



AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.  
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## Five-Time Honoree American Portfolios Recognized at the 2021 ThinkAdvisor LUMINARIES Awards Dinner

The New York-based, privately-held, independent broker/dealer received five awards in Investment Advisor magazine's new recognition program that showcases the dynamic and inclusive ways the financial services industry is driving the wealth, investment and retirement industry forward.

HOLBROOK, N.Y. (Nov. 22, 2021)—American Portfolios Financial Services, Inc. (AP)—a privately-held, independent broker/dealer that provides services and support for financial advisors across the United States—was honored with five awards at the inaugural ThinkAdvisor LUMINARIES 2021 Awards Dinner, which was held Nov. 9 at the Five-Star Mandarin Oriental in New York City. Investment Advisor magazine's ThinkAdvisor LUMINARIES Class of 2021 formally recognized AP for five awards in four categories: Thought Leadership and Education; Executive Leadership; Diversity and Inclusion; and Dealmaking/Growth.

"It is a great honor to receive such recognition from our most-respected peers within the financial services industry—made all the more memorable because 2021 marks American Portfolios' 20<sup>th</sup> year in operation as a privately-owned, independent broker/dealer," states CEO Lon T. Dolber. "We are extremely proud to be included in the LUMINARIES Class of 2021 for the firm's achievements in promoting sustainability, fostering corporate social responsibility (CSR) and providing leadership. This recognition stands as a testament to the path we chose for ourselves when we opened our doors in 2001, which lends to our Just Cause: to seek financial pathways for people in pursuit of their American Dreams."

The LUMINARIES honors members of the financial services industry for the dynamic and inclusive ways they drive the wealth, investment and retirement industry forward. Previously a six-time Investment Advisor Broker-Dealer of the Year award recipient, AP received five accolades from the LUMINARIES panels of judges in four distinct categories, the most awarded to any program entrant.

At the first-ever LUMINARIES awards dinner, CEO, CIO and President Lon T. Dolber was invited on stage to accept AP's awards. During his speech, Dolber gave an overview of one of the firm's Corporate Social Responsibility (CSR) initiatives. Launched in 2020, the AP for LIFE Creative Residency is a two-year, \$200,000 funding commitment initiative for the nonprofit organization LIFE Arts, Inc. The AP for LIFE program was acknowledged by LUMINARIES judges in the category of Diversity and Inclusion: Programs, Products and Services (Broker-Dealers), which recognizes individuals and firms that meaningfully embrace and strive to incorporate individuals of different ethnicities, genders, ages, religions, disabilities and sexual orientations through creative and effective programs within their organizations and within their community. The AP for LIFE Creative Residency facilitates training and development of young creatives and influencers by funding five "creative residents" based out of Ferguson, Missouri, to develop projects designed to bring hope, healing and economic recovery to the region and beyond. Each creative resident receives a yearly stipend and a small investment



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account that is managed by a dedicated AP-affiliated financial advisor who serves as their financial literacy mentor and financial planner, providing them with the foundation they need to manage their wealth for the future and see it grow.

AP's Going Paperless initiative earned double honors in two separate categories: 1) Thought Leadership and Education: Products, Programs and Services (Broker-Dealers), which credits those working to better understand, shape and improve industry practices, as well as those who strive to educate advisors and investors to improve client outcomes in creative and effective ways; and 2) Dealmaking/Growth: Products, Programs and Services (Other), which recognizes individuals and companies who have been part of moves to acquire, merge, invest in, form or otherwise support powerful partnerships and transactions between different industry players. Going Paperless is a multi-year business initiative that involves improving e-delivery of documents to positively impact the environment, as well as help investors avoid paying statement and confirm fee charges for paper mailings. The existing initiative was refreshed with fervor when the COVID-19 lockdown necessitated a streamlined document review and client attestation process, which is integral for opting into digital mailings versus paper mailings. AP's nuanced technological improvements, client-education pieces and advisor-awareness tactics—along with major enhancements to the AP Advisory Platform that provides investment advisor representatives with a single interface to access and manage third-party managed and rep-directed accounts on certain programs that default-set new accounts for going paperless—led to increased adoption of the sustainable business practice. Since its rollout, AP has seen a reduction in investor paper mailings, with numbers continuing to increase on a consistent basis.

AP was also recognized twice for Executive Leadership, which honors those making the decisions that matter most in a fast-changing environment and that supports bold strategies producing both quantitative and qualitative results for their teams, firms and community. LUMINARIES judges recognized Dolber—who serves as CEO of the thriving, independent broker/dealer comprised of 125-plus staff members serving approximately 850 independent investment professionals, inclusive of registered assistants, and more than 375 non-registered associates located in over 400 branch offices throughout the country—under Executive Leadership: Individuals (Broker-Dealers). The firm was also recognized under Executive Leadership: Products, Programs and Services for its swift and comprehensive response to the coronavirus (COVID-19) pandemic, which ensured the safety of its home office employees with zero service interruption to its customers and end-clients.

LUMINARIES Class of 2021 coverage is featured in print and online via features, interviews, podcasts and other coverage in Investment Advisor magazine and online at ThinkAdvisor.com. Dolber was interviewed by ThinkAdvisor's Jane Wollman Rusoff for a recent podcast that covered topics including commissions and subscription-based models. Dolber will also be featured in another podcast that will be shared in the aforementioned space and via the trade magazine's and AP's social media platforms.



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## **About American Portfolios**

Headquartered in Holbrook, New York, 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 supports independent investment professionals—inclusive of registered assistants and non-registered associates—throughout the nation.

American Portfolios has numerous recognitions by a number of industry publications and organizations. Such acknowledgment includes: multiple Broker-Dealer of the Year\* (Division III) wins by Investment Advisor magazine; multiple ThinkAdvisor LUMINARIES awards; multiple finalist and award wins by WealthManagement.com Industry Award in multiple categories\*\*; Corporate Citizen of the Year by Long Island Business News; multiple top placements as one of the Best Companies to Work for in the state of New York 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.

*\* 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.*

## **About the ThinkAdvisor LUMINARIES**

Investment Advisor magazine's ThinkAdvisor LUMINARIES recognition program honors members of the financial services industry for the dynamic and inclusive ways they are driving the wealth, investment and retirement industry forward. An evolution of Investment Advisor's Broker-Dealers of the Year awards, the LUMINARIES program shines a spotlight on how the top-performing industry participants are producing meaningful results in the areas that matter most to advisors, rather than emphasizing asset levels, rankings or the latest industry buzz. ThinkAdvisor LUMINARIES Class of 2021 includes winners in four categories: Diversity and Inclusion; Thought Leadership; Executive Leadership; and Dealmaking/Growth. Members of the Class of 2021 LUMINARIES were selected by a distinguished and diverse panel of judges from across the advice industry, as well by the Investment Advisor editorial team.

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