

In the Matter of)
Marion Bass Securities)
Corporation)
)
Respondent)

**ORDER TO REVOKE THE DEALER
REGISTRATION OF MARION BASS
SECURITIES CORPORATION**

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FINDINGS OF FACT

The Securities Commissioner has conducted an investigation into the above-captioned matter and has reason to believe as follows:

1. Marion Bass Securities Corporation (MBSC), CRD # 7961, is a dealer headquartered in Charlotte, North Carolina. MBSC is currently registered as a dealer in North Dakota.
2. On September 4, 2001, MBSC was suspended from association with the National Association of Securities Dealers (NASD), for failure to comply with requests for financial information.
3. On August 20, 2001, the dealer registration of MBSC was revoked by the state of California because MBSC failed to pay an assessment fee.
4. On October 1, 1997, MBSC was fined \$50,000 and ordered to disgorge \$100,000 to the Securities and Exchange Commission (SEC) based on its systematic excessive markups in the sales of municipal securities.
5. MBSC has been the subject of other disciplinary actions by other regulatory agencies. Those actions were based on various violations including sales of securities through unregistered securities agents, and sales of securities through the use of deceptive sales practices and failure to disclose material information.

6. Based on the facts set forth above, the Commissioner has sufficient grounds to revoke the registration of the respondent under N.D.C.C. § 10-04-11.

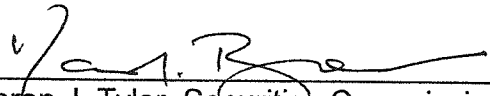
**ORDER TO REVOKE THE DEALER REGISTRATION
OF MARION BASS SECURITIES CORPORATION**

Based on the findings of fact set forth above, the Commissioner hereby Orders that the dealer registration of H. D. Vest Investment Securities, Inc. is hereby revoked.

IN TESTIMONY WHEREOF, witness my hand and seal this 14th day of

November, 2001.





Karen J. Tyler, Securities Commissioner
Office of the Securities Commissioner
600 East Boulevard Ave.
State Capitol – Fifth Floor
Bismarck, ND 58505-0510
(701) 328-2910

STATE OF NORTH DAKOTA
COUNTY OF BURLEIGH

BEFORE THE
SECURITIES COMMISSIONER

In the Matter of Marion Bass)
Securities Corporation)
Respondent)

**AFFIDAVIT OF SERVICE
BY MAIL**

I, Jacqui Ferderer, being first duly sworn, state that I am a citizen of the United States over the age of twenty-one years and not a party to or interested in the above-entitled proceeding.


On, November 14, 2001, I deposited in the Central Mailing Bureau of the United States Post Office Department in the State Capitol in Bismarck, North Dakota, true and correct copies of the following document:

**PROPOSED ORDER TO REVOKE THE DEALER
REGISTRATION OF MARION BASS SECURITIES CORPORATION**

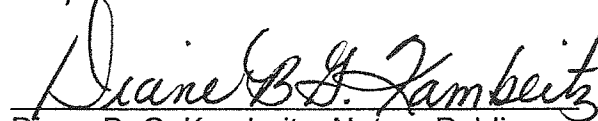
A copy of the above document was securely enclosed in an envelope with postage prepaid, sent via Certified U. S. mail, return receipt requested, and addressed to each of the following:

Marion Bass, Chairman
Marion Bass Securities Corporation
4000 Park Road
Charlotte, NC 28209

To the best of my knowledge, information, and belief, the address given above is the last known address of the party intended to be served.


Jacqui Ferderer

Subscribed and sworn to before me this 14 day of November, 2001.


Diane B. G. Kambeitz, Notary Public
Burleigh County, North Dakota
My commission expires 4/25/2006

