



# Sam Cari, J.D.

Director, Estate Planning and General Counsel

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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 non-profit entities. Jim continues to earn recognition as one of America's Top Financial Planners by Consumers Research Council of America and has made numerous appearances on local and national media, including The Wall Street Journal, Forbes and the Star Tribune.

As CCO, Jim is responsible for managing the firm-wide implementation of NorthRock Partners' compliance strategy, which ensures that the firm meets all regulatory requirements. He's also responsible for ensuring that NorthRock Partners complies with internal policies and procedures. With a focus on corporate reputation and assessing the highest of ethical standards, Jim leads the development of the compliance team and the monitoring of the compliance program.

Jim graduated from the University of Minnesota with a Bachelor's degree in biology and a Master's in Business Administration in 1988. He also earned his Certified Financial Planner degree from the Board of Financial Planning in Colorado in 2005.

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

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## PROFESSIONAL DESIGNATIONS AND ASSOCIATIONS

Chartered Financial Consultant (ChCF®)

## PROFESSIONAL AND COMMUNITY INVOLVEMENT

- ✓ Invited university guest lecturer
- ✓ Member of Financial Planning Association
- ✓ Member of Investment Management Consultants Association
- ✓ Former Board Member and Chairman of the Development Committee of the American Red Cross for the St. Paul, Minnesota area