



## IAPD Report

### PHILLIP MICHAEL PLANT

CRD# 364393

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page  
<http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### PHILLIP MICHAEL PLANT (CRD# 364393)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/02/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	HERNDON PLANT OAKLEY LTD	CRD# 44971	07/07/1998
B	HERNDON PLANT OAKLEY, LTD.	CRD# 44971	08/21/1998
IA	SPRINGWATER ADVISORS, LLC	CRD# 150034	04/23/2009

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	DAIN RAUSCHER INCORPORATED	31194	NEW YORK, NY	03/02/1998 - 10/09/1998
B	DAIN RAUSCHER INCORPORATED	7600	NEW YORK, NY	01/02/1998 - 03/02/1998
B	RAUSCHER PIERCE REFSNES, INC.	6663	DALLAS, TX	10/14/1985 - 01/02/1998

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Financial	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **27** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **HERNDON PLANT OAKLEY LTD**

Main Address: 800 N. SHORELINE BLVD  
SUITE 2200 SOUTH  
CORPUS CHRISTI, TX 78401

Firm ID#: 44971

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	08/21/1998
B FINRA	General Securities Representative	Approved	08/21/1998
B FINRA	General Securities Sales Supervisor	Approved	08/21/1998
B FINRA	Registered Options Principal	Approved	08/21/1998
B FINRA	Operations Professional	Approved	12/13/2011
B Alabama	Agent	Approved	02/25/2011
B Arizona	Agent	Approved	10/13/1998
B Arkansas	Agent	Approved	08/25/1998
B California	Agent	Approved	09/23/1998
B Colorado	Agent	Approved	09/14/1998
B Florida	Agent	Approved	08/24/1998
IA Florida	Investment Adviser Representative	Approved	07/14/2017
B Georgia	Agent	Approved	10/28/2021



## Qualifications

Regulator	Registration	Status	Date
B Hawaii	Agent	Approved	04/01/2022
B Illinois	Agent	Approved	08/21/1998
B Kansas	Agent	Approved	08/25/1998
IA Kansas	Investment Adviser Representative	Approved	07/24/2017
B Louisiana	Agent	Approved	10/14/1998
B Maryland	Agent	Approved	02/28/2023
B Nevada	Agent	Approved	09/02/1998
B New Jersey	Agent	Approved	10/13/1998
B New Mexico	Agent	Approved	08/28/1998
B New York	Agent	Approved	09/18/1998
B North Carolina	Agent	Approved	10/12/1998
B Ohio	Agent	Approved	10/05/2023
B Oklahoma	Agent	Approved	08/25/1998
B Oregon	Agent	Approved	08/24/1998
B South Carolina	Agent	Approved	10/12/1998
B Tennessee	Agent	Approved	12/01/2022
B Texas	Agent	Approved	07/07/1998
IA Texas	Investment Adviser Representative	Approved	07/07/1998
B Utah	Agent	Approved	07/01/1998



## Qualifications

Regulator	Registration	Status	Date
B Vermont	Agent	Approved	10/13/1998
B Virginia	Agent	Approved	10/13/1998
B Washington	Agent	Approved	08/24/1998

## Branch Office Locations

**HERNDON PLANT OAKLEY LTD**

800 NORTH SHORELINE BLVD.  
SUITE 2200 SOUTH  
CORPUS CHRISTI, TX 78401

## Employment 2 of 2

Firm Name: **SPRINGWATER ADVISORS, LLC**

Main Address: 800 NORTH SHORELINE BLVD.  
SUITE 2200 SOUTH  
CORPUS CHRISTI, TX 78401

Firm ID#: 150034

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	04/23/2009

## Branch Office Locations

**SPRINGWATER ADVISORS, LLC**

800 NORTH SHORELINE BLVD.  
SUITE 2200 SOUTH  
CORPUS CHRISTI, TX 78401



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 5 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Principal Examination (S24)	Series 24	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	08/30/1982
 Registered Principal Examination (S40)	Series 40	03/28/1975

#### General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 AMEX Put and Call Exam (PC)	PC	08/30/1982
 Registered Representative Examination (S1)	Series 1	10/07/1972

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/21/1997



## Qualifications

### PASSED INDUSTRY EXAMS

#### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	05/12/1992

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### ■ PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	03/02/1998 - 10/09/1998	DAIN RAUSCHER INCORPORATED	CRD# 31194	NEW YORK, NY
B	01/02/1998 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	
B	10/14/1985 - 01/02/1998	RAUSCHER PIERCE REFSNES, INC.	CRD# 6663	DALLAS, TX
B	10/24/1972 - 10/28/1985	ROTAN MOSLE INC.	CRD# 727	

### ■ EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2009 - Present	SPRINGWATER ADVISORS, LLC	OWNER	Y	CORPUS CHRISTI, TX, United States
11/2001 - Present	HERNDON PLANT OAKLEY INSURANCE AGENCY LC	LIMITED PARTNER	Y	CORPUS CHRISTI, TX, United States
10/1998 - Present	HERNDON PLANT OAKLEY INC.	PARTNER	Y	CORPUS CHRISTI, TX, United States
01/1998 - Present	HERNDON PLANT OAKLEY, LTD.	DESIGNATED PRINCIPAL/LIMITED PARTNER	Y	CORPUS CHRISTI, TX, United States

### ■ OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

DECISIO HEALTH INC/CC,TX/BOARD MEMBER/INVESTMENT RELATED.STORM II DISCRETIONARY TRUST,JAMES/CC,TX/CO-TTEE/INVESTMENT RELATED.SOUTH TEXAS HEIGHTS LLC/CC,TX/INVESTMENT RELATED/MANAGING PARTNER. KYLE INVESTMENT GROUP/INVESTMENT RELATED/CC,TX/MANAGING MEMBER. MYRON RODRIGUE&JUDY RODRIGUE IRRV GST TRUST/INVESTMENT RELATED/CC,TX/CO-TTEE.PLANT FAMILY INVESTMENTS LTD/NOT INVESTMENT RELATED/CC,TX/GENERAL PARTNER.BROADMOOR EAST/INVESTMENT RELATED/CC,TX/GENERAL PARTNER. EQUINOX I/INVESTMENT RELATED/CC,TX/MANAGING PARTNER.EQUINOX USI LTD/INVESTMENT RELATED/CC,TX/GENERAL PARTNER.EAST SLOPE GP LLC/INVESTMENT RELATED/CC,TX/PRESIDENT.EAST SLOPE LP/INVESTMENT RELATED/CC,TX/GENERAL PARTNER.CEDAR PARK GROUP LLC/INVESTMENT RELATED/CC,TX/MANAGING PARTNER. DECLATEX LLC/CO-MANAGER-PRESIDENT/INVESTMENT RELATED/ CC,TX. DECLATEX LLC II/ CO-MANAGER-PRESIDENT/INVESTMENT RELATED/CC,TX. DECLATEX LLC III/CO-MANAGER-PRESIDENT/INVESTMENT RELATED/CC,TX. DOUGLASVILLE PAVILION EQUITY GROUP LLC/CO-MANAGING MEMBER/INVESTMENT RELATED/CC,TX. PF GEORGIA LLC/CO-MANAGING MEMBER/INVESTMENT RELATED/CC,TX.



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

FLUX POWER INC/AGENT-SOLICITOR/INVESTMENT RELATED/VISTA,CA. AINBINDER DOUGLASVILLE LLC/AGENT-SOLICITOR/INVESTMENT RELATED/ HOUSTON,TX. CLEVELAND CAPITAL LP/AGENT-SOLICITOR/INVESTMENT RELATED/ ROCKY RIVER, OH. KIF GP LLC/MANAGER/INVESTMENT RELATED/CORPUS CHRISTI TX. SCC KYLE PARTNERS LTD/MANAGER OF GP/INVESTMENT RELATED/CORPUS CHRISTI TX. SPRINGHILL INVESTMENT PARTNERS LP/MANAGER OF GP/INVESTMENT RELATED/CORPUS CHRISTI TX. SPRINGHILL INVESTMENT PARTNERS GP LLC/MANAGER OF GP/INVESTMENT RELATED/CORPUS CHRISTI TX. SPRINGHILL INVESTMENT PARTNERS II LP/MANAGER OF GP/INVESTMENT RELATED/CORPUS CHRISTI TX. SPRINGHILL INVESTMENT PARTNERS II GP LLC/MANAGER OF GP/ INVESTMENT RELATED/CORPUS CHRISTI TX. EAST HIGHPOINT MANAGEMENT LLC/MANAGER OF LLC/INVESTMENT RELATED/CORPUS CHRISTI TX. HIGHPOINT MIDSTREAM LLC/MANAGER OF LLC/INVESTMENT RELATED/SAN ANTONIO TX. EAST HIGHPOINT MANAGEMENT LLC/INVESTMENT RELATED/CORPUS CHRISTI, TX. CCP ESPORT FUND LLP/INVESTMENT RELATED//CORPUS CHRISTI, TX. WBE INVESTMENTS/INVESTMENT RELATED/1-2 HOURS MONTHLY/CORPUS CHRISTI TX. EAST HIGHPOINT INVESTMENT PARTNERS II LLC/INVESTMENT RELATED/MANAGER OF LLC/1-3 HOURS MONTHLY/CORPUS CHRISTI TX.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Financial	1

### Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Action Type:</b>	Bankruptcy
<b>Bankruptcy:</b>	Chapter 7
<b>Action Date:</b>	12/14/2016
<b>Organization Name:</b>	GSMVA, LLC
<b>Individual Position:</b>	Manager
<b>Organization Investment-Related?</b>	No
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	a. United States Bankruptcy Court for the Southern District of Texas
<b>Location of Court:</b>	Houston Division
<b>Docket/Case #:</b>	16-36388
<b>Action Pending?</b>	No
<b>Disposition:</b>	Satisfied/Released
<b>Disposition Date:</b>	10/11/2018
<b>Broker Statement</b>	100% payment to creditors



## End of Report

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