

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

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3rd Quarter, 2023

July 2023

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
99.8737	87.1510	3.4698	9.3792	0.0000

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	6.6961	96.9984	51.6129	85.4962	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.3068	0.0000	48.3871	14.5038	0.0000	0.0000	0.0000	-11.3381	-19.0300	-16.8263	-19.0300	0.0000	0.0000
CDR3	0.1715	3.0016	0.0000	0.0000	0.0000	8.2110	9.6600	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.

July 2023

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
99.9945	39.2800	15.9169	44.8030	0.0000

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	2.6353	87.6652	20.4545	65.4867	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.4054	0.0000	79.5455	34.5133	0.0000	0.0000	0.0000	-55.3773	-19.0300	-56.3764	-19.0300	0.0000	0.0000
CDR3	0.2794	11.2335	0.0000	0.0000	0.0000	27.8449	9.6600	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDG3	0.0274	1.1013	0.0000	0.0000	0.0000	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.

July 2023

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
95.5375	12.7389	33.2272	46.6030	7.4310

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	46.2475	100.0000	100.0000	100.0000	0.0000	-230.0400	-6.0000	-232.3800	-6.0000	-191.2200	-6.0000	0.0000	0.0000

Material Aspects:

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

August 2023**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
99.4358	79.5013	4.3075	16.1912	0.0000

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	6.2858	98.7342	63.6364	94.1176	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.1113	0.0000	36.3636	5.8824	0.0000	0.0000	0.0000	-3.4048	-12.1600	-6.2016	-12.1600	0.0000	0.0000
CDR3	0.0636	1.2658	0.0000	0.0000	0.0000	1.5936	6.6400	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 Virtue 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.

August 2023**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
99.9509	49.9570	17.0804	32.9626	0.0000

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	2.5424	88.6525	17.9487	34.7826	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.5773	0.7092	79.4872	65.2174	0.0000	-2.8856	-12.1600	-44.1457	-12.1600	-53.8566	-12.1600	0.0000	0.0000
CDR3	0.2579	9.6927	2.5641	0.0000	0.0000	15.5376	6.6400	0.2656	6.6400	0.0000	0.0000	0.0000	0.0000
CDG3	0.0246	0.9456	0.0000	0.0000	0.0000	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.

August 2023

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
95.9712	8.9955	42.0540	45.3523	3.5982

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	49.2806	100.0000	100.0000	100.0000	0.0000	-194.7600	-6.0000	-269.5800	-6.0000	-182.1600	-6.0000	0.0000	0.0000

Material Aspects:

First Clearing:

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

September 2023

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
99.8959	77.5983	5.9000	16.5017	0.0000

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	10.0052	97.1510	85.7143	96.4286	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDR3	0.2472	2.7066	0.0000	0.0000	0.0000	7.7350	9.1000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.0651	0.1425	14.2857	3.5714	0.0000	-0.0057	-18.9700	-0.9485	-18.9700	-2.0810	-18.9700	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.

September 2023

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
100.0000	39.8570	19.4102	40.7328	0.0000

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	4.6023	96.0663	27.2727	60.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.4647	0.0000	72.7273	40.0000	0.0000	0.0000	0.0000	-72.2757	-18.9700	-31.1108	-18.9700	0.0000	0.0000
CDR3	0.1519	3.5197	0.0000	0.0000	0.0000	11.4660	9.1000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDG3	0.0179	0.4141	0.0000	0.0000	0.0000	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.

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CDG3:

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

September 2023

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
92.3333	12.0036	33.7545	49.4585	4.7834

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	45.6667	100.0000	100.0000	100.0000	0.0000	-256.9800	-6.0000	-226.9800	-6.0000	-171.3600	-6.0000	0.0000	0.0000

Material Aspects:

First Clearing:

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