

## Item 1 Cover Page

A.

**Frank J. Abella, Jr.**

Investment Partners Asset Management, Inc.

Brochure Supplement

Dated: July 9, 2020

Contacts: Gregg T. Abella, Chief Compliance Officer  
Thomas Shepherd, Assistant to Chief Compliance Officer  
10 Station Place  
Metuchen, New Jersey 08840

B.

**This Brochure Supplement provides information about Frank J. Abella, Jr. that supplements the Investment Partners Asset Management, Inc. Brochure; you should have received a copy of that Brochure. Please contact Gregg T. Abella, Chief Compliance Officer if you did *not* receive Investment Partners Asset Management’s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Frank J. Abella, Jr. is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Frank J. Abella, Jr. was born in 1939. Since 1995 Mr. Abella has been the President & CEO of Investment Partners Asset Management, Inc (“IPAM”), and additionally is the President and CEO of Investment Partners Group, (IPAM’s parent company). He currently directs all advisory and consulting activities at Investment Partners Group. After graduating from Stevens Institute of Technology in 1961, he began his professional career as a development engineer with the Linde Division of Union Carbide. In 1964 he received a Masters Degree in science from Stevens and left Union Carbide to pursue a graduate degree at the Amos Tuck School of Business at Dartmouth College. Upon graduating in 1966, he returned to Linde in its Multinational Strategic Planning Division. In 1969 he entered the investment community as a portfolio manager. He is a past member of the Board of Emerging Company Marketplace of the American Stock Exchange. Frank

is currently a board member of Fairview Cemetery of Westfield, New Jersey (a private corporation) (“Fairview”). Mr. Abella holds FINRA Series 7, 24, -63, and 66 licenses.

### Item 3 Disciplinary Information

None.

### Item 4 Other Business Activities

A. **Registered Representative of Winston & Company LLC.** Mr. Abella is a registered representative of Winston & Company LLC (“*Winston*”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Abella in his individual capacity as a registered representative of *Winston*, to implement investment recommendations on a commission basis.

1. **Conflict of Interest.** In the event an advisory client maintains an account at *Winston*, (rather than *Schwab* or another broker dealer), the recommendation to purchase a commission product from *Winston* presents a conflict of interest to the degree that certain Registrant’s representatives also maintain registered representative status at *Winston*. However, it should be noted that the Registrant’s representatives are not compensated from the commissions or fees *Winston* receives from the Registrant’s advisory accounts. No client is under any obligation to purchase any commission products from Registrant’s representatives. Clients are reminded that they may purchase investment products recommended by Mr. Abella through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Gregg T. Abella, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

2. **Commissions.** In the event the client chooses to purchase investment products through *Winston*, brokerage commissions will be charged by *Winston* to effect securities transactions, a portion of which commissions shall be paid by *Winston* to Mr. Abella, but only on non-advisory brokerage accounts. The brokerage commissions charged by *Winston* may be higher or lower than those charged by other broker-dealers. In addition, *Winston* relative to commission mutual fund purchases, may also receive additional ongoing 12b-1 trailing commission compensation directly from the mutual fund company during the period that the client maintains the mutual fund investment. The securities commission business conducted by Mr. Abella is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.

B. Mr. Abella is on the Board of Directors and serves on the Finance Committee of Fairview. Mr. Abella spends less than 5% of his time at Fairview. Mr. Abella is compensated for his role as a Director. He also spends 3% of his time as a co-

founder and Board member of Community Informatics, Inc. and may be compensated for this role, although to date he has not been.

#### **Item 5 Additional Compensation**

None.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Gregg T. Abella, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Abella at (732) 205-0391.

## Item 1 Cover Page

A.

### **Frank J. Abella, III (“Jay”)**

Investment Partners Asset Management, Inc.

Brochure Supplement

Dated: July 9, 2020

Contacts: Gregg T. Abella, Chief Compliance Officer  
Thomas Shepherd, Assistant to Chief Compliance Officer  
10 Station Place  
Metuchen, New Jersey 08840

B.

**This Brochure Supplement provides information about Frank J. Abella, III that supplements the Investment Partners Asset Management, Inc. Brochure; you should have received a copy of that Brochure. Please contact Gregg T. Abella, Chief Compliance Officer if you did *not* receive Investment Partners Asset Management’s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Frank J. Abella, III is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Frank J. Abella, III was born in 1967. Since 1998, Mr. Abella has been the President of Investment Partners Capital & Management (“IPCM”), the research, consulting, and support-services affiliate of IPAM, Inc; and since 1999 he has been a Vice President of IPAM. He is also a Vice President of Investment Partners Group. He graduated from Middlebury College in 1989 with a degree in biochemistry. In 1994, he received a Masters Degree in health care administration from the University of North Carolina at Chapel Hill. He has analyzed many mature and development stage companies, especially in the life sciences area, for his entire career - in product development for eight years and in the investment industry for more than 13 years. In addition to his other analytical and asset management responsibilities at Investment Partners Asset Management, Inc. Mr. Abella holds FINRA series 4, 7, 24, 63, and 66 licenses.

### Item 3 Disciplinary Information

None.

### Item 4 Other Business Activities

- A. **Registered Representative of Winston & Company LLC.** Mr. Abella is a registered representative of Winston & Company LLC (“*Winston*”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Abella in his individual capacity as a registered representative of *Winston*, to implement investment recommendations on a commission basis.
- 1 **Conflict of Interest.** In the event an advisory client maintains an account at *Winston*, (rather than *Schwab* or another broker dealer), the recommendation to purchase a commission product from *Winston* presents a conflict of interest to the degree that certain Registrant’s representatives also maintain registered representative status at *Winston*. However, it should be noted that the Registrant’s representatives are not compensated from the commissions or fees *Winston* receives from the Registrant’s advisory accounts. No client is under any obligation to purchase any commission products from Registrant’s representatives. Clients are reminded that they may purchase investment products recommended by Mr. Abella through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Gregg T. Abella, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
  - 2 **Commissions.** In the event the client chooses to purchase investment products through *Winston*, brokerage commissions will be charged by *Winston* to effect securities transactions, a portion of which commissions shall be paid by *Winston* to Mr. Abella, but only on non-advisory brokerage accounts. The brokerage commissions charged by *Winston* may be higher or lower than those charged by other broker-dealers. In addition, *Winston* relative to commission mutual fund purchases, may also receive additional ongoing 12b-1 trailing commission compensation directly from the mutual fund company during the period that the client maintains the mutual fund investment. The securities commission business conducted by Mr. Abella is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.
- B. Mr. Abella, from time to time, albeit currently infrequently, may publish articles or teach courses on finance for compensation. Additionally, he may have other projects that are not securities related for which he may in the future receive compensation. He is a founder of the Wisdom Preserve and is currently uncompensated for his role with the company although that may change in the future.

## **Item 5 Additional Compensation**

None.

## **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Gregg T. Abella, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Abella at (732) 205-0391.

## Item 1 Cover Page

A.

**Gregg T. Abella, AIF®**

Investment Partners Asset Management, Inc.

Brochure Supplement

Dated: July 9, 2020

Contacts: Gregg T. Abella, Chief Compliance Officer  
Thomas Shepherd, Assistant to Chief Compliance Officer  
10 Station Place  
Metuchen, New Jersey 08840

B.

**This Brochure Supplement provides information about Gregg T. Abella that supplements the Investment Partners Asset Management, Inc. Brochure; you should have received a copy of that Brochure. Please contact Gregg T. Abella, Chief Compliance Officer if you did *not* receive Investment Partners Asset Management's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Gregg T. Abella is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Gregg T. Abella, AIF®, was born in 1969. Since 1998, Mr. Abella has been Corporate Secretary of IPAM, and since 2004 he has been Chief Compliance Officer of IPAM. He is also the Treasurer of Investment Partners Group. After graduating from Bowdoin College in 1992 with degrees in both Economics and Spanish, he began his professional career with Chubb & Son in the International Division of the Surety Credit Department handling Latin America and Europe. Subsequently, he held a number of positions in Chubb and its subsidiaries, ultimately establishing and managing the Guarantee Department for Chubb do Brasil in São Paulo, assisting companies to participate in Latin America's multi-billion dollar privatization projects. Gregg is currently a board member of Community Informatics, a private corporation, and is currently uncompensated for his role, although that may change in the future. Mr. Abella has earned the Accredited Investment Fiduciary® (AIF®) professional designation from Fiduciary 360 and has received

formal training in investment fiduciary responsibility. Additionally, he holds Series 7, 24, 27, 55, 63, and 66 licenses.

Mr. Abella holds the designation Accredited Investment Fiduciary® (AIF®). The AIF Designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF Designation, the individual must meet prerequisite criteria based on a combination of education, relevant industry experience, and/or ongoing professional development, complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the Code of Ethics and Conduct Standards. In order to maintain the AIF Designation, the individual must annually attest to the Code of Ethics and Conduct Standards, and accrue and report a minimum of six hours of continuing education. The Designation is administered by the Center for Fiduciary Studies, the standards-setting body of fi360.

### **Item 3 Disciplinary Information**

None.

### **Item 4 Other Business Activities**

- A. **Registered Representative of Winston & Company LLC.** Mr. Abella is a registered representative of Winston & Company LLC (“*Winston*”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Abella in his individual capacity as a registered representative of *Winston*, to implement investment recommendations on a commission basis.
- 1 **Conflict of Interest.** In the event an advisory client maintains an account at *Winston*, (rather than *Schwab* or another broker dealer), the recommendation to purchase a commission product from *Winston* presents a conflict of interest to the degree that certain Registrant’s representatives also maintain registered representative status at *Winston*. However, it should be noted that the Registrant’s representatives are not compensated from the commissions or fees *Winston* receives from the Registrant’s advisory accounts. No client is under any obligation to purchase any commission products from Registrant’s representatives. Clients are reminded that they may purchase investment products recommended by Mr. Abella through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Gregg T. Abella, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest**
- 2 **Commissions.** In the event the client chooses to purchase investment products through *Winston*, brokerage commissions will be charged by *Winston* to effect securities transactions, a portion of which commissions shall be paid by *Winston* to Mr. Abella, but only on non-advisory brokerage accounts. The brokerage



commissions charged by *Winston* may be higher or lower than those charged by other broker-dealers. In addition, *Winston* relative to commission mutual fund purchases, may also receive additional ongoing 12b-1 trailing commission compensation directly from the mutual fund company during the period that the client maintains the mutual fund investment. The securities commission business conducted by Mr. Abella is separate and apart from Registrant's investment management services discussed in the Registrant's *Brochure*.

- B. Mr. Abella is a director and shareholder of Community Informatics, Inc. He currently spends approximately 2% of his time in his role and may be compensated for doing so, although to date he has not been.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Gregg T. Abella, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Abella at (732) 205-0391.

## Item 1 Cover Page

A.

### **Thomas W. Shepherd**

Investment Partners Asset Management, Inc.

Brochure Supplement

Dated: July 9, 2020

Contacts: Gregg T. Abella, Chief Compliance Officer  
Thomas Shepherd, Assistant to Chief Compliance Officer  
10 Station Place  
Metuchen, New Jersey 08840

B.

**This Brochure Supplement provides information about Thomas W. Shepherd that supplements the Investment Partners Asset Management, Inc. Brochure; you should have received a copy of that Brochure. Please contact Gregg T. Abella, Chief Compliance Officer if you did *not* receive Investment Partners Asset Management's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Thomas W. Shepherd is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Thomas W. Shepherd was born in 1964. Since 2008, Mr. Shepherd has been a Vice President with Investment Partners Asset Management. After graduating from Vanderbilt University in 1986 with a double major in Math and Spanish, he worked in Costa Rica for Conducen, S.A., a subsidiary of Phelps Dodge. From there, he entered the Middle Market Credit Training Program of Chemical Bank (now JPMorgan Chase Bank) in 1987. During his 20 years at JPMorgan Chase Bank he served as Credit Analyst, Relationship Manager and Underwriter to Middle Market sized clients located in Manhattan, helping to provide a wide range of banking services. He earned his MBA at the NYU Stern School of Business in 2001. Mr. Shepherd holds FINRA 7 and 66 licenses.

### Item 3 Disciplinary Information

None.

### Item 4 Other Business Activities

- A. **Registered Representative of Winston & Company LLC.** Mr. Shepherd is a registered representative of Winston & Company LLC (“*Winston*”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Shepherd in his individual capacity as a registered representative of *Winston*, to implement investment recommendations on a commission basis.
1. **Conflict of Interest.** In the event an advisory client maintains an account at *Winston*, (rather than *Schwab* or another broker dealer), the recommendation to purchase a commission product from *Winston* presents a conflict of interest to the degree that certain Registrant’s representatives also maintain registered representative status at *Winston*. However, it should be noted that the Registrant’s representatives are not compensated from the commissions or fees *Winston* receives from the Registrant’s advisory accounts. No client is under any obligation to purchase any commission products from Registrant’s representatives. Clients are reminded that they may purchase investment products recommended by Mr. Shepherd through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Gregg T. Abella, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
  2. **Commissions.** In the event the client chooses to purchase investment products through *Winston*, brokerage commissions will be charged by *Winston* to effect securities transactions, a portion of which commissions shall be paid by *Winston* to Mr. Shepherd, but only on non-advisory brokerage accounts. The brokerage commissions charged by *Winston* may be higher or lower than those charged by other broker-dealers. In addition, *Winston* relative to commission mutual fund purchases, may also receive additional ongoing 12b-1 trailing commission compensation directly from the mutual fund company during the period that the client maintains the mutual fund investment. The securities commission business conducted by Mr. Abella is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### Item 5 Additional Compensation

None.

### **Item 6 Supervision**

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## Item 1 Cover Page

A.

**Robert J. Voccola, CFA**

Investment Partners Asset Management, Inc.

Brochure Supplement

Dated: July 9, 2020

Contacts: Gregg T. Abella, Chief Compliance Officer  
Thomas Shepherd, Assistant to Chief Compliance Officer  
10 Station Place  
Metuchen, New Jersey 08840

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**Additional information about Thomas W. Shepherd is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Robert J. Voccola was born in 1938. In July 2020, he joined Investment Partners Asset Management as a Portfolio Manager and Senior Vice President. Mr. Voccola began his investment career as a securities analyst for Clark, Dodge, and Company (eventually taken over by Kidder, Peabody & Co.) Subsequent positions included Senior Vice President at Bernstein-McCaulay Inc. a division of Shearson Lehman / American Express, and Director of Research and Chief Investment Officer at Barrett Associate Inc., at that time a division of Legg, Mason Inc. Most recently prior to joining Investment Partners, Mr. Voccola was a Managing Director and Portfolio Manager and Tradition Asset Management LLC. He earned a Bachelor of Science in Economics from Lehigh University, and holds a Masters of Business Administration from Columbia Graduate

School of Business. Mr. Voccola holds FINRA 65 licenses, and he also has a Chartered Financial Analyst designation.

### **Item 3 Disciplinary Information**

None.

### **Item 4 Other Business Activities**

None.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

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