

Commonwealth of Kentucky
Alison Lundergan Grimes, Secretary of State

PARP
0438067
Alison Lundergan Grimes
KY Secretary of State
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Alison Lundergan Grimes
Secretary of State
P. O. Box 1150
Frankfort, KY 40602-1150
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<http://www.sos.ky.gov>

**Annual Report
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ARP

Company: H.D. VEST INVESTMENT SECURITIES, INC.
Company ID: 0438067
State of origin: Texas
Formation date: 9/2/1997 12:00:00 AM
Date filed: 5/31/2013 3:35:26 PM
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Principal Office

6333 NORTH STATE HWY 161
SUITE 400 Attn: Accounting Department
IRVING, TX 75038

Registered Agent Name/Address

CSC-LAWYERS INCORPORATING SERVICE COMPANY
421 WEST MAIN STREET
FRANKFORT, KY 40601

Current Officers

President	Roger C. Ochs	6333 N. State Hwy 161, Suite 400 Irving, TX 75038
Assistant Secretary	Neal Heifetz	6333 N. State Hwy 161, Suite 400 Irving, TX 75038
Assistant Secretary	Jeff Klein	6333 N. State Hwy 161, Suite 400 Irving, TX 75038
Assistant Secretary	Brian A. Stern	6333 N. State Hwy 161, Suite 400 Irving, TX 75038
Assistant Secretary	Casey Griffin	6333 N. State Hwy 161, Suite 400 Irving, TX 75038
Secretary	Roger C. Ochs	6333 N. State Hwy 161, Suite 400 Irving, TX 75038
Treasurer	Joel V. Bennett	6333 N. State Hwy 161, Suite 400 Irving, TX 75038

Directors

Director	Roger C. Ochs	6333 N. State Hwy 161, Suite 400 Irving, TX 75038
Director	Marshall Bartlett	500 Boylston St. Ste 1640, Boston, MA 02116
Director	Andrew Dodson	Four Embarcadero Center Ste 3610, San Francisco, CA 94111
Director	Spencer P. Hoffman	150 N. Radnor Chester Rd. Ste A200, Radnor, PA 19087
Director	Brian Golson	Four Embarcadero Center Ste 3610, San Francisco, CA 94111

Signatures

Signature	Joel Bennett
Title	Treasurer