

Investor and Municipal Advisory Client Education and Protection Notification

Herndon Plant Oakley, Ltd. is registered with the U.S. Securities and Exchange Commission (“SEC”) and the Municipal Securities Rulemaking Board (“MSRB”).

The website address for the MSRB is www.msrb.org

.

A customer investor brochure for Municipal Securities Investors is posted on the website of the MSRB that describes the protections that may be provided by the MSRB rules and how to file a complaint with an appropriate regulatory authority.

Please contact John Keys at 800-888-4894, or by mail at the above address.