



HILLIARD LYONS
J.J.B. HILLIARD, W.L. LYONS, LLC | MEMBER NYSE, FINRA & SIPC

TRICIA M. HOLLANDER HENNING

110 Main Street
P O Box 98
Evansville, IN 47708
812-426-1481

J.J.B. Hilliard, W.L. Lyons, LLC

500 West Jefferson Street
Suite 700
Louisville, KY 40202
800-444-1854

August 22, 2017

This brochure supplement provides information about your Financial Consultant that supplements the J.J.B. Hilliard, W.L. Lyons, LLC brochure. You should have received a copy of that brochure. Please contact the Consulting Services Group at 502-588-8181 if you did not receive J.J.B. Hilliard, W.L. Lyons, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about your Financial Consultant is available on the SEC's website at www.adviserinfo.sec.gov.

EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Tricia M. Hollander Henning

Year of birth: 1968

Education

Indiana University Bloomington; Bachelor of Science
08/01/1986 - 05/01/1990

Business Experience

J.J.B. Hilliard, W.L. Lyons, LLC; Financial Consultant
08/1992 - PRESENT

Professional Designations

Certified Private Wealth Advisor® - CPWA® 10/2014

Issuing Organization: Investment Management Consultants Association

Prerequisites/Experience Required: Candidate must meet all of the following:

- Bachelor's degree from an accredited college or university or one of the following designations or licenses: CIMA, CIMC, CFA, CFP, ChFC or CPA license
- A satisfactory record of ethical conduct, as determined by IMCA's Admissions Committee
- Five years of professional client-centered experience in financial services or a related industry

Educational Requirements: Candidate must complete the following:

- Six-month pre-study educational component
- Five-day in-class portion of the program at The University of Chicago Graduate School of Business

Continuing Education: 40 hours every two years

Certified Investment Management Analyst® - CIMA 11/2012

Issuing Organization: Investment Management Consultants Association

Prerequisites/Experience Required: Candidate must meet all of the following requirements:

Three years of verifiable financial services experience;

Must answer "no" to all disclosure questions on Form U-4 that cover criminal and regulatory violations, civil judicial actions and customer complaints or else satisfactorily justify a "yes" answer

Educational Requirements: Candidate must complete the following:

Self study education (approximately five months)

One-week classroom education program provided by an AACSB accredited university business school

Continuing Education: 40 hours every two years

Chartered Retirement Planning Counselor® - CRPC® 10/2007

Issuing Organization: College for Financial Planning

Prerequisites/Experience Required: None

Educational Requirements: Online instructor led or self-study course

Continuing Education: 16 hours every two years

Certified Financial Planner® - CFP® 02/2007

Issuing Organization: Certified Financial Planner Board of Standards, Inc ("CFPBS")

Prerequisites/Experience Required: Candidate must meet the following requirements:

A bachelor's degree (or higher) from an accredited college or university, and

Three years of full-time personal financial planning experience

Educational Requirements: Must complete a CFP-board registered program or hold another designation authorized by the CFPBS

Continuing Education: 30 hours every two years

DISCIPLINARY INFORMATION

No reportable disciplinary history.

The disciplinary reporting requirements for broker-dealers and investment advisers differ, with FINRA requiring broker-dealers to report on matters that are not required to be reported by registered investment advisers. This brochure supplement excludes matters that are not required to be reported by investment advisers. For more information on your Financial Consultant or any other registered firm employee, you can go to the SEC's Investment Adviser Public Disclosure website at <http://www.adviserinfo.sec.gov/> or FINRA's BrokerCheck website at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/>.

OTHER BUSINESS ACTIVITIES

J.J.B. Hilliard, W.L. Lyons, LLC is dually registered as an investment adviser and broker-dealer and financial consultants offer both traditional commission-based brokerage accounts and fee-based investment advisory accounts. In addition, financial consultants may receive commissions on the sale of insurance and service fees (or 'trails') from the sale of mutual funds. Compensation to the financial consultants varies based upon the services provided and the financial consultants may therefore have a financial incentive to recommend investment products based on the compensation received.

Mrs. Hollander Henning is a Board Member of Vanderburgh Community Foundation, St. Mary's Hospital, Riley Hospital Foundation, United Way, Welborn Baptist Foundation, Community Foundation Alliance, Habitat for Humanity, WNIN, Red Cross of SW Indiana, and St. Benedict Cathedral Parish. She is an honorary Board Member of Marian Education Outreach.

ADDITIONAL COMPENSATION

Your financial consultant receives, as compensation, a portion of the management fees charged to clients for the Hilliard Lyons advisory programs. In addition, assets in the programs may be invested in pooled investment vehicles like mutual funds, including money market funds, which pay fees to Hilliard Lyons and its financial consultants. Those fees may include distribution fees, omnibus or networking fees and revenue sharing payments which support training, back office operations, educational presentations and sales support activities provided to financial consultants. Your financial consultant may also be eligible to participate in educational trips from fund companies.

Additionally, your financial consultant owns units of HL Financial Services, LLC, parent company of Hilliard Lyons, and therefore has a financial interest in the success of Hilliard Lyons.

SUPERVISION

Your Financial Consultant is supervised by Phillip Roberts , Regional Manager, 812-426-1481.

Financial consultants are supervised by a manager who is responsible for overseeing account activity. In addition, the Hilliard Lyons Home Office reviews advisory accounts and services for compliance with program guidelines.