

1.) CORPORATION NAME:

**H. D. Vest Investment Securities, Inc.**

2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS: **B.E.**

**AUTH IN VI  
CORPORATION SERVICE COMPANY  
Bank of America Center, 16th Floor  
1111 East Main Street**

**RICHMOND, VA 23219**

3.) CITY OR COUNTY OF VA REGISTERED OFFICE:

**RICHMOND CITY**

4.) STATE OR COUNTRY OF INCORPORATION:

**TX**

DUE DATE: **10/31/2011**

SCC ID NO: **F1314204**

5.) STOCK INFORMATION

CLASS	AUTHORIZED
COMMON	900,000

6.) PRINCIPAL OFFICE ADDRESS:

ADDRESS: 6333 N STATE HWY 161  
SUITE 400

CITY/ST/ZIP: IRVING, TX 75038-

7.) DIRECTORS AND PRINCIPAL OFFICERS: All directors and principal officers must be listed. An individual may be designated as both a director and an officer.

	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
NAME:	ROGER C OCHS	
TITLE:	PRES/SEC	
ADDRESS:	6333 N STATE HWY 161 SUITE 400	
CITY/ST/ZIP/CO:	IRVING, TX 75038-	

	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
NAME:	NEAL HEIFETZ	
TITLE:	ASST SECRETARY	
ADDRESS:	6333 N STATE HWY 161 SUITE 400	
CITY/ST/ZIP/CO:	IRVING, TX 75038-	

	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
NAME:	CASEY GRIFFIN	
TITLE:	ASST SECRETARY	
ADDRESS:	6333 N STATE HWY 161 SUITE 400	
CITY/ST/ZIP/CO:	IRVING, TX 75038-	

	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
NAME:	JEFF KLEIN	
TITLE:	ASST SECRETARY	
ADDRESS:	6333 N STATE HWY 161 SUITE 400	
CITY/ST/ZIP/CO:	IRVING, TX 75038-	

NAME: JOEL BENNETT TITLE: TREASURER ADDRESS: 6333 N STATE HWY 161 SUITE 400 CITY/ST/ZIP/CO: IRVING, TX 75038-	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
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NAME: BRIAN A STERN TITLE: ASST SECRETARY ADDRESS: 6333 N STATE HWY 161 SUITE 400 CITY/ST/ZIP/CO: IRVING, TX 75038-	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
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I AFFIRM THAT THE INFORMATION CONTAINED IN THIS ELECTRONIC REPORT IS ACCURATE AND COMPLETE AS OF THE DATE BELOW AND THAT I AM LEGALLY AUTHORIZED TO SIGN THIS REPORT.

<u>/s/ JOEL BENNETT</u>	<u>JOEL BENNETT, TREASURER</u>	<u>10/27/2011</u>
SIGNATURE OF DIRECTOR/OFFICER LISTED IN THIS REPORT	PRINTED NAME AND CORPORATE TITLE	DATE

It is a Class 1 misdemeanor for any person to sign a document, which includes this electronic record, that is false in any material respect with the intent that the document be delivered to the Commission for filing.