IAPD Report

DANIEL R LAGERBORG

CRD# 4606948

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

DANIEL R LAGERBORG (CRD# 4606948)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/27/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	01/08/2003
IA	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	CRD# 2881	07/18/2007

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **47** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

FIRM	CRD#	LOCATION	REGISTRATION DATES

No information reported.

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **No**

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **47** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC**

Main Address: 720 EAST WISCONSIN AVENUE
MILWAUKEE, WI 53202-4797

Firm ID#: 2881

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	01/08/2003
B	FINRA	General Securities Representative	Approved	04/12/2006
B	FINRA	Investment Co./Variable Contracts Prin	Approved	07/14/2008
B	Alabama	Agent	Approved	04/08/2022
B	Alaska	Agent	Approved	10/25/2023
B	Arizona	Agent	Approved	03/21/2022
B	Arkansas	Agent	Approved	06/22/2022
B	California	Agent	Approved	02/02/2006
B	Colorado	Agent	Approved	01/08/2003
IA	Colorado	Investment Adviser Representative	Approved	07/18/2007
B	Connecticut	Agent	Approved	10/19/2022
B	Delaware	Agent	Approved	02/06/2020
B	District of Columbia	Agent	Approved	09/15/2015

Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	05/07/2013
B	Georgia	Agent	Approved	12/08/2015
B	Hawaii	Agent	Approved	09/01/2021
B	Idaho	Agent	Approved	06/14/2011
B	Illinois	Agent	Approved	11/07/2005
B	Indiana	Agent	Approved	02/04/2020
B	Iowa	Agent	Approved	05/12/2022
B	Kansas	Agent	Approved	04/24/2012
B	Kentucky	Agent	Approved	08/22/2018
B	Louisiana	Agent	Approved	03/22/2021
B	Maine	Agent	Approved	11/05/2009
B	Maryland	Agent	Approved	09/12/2008
B	Massachusetts	Agent	Approved	09/10/2008
B	Michigan	Agent	Approved	10/26/2021
B	Minnesota	Agent	Approved	11/07/2024
B	Missouri	Agent	Approved	01/14/2016
B	Montana	Agent	Approved	07/12/2022
B	Nebraska	Agent	Approved	06/25/2020
B	Nevada	Agent	Approved	12/15/2020

Qualifications

	Regulator	Registration	Status	Date
B	New Hampshire	Agent	Approved	10/19/2022
B	New Jersey	Agent	Approved	03/18/2021
B	New Mexico	Agent	Approved	08/21/2019
B	New York	Agent	Approved	06/15/2004
B	North Carolina	Agent	Approved	02/05/2016
B	Ohio	Agent	Approved	11/06/2019
B	Oklahoma	Agent	Approved	06/17/2021
B	Oregon	Agent	Approved	05/19/2006
B	Pennsylvania	Agent	Approved	11/20/2020
B	South Carolina	Agent	Approved	11/18/2022
B	South Dakota	Agent	Approved	08/02/2021
B	Tennessee	Agent	Approved	11/21/2022
B	Texas	Agent	Approved	01/19/2010
B	Utah	Agent	Approved	07/18/2011
B	Vermont	Agent	Approved	10/19/2022
B	Virginia	Agent	Approved	06/15/2004
B	Washington	Agent	Approved	01/10/2017
B	Wisconsin	Agent	Approved	04/04/2014
B	Wyoming	Agent	Approved	07/08/2016

Qualifications

Regulator	Registration	Status	Date

Branch Office Locations

NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC
707 17TH ST STE 3700
DENVER, CO 80202

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	07/10/2008

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	04/11/2006
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/07/2003

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/17/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/09/2004

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

No information reported.

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2010 - Present	NORTHWESTERN MUTUAL WEALTH MANAGEMENT COMPANY	REPRESENTATIVE	Y	MILWAUKEE, WI, United States
10/2009 - Present	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States
11/2002 - Present	NORTHWESTERN MUTUAL LIFE INSURANCE COMPANY	AGENT	Y	MILWAUKEE, WI, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. MAY EARN COMMISSIONS FROM INSURANCE COMPANIES NOT AFFILIATED WITH NORTHWESTERN MUTUAL FOR SALES OF NON-VARIABLE LIFE, HEALTH, ANNUITY AND /OR DISABILITY INCOME INSURANCE PRODUCTS.

2. KARIOS GROUP LLC, INVESTMENT RELATED, 3/15, 707 17TH STREET, SUITE 3700, DENVER, CO, SERVICE ORGANIZATION, 100% OWNER, CONSULTING/COORDINATION, 5 HOURS P/M

3. CHRONOS LLC, LEGAL ENTITY WMC COMPENSATION AND EA EMPLOYMENT, START DATE: 4/1/2021, HOURS PER MONTH: 80+, HOURS DURING SECURITIES TRADING HOURS: 80+, ESTABLISHED FOR BUSINESS PURPOSES; INVESTMENT-RELATED.

4. 100% OWNER, FLAT H, 5 WESTBOURNCE CRESCENT, FLAT H, 5 WESTBOURNCE CRESCENT, LONDON, , COLORADO, 12345, UNITED KINGDOM, INVESTMENT PROPERTY, START DATE: 8/1/2021, HOURS PER MONTH: 0-5, HOURS DURING SECURITIES TRADING HOURS: 0-5, NONE, PASSIVE REAL ESTATE RENTAL. FORM WILL NOT LET ME PUT IN A UK ZIP CODE OR NOT SELECT A STATE.

End of Report

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