

# Wellington Shields - Held NMS Stocks and Options Order Routing Public Report

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1st Quarter, 2022

January 2022

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## S&P 500 Stocks

### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	82.55	2.55	14.91	0.00

### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
First Clearing	93.53	95.15	62.86	89.76	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDR3	3.13	3.79	0.00	0.00	0.00	14.2999	8.2183	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDG3	2.62	1.06	28.57	6.83	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.73	0.00	8.57	3.41	0.00	0.0000	0.0000	-1.8912	-10.5065	-3.7823	-10.5065	0.0000	0.0000

### Material Aspects:

First Clearing:

First Clearing : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to First Clearing.

CDR3:

Citadel Algo: Wellington Shields pays exchange, regulatory, market data and clearing fees to Citadel Algo and receives exchange rebates as credits where applicable.

CDG3:

Citadel : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to the Citadel Execution desk.

DTT3:

Virtu: Wellington Shields pays exchange, regulatory, market data and clearing fees to Virtu and receives exchange rebates as credits where applicable.

January 2022

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## Non-S&P 500 Stocks

## Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	78.86	4.55	16.60	0.00

## Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
First Clearing	88.69	92.76	41.86	82.17	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDG3	6.87	2.14	55.81	15.92	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDR3	4.02	5.09	0.00	0.00	0.00	13.6424	8.2183	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.42	0.00	2.33	1.91	0.00	0.0000	0.0000	-2.1013	-10.5065	-2.1013	-10.5065	0.0000	0.0000

## Material Aspects:

First Clearing:

First Clearing : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to First Clearing.

CDG3:

Citadel : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to the Citadel Execution desk.

CDR3:

Citadel Algo: Wellington Shields pays exchange, regulatory, market data and clearing fees to Citadel Algo and receives exchange rebates as credits where applicable.

DTT3:

Virtu: Wellington Shields pays exchange, regulatory, market data and clearing fees to Virtu and receives exchange rebates as credits where applicable.

## January 2022

## Options

### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	10.85	34.58	54.58	0.00

### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
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Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
First Clearing	100.00	100.00	100.00	100.00	0.00	-0.2940	-0.0600	-1.4322	-0.0600	-1.5342	-0.0600	0.0000	0.0000

#### Material Aspects:

First Clearing:  
First Clearing : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to First Clearing.

## February 2022

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### S&P 500 Stocks

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	76.39	4.21	19.40	0.00

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
First Clearing	82.11	89.76	25.00	64.34	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDG3	10.53	1.97	71.43	31.01	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDR3	6.32	8.27	0.00	0.00	0.00	14.0403	8.2107	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	1.05	0.00	3.57	4.65	0.00	0.0000	0.0000	-0.3866	-19.3319	-5.6063	-19.3319	0.0000	0.0000

#### Material Aspects:

First Clearing:  
First Clearing : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to First Clearing.

CDG3:  
Citadel : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to the Citadel Execution desk.

CDR3:  
Citadel Algo: Wellington Shields pays exchange, regulatory, market data and clearing fees to Citadel Algo and receives exchange rebates as credits where applicable.

DTT3:  
Virtu: Wellington Shields pays exchange, regulatory, market data and clearing fees to Virtu and receives exchange rebates as credits where applicable.

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## February 2022

## Non-S&P 500 Stocks

### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	68.45	5.81	25.75	0.00

### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
First Clearing	78.49	86.24	16.22	71.95	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDG3	13.34	3.67	72.97	25.61	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDR3	6.91	10.09	0.00	0.00	0.00	16.1751	8.2107	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	1.26	0.00	10.81	2.44	0.00	0.0000	0.0000	-3.8664	-19.3319	-3.4797	-19.3319	0.0000	0.0000

### Material Aspects:

First Clearing:  
First Clearing : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to First Clearing.

CDG3:  
Citadel : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to the Citadel Execution desk.

CDR3:  
Citadel Algo: Wellington Shields pays exchange, regulatory, market data and clearing fees to Citadel Algo and receives exchange rebates as credits where applicable.

DTT3:  
Virtu: Wellington Shields pays exchange, regulatory, market data and clearing fees to Virtu and receives exchange rebates as credits where applicable.

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## February 2022

### Options

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	15.38	40.49	44.13	0.00

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
First Clearing	100.00	100.00	100.00	100.00	0.00	-0.2178	-0.0600	-0.6534	-0.0600	-0.6408	-0.0600	0.0000	0.0000

**Material Aspects:**

First Clearing:  
 First Clearing : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to First Clearing.

## March 2022

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### S&P 500 Stocks

**Summary**

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	81.21	3.03	15.76	0.00

**Venues**

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
First Clearing	85.33	88.21	32.00	80.77	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDR3	8.24	10.15	0.00	0.00	0.00	13.2024	4.5683	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDG3	5.82	1.64	64.00	16.15	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.61	0.00	4.00	3.08	0.00	0.0000	0.0000	-1.0509	-21.0189	-3.3630	-21.0189	0.0000	0.0000

**Material Aspects:**

First Clearing:  
 First Clearing : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to First Clearing.

CDR3:  
 Citadel Algo: Wellington Shields pays exchange, regulatory, market data and clearing fees to Citadel Algo and receives exchange rebates as credits where applicable.

CDG3:  
 Citadel : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to the Citadel Execution desk.

DTT3:  
 Virtu: Wellington Shields pays exchange, regulatory, market data and clearing fees to Virtu and receives exchange rebates as credits where applicable.

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## March 2022

## Non-S&P 500 Stocks

### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	64.73	10.04	25.23	0.00

### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
First Clearing	73.71	83.27	26.32	68.06	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDG3	17.44	4.49	71.05	29.32	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDR3	7.93	12.24	0.00	0.00	0.00	15.1644	4.5683	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.92	0.00	2.63	2.62	0.00	0.0000	0.0000	-3.1528	-21.0189	-7.3566	-21.0189	0.0000	0.0000

### Material Aspects:

First Clearing:  
First Clearing : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to First Clearing.

CDG3:  
Citadel : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to the Citadel Execution desk.

CDR3:  
Citadel Algo: Wellington Shields pays exchange, regulatory, market data and clearing fees to Citadel Algo and receives exchange rebates as credits where applicable.

DTT3:  
Virtu: Wellington Shields pays exchange, regulatory, market data and clearing fees to Virtu and receives exchange rebates as credits where applicable.

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## March 2022

### Options

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	5.65	47.76	46.59	0.00

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
First Clearing	100.00	100.00	100.00	100.00	0.00	-0.1884	-0.0600	-1.3704	-0.0600	-0.9036	-0.0600	0.0000	0.0000

**Material Aspects:**

First Clearing:

First Clearing : Wellington Shields does not participate in any exchange rebates nor does it pay any fees to First Clearing.