



Chart
a course
for your
success



DIVISION OF NORTHLAND SECURITIES, INC., MEMBER FINRA AND SIPC

CONFIDENTIAL INFORMATION FOR INVESTMENT PROFESSIONALS CHARTING A NEW BUSINESS PATH

Are you on the right course for professional success?

At Northland, the right direction means working in partnership for success.



"Municipal bonds are a key component of my practice, and Northland's underwriting and trading bring daily benefits to my clients."

— Ben Young
Des Moines office



"As a regional firm, Northland offers a wirehouse range of products and services, within the friendly atmosphere of a regional firm. Tech and product support are terrific."

— Elizabeth Janicek
Milwaukee office



"Being at Northland allows me to put the client first. I came from a wirehouse background, and being here means I can have more meaningful relationships with my clients and greater impact on their lives, by holistically focusing on their needs."

— Todd Radam
Minneapolis office

THE PHILOSOPHY TO ACHIEVE SUCCESS

We keep it simple. We are a regional broker-dealer, with a focus on tax-exempt bonds and award-winning equity research. Our payout structure is generous and straightforward, and we don't "nickel and dime" our brokers with endless fees.

At Northland, financial advisors have access to just about any investment that an individual investor would want or need for their portfolio. In addition to full-service stocks, bonds, and package products, our advisors have access to non-traded REITS, equity IPO's, private placements, and proprietary tax-exempt bonds.

As financial advisors consider options today - from the corporate mindset of a national firm, to the isolation of life as an independent - they will find Northland to be "just right" --- not too big, not too small. We take care of the business expense infrastructure and provide an attractive payout structure, along with a collegial atmosphere, working with a friendly, veteran sales group.

We've been in business since 2002 and are locally owned by employees and outside investors, including Glen Taylor, a Midwest business leader and the owner of the Minnesota Timberwolves and WNBA Lynx teams.

If you're interested in learning more, let's talk about how Northland could be the right fit for your practice and a partner for your future success.

SUPPORT DRIVES RELATIONSHIPS

Our staff consists of knowledgeable, caring, and innovative experts. We strive to provide exceptional support and listen to your needs and desires to grow your business. At Northland Wealth Management, the back office is experienced, proactive, and personable in every interaction. Call it our Midwest work ethic and sensibility, combined with Wall Street know-how.

To learn more about Northland's expertise, diversity, and experience, we invite you to call us. And view more information on our website at NorthlandSecurities.com.

We look forward to hearing from you.
Call us at: 800-851-2920 | 612-851-5900



DIRECTION TO CHART YOUR PATH

As an experienced investment professional, you understand the unprecedented changes in our industry in recent years, and how they have impacted your clients and your business. Today's ever-changing environment --- products, services, legal and regulatory issues --- requires diligent oversight and proactive conduct.

Northland Securities is a locally-owned, full-service broker-dealer which is uniquely positioned for embracing change and advancing growth, with integrity, individual attention, responsiveness, and flexible solutions. And we have the requisite experience and tools necessary to help you succeed in today's competitive environment.

If you are facing the significant challenge of determining a new path for your business, we would appreciate the opportunity to discuss a future for you with Northland.

YOUR PLATFORM FOR GROWTH

Northland offers a diversified array of products and services to meet your clients individual needs:

- Full Service Fixed Income Trading: Leading underwriter of tax exempt bonds in the Midwest, with a full range of corporate bonds, agencies, government bonds and CDs
- Equity Capital Markets Group: IPOs, Pipes, and Private Placements
- Equity Research and Trading
- Financial Services: Full range of mutual funds, life and LTC insurance, annuities, closed-end funds, REITs, oil and gas programs, and 1031 Exchange services.
- RIA Program Open Architecture
- Brokerage Clearing through Pershing, LLC
- Consolidated Account Statements
- Thorough Transition Team
- Competitive Commission Structure
- Sales, Marketing, and Admin Support
- Financial Planning Tools

CONSIDER A NEW DIRECTION

When you are facing a crucial decision as to the direction of your business and livelihood, choose a partner with the innovative products and competitive services to keep you in the game, and moving forward.

VAST PRODUCTS AND SERVICES

Equity Investments

- Award-Winning Equity Research
- On-Site Trading Desk
- Access to Initial Public Offerings and Private Placements

Wealth Management

- Mutual Funds, UITs, Closed-End Funds
- Non-traded REITs, BDCs, and other Alternative Investments
- Life and Long-Term Care Insurance
- Fixed and Variable Annuities

Fixed Income

- Midwest Leader in Municipal Bond Underwriting
- Large Number of Bond Issues in Minnesota and Throughout the Midwest
- Direct Access to Fixed Income Traders
- Fair Division of Compensation between Sales/Trading/Underwriting

Managed Money

- Northland Asset Management (RIA)
- Advisor-Managed, Fee-Based Products and Services
- Access to Premier Third Party Managers
- Lockwood Asset Management Turnkey Systems

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PARTNERSHIP WITH PERSHING

We work with Pershing LLC as our clearing partner. Pershing embodies quality support, wide-ranging products, and leading-edge technology, including front-line privacy and data integrity systems to safeguard client data.

EXPERIENCE | SUPPORT

Since 1939, Pershing has been providing comprehensive brokerage execution, clearance, data processing, and financial products and services to introducing broker-dealers worldwide. The Pershing team consists of more than 6,000 professionals who are focused on supporting client needs.

OWNERSHIP | STABILITY

As a wholly-owned subsidiary of BNY Mellon Company - one of the longest-lasting financial institutions in the world - Pershing has extensive resources and financial strength, and the backing of a global financial leader. BNY Mellon delivers informed investment management and investment services in 35 countries and more than 100 markets. BNY Mellon has shareholders' equity capital of \$38 billion, and total investment assets under custody and/or administration of over \$28 trillion.

With Pershing, your clients and their assets are supported by a partner committed to securing their financial future, just like you.

Sources: Websites www.bnymellon.com and www.pershing.com, as of December 2015.

NORTHLAND WEALTH MANAGEMENT

Advantages to You

- Competitive Payout Structure
- Northland Securities Employee Full Benefits Package
- Business Expense Coverage
- Training and Education Opportunities
- Responsive Compliance Support
- Solution-Driven Management
- Vast Array of Financial Services and Products
- Award-Winning Equity Research
- Proprietary Tax-Exempt Bonds
- Broad Managed Money Platform
- Estate Planning and Insurance Review Support
- Alternative Investment Options
- Locations in Minneapolis, Denver, Des Moines, and Milwaukee
- Clearing Firm Partner – Pershing LLC
- Thorough Transition Support
- Friendly and Personable Service
- Ethical and Dedicated Culture
- Practical and Experienced Staff



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Visit us at
NorthlandSecurities.com



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