/25/1998
CHARNEY, ROYCE ALAN	6098	OAKLAND	HO/SAN RAMON	2/10/1999
COATE, ROGER LEE	2472	UKIAH	HO/SAN RAMON	7/8/1987
COCHRAN, NICHOLAS COWLES	2434	HO/SAN RAMON		5/1/1992
COHN, RICHARD JAY	7133	SAN RAFAEL	HO/SAN RAMON	10/25/2023
COIT, ROGER KENNETH	2423	WALNUT CREEK	HO/SAN RAMON	12/19/1994
COMES, EMMANUEL	2483	HO/SAN RAMON		1/11/2011
CONLEY, GARY EARL	2446	EUGENE, OR	HO/SAN RAMON	3/8/1996
CORNISH, LINDA SUSAN	7058	FERGUS FALLS, MN	HO/SAN RAMON	2/2/1990
DAWSON, SCOTT EVERARD	7190	LAFAYETTE	HO/SAN RAMON	1/10/2002
DELBOSCO, DOUGLAS BARRY	6088	UKIAH	HO/SAN RAMON	1/5/1998
DELOSSANTOS, FRANKEL TANDOG	7243	LONG BEACH	HO/SAN RAMON	6/1/2020
DERBY, DAVID ROE	7106	MODESTO	HO/SAN RAMON	1/24/1991
DEVINNEY, FREDERIC HUNTER	2452	WALNUT CREEK	HO/SAN RAMON	3/28/1994
GEMMER, ROBERT ARDEN	7203	HEALDSBURG	HO/SAN RAMON	4/30/2004
GRAHAM, STACY ANNE	7201	GRASS VALLEY	HO/SAN RAMON	3/12/2004
GREEN, THOMAS ROBBINS	7026	OAKLAND	HO/SAN RAMON	10/28/1976
GROTJAHN, ANTHONY	6084	NOVATO	HO/SAN RAMON	2/10/2022
GUTHREAU, WILLIAM HENRY	7232	CONCORD	HO/SAN RAMON	5/17/2013
HARY, ANDRE ROLAND	7003	CAMPBELL	HO/SAN RAMON	11/19/1973
HARY, AUSTIN MITCHELL	6129	CAMPBELL	HO/SAN RAMON	4/19/2012
HAUPT, ANDREW BRADLEY	7229	PLEASANTON	HO/SAN RAMON	12/16/2013
HAUPT, BRADLEY LEE	2485	PLEASANTON	HO/SAN RAMON	1/12/2006
JOOSSE, FREDERICK JOHN	7134	SANTA ROSA	HO/SAN RAMON	12/16/1993
KAMLER, PETER CHARLES	7066	SAN RAFAEL	HO/SAN RAMON	6/9/1989
KESSLER, JOHN INGLEITALO	7065	SAN JOSE	HO/SAN RAMON	2/2/1990
KNIGHT, JOEL BERNARD	2449	MONTEREY	HO/SAN RAMON	10/10/1990
LAFOSSE, EDUARDO ENRIQUE	7057	CUPERTINO	HO/SAN RAMON	2/2/1990
LIU, MENDY Y	2603	ESCONDIDO	HO/SAN RAMON	6/26/2002
LOCOCO, CHRISTOPHER J	7237	SAN JOSE	HO/SAN RAMON	7/25/2016
LOCOCO, JOHN EDWARD	7226	SAN JOSE	HO/SAN RAMON	4/23/2010
LOOFBOURROW, ERIC ANDREW	7235	SAN RAMON	HO/SAN RAMON	6/03/2015
LOOFBOURROW, NORMAN DWIGHT	2498	SAN RAMON	HO/SAN RAMON	6/11/1993
MADRUGA, THOMAS CARDOSO	7242	SAN CLARA	HO/SAN RAMON	4/5/2018
MCCORMICK, THOMAS LLOYD	2495	HO/SAN RAMON		1/11/1989
MEANS, CLIFORD DAVID	7176	RICHMOND	HO/SAN RAMON	1/22/1999
MEHREN, SCOTT CHRISTOPHER	7185	ROCKLIN	HO/SAN RAMON	8/31/2000
MOSHER, JERRY SMITH	2433	LAFAYETTE	HO/SAN RAMON	2/11/1975
OWEN, WESLEY DAVID	7170	HO/SAN RAMON		5/26/1998
PADILLA, MONICA	1014	DANVILLE	HO/SAN RAMON	1/8/1990
POLLARD, STEPHEN ALLAN	7157	ANTIOCH	HO/SAN RAMON	10/29/1996
PRUITT, ROGER HAYDEN	7163	LOS BANOS	HO/SAN RAMON	10/6/1997

Compliance and Supervisory Procedures

American Investors Company

List of Supervisory and Registered Personnel (u.20240630)

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ROSE, PAULA JEAN	7197	EL SOBRANTE	HO/SAN RAMON	12/12/2002
SHIH, STEVE I-CHUNG	6112	OAKLAND	HO/SAN RAMON	5/21/2002
TOM, WILLIAM	7234	LAFAYETTE	HO/SAN RAMON	6/11/2014
VANSLOTEN, CAMDON TROY	6106	HO/SAN RAMON		6/8/2000
WICH, LAURA ROSE	2487	HO/SAN RAMON		8/3/1998
WILLIS, RICHARD PETER	7214	EUGENE, OR	HO/SAN RAMON	11/8/2006
YEE, CLARENCE	2405	HO/SAN RAMON		8/4/1972
YEE, RONALD GARRETT	7181	HO/SAN RAMON		9/9/1999