

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

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4th Quarter, 2022

October 2022

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
99.84	45.94	16.52	37.54	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	5.40	90.10	54.84	69.52	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDR3	0.48	9.51	0.00	0.00	0.00	19.4990	9.3297	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.46	0.39	45.16	29.52	0.00	-0.8118	-13.5300	-12.0000	-13.5300	-19.0000	-13.5300	0.0000	0.0000
CDG3	0.01	0.00	0.00	0.95	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	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.

DTT3:

Virtu: Wellington Shields pays exchange, regulatory, market data and clearing fees to Virtu 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.

October 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

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
99.99	31.35	22.37	46.28	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	2.55	82.38	21.88	67.11	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDR3	0.39	15.98	0.00	0.00	0.00	44.0211	9.3297	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.37	0.41	68.75	32.89	0.00	-2.0295	-13.5300	-25.0000	-13.5300	-48.0000	-13.5300	0.0000	0.0000
CDG3	0.04	1.23	6.25	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
RSKY	0.00	0.00	3.12	0.00	0.00	0.0000	0.0000	0.0000	-6.0000	0.0000	0.0000	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.

DTT3:

Virtu: Wellington Shields pays exchange, regulatory, market data and clearing fees to Virtu 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.

RSKY:

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

October 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
97.30	6.33	38.15	49.32	6.19

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	45.78	100.00	100.00	100.00	0.00	-1.0000	-0.0600	-3.0000	-0.0600	-2.0000	-0.0600	0.0000	0.0000

Material Aspects:

First Clearing:
Wellington Shields pays execution fees to First Clearing.

November 2022

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
99.57	66.84	7.41	25.76	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	11.93	93.44	53.85	83.50	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDR3	0.68	6.38	0.00	0.00	0.00	12.0000	9.2290	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.56	0.00	46.15	16.50	0.00	0.0000	0.0000	-10.0000	-18.2370	-14.0000	-18.2370	0.0000	0.0000
CDG3	0.02	0.18	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	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.

DTT3:
Virtu: Wellington Shields pays exchange, regulatory, market data and clearing fees to Virtu 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.

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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
99.98	23.00	31.84	45.16	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	2.34	91.28	12.31	53.44	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.57	0.23	84.62	46.56	0.00	0.0000	-18.2370	-89.0000	-18.2370	-92.0000	-18.2370	0.0000	0.0000
CDR3	0.16	7.57	0.00	0.00	0.00	17.0000	9.2290	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDG3	0.03	0.92	3.08	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	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.

DTT3:

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

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.

November 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
95.27	15.22	37.20	40.14	7.44

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	48.34	100.00	100.00	100.00	0.00	-1.0000	-0.0600	-1.0000	-0.0600	-1.0000	-0.0600	0.0000	0.0000

Material Aspects:

First Clearing:

Wellington Shields pays execution fees to First Clearing.

December 2022

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
99.81	52.31	17.71	29.98	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	10.33	96.42	40.91	69.72	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.67	0.00	59.09	30.28	0.00	0.0000	0.0000	-14.0000	-15.7957	-25.0000	-15.7957	0.0000	0.0000
CDR3	0.34	3.58	0.00	0.00	0.00	8.0000	9.5974	0.0000	0.0000	0.0000	0.0000	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.

DTT3:

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

CDR3:

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

December 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	28.28	25.65	46.07	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	2.80	94.55	36.67	78.75	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.20	0.00	63.33	20.00	0.00	0.0000	0.0000	-21.0000	-15.7957	-33.0000	-15.7957	0.0000	0.0000
CDR3	0.11	4.65	0.00	0.00	0.00	13.0000	9.5974	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDG3	0.02	0.80	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
RSKY	0.01	0.00	0.00	1.25	0.00	0.0000	0.0000	0.0000	-6.0000	0.0000	-6.0000	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.

DTT3:

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

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.

RSKY:

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

December 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
91.86	13.96	26.11	49.59	10.34

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	48.11	100.00	100.00	100.00	0.00	-1.0000	-0.0600	0.0000	-0.0600	0.0000	-0.0600	0.0000	0.0000

Material Aspects:

First Clearing:

Wellington Shields pays execution fees to First Clearing.