



PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2005

Filing Period: January 1 - March 1 • Filing Fee: \$50.00
(FORM MUST BE TYPED OR PRINTED IN BLACK)

| | | | | | |
|--|--------------|---|---|----------------|--------------|
| 1. Corporate ID No 96643 | | 2. Name of Corporation H.D. Vest Investment Securities, Inc. | | | |
| 3. Street Address Principal Business Office 6333 N. State Hwy 161 Ste 400 | | | City Irving | State TX | Zip 75038 |
| 4. Business Phone No. 972-870-6000 | | 5. State of Incorporation TEXAS | | | 6. SIC Code |
| 7. Brief Description of the Character of Business Conducted in Rhode Island SECURITIES SALES. | | | | | |
| 8. NAMES AND ADDRESSES OF THE OFFICERS: ("X" BOX FOR ATTACHMENT) <input checked="" type="checkbox"/> FILL IN SPACES BEFORE USING ATTACHMENTS | | | | | |
| President Name Roger Ochs | | | Vice President Name Neal Heifetz | | |
| Street Address 6333 N. State Hwy 161 Ste 400 | | | Street Address 6333 N. State Hwy 161 Ste 400 | | |
| City Irving | | State TX | Zip 75038 | City Irving | |
| Secretary Name Roger Ochs | | | Treasurer Name Joel Bennett | | |
| Street Address 6333 N. State Hwy 161 Ste 400 | | | Street Address 6333 N. State Hwy 161 Ste 400 | | |
| City Irving | | State TX | Zip 75038 | City Irving | |
| 9. NAMES AND ADDRESSES OF THE DIRECTORS: ("X" BOX FOR ATTACHMENT) <input type="checkbox"/> FILL IN SPACES BEFORE USING ATTACHMENTS | | | | | |
| Director Name Roger Ochs | | | Director Name Jeff Klein | | |
| Street Address 6333 N. State Hwy 161 Ste 400 | | | Street Address 6333 N. State Hwy 161 Ste 400 | | |
| City Irving | | State TX | Zip 75038 | City Irving | |
| Director Name Neal Heifetz | | | Director Name none | | |
| Street Address 6333 N. State Hwy 161 Ste 400 | | | Street Address none | | |
| City Irving | | State TX | Zip 75038 | City none | |
| 10. SHARES AUTHORIZED ("X" BOX FOR ATTACHMENT) <input type="checkbox"/> | | | 11. SHARES ISSUED ("X" BOX FOR ATTACHMENT) <input type="checkbox"/> | | |
| AUTHORIZED SHARES | | | ISSUED SHARES | | |
| Number of Shares | Class/Series | Par Value | Number of Shares | Class/Series | Par Value |
| 900,000 | COMM | \$0.032 PAR VALUE | 546,000 | Common | 0.032 |

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



96643

File Date 2-2-05
Check No. 1449
By: KTB
FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Signature of Officer Joel Bennett Date 02/01/05
Print or Type Name of Officer Joel Bennett
Title of Officer Treasurer



A non-bank subsidiary of Wells Fargo & Company

The Financial Services Firm of Tax ProfessionalsSM
6333 North State Highway 161, Fourth Floor, Irving, Texas 75038
(800) 821-8254 (972) 870-6000 FAX (972) 870-6128
www.hdvest.com

H D VEST INVESTMENT SECURITIES, INC.
FEIN 75-1869963
CORPORATE ID #: 96643

STATE OF RHODE ISLAND
2005 CORPORATION ANNUAL REPORT

Names & business addresses of corporate officers and directors:

| <u>Name</u> | <u>Title</u> | <u>Address</u> | <u>City</u> | <u>State</u> | <u>Zip</u> |
|---------------|----------------------------------|-------------------------------|-------------|--------------|------------|
| Roger C. Ochs | President/Director | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Roger C. Ochs | Secretary | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Jeff Klein | Assistant Secretary/ Director | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Neal Heifetz | Assistant Secretary/ Director | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Daniel Wright | Assistant Secretary | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Joel Bennett | Treasurer | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |



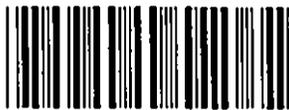


PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2004

Filing Period: January 1 - March 1 • Filing Fee: \$50.00
 (FORM MUST BE TYPED OR PRINTED IN BLACK)

| | | | | | |
|--|--------------------|--|---|--------------------|----------------------------|
| 1. Corporate ID No. 96643 | | 2. Name of Corporation H.D. Vest Investment Securities, Inc. | | | |
| 3. Street Address Principal Business Office 6333 N. State Hwy 161, Ste 400 | | | City Inring | State TX | Zip 75038 |
| 4. Business Phone No. 800.821.8254 | | 5. State of Incorporation TEXAS | | | 6. SIC Code 7812 |
| 7. Brief Description of the Character of Business Conducted in Rhode Island SECURITIES SALES. | | | | | |
| 8. NAMES AND ADDRESSES OF THE OFFICERS: ("X" BOX FOR ATTACHMENT) <input checked="" type="checkbox"/> FILL IN SPACES BEFORE USING ATTACHMENTS | | | | | |
| President Name Roger Ochs | | | Vice President Name none | | |
| Street Address 6333 N. State Hwy 161, Ste 400 | | | Street Address | | |
| City Inring | State TX | Zip 75038 | City | State | Zip |
| Secretary Name Roger Ochs | | | Treasurer Name Joel Bennett | | |
| Street Address 6333 N. State Hwy 161, Ste 400 | | | Street Address 6333 N. State Hwy 161, Ste 400 | | |
| City Inring | State TX | Zip 75038 | City Inring | State TX | Zip 75038 |
| 9. NAMES AND ADDRESSES OF THE DIRECTORS: ("X" BOX FOR ATTACHMENT) <input type="checkbox"/> FILL IN SPACES BEFORE USING ATTACHMENTS | | | | | |
| Director Name Roger Ochs | | | Director Name Neal Heifetz | | |
| Street Address 6333 N. State Hwy 161, Ste 400 | | | Street Address 6333 N. State Hwy 161, Ste 400 | | |
| City Inring | State TX | Zip 75038 | City Inring | State TX | Zip 75038 |
| Director Name Jeff Klein | | | Director Name none | | |
| Street Address 6333 N. State Hwy 161, Ste 400 | | | Street Address | | |
| City Inring | State TX | Zip 75038 | City | State | Zip |
| 10. SHARES AUTHORIZED ("X" BOX FOR ATTACHMENT) <input type="checkbox"/> | | | 11. SHARES ISSUED ("X" BOX FOR ATTACHMENT) <input type="checkbox"/> | | |
| AUTHORIZED SHARES | | | ISSUED SHARES | | |
| Number of Shares | Class/Series | Par Value | Number of Shares | Class/Series | Par Value |
| 900,000 | COMM | \$0.032 | 546,000 | COMMON | \$0.032 |

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



* 9 6 6 4 3 *

File Date 3.1.04
 Check No. 1733
 By: ICD
 FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Signature of Officer Joel Bennett Date 02/20/04
 Print or Type Name of Officer Joel Bennett
 Title of Officer Treasurer



A non-bank subsidiary of Wells Fargo & Company

The Financial Services Firm of Tax ProfessionalsSM
6333 North State Highway 161, Fourth Floor, Irving, Texas 75038
(800) 821-8254 (972) 870-6000 FAX (972) 870-6128
www.hdvest.com

H D VEST INVESTMENT SECURITIES, INC.
FEIN 75-1869963
CORPORATE ID #: 96643

STATE OF RHODE ISLAND
2004 CORPORATE ANNUAL REPORT

Names & business addresses of corporate officers and directors:

| <u>Name</u> | <u>Title</u> | <u>Address</u> | <u>City</u> | <u>State</u> | <u>Zip</u> |
|---------------|----------------------------------|-------------------------------|-------------|--------------|------------|
| Roger C. Ochs | President/Director | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Roger C. Ochs | Secretary | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Jeff Klein | Assistant Secretary/ Director | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Neal Heifetz | Assistant Secretary/ Director | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Daniel Wright | Assistant Secretary | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Joel Bennett | Treasurer | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |





PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2003

Filing Period: January 1-March 15 • Filing Fee: \$50.00

(FORM MUST BE TYPED OR PRINTED IN BLACK)

1. Corporate ID No. **96643**
2. Name of Corporation **H.D. Vest Investment Securities, Inc.**
3. Street Address Principal Business Office
6333 N. STATE HWY 161, STE 400
4. Business Phone No. **(978) 870-6000**
5. State of Incorporation **TEXAS**

City **IRVING** State **TX** Zip **75038**
6. SIC Code

7. Brief Description of the Character of Business Conducted in Rhode Island
SECURITIES BROKER/DEALER

8. NAMES AND ADDRESSES OF THE OFFICERS (*X* BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS

President Name **JEFF KLEIN**
Street Address **6333 N. STATE HWY 161, STE 400**
City **IRVING** State **TEXAS** Zip **75038**

Vice President Name **JAMES A HORTON**
Street Address **64th & MARQUETTE**
City **MINNEAPOLIS** State **MN** Zip **55479**

Secretary Name **R. BRETT NORWOOD**
Street Address **6333 N. STATE HWY 161, STE 400**
City **IRVING** State **TX** Zip **75038**

Treasurer Name **JOEL BENNETT**
Street Address **6333 N. STATE HWY 161, STE 400**
City **IRVING** State **TX** Zip **75038**

9. NAMES AND ADDRESSES OF THE DIRECTORS (*X* BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS

Director Name **ROGER C OCHS**
Street Address **6333 N. STATE HWY 161, STE 400**
City **IRVING** State **TX** Zip **75038**

Director Name **JEFF KLEIN**
Street Address **6333 N. STATE HWY 161, STE 400**
City **IRVING** State **TX** Zip **75038**

Director Name **R. BRETT NORWOOD**
Street Address **6333 N. STATE HWY 161, STE 400**
City **IRVING** State **TX** Zip **75038**

Street Address
City State Zip

10. SHARES AUTHORIZED (*X* BOX FOR ATTACHMENT)

| AUTHORIZED SHARES | Number of Shares | Class/Series | Par Value |
|-------------------|------------------|--------------|-------------------|
| | 900,000 | COMM | \$0.032 PAR VALUE |

11. SHARES ISSUED (*X* BOX FOR ATTACHMENT)

| ISSUED SHARES | Number of Shares | Class/Series | Par Value |
|---------------|------------------|--------------|-----------|
| | 546,000 | COMMON | .032 |

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



* 9 6 6 4 3 *

File Date: 2/25/03
Check No.: 248614
By: [Signature]

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

[Signature] Date 2/21/03
Signature of Officer
R. BRETT NORWOOD
Print or Type Name of Officer
SECRETARY / DIRECTOR
Title of Officer

H D VEST INVESTMENT SECURITIES, INC.
FEIN 75-1869963

ATTACHMENT

FORM – STATE OF RHODE ISLAND
PROFIT CORPORATION ANNUAL REPORT

Names & addresses of corporate officers and directors

| <u>Name</u> | <u>Title</u> | <u>Address</u> | <u>City</u> | <u>Sta</u> | <u>Zip</u> |
|---------------------|----------------------------------|--|---------------|------------|------------|
| Jeff Klein | President/Director | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| James A. Horton | Vice President | Wells Fargo & Company 6 th & Marquette | Minneapolis | MT | 55479 |
| Thomas J. Schneider | Vice President | Wells Fargo & Company 6 th & Marquette | Minneapolis | MT | 55479 |
| R. Bredt Norwood | Secretary/Director | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Roger C. Ochs | Assistant Secretary/ Director | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Neal Heifetz | Assistant Secretary | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Daniel Wright | Assistant Secretary | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Michael Walton | Assistant Secretary | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Joel Bennett | Treasurer | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Patricia A. Ross | Chief Compliance Officer | 550 California Street, 6 th Floor | San Francisco | CA | 94104 |



PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2002

Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)

1. Corporate ID No. **96643**
2. Name of Corporation **H.D. Vest Investment Securities, Inc.**
3. Street Address Principal Business Office
6333 NORTH STATE HWY 161, STE 400
4. Business Phone No. **972-870-6000**
5. State of Incorporation **TEXAS**

City **IRVING** State **TX** Zip **75038**
6. SIC Code

7. Brief Description of the Character of Business Conducted in Rhode Island
BROKER/DEALER

8. NAMES AND ADDRESSES OF THE OFFICERS (*X* BOX FOR ATTACHMENT) **X** FILL IN SPACES BEFORE USING ATTACHMENTS

President Name **JEFF KLEIN**
Street Address
6333 N STATE HWY 161, STE 400
City **IRVING** State **TX** Zip **75038**

Vice President Name **JAMES A. HORTON**
Street Address
6th & MARQUETTE
City **MINNEAPOLIS** State **MN** Zip **55479**

Secretary Name **R. BRET NORWOOD**
Street Address
6333 NORTH STATE HWY 161, STE 400
City **IRVING** State **TX** Zip **75038**

Treasurer Name **JOEL BENNETT**
Street Address
6333 N. STATE HWY 161, STE 400
City **IRVING** State **TX** Zip **75038**

9. NAMES AND ADDRESSES OF THE DIRECTORS (*X* BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS

Director Name **ROGER C. OCHS**
Street Address
6333 N STATE HWY 161, STE 400
City **IRVING** State **TX** Zip **75038**

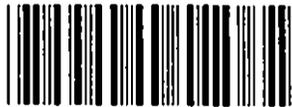
Director Name **JEFF KLEIN**
Street Address
6333 N STATE HWY 161, STE 400
City **IRVING** State **TX** Zip **75038**

Director Name **R. BRET NORWOOD**
Street Address
6333 N STATE HWY 161, STE 400
City **IRVING** State **TX** Zip **75038**

10. SHARES AUTHORIZED (*X* BOX FOR ATTACHMENT)
AUTHORIZED SHARES
Number of Shares Class/Series Par Value
900,000 COMM \$0.032 PAR VALUE

11. SHARES ISSUED (*X* BOX FOR ATTACHMENT)
ISSUED SHARES
Number of Shares Class/Series Par Value
546,000 COMMON .032

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



* 9 6 6 4 3 *

Acet

File Date: 1-19-02

Check No.: 8370

By: *R. BRET NORWOOD*

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Signature of Officer *R. BRET NORWOOD* Date 2-28-01

R. BRET NORWOOD

Print or Type Name of Officer

SECRETARY
Title of Officer

H D VEST INVESTMENT SECURITIES, INC.
FEIN 75-1869963

ATTACHMENT

FORM – STATE OF RHODE ISLAND
ANNUAL REPORT

Names & addresses of corporate officers and directors

| <u>Name</u> | <u>Title</u> | <u>Address</u> | <u>City</u> | <u>State</u> | <u>Zip</u> |
|---------------------|--------------------------|--|-------------|--------------|------------|
| Jeff Klein | President | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| James A. Horton | Vice President | Wells Fargo & Company 6 th & Marquette | Minneapolis | MN | 55479 |
| Thomas J. Schneider | Vice President | Wells Fargo & Company 6 th & Marquette | Minneapolis | MN | 55479 |
| R. Bredt Norwood | Secretary | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Roger Ochs | Assistant Secretary | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Neal Heifetz | Assistant Secretary | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Daniel Wright | Assistant Secretary | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Joel Bennett | Treasurer | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |
| Michael Walton | Chief Compliance Officer | 6333 N State Hwy 161, Ste 400 | Irving | TX | 75038 |

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2001

Filing Period: January 1-March 1 • Filing Fee: \$50.00



(FORM MUST BE TYPED IN BLACK)

1. Corporate ID No. **96643** 2. Name of Corporation **H.D. Vest Investment Securities, Inc.**
3. Street Address Principal Business Office **6333 N STATE HWY 161, STE 400** City **IRVING** State **TX** Zip **75038**
4. Business Phone No. **(972) 870-6000** 5. State of Incorporation **TEXAS** 6. SIC Code

7. Brief Description of the Character of Business Conducted in Rhode Island
BROKER/DEALER

8. NAMES AND ADDRESSES OF THE OFFICERS (*X* BOX FOR ATTACHMENT) **FILL IN SPACES BEFORE USING ATTACHMENTS**

| | |
|--|--|
| President Name JEFF KLEIN Street Address 6333 N STATE HWY 161, STE 400 City IRVING State TX Zip 75038 | Vice President Name CHIEF COMPLIANCE OFFICER DAVID O'NEILL Street Address 6333 N STATE HWY 161, STE 400 City IRVING State TX Zip 75038 |
| Secretary Name JEFF KLEIN Street Address 6333 N STATE HWY 161, STE 400 City IRVING State TX Zip 75038 | Treasurer Name W. TED SINCLAIR Street Address 6333 N STATE HWY 161, STE 400 City IRVING State TX Zip 75038 |

9. NAMES AND ADDRESSES OF THE DIRECTORS (*X* BOX FOR ATTACHMENT) **FILL IN SPACES BEFORE USING ATTACHMENTS**

| | |
|---|---|
| Director Name HERB D. VEST Street Address 6333 N STATE HWY 161, STE 400 City IRVING State TX Zip 75038 | Director Name Street Address City State Zip |
| Director Name Street Address City State Zip | Director Name Street Address City State Zip |

10. SHARES AUTHORIZED (*X* BOX FOR ATTACHMENT)
AUTHORIZED SHARES
Number of Shares Class/Series Par Value
900,000 COMM \$0.032 PAR

11. SHARES ISSUED (*X* BOX FOR ATTACHMENT)
ISSUED SHARES
Number of Shares Class/Series Par Value
546,000 Comm \$ 0.032

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



File Date: 2/22
Check No.: 76014
By: [Signature]

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

[Signature] 2/20/2001
Signature of Officer Date
W. TED SINCLAIR
Print or Type Name of Officer
CFO
Title of Officer



PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2000
Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)

1. Corporate ID No. _____ 2. Name of Corporation _____

3. Street Address ⁹⁶⁶⁴³ Principal Business Office **H.D. Vest Investment Securities, Inc.** City **Irving** State **Texas** Zip **75038**
6333 N. State Hwy 161, Ste. 400
4. Business Phone No. **(972) 870-6000** S. State of Incorporation **TEXAS**
6. SIC Code **620**

7. Brief Description of the Character of Business Conducted in Rhode Island **Investment Sales**

8. NAMES AND ADDRESSES OF THE OFFICERS (*X* BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS

| | |
|---|--|
| President Name Jeff Klein Street Address 6333 N. State Hwy 161, Ste. 400 City Irving State Texas Zip 75038 | Vice President Name Street Address City State Zip |
| Secretary Name Jeff Klein Street Address 6333 N. State Hwy 161, Ste. 400 City Irving State Texas Zip 75038 | Treasurer Name W. Ted Sinclair Street Address 6333 N. State Hwy 161, Ste. 400 City Irving State Texas Zip 75038 |

9. NAMES AND ADDRESSES OF THE DIRECTORS (*X* BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS

| | |
|--|---|
| Director Name Herb D. Vest Street Address 6333 N. State Hwy 161, Ste. 400 City Irving State Texas Zip 75038 | Director Name Street Address City State Zip |
| Director Name Street Address City State Zip | Director Name Street Address City State Zip |

10. SHARES AUTHORIZED (*X* BOX FOR ATTACHMENT)

| AUTHORIZED SHARES | Number of Shares | Class/Series | Par Value |
|-------------------|------------------|--------------|--------------------|
| | 900,000 | COMM | \$0.032 PAR |

11. SHARES ISSUED (*X* BOX FOR ATTACHMENT)

| ISSUED SHARES | Number of Shares | Class/Series | Par Value |
|---------------|------------------|---------------|---------------|
| | 546,000 | Common | \$.032 |

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



* 9 6 6 4 3 *

File Date: 3/3/00
Check No.: 9855
By: [Signature]

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

[Signature] 2/29/00
Signature of Officer Date
W. Ted Sinclair
Print or Type Name of Officer
Treasurer/CFO
Title of Officer

H D VEST INVESTMENT SECURITIES, INC.
FEIN 75-1869963
FILING YEAR 2000

ATTACHMENT

FORM - PROFIT CORPORATION ANNUAL REPORT

Name & Address of corporate officers and directors

| <u>Name</u> | <u>Title</u> | <u>Address</u> | <u>City</u> | <u>State</u> | <u>Zip</u> |
|---------------|--------------------------|---|-------------|--------------|------------|
| David O'Neill | Chief Compliance Officer | 6333 N State Hwy 161, 4 th Floor | Irving | TX | 75038 |



PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 1999
Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)

1. Corporate ID No. 06643 2. Name of Corporation H.D. Vest Investment Securities, Inc.
~~75-1869963~~
3. Street Address Principal Business Office 6333 N. State Hwy 161, Ste. 400 City Irving State TX Zip 75038
4. Business Phone No. (972) 870-6179 5. State of Incorporation Texas 6. SIC Code 6120

7. Brief Description of the Character of Business Conducted in Rhode Island
Investment Sales

8. NAMES AND ADDRESSES OF THE OFFICERS (*X* BOX FOR ATTACHMENT)

| | |
|---|--|
| President Name <u>Shannon Soefje</u> Street Address <u>6333 N. State Hwy 161, Ste. 400</u> City <u>Irving</u> State <u>TX</u> Zip <u>75038</u> Secretary Name <u>Shannon Soefje</u> Street Address <u>SAME AS ABOVE</u> City _____ State _____ Zip _____ | Vice President Name _____ Street Address _____ City _____ State _____ Zip _____ Treasurer Name <u>W. Ted Sinclair</u> Street Address <u>6333 N. State Hwy 161, Ste. 400</u> City <u>Irving</u> State <u>TX</u> Zip <u>75038</u> |
|---|--|

9. NAMES AND ADDRESSES OF THE DIRECTORS (*X* BOX FOR ATTACHMENT)

| | |
|--|---|
| Director Name <u>Herb D. Vest</u> Street Address <u>6333 N. State Hwy 161, Ste. 400</u> City <u>Irving</u> State <u>TX</u> Zip <u>75038</u> Director Name _____ Street Address _____ City _____ State _____ Zip _____ | Director Name _____ Street Address _____ City _____ State _____ Zip _____ |
|--|---|

10. SHARES AUTHORIZED (*X* BOX FOR ATTACHMENT)

| AUTHORIZED SHARES | Class/Series | Par Value |
|-------------------|---------------|-----------|
| <u>900,000</u> | <u>Common</u> | |

11. SHARES ISSUED (*X* BOX FOR ATTACHMENT)

| ISSUED SHARES | Class/Series | Par Value |
|----------------|---------------|-------------|
| <u>546,000</u> | <u>Common</u> | <u>.032</u> |

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee

File Date: 6/4/99
Check No.: 027539
By: [Signature]
FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.
Signature of Officer: [Signature] Date: 5/26/99
Print or Type Name of Officer: W. Ted Sinclair
Title of Officer: CFO



PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 1998

Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)

1. Corporate ID No. 99643 2. Name of Corporation H.D VEST INVESTMENT SECURITIES, INC
 3. Street Address Principal Business Office 75-1869963 6333 N. STATE HIGHWAY 161, STE 400 IRUING TX 75038
 4. Business Phone No. 972-870-6179 5. State of Incorporation TEXAS
 6. SIC Code 6120

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

INVESTMENT SALES

8. NAMES AND ADDRESSES OF THE OFFICERS (*X* BOX FOR ATTACHMENT)

| | |
|--|--|
| President Name <u>SHANNON SOEFJE</u> Street Address <u>6333 N STATE HIGHWAY 161 STE 400</u> City <u>IRUING TX 75038</u> | Vice President Name Street Address City State Zip |
| Secretary Name <u>SHANNON SOEFJE</u> Street Address <u>SAME AS ABOVE</u> City State Zip | Treasurer Name <u>W. TED SINCLAIR</u> Street Address <u>6333 N. STATE HIGHWAY 161 STE 400</u> City <u>IRUING TX 75038</u> |

9. NAMES AND ADDRESSES OF THE DIRECTORS (*X* BOX FOR ATTACHMENT)

| | |
|--|---|
| Director Name <u>HERB D. VEST</u> Street Address <u>6333 N. STATE HIGHWAY 161 STE 400</u> City <u>IRUING TX 75038</u> | Director Name Street Address City State Zip |
| Director Name Street Address City State Zip | Director Name Street Address City State Zip |

10. SHARES AUTHORIZED (*X* BOX FOR ATTACHMENT)

| AUTHORIZED SHARES | Class/Series | Par Value |
|-------------------|--------------|-----------|
| 900,000 | Common | .032 |

11. SHARES ISSUED (*X* BOX FOR ATTACHMENT)

| ISSUED SHARES | Class/Series | Par Value |
|---------------|--------------|-----------|
| 546,000 | Common | .032 |

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee

File Date: 7/15/98
 Check No.: 21369
 By: CAF

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Signature of Officer: [Signature] Date: 7-15-98
 Print or Type Name of Officer: W. TED SINCLAIR
 Title of Officer: CFO