



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: 2013

1. Corporate ID No. 000096643

2. Name of Corporation H.D. Vest Investment Securities, Inc.

3. Street Address Principal Business Office:

No. and Street: 6333 N STATE HWY 161 ,STE 400
ATTN: ACCOUNTING

City or Town: IRVING

State: TX Zip: 75038 Country: USA

4. Business Phone No.

972-870-6000

5. State of Incorporation

State: TX

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

SECURITIES SALES

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
TREASURER	JOEL BENNETT	6333 N STATE HWY 161 SUITE 400 IRVING, TX 75038 USA
SECRETARY	ROGER OCHS	6333 N STATE HWY 161 SUITE 400 IRVING, TX 75038 USA
ASSISTANT SECRETARY	JEFF KLEIN	6333 N STATE HWY 161 SUITE 400 IRVING, TX 75038 USA
ASSISTANT SECRETARY	NEAL HEIFETZ	6333 N STATE HWY 161 SUITE 400 IRVING, TX 75038 USA

PRESIDENT	ROGER C OCHS	6333 NORTH STATE HIGHWAY 161 ,STE. 400 IRVING, TX 75038- USA
ASSISTANT SECRETARY	BRIAN STERN	6333 N STATE HWY 161 SUITE 400 IRVING, TX 75038 USA
ASSISTANT SECRETARY	CASEY GRIFFIN	6333 N STATE HWY 161, SUITE 400 IRVING, TX 75038 USA
DIRECTOR	ANDREW DODSON	FOUR EMBARCADERO CENTER SAN FRANCISCO, CA 94111 USA
DIRECTOR	BRIAN GOLSON	FOUR EMBARCADERO CENTER SAN FRANCISCO, CA 94111 USA
DIRECTOR	SPENCER P. HOFFMAN	150 N. RADNOR CHESTER RD. RADNOR, PA 19087 USA
DIRECTOR	MARSHALL BARTLETT	500 BOYLSTON ST, STE 1640 BOSTON, MA 02116 USA
DIRECTOR	ROGER OCHS	6333 N STATE HWY 161 SUITE 400 IRVING, TX 75038 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		\$0.0320	900,000.00	546000

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 4 Day of January, 2013 at 12:22:34 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 JOEL BENNETT
Signature of Authorized Representative of the Corporation

TREASURER
Title

This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in section 7.

Form No. 630
Revised 09/07