

# **Herndon Plant Oakley Ltd.**

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## **Investor and Municipal Advisory Client Education and Protection Notification**

Herndon Plant Oakley LTD ("Herndon Plant Oakley"), is an MSRB-regulated entity that is required to provide the following notification to you annually:

Herndon Plant Oakley is registered with the SEC and MSRB (Municipal Securities Rulemaking Board.

For additional information on the MSRB, please access the regulator's website at [www.msrb.org](http://www.msrb.org).

On the website, the Investor Brochure explains the protections provided by the MSRB Rules and how to file a complaint with the regulatory body.

## **Payment for Order Flow**

Herndon Plant Oakley Ltd. Does not receive remuneration, compensation, or consideration for directing orders to broker-dealers or market centers for execution.