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# Jim Lund, CFP<sup>®</sup>, MBA

Chief Compliance Officer and Founding Partner

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Jim Lund is Chief Compliance Officer and Founding Partner of NorthRock Partners. With more than 30 years of experience as a financial advisor, Jim delivers the Personal Office™ experience to corporate executives, business owners, families and nonprofit entities. Jim is a sought-after speaker and has made numerous appearances on local and national media, including CNBC, Wall Street Journal, Forbes, WCCO, KARE, FOX and the Star Tribune.

As CCO, Jim is responsible for managing the firm-wide execution of NorthRock Partners' compliance strategy, which ensures that the firm is in compliance with regulatory requirements. He's also responsible for ensuring that NorthRock employees comply with internal policies and procedures. With a corporate reputation for possessing the highest of ethical standards, Jim leads the development of the compliance team and the monitoring of the compliance program.

Jim graduated from Mankato State University, earning a Bachelor of Science in biology and a Master of Business Administration in marketing and management. He also earned his Certified Financial Planner degree from the College of Financial Planning in Denver, Colorado.

Jim and his wife, Dawn, live in Plymouth, Minnesota, and have three adult children. In addition to spending Minnesota summers on the lake or at the family farm in Finlayson, Minnesota, Jim is active in his church and enjoys traveling and home improvement projects.

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## PROFESSIONAL DESIGNATIONS AND ASSOCIATIONS

Certified Financial Planner (CFP<sup>®</sup>)

## PROFESSIONAL AND COMMUNITY INVOLVEMENT

- ✓ Invited university guest lecturer
  - ✓ Member of Financial Planning Association
  - ✓ Member of the Minnesota State University, Mankato Foundation Board
  - ✓ Former Board Member and Chairman of the Development Committee of the American Red Cross for the St. Paul, Minnesota area
  - ✓ Former Board Member and Secretary of the Minnesota State University Board (now called MNSCU)
  - ✓ Member FBI Citizen's Academy
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