

2002 UNIFORM BUSINESS REPORT (UBR)

FILED
May 16, 2002 8:00 am
Secretary of State

05-16-2002 90028 036 ***150.00

0611254 AT

DOCUMENT # P08707

1. Entity Name

H.D. VEST INVESTMENT SECURITIES, INC.

Principal Place of Business

**6333 N. STATE HWY. 161 #400
 IRVING TX 75038**

Mailing Address

**6333 N. STATE HWY. 161 #400
 IRVING TX 75038**

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

4. FEI Number

75-1869963

Applied For

Not Applicable

5. Certificate of Status Desired ☐

**\$8.75 Additional
 Fee Required**

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

**CT CORPORATION SYSTEM
 1200 S. PINE ISLAND ROAD
 PLANTATION FL 33324**

Name

Street Address (P.O. Box Number is Not Acceptable)

City

FL

Zip Code

8. The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.

SIGNATURE

Signature, typed or printed name of registered agent and title if applicable.

(NOTE: Registered Agent signature required when reinstating)

DATE

9. This corporation is eligible to satisfy its Intangible Tax filing requirement and elects to do so. (See criteria on back) ☐

**FILE NOW!!! FEE IS \$150.00
 After May 1, 2002 Fee will be \$550.00
 Make Check Payable to Department of State**

10. Election Campaign Financing Trust Fund Contribution. ☐

**\$5.00 May Be
 Added to Fees**

11. OFFICERS AND DIRECTORS

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE **PS / DIRECTOR** ☐ Delete
 NAME **KLEIN, JEFF**
 STREET ADDRESS **6333 N STATE HWY 161, SUITE 400**
 CITY-ST-ZIP **IRVING TX 75038**

TITLE **SEE ATTACHMENT** ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE **D** ☒ Delete
 NAME **VEST, HERB**
 STREET ADDRESS **6333 N. STATE HWY. 161**
 CITY-ST-ZIP **IRVING TX 75038**

TITLE ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE **T** ☒ Delete
 NAME **SINCLAIR, WESLEY T**
 STREET ADDRESS **6333 N. STATE HWY. 161**
 CITY-ST-ZIP **IRVING TX 75038**

TITLE ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE **CO** ☒ Delete
 NAME **ONEILL, DAVID**
 STREET ADDRESS **6333 N STATE HWY 161, SUITE 400**
 CITY-ST-ZIP **IRVING TX 75038**

TITLE ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Delete
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Delete
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

13. I hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this report or supplemental report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears in Block 11 or Block 12 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE:

R. BRETT NORWOOD, SECRETARY/DIRECTOR (972) 870-1000

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date **4/22/02**

Daytime Phone #

CR2E034 (9/01)

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

ATTACHMENT
Doc# P08707

FORM - STATE OF FLORIDA
UNIFORM BUSINESS REPORT 2002

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/Director	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/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
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