



Chart  
a course  
for your  
**success**

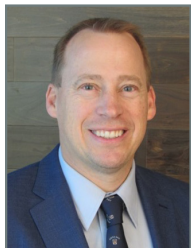


*DIVISION OF NORTHLAND SECURITIES, INC.  
MEMBER FINRA AND SIPC, REGISTERED WITH SEC AND MSRB*

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.*



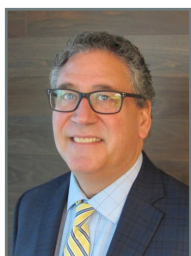
*"Northland's municipal bond offerings and diversified product platform help my team provide tax-efficient strategies and responsive service to clients, in turn meeting their income, growth, and wealth transfer needs."*

— Dan Woog  
Minneapolis 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

## 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.

## THE PHILOSOPHY TO ACHIEVE SUCCESS

We keep it simple. We are a regional broker-dealer, with a focus on tax-exempt bonds. Northland's financial representatives have access to a vast number of investment options that an individual investor would want or need for their portfolio. In addition to equities, fixed income, annuities, and packaged products, our advisors have access to alternative investments, investment advisory platforms, insurance products, and proprietary tax-exempt bonds.

As financial professionals consider their 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 manage the infrastructure of running the business and provide an attractive payout structure, along with a collegial atmosphere, working with a friendly, veteran sales group and administrative staff. Our payout structure is generous and straightforward; we don't "nickel and dime" our brokers with endless fees.

We've been in business since 2002 and are locally owned by employee shareholders and a few outside investors. We are not owned by an investment product company, so we are free to choose the right products for our clients' individual situations.

At the end of the day, we work together to take care of your clients. 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.

To learn more about Northland's expertise, diversity, history, and experience, we invite you to call us. And view more information on our website at [NorthlandSecurities.com](http://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 and Private Placements
- Financial Services: Full range of mutual funds, equities, fixed income, life and LTC insurance, annuities, closed-end funds, REITs, oil and gas programs, and 1031 Exchange services.
- Brokerage Clearing through Pershing, LLC
- Consolidated Account Statements
- Thorough Transition Team
- Competitive Commission Structure
- Sales, Marketing, and Admin Support
- Financial Planning Tools

*\* Northland does not allow commodities or futures.*

## VAST PRODUCTS AND SERVICES

### Wealth Management

- Mutual Funds, UITs, Closed-End Funds
- Non-traded REITs and other Alternative Investments
- Life and Long-Term Care Insurance
- Fixed and Variable Annuities
- Access to Initial Public Offerings and Private Placements

### Asset Management Programs

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

### 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

## 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.

## Contacts



**Mike Leonard**  
Managing Director  
Wealth Management  
612-851-5925



**Craig Ostrom**  
Senior Vice President  
Branch Manager, Milwaukee  
414-908-0410



## 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 \$45.8 billion, and total investment assets under custody and/or administration of over \$41.7 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](http://www.bnymellon.com) and [www.pershing.com](http://www.pershing.com), as of March 31, 2021*

## NORTHLAND WEALTH MANAGEMENT

# Advantages

- Competitive Transition Compensation & Payout Structure
- Northland Securities Employee Benefits Package
- Business Infrastructure
- Thorough Transition Support
- Training and Education Opportunities

- Vast Array of Financial Services and Products
- Proprietary Tax-Exempt Bonds
- Alternative Investment Options
- Broad Asset Management Platform
- Estate Planning and Client Insurance Reviews

- Locations in Minneapolis, Denver, Detroit, Des Moines, Milwaukee
- Clearing Firm Partner – Pershing LLC
- Friendly and Personable Service
- Ethical and Dedicated Culture
- Practical and Experienced Staff
- Responsive Compliance Team
- Solution-Driven Management



612-851-5900 | 800-851-2920

Visit us at  
[NorthlandSecurities.com](http://NorthlandSecurities.com)



Offices in Minneapolis, Denver, Des Moines, Detroit, and Milwaukee

Corporate Office: 150 South 5th Street, Suite 3300, Minneapolis, Minnesota 55402