

Northland Securities Goes Live with the ComplianceEdge Trade Surveillance and Account Monitoring Solution

Innovative Compliance Solution Saves Firms Time and Money

PHILADELPHIA, PA—January 11, 2022— Northland Securities, Inc., a full-service financial services firm based in Minneapolis, has gone live with InvestEdge’s ComplianceEdge Trade Surveillance and Account Monitoring product. InvestEdge Inc., is a leading provider of innovative advisor and compliance solutions to wealth management firms

Northland Securities needed a compliance and sales practice management solution that addressed both brokerage and advisory accounts. Large numbers of false positives and the inability to independently configure a rules-based compliance engine based on business segments were issues these firms were looking to resolve with ComplianceEdge. Northland Securities uses Pershing LLC for clearing and custody, therefore finding a compliance solution with deep integration was the goal to enable and support efficient workflow. The interface between Pershing and ComplianceEdge provides the most detailed and accurate clearing and custody data to the rules engine and trade blotter, eliminating false positives and providing representative and trade information directly in each alert. “Implementing new technology is always a challenge, but InvestEdge’s knowledgeable onboarding team made the transition to a new solution a seamless process within a tight implementation deadline,” says Traci Spanier, CSCP, Senior Vice President & Co-Chief Compliance Officer of Northland Securities.

“We value the collaboration with each firm through the sales and onboarding process. Learning about a firm’s business model and investment process is key to building a strategic long-term partnership. Each engagement provides us the opportunity to make our solutions and service better,” says Jeffrey Cowley, President of InvestEdge.

#####

About InvestEdge, Inc.

InvestEdge’s ComplianceEdge solution is the industry’s first investment management compliance solution to support surveillance, monitoring, and reviews for brokerage, advisory, and fiduciary accounts. Built on a portfolio management platform ComplianceEdge minimizes investment firms’ regulatory risk when working with the OCC, FDIC, FINRA, SEC, and State Insurance Regulators. Learn more about [ComplianceEdge](#).

About Northland Securities

Northland Securities, Inc., Member FINRA and SIPC, Registered with SEC and MSRB, is a full-service brokerage firm located in Minneapolis, MN. It was founded in 2002 by a core of municipal finance and underwriting professionals. The veterans of that early organization came from national and regional investment banking and financial advisory firms and shared a common focus – Midwest bond issuers. The firm has grown to over 200 employees, across complementary business units, several of whom are shareholders of the holding company, Northland Capital Holdings, Inc. Learn more at www.NorthlandSecurities.com.