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American Portfolios Named Finalist for Two 2022 WealthManagement.com Industry Awards

The independent broker/dealer formally announces it has qualified as a finalist in the upcoming Wealthies Awards for its technology and thought leadership.

HOLBROOK, N.Y. (July 27, 2022)—American Portfolios Financial Services, Inc. (AP)—a privately-held, independent broker/dealer that services financial advisors nationwide—has been chosen as a finalist in two separate categories of the WealthManagement.com 2022 Industry Awards (the Wealthies). Included among a record-breaking number of award entries, AP was chosen as a finalist within the Broker-Dealers with Fewer than 1,000 Advisors – Technology and Thought Leadership. It is the fourth consecutive year AP has been recognized by WealthMangagement.com for this awards program.

“AP is honored to earn its place for its fourth year as a finalist in these distinguished industry awards. It is reaffirming to be recognized for excellence in financial services spanning across a host of areas ranging from enhanced customer service, technology, Corporate Social Responsibility and diversity, to chief executive leadership, asset management and—this year, adding to the list of achievements—thought leadership. We thank WealthManagement.com for providing a forum in which to showcase good stewardship that benefits AP’s investment professionals and the industry at large,” states Senior Vice President of Marketing and Corporate Communications Melissa Grappone.

AP was chosen as a finalist in the category of Broker-Dealers with Fewer than 1,000 Advisors – Thought Leadership for its Market Lens video series. In the first quarter of 2021, AP—supported by its in-house media production facility, Studio 454—premiered Market Lens with Chief Investment Officer Cliff Walsh, CFA®, a semi-monthly video series featuring commentary from him and hosted by the firm’s manager of due diligence. This video series examines and distills key areas of the financial markets for a timely, deep-dive on relevant subject matters important for financial advisors to keep top-of-mind. The series is made available to the firm’s affiliated advisor community via AP’s internal communications channels and is available to the public on the firm’s YouTube channel and social media platforms. Each video is approved for advisor and investor consumption. “When our CEO [Lon T. Dolber] asked me to host a financial markets-related show, I felt a bit uneasy as I had never done anything like it before. That feeling quickly dissipated, though, knowing the team I'd have working around me. I couldn't be more pleased for Market Lens to be recognized with a Wealthies Award nomination. It is validation for the hard work that our video production and marketing groups put into each episode,” states Walsh.

Additionally, AP was recognized as a finalist in the category of Broker-Dealers with Fewer than 1,000 advisors for Technology. AP submitted two initiatives for Technology: American Portfolios Client Access for client self-registration and the AP Advisory Platform for enhancements. During the fourth quarter of 2021, AP rolled out Client Access for easier online account access, simplifying the process of getting clients registered with the firm's client portal, as well as assisting advisors in signing clients up for access to their accounts held at the clearing firm. Through Client Access, investing clients have a self-service capability whereby they can register for online account access, removing the administrative

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burden on AP's investment professionals and freeing them to focus more on value-added time with their clients. Client Access eliminates the advisor's need to initiate the process through the firm's main operating system, STARS. Clients can now manage profile changes on their own, such as updating email and phone numbers, enrolling in two-factor authentication, recovering account credentials and more.

Furthermore, AP underwent a significant upgrade to its advisory platform in 2020 resulting from a new partnership between its Registered Investment Advisor (RIA), American Portfolios Advisors, Inc. (APA), and SMArtX Advisory Solutions to provide AP-affiliated Investment Advisor Representatives (IAR) with a variety of tools/resources to run their advisory businesses more efficiently. After months of rebuilding and beta testing, the AP Advisory Platform was officially launched, improving operational productivity and providing self-service capabilities that reduce the time spent managing client accounts. By the summer of 2021, the billing process for all investment advisory accounts began calculations through the platform and, in the third quarter of 2021, the firm's Nine Points Investment Management (NPIM) model offerings were integrated into the platform. Overall, the endeavor to rehaul the engine behind the AP Advisory Platform afforded IARs many operational efficiencies and an enhanced user experience.

AP was among 350 companies who entered the Wealthies recognition program, which was reviewed by a panel of judges who selected the finalists for this year's Wealthies. AP looks forward to the official announcement of winners at the 2022 Wealthies Awards Event, which will be held in-person on Sept. 8, 2022, at the Ziegfeld Ballroom in New York City, New York, as well as virtually to a broader audience online.

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 currently supports 850 independent investment professionals—inclusive of registered assistants—and more than 375 non-registered associates, located in 393 branch locations throughout the nation.

American Portfolios has numerous recognitions by a number of industry publications and organizations. Such acknowledgment includes: Broker-Dealer of the Year* (Division III) by Investment Advisor magazine for six consecutive years (2015-2020); multiple 2021 ThinkAdvisor LUMINARIES Awards**; a WealthManagement.com Industry Award Finalist*** in multiple categories (2019-2022), and 2020 winner in the service category of B/Ds under 1,000 representatives for its Virtual Administrative Services (VAS) program and 2021 winner in the leadership category of B/Ds under 1,000 representatives for Chief Executive Officer of the Year; a 2021 Corporate Citizen of the Year by Long Island

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Business News; one of the Best Companies to Work for in the state of New York for seven consecutive years (2016-2022) 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."*
*** ThinkAdvisor LUMINARIES are selected by a distinguished and diverse panel of judges from across the advice industry, as well by the Investment Advisor editorial team.*
**** 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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