



James Carlson
Senior Vice President
Wealth Management

CONTACT

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BACKGROUND

Jim joined Northland Securities, Inc. in November 2007. He came to Northland with over 27 years of experience, including directing and managing offices for Citigroup/Smith Barney and UBS (formerly Paine Webber). He managed the Northland Securities Milwaukee office for over 13 years, from November 2007 until February 2021.

Jim was a past President of the Milwaukee Bond Club, a former Wisconsin delegate to the Presidential Prayer Breakfast in Washington D.C., a current sponsoring member to the Wisconsin Governor's Prayer Breakfast, and was appointed to former Lt. Governor Barbara Lawton's Task Forces on Wisconsin Women=Prosperity and Wisconsin Women in Depression. Jim is currently a non-public FINRA Arbitrator and member of the FINRA Board of Arbitrators.

Jim was also an accomplished touring musky fisherman on the Professional Musky Tournament Trail (PMTT) and the Wisconsin Musky Tour (WMT) and was ranked as one of the top three musky fishermen in the country. He and his wife, Sue, reside in Jackson, WI, and have four children: James, Jr., Kristin, Craig, and Kevin.

EDUCATION

Jim received his BA Degree from Lakeland College, Sheboygan, WI, and his MBA Degree from University of Miami, Coral Gables, FL.

PROFESSIONAL LICENSES/REGISTRATIONS

He holds and maintains the FINRA Series 3 National Commodities Futures, Series 4 Registered Options Principal, Series 5 Interest Rate Options, Series 7 General Securities Representative, Series 8 General Securities Sales Supervisor, Series 24 General Securities Principal, Series 63 Uniform Securities State Law Exam, and Series 65 Uniform Investment Advisor registrations.

NORTHLAND WEALTH MANAGEMENT

Northland Wealth Management is a division of Northland Securities, Inc., Member FINRA and SIPC, Registered with SEC and MSRB, a diversified financial services firm, which includes investment banking, public finance, and full-service broker-dealer divisions, offering investment and finance services for government entities, financial institutions, non-profit organizations, and individual investors.

Wealth Management Investment Representatives work closely with clients to determine and deliver the appropriate solutions to meet their financial needs according to their individual investment profile and situation. Northland is also a SEC Registered Investment Adviser (RIA) - Northland Asset Management - and Investment Adviser Representatives (IARs or Financial Advisors) can offer numerous advisory products and services, including a wide selection of third-party money managers, and fee for financial planning services.