



**James Kubik**  
**Managing Director**  
**Institutional Sales**  
**Greenwood Village, CO**

CONTACT

Phone: 303-801-3380

Email: [jkubik@northlandsecurities.com](mailto:jkubik@northlandsecurities.com)

BACKGROUND

Jim is a Fixed Income Managing Director and Investment Professional, and he joined the firm in 2012. He has the responsibility for expanding services within the firm's central division.

Previously, Mr. Kubik was a Managing Director at BMO Capital Markets GKST, Inc., carrying on the same responsibilities. Prior to BMO, Jim was one of the founders of Griffin Kubik Stephens and Thompson where he was a principal, and was responsible for the firm's public finance activities, along with being the leading salesmen working with commercial banks. Mr. Kubik began his career in investment banking in 1971 as an Underwriter and Trader at VanKampen, Wauterlek, and Brown. He has specialized in the formulation and implementation of investment strategies for financial institutions.

Mr. Kubik's extensive experience has encompassed primary market underwriting and secondary market trading, and he has taught investment portfolio strategies to thousands of bankers over the years. Previously, he served for many years on the Northern Illinois University Foundation Board, where he received his Bachelor's degree in 1970.

He resides in Littleton, CO, with his wife Kathy. They have four sons, four daughters-in-law, and seven grandchildren.

EDUCATION

He received his B.A. degree from Northern Illinois University.

PROFESSIONAL LICENSES/DESIGNATIONS

Mr. Kubik holds and maintains the FINRA Series 1 Registered Representative, Series 3 National Commodity Futures, Series 7 General Securities Representative, Series 53 Municipal Securities Principal, and Series 63 Uniform Securities Agent State Law registrations.



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