



NORTHROCK PARTNERS, LLC

650 Third Avenue South, Suite 1500
Minneapolis, MN 55402

(612) 367-8800



Brochure Supplement

MAY 2017

Brooks Bollinger

650 3rd Avenue South, Suite 1500
Minneapolis, MN 55402

(612) 367-8800

This Brochure Supplement provides information about Brooks Bollinger that supplements the Disclosure Brochure of NorthRock Partners, LLC (hereinafter "NorthRock"), a copy of which you should have received. Please contact NorthRock's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Brooks Bollinger is available on the SEC's website at www.adviserinfo.sec.gov.

NorthRock Partners, LLC, a Registered Investment Adviser

650 3rd Avenue South, Suite 1500, Minneapolis, MN 55402 | (612) 367-8800



Item 2. Educational Background and Business Experience

Born 1979

Post-Secondary Education

University of Wisconsin-Madison | Bachelors Degree in History | 2003

Recent Business Background

NorthRock Partners, LLC | Private Wealth Advisor | May 2017 to present

Investment Centers of America | Advisor | July 2014 – May 2017

University of Pittsburg | Coach | March 2012 – March 2014

Hill-Murray School | Coach | January 2011 – February 2012

United Football League | Football Player | March 2009 – November 2010

Dallas Cowboys | Football Player | September 2008 – January 2009

Minnesota Vikings | Football Player | September 2006 – September 2008

Item 3. Disciplinary Information

NorthRock is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Brooks Bollinger. NorthRock has no information to disclose in relation to this Item.

Item 4. Other Business Activities

NorthRock is required to disclose information regarding any investment-related business or occupation in which Brooks Bollinger is actively engaged

Licensed Insurance Agent

Brooks Bollinger is a licensed insurance agent and in such capacity may recommend, on a fully-disclosed commission basis, the purchase of certain insurance products. A conflict of interest exists to the extent that NorthRock recommends the purchase of insurance products where Brooks Bollinger receives insurance commissions or other additional compensation. NorthRock seeks to ensure that all recommendations are made in the best interests of clients regardless of any additional compensation earned.



Item 5. Additional Compensation

NorthRock is required to disclose information regarding any arrangement under which Brooks Bollinger receives an economic benefit from someone other than a client for providing investment advisory services. NorthRock has no information to disclose in relation to this Item.

Item 6. Supervision

James Lund, Chief Compliance Officer, is generally responsible for supervising Brooks Bollinger's advisory activities on behalf of NorthRock. The telephone number to reach James Lund is (612) 367-8800.

NorthRock supervises its personnel and the investments made in client accounts. NorthRock monitors the investments recommended by Brooks Bollinger to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. NorthRock periodically reviews the advisory activities of Brooks Bollinger, which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Brooks Bollinger.

Brochure Supplement

MAY 2016

DONWIN S. BRAUN

650 3rd Avenue South, Suite 1500
Minneapolis, MN 55402

(612) 367-8800

This Brochure Supplement provides information about Donwin S. Braun that supplements the Disclosure Brochure of NorthRock Partners, LLC (hereinafter "NorthRock"), a copy of which you should have received. Please contact NorthRock's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Donwin S. Braun is available on the SEC's website at www.adviserinfo.sec.gov.

NorthRock Partners, LLC, a Registered Investment Adviser

650 3rd Avenue South, Suite 1500, Minneapolis, MN 55402 | (612) 367-8800



Item 2. Educational Background and Business Experience

Born 1972

Post-Secondary Education

Bemidji State University | B.A., Business Administration | 1994

Recent Business Background

NorthRock Partners, LLC | Associate Financial Advisor & Agent | October 2013 – Present

Purshe Kaplan Sterling Investments, Inc. | Registered Representative | October 2013 – July 2015

IDS Life Insurance Company | Agent | February 2004 – October 2013

Ameriprise Financial Services, Inc. | Associate Financial Advisor | February 2004 – October 2013

Item 3. Disciplinary Information

NorthRock is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Donwin S. Braun. NorthRock has no information to disclose in relation to this Item.

Item 4. Other Business Activities

NorthRock is required to disclose information regarding any investment-related business or occupation in which Donwin S. Braun is actively engaged.

Licensed Insurance Agent

Donwin S. Braun is a licensed insurance agent and in such capacity may recommend, on a fully-disclosed commission basis, the purchase of certain insurance products. A conflict of interest exists to the extent that NorthRock recommends the purchase of insurance products where Donwin S. Braun receives insurance commissions or other additional compensation. NorthRock seeks to ensure that all recommendations are made in the best interests of clients regardless of any additional compensation earned.

Item 5. Additional Compensation

NorthRock is required to disclose information regarding any arrangement under which Donwin S. Braun receives an economic benefit from someone other than a client for providing investment advisory services. NorthRock has no information to disclose in relation to this Item.



Item 6. Supervision

James Lund, Chief Compliance Officer, is generally responsible for supervising Donwin S. Braun's advisory activities on behalf of NorthRock. The telephone number to reach James Lund is (612) 367-8800.

NorthRock supervises its personnel and the investments made in client accounts. NorthRock monitors the investments recommended by Donwin S. Braun to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. NorthRock periodically reviews the advisory activities of Donwin S. Braun, which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Donwin S. Braun.

Brochure Supplement

DECEMBER 2017

Phillip Ebner

650 3rd Avenue South, Suite 1500
Minneapolis, MN 55402

(612) 367-8800

This Brochure Supplement provides information about Phillip Ebner that supplements the Disclosure Brochure of NorthRock Partners, LLC (hereinafter "NorthRock"), a copy of which you should have received. Please contact NorthRock's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Phillip Ebner is available on the SEC's website at www.adviserinfo.sec.gov.

NorthRock Partners, LLC, a Registered Investment Adviser

650 3rd Avenue South, Suite 1500, Minneapolis, MN 55402 | (612) 367-8800



Item 2. Educational Background and Business Experience

Born 1970

Post-Secondary Education

University of Minnesota – Twin Cities, Carlson School of Management | Bachelor of Arts | Attended 1990-1994 and graduated in 2006

Recent Business Background

NorthRock Partners, LLC | Private Wealth Advisor | September 2017 to present

U.S. Trust, Bank of America | Senior Vice President | December 2014 – August 2017

North Sky Capital | Vice President | December 2011 – November 2014

UBS Financial Services | Vice President | February 2009 – November 2011

Marquette Asset Management | Vice President | February 2007 – February 2009

Mount Yale Securities | Representative | October 2003 – February 2007

Item 3. Disciplinary Information

NorthRock is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Phillip Ebner. NorthRock has no information to disclose in relation to this Item.

Item 4. Other Business Activities

NorthRock is required to disclose information regarding any investment-related business or occupation in which Phillip Ebner is actively engaged.

Item 5. Additional Compensation

NorthRock is required to disclose information regarding any arrangement under which Phillip Ebner receives an economic benefit from someone other than a client for providing investment advisory services. NorthRock has no information to disclose in relation to this Item.



Item 6. Supervision

James Lund, Chief Compliance Officer, is generally responsible for supervising Phillip Ebner's advisory activities on behalf of NorthRock. The telephone number to reach James Lund is (612) 367-8800.

NorthRock supervises its personnel and the investments made in client accounts. NorthRock monitors the investments recommended by Phillip Ebner to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. NorthRock periodically reviews the advisory activities of Phillip Ebner, which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Phillip Ebner.

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BRENT T. FIELD

650 3rd Avenue South, Suite 1500
Minneapolis, MN 55402

(612) 367-8800

This Brochure Supplement provides information about Brent T. Field that supplements the Disclosure Brochure of NorthRock Partners, LLC (hereinafter "NorthRock"), a copy of which you should have received. Please contact NorthRock's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Brent T. Field is available on the SEC's website at www.adviserinfo.sec.gov.

NorthRock Partners, LLC, a Registered Investment Adviser

650 3rd Avenue South, Suite 1500, Minneapolis, MN 55402 | (612) 367-8800



Item 2. Educational Background and Business Experience

Born 1977

Post-Secondary Education

St. Cloud State University | B.A., International Business | 2000

Recent Business Background

NorthRock Partners, LLC | Investment Advisor Representative | October 2013 – Present

Purshe Kaplan Sterling Investments, Inc. | Registered Representative | October 2013 – July 2015

Ameriprise Financial Services, Inc. | Associate Financial Advisor | August 2006 – October 2013

Item 3. Disciplinary Information

NorthRock is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Brent T. Field. NorthRock has no information to disclose in relation to this Item.

Item 4. Other Business Activities

NorthRock is required to disclose information regarding any investment-related business or occupation in which Brent T. Field is actively engaged. NorthRock has no information to disclose in relation to this Item.

Item 5. Additional Compensation

NorthRock is required to disclose information regarding any arrangement under which Brent T. Field receives an economic benefit from someone other than a client for providing investment advisory services. NorthRock has no information to disclose in relation to this Item.

Item 6. Supervision

James Lund, Chief Compliance Officer, is generally responsible for supervising Brent T. Field's advisory activities on behalf of NorthRock. The telephone number to reach James Lund is (612) 367-8800.

NorthRock supervises its personnel and the investments made in client accounts. NorthRock monitors the investments recommended by Brent T. Field to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. NorthRock periodically reviews the advisory activities of Brent T. Field,



which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Brent T. Field.

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FEBRUARY 2017

SHAWN J. JACOBSON

650 3rd Avenue South, Suite 1500
Minneapolis, MN 55402

(612) 367-8800

This Brochure Supplement provides information about Shawn J. Jacobson that supplements the Disclosure Brochure of NorthRock Partners, LLC (hereinafter "NorthRock"), a copy of which you should have received. Please contact NorthRock's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Shawn J. Jacobson is available on the SEC's website at www.adviserinfo.sec.gov.

NorthRock Partners, LLC, a Registered Investment Adviser

650 3rd Avenue South, Suite 1500, Minneapolis, MN 55402 | (612) 367-8800



Item 2. Educational Background and Business Experience

Born 1970

Post-Secondary Education

Northwestern College, St. Paul, MN | Bachelor's Degree | 1992

St. Thomas University | Masters in Business Administration | 2005

Recent Business Background

NorthRock Partners, LLC | Vice President & Private Wealth Advisor | February 2017 – Present

Legacy Financial Advisors Corporation, Bloomington, MN | Vice President | July 2004 – February 2017; after serving as Director of Financial Planning | January 2002 – July 2004

ING Reliastar, Minneapolis, MN | Advanced Marketing Consultant | September 2000 – January 2002

Prudential, Plymouth, MN | Advanced Marketing Consultant | January 1997 to September 2000

Professional Designation

Shawn J. Jacobson holds the following professional designations:

- Certified Financial Planner (“CFP[®]”) since 1998,
- Chartered Financial Consultant (“ChFC[®]”) since 2000; and
- Accredited Wealth Management Advisor (“AWMA”) since 2007

The CFP[®] designation is a financial planning credential awarded by the Certified Financial Planner Board of Standards, Inc. to individuals who satisfy its educational, work experience and ethics requirements. Recipients of the CFP[®] certification hold a bachelor's degree (or higher) from an accredited college or university, have completed three years of full-time personal financial planning experience and successfully completed the CFP[®] Certification Exam. In order to maintain the designation, CFP[®] holders must satisfy ongoing requirements which include at least 30 hours of continuing education every two years.

The ChFC[®] designation is a financial planning credential awarded by the American College to individuals who satisfy its educational, work experience and ethics requirements. Recipients of the ChFC[®] certification have completed at least seven mandatory college-level courses in the areas of financial, insurance, retirement and/or estate planning, as well as income taxation and/or investments. Additionally, recipients have completed at least two elective courses on the financial system, estate planning applications, executive compensation, and/or retirement decisions. In order to maintain the designation, ChFC[®] holders must satisfy 30 hours of continuing education at least every two years.



The AWMA designation is a financial planning credential awarded by the College for Financial Planning. Each candidate must complete 15 self-study modules requiring 120 to 150 hours of self study and successfully complete a final designation closed-book, proctored exam. Continuing education requirements include 16 hours every two years.

For additional information about these credentials, please refer directly to the website of the issuing organization.

Item 3. Disciplinary Information

NorthRock is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Shawn J. Jacobson. NorthRock has no information to disclose in relation to this Item.

Item 4. Other Business Activities

NorthRock is required to disclose information regarding any investment-related business or occupation in which Shawn J. Jacobson is actively engaged. NorthRock has no information to disclose in relation to this Item.

Item 5. Additional Compensation

NorthRock is required to disclose information regarding any arrangement under which Shawn J. Jacobson receives an economic benefit from someone other than a client for providing investment advisory services. NorthRock has no information to disclose in relation to this Item.

Item 6. Supervision

James Lund, Chief Compliance Officer, is generally responsible for supervising Shawn J. Jacobson's advisory activities on behalf of NorthRock. The telephone number to reach James Lund is (612) 367-8800.

NorthRock supervises its personnel and the investments made in client accounts. NorthRock monitors the investments recommended by Shawn J. Jacobson to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. NorthRock periodically reviews the advisory activities of Shawn J. Jacobson, which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Shawn J. Jacobson.

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BRIAN J. KRUSE

650 3rd Avenue South, Suite 1500
Minneapolis, MN 55402

(612) 367-8800

This Brochure Supplement provides information about Brian J. Kruse that supplements the Disclosure Brochure of NorthRock Partners, LLC (hereinafter "NorthRock"), a copy of which you should have received. Please contact NorthRock's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Brian J. Kruse is available on the SEC's website at www.adviserinfo.sec.gov.

NorthRock Partners, LLC, a Registered Investment Adviser

650 3rd Avenue South, Suite 1500, Minneapolis, MN 55402 | (612) 367-8800



Item 2. Educational Background and Business Experience

Born 1970

Post-Secondary Education

University of St. Thomas | B.A., Marketing Management | 1992

Recent Business Background

NorthRock Partners, LLC | Financial Advisor | October 2013 – Present

Purshe Kaplan Sterling Investments, Inc. | Registered Representative | October 2013 – July 2015

Ameriprise Financial Services, Inc. | Financial Advisor | February 2011– October 2013

Item 3. Disciplinary Information

NorthRock is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Brian J. Kruse. NorthRock has no information to disclose in relation to this Item.

Item 4. Other Business Activities

NorthRock is required to disclose information regarding any investment-related business or occupation in which Brian J. Kruse is actively engaged.

Item 5. Additional Compensation

NorthRock is required to disclose information regarding any arrangement under which Brian J. Kruse receives an economic benefit from someone other than a client for providing investment advisory services. NorthRock has no information to disclose in relation to this Item.

Item 6. Supervision

James Lund, Chief Compliance Officer, is generally responsible for supervising Brian J. Kruse's advisory activities on behalf of NorthRock. The telephone number to reach James Lund is (612) 367-8800.

NorthRock supervises its personnel and the investments made in client accounts. NorthRock monitors the investments recommended by Brian J. Kruse to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. NorthRock periodically reviews the advisory activities of Brian J.



Kruse, which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Brian J. Kruse.

Brochure Supplement

DECEMBER 2016

JAMES B. LUND

650 3rd Avenue South, Suite 1500
Minneapolis, MN 55402

(612) 367-8800

This Brochure Supplement provides information about James B. Lund that supplements the Disclosure Brochure of NorthRock Partners, LLC (hereinafter "NorthRock"), a copy of which you should have received. Please contact NorthRock's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about James B. Lund is available on the SEC's website at www.adviserinfo.sec.gov.

NorthRock Partners, LLC, a Registered Investment Adviser

650 3rd Avenue South, Suite 1500, Minneapolis, MN 55402 | (612) 367-8800



Item 2. Educational Background and Business Experience

Born 1963

Post-Secondary Education

College of Financial Planning | CFP | 1992

Minnesota State University | MBA | 1986

Minnesota State University | B.S., Biology | 1985

Recent Business Background

NorthRock Partners, LLC | Senior Vice President & Agent | October 2013 – Present

Purshe Kaplan Sterling Investments, Inc. | Registered Representative | October 2013 – November 2016

IDS Life Insurance Company | Agent | October 1986 – October 2013

Ameriprise Financial Services, Inc. | Business Financial Advisor | August 1986 – December 2010

Professional Designation

James B. Lund holds the professional designation of CERTIFIED FINANCIAL PLANNER™ (“CFP®”).

The CFP® certification is a financial planning credential awarded by the Certified Financial Planner Board of Standards Inc. (the “CFP Board”) to individuals who meet its education, examination, experience and ethics requirements. Eligible candidates are generally required to have three years of financial planning related experience and possess a bachelor’s degree from an accredited U.S. college or university. Certificants are further required to complete a CFP Board-Registered Education Program (or possess a qualifying professional credential), clear a personal and professional background check, and pass the CFP® Certification Examination, a ten-hour multiple choice exam divided into three separate sessions. In order to maintain the certification, CFP® designees must also complete at least 30 hours of continuing education every two years on an ongoing basis.

Item 3. Disciplinary Information

NorthRock is required to disclose information regarding any legal or disciplinary events material to a client’s evaluation of James B. Lund. NorthRock has no information to disclose in relation to this Item.



Item 4. Other Business Activities

NorthRock is required to disclose information regarding any investment-related business or occupation in which James B. Lund is actively engaged.

Licensed Insurance Agent

James B. Lund is a licensed insurance agent and in such capacity may recommend, on a fully-disclosed commission basis, the purchase of certain insurance products. A conflict of interest exists to the extent that NorthRock recommends the purchase of insurance products where James B. Lund receives insurance commissions or other additional compensation. NorthRock seeks to ensure that all recommendations are made in the best interests of clients regardless of any additional compensation earned.

Item 5. Additional Compensation

NorthRock is required to disclose information regarding any arrangement under which James B. Lund receives an economic benefit from someone other than a client for providing investment advisory services. NorthRock has no information to disclose in relation to this Item.

Item 6. Supervision

While James B. Lund is the Chief Compliance Officer of the firm and generally responsible for his own supervision, Robert Nelson periodically reviews his advisory activities on behalf of NorthRock. James B. Lund seeks to ensure that investments are suitable for his individual clients and consistent with their individual needs, goals, objectives and risk tolerance, as well as any restrictions requested by NorthRock's clients.

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MAY 2017

Jed Magstadt

650 3rd Avenue South, Suite 1500
Minneapolis, MN 55402

(612) 367-8800

This Brochure Supplement provides information about Jed Magstadt that supplements the Disclosure Brochure of NorthRock Partners, LLC (hereinafter "NorthRock"), a copy of which you should have received. Please contact NorthRock's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Jed Magstadt is available on the SEC's website at www.adviserinfo.sec.gov.

NorthRock Partners, LLC, a Registered Investment Adviser

650 3rd Avenue South, Suite 1500, Minneapolis, MN 55402 | (612) 367-8800



Item 2. Educational Background and Business Experience

Born 1989

Post-Secondary Education

St. Thomas University, St. Paul, MN | Finance | 2013

Recent Business Background

NorthRock Partners, LLC | Private Wealth Advisor | May 2017 to present

Pacific Point Advisors, LLC | Advisor | October 2016 – May 2017

NorthRock Partners, LLC | Client Service Manager | June 2013 – September 2016

Item 3. Disciplinary Information

NorthRock is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Jed Magstadt. NorthRock has no information to disclose in relation to this Item.

Item 4. Other Business Activities

NorthRock is required to disclose information regarding any investment-related business or occupation in which Jed Magstadt is actively engaged. NorthRock has no information to disclose in relation to this item.

Item 5. Additional Compensation

NorthRock is required to disclose information regarding any arrangement under which Jed Magstadt receives an economic benefit from someone other than a client for providing investment advisory services. NorthRock has no information to disclose in relation to this Item.

Item 6. Supervision

James Lund, Chief Compliance Officer, is generally responsible for supervising Jed Magstadt's advisory activities on behalf of NorthRock. The telephone number to reach James Lund is (612) 367-8800.

NorthRock supervises its personnel and the investments made in client accounts. NorthRock monitors the investments recommended by Jed Magstadt to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. NorthRock periodically reviews the advisory activities of Jed Magstadt,



which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Jed Magstadt.

Brochure Supplement

DECEMBER 2016

ROBERT D. NELSON

650 3rd Avenue South, Suite 1500
Minneapolis, MN 55402

(612) 367-8800

This Brochure Supplement provides information about Robert D. Nelson that supplements the Disclosure Brochure of NorthRock Partners, LLC (hereinafter "NorthRock"), a copy of which you should have received. Please contact NorthRock's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Robert D. Nelson is available on the SEC's website at www.adviserinfo.sec.gov.

NorthRock Partners, LLC, a Registered Investment Adviser

650 3rd Avenue South, Suite 1500, Minneapolis, MN 55402 | (612) 367-8800



Item 2. Educational Background and Business Experience

Born 1970

Post-Secondary Education

Bemidji State University | B.A., Business Administration | 1993

Recent Business Background

NorthRock Partners, LLC | Managing Member & Agent | October 2013 – Present

Purshe Kaplan Sterling Investments, Inc. | Registered Representative | October 2013 – November 2016

Ameriprise Financial Services, Inc. | Business Financial Advisor | June 1993 – October 2013

IDS Life Insurance Company | Agent | June 1993 – October 2013

Professional Designation

Robert D. Nelson holds the professional designation of Chartered Financial Consultant (“ChFC[®]”).

The ChFC[®] designation is a financial planning credential awarded by the American College to individuals who satisfy its educational, work experience and ethics requirements. Recipients of the ChFC[®] certification have completed at least seven mandatory college-level courses in the areas of financial, insurance, retirement and/or estate planning, as well as income taxation and/or investments. Additionally, recipients have completed at least two elective courses on the financial system, estate planning applications, executive compensation, and/or retirement decisions. In order to maintain the designation, ChFC[®] holders must satisfy the ongoing requirements of the Professional Achievement in Continuing Education (“PACE”) Recertification Program, which includes 30 hours of continuing education at least every two years.

For additional information about this credential, please refer directly to the website of the issuing organization.

Item 3. Disciplinary Information

NorthRock is required to disclose information regarding any legal or disciplinary events material to a client’s evaluation of Robert D. Nelson. NorthRock has no information to disclose in relation to this Item.



Item 4. Other Business Activities

NorthRock is required to disclose information regarding any investment-related business or occupation in which Robert D. Nelson is actively engaged.

Licensed Insurance Agent

Robert D. Nelson is a licensed insurance agent and in such capacity may recommend, on a fully-disclosed commission basis, the purchase of certain insurance products. A conflict of interest exists to the extent that NorthRock recommends the purchase of insurance products where Robert D. Nelson receives insurance commissions or other additional compensation. NorthRock seeks to ensure that all recommendations are made in the best interests of clients regardless of any additional compensation earned.

Item 5. Additional Compensation

NorthRock is required to disclose information regarding any arrangement under which Robert D. Nelson receives an economic benefit from someone other than a client for providing investment advisory services. NorthRock has no information to disclose in relation to this Item.

Item 6. Supervision

While Robert D. Nelson is the Managing Member of the firm and generally responsible for his own supervision, James Lund periodically reviews his advisory activities on behalf of NorthRock. Robert D. Nelson seeks to ensure that investments are suitable for his individual clients and consistent with their individual needs, goals, objectives and risk tolerance, as well as any restrictions requested by NorthRock's clients.

Brochure Supplement

JANUARY 2017

Brent T. Putz

650 3rd Avenue South, Suite 1500
Minneapolis, MN 55402

(612) 367-8800

This Brochure Supplement provides information about Brent T. Putz that supplements the Disclosure Brochure of NorthRock Partners, LLC (hereinafter "NorthRock"), a copy of which you should have received. Please contact NorthRock's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Brent T. Putz is available on the SEC's website at www.adviserinfo.sec.gov.

NorthRock Partners, LLC, a Registered Investment Adviser

650 3rd Avenue South, Suite 1500, Minneapolis, MN 55402 | (612) 367-8800



Item 2. Educational Background and Business Experience

Born 1983

Post-Secondary Education

St. John's University | B.A., Business Management | 2006

Recent Business Background

NorthRock Partners, LLC | Investment Advisor Representative | January 2017 – Present

Northwestern Mutual Wealth Management Company | Representative | January 2016 – January 2017

NorthWestern Mutual Investment Services, LLC | Registered Representative | May 2006 – January 2017

Northwestern Mutual Life Insurance Company | Agent | April 2006 – January 2017

Item 3. Disciplinary Information

NorthRock is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Brent T. Putz. NorthRock has no information to disclose in relation to this Item.

Item 4. Other Business Activities

NorthRock is required to disclose information regarding any investment-related business or occupation in which Brent T. Putz is actively engaged. NorthRock has no information to disclose in relation to this Item.

Licensed Insurance Agent

Brent T. Putz is a licensed insurance agent and in such capacity may recommend, on a fully-disclosed commission basis, the purchase of certain insurance products. A conflict of interest exists to the extent that NorthRock recommends the purchase of insurance products where Brent T. Putz receives insurance commissions or other additional compensation. NorthRock seeks to ensure that all recommendations are made in the best interests of clients regardless of any additional compensation earned.



Item 5. Additional Compensation

NorthRock is required to disclose information regarding any arrangement under which Brent T. Putz receives an economic benefit from someone other than a client for providing investment advisory services. NorthRock has no information to disclose in relation to this Item.

Item 6. Supervision

James Lund, Chief Compliance Officer, is generally responsible for supervising Brent T. Putz's advisory activities on behalf of NorthRock. The telephone number to reach James Lund is (612) 367-8800.

NorthRock supervises its personnel and the investments made in client accounts. NorthRock monitors the investments recommended by Brent T. Putz to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. NorthRock periodically reviews the advisory activities of Brent T. Putz, which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Brent T. Putz.