

# **Herndon Plant Oakley, Ltd.**

## **Annual MSRB Investor Education & Protection Notification**

Herndon Plant Oakley, LTD ("Herndon Plant Oakley") is an MSRB-regulated entity and is required to provide the following notification to you annually: i) 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) and iii) the website contains an investor brochure that describes protections that may be provided by MSRB Rules, and you will find information on 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.