



AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.
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American Portfolios Named Finalist for Three 2021 WealthManagement.com Industry Awards

The independent broker/dealer formally announces it has qualified as a finalist in the upcoming Wealthies Awards for its leadership, asset management and socially responsible effort.

HOLBROOK, N.Y. (June 21, 2021)—American Portfolios Financial Services, Inc. (AP)—a privately-held, independent broker/dealer that services financial advisors nationwide—has been chosen as a finalist in three separate categories of the WealthManagement.com 2021 Industry Awards (the Wealthies). Included among a record-breaking number of award entries, AP was chosen as finalist within the Broker-Dealers with Fewer than 1,000 Advisors – Chief Executive Officer of the Year; Broker-Dealers – Corporate Social Responsibility (CSR); and Asset Managers – New Product Development. It is the third consecutive year that AP has been recognized by WealthManagement.com for this awards program.

“AP is honored to earn its place once again as a finalist for these distinguished industry awards. We thank WealthManagement.com for providing a forum in which to showcase excellence in financial services working at its best,” states Senior Vice President of Marketing and Corporate Communications Melissa Grappone.

AP was chosen as finalist in the category of Broker-Dealers with Fewer than 1,000 Advisors – Chief Executive Officer of the Year recognizing the achievements of CEO Lon T. Dolber. Dolber founded AP in 2001, which has grown into a thriving firm that serves approximately 850 registered representatives in nearly 400 branch locations nationwide. Of the honor, Dolber humbly states, “In all honesty, this is a group accomplishment; I’m merely the facilitator. But it is especially meaningful as we celebrate the 20-year anniversary of the founding of American Portfolios, recognizing its people—more specifically, the AP team, our affiliated investment professionals and their associates—who have made this possible.” Dolber has nearly 40 years of financial services industry knowledge and experience, enabling him to provide the leadership and strategic thinking AP needs to support its advisor community. Committed to fostering a culture of true independence and value for AP’s affiliated colleagues, Dolber believes leaders must possess servant’s hearts, and lives by the philosophy that making money and doing good aren’t mutually exclusive.

Additionally, AP was recognized as a finalist in the category of Broker-Dealers – CSR for the AP for LIFE Creative Residency, a program that is designed to help usher in an urban renaissance and promote community renewal for Ferguson, Mo., and its neighborhoods. A two-year funding commitment made possible by the American Portfolios Foundation, Inc. was established in the first quarter of 2020 with LIFE Arts, Inc., the non-profit arm of LIFE Creative, which is dedicated to providing youth a platform wherein they can fully express and develop their creative voices. The residency offers comprehensive community engagement to facilitate training and development of young creatives and influencers. Through AP’s CSR platform, the firm and LIFE Arts engage five “Creative Residents” to develop projects designed to bring hope, healing and economic recovery to the region. Each resident receives a yearly stipend and a small investment account managed by a dedicated AP-affiliated financial advisor who serves as their financial literacy mentor.



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Lastly, AP was selected as finalist in the category of Asset Managers – New Product Development for ThemeCatcher, a new investment strategy officially launched in 2020 that combines thematic ETFs with downside risk management tools and defensive investments to reduce risk. The investment strategy includes a thematic universe of 65 ETFs while creating diversification rules, resulting in 85% active share to the S&P. Each ETF has its own signal, reducing reliance on an “all or nothing” approach and removing the need for human decision making. In 2020, an extremely volatile year, ThemeCatcher managed to outperform the S&P 500 in every metric with significantly less volatility, while providing diversification (85% active share); its total return was 30.2% versus S&P’s 18.4%. “We are elated to have been named a Wealthies finalist,” states Chief Investment Officer Cliff Walsh, CFA. “We believe ThemeCatcher is truly innovative, combining thematic and tactical investing while providing our advisors and their clients a unique investment opportunity. It is a direct reflection of AP’s culture and entrepreneurial spirit, which is supported by our founder, CEO Lon T. Dolber, and our trusted partners, Toroso Investments and Newfound Research.”

AP was among the 346 companies who entered the Wealthies recognition program, which was reviewed by a panel of judges who selected 221 organizations as finalists for this year’s Wealthies. AP looks forward to the official announcement of winners at the 2021 Wealthies Awards Event, which will be held in-person on Sept. 9, 2021, at the Ziegfeld Ballroom in New York City, N.Y., as well as virtually to a broader audience online.

About American Portfolios

Headquartered in Holbrook, N.Y., American Portfolios Financial Services, Inc. (APFS) is a full-service, independent broker/dealer and member firm of FINRA and SIPC, offering a complete range of financial services, including personal financial and retirement planning, securities trading, mutual funds, access to investment research, long-term care planning, insurance products and tax-free investing. Fee-based asset management is offered through its sister subsidiary, American Portfolios Advisors, Inc., (APA), an SEC Registered Investment Advisor. Both entities, along with technology entity American Portfolios Advisory Solutions, LLC, collectively reside under the legal entity American Portfolios Holdings, Inc. (APH). Full-service securities brokerage is available through a clearing firm relationship with Pershing, LLC, a BNY Mellon firm, the securities of which are held on a fully disclosed basis. The company currently supports 847 independent investment professionals—inclusive of registered assistants—and more than 375 non-registered associates, located in 393 branch locations throughout the nation. It was named Broker-Dealer of the Year* (Division III) by Investment Advisor magazine for six consecutive years (2015-2020); a 2019 and 2020 WealthManagement.com Industry Award Finalist in multiple categories, and the 2020 winner in the service category of B/Ds under 1,000 representatives for its Virtual Administrative Services (VAS) program**; a 2021 Corporate Citizen of the Year by Long Island Business News; one of the Best Companies to Work for in the state of New York for six consecutive years (2016-2021) by the New York State Society for Human Resources Management (NYS-SHRM) and the Best Companies Group (BCG); and one of the Top Long Island Workplaces for 2018-2020 by Newsday.

* Based on a poll of registered representatives conducted by Investment Advisor magazine. Broker/dealers rated highest by their representatives are awarded “Broker/Dealer (B/D) of the Year.”

** Wealthmanagement.com Industry Award finalists are selected by a panel of independent judges made up of subject matter experts in the industry. Award is based on support provided to AP’s affiliated people and does not reflect public customers nor their account performance.

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