

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

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2nd Quarter, 2024

April 2024

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 |
|--|---|---|---|--|
| 99.86 | 45.81 | 15.75 | 38.44 | 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 | 99.71 | 99.76 | 99.95 | 99.90 | 0.00 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 |
| CDR3 | 0.11 | 0.24 | 0.00 | 0.00 | 0.00 | 6.3624 | 9.6400 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 |
| DTT3 | 0.05 | 0.00 | 0.05 | 0.10 | 0.00 | 0.0000 | 0.0000 | -1.0000 | -14.6652 | -3.0000 | -14.6652 | 0.0000 | 0.0000 |

Material Aspects:

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

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

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

April 2024

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 |
|--|---|---|---|--|
| 99.99 | 40.79 | 15.95 | 43.26 | 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 | 99.65 | 99.51 | 99.59 | 99.83 | 0.00 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 |
| CDR3 | 0.20 | 0.48 | 0.00 | 0.00 | 0.00 | 23.4252 | 9.6400 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 |
| DTT3 | 0.14 | 0.01 | 0.41 | 0.17 | 0.00 | 0.0000 | -14.6652 | -15.0000 | -14.6652 | -12.0000 | -14.6652 | 0.0000 | 0.0000 |

Material Aspects:

First Clearing:

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

CDR3:

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

DTT3:

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

April 2024

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 |
|--|---|---|---|--|
| 0.00 | 0.00 | 0.00 | 0.00 | 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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|

May 2024

S&P 500 Stocks

| 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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| CDR3 | 0.08 | 0.13 | 0.00 | 0.00 | 0.00 | 2.0000 | 9.3043 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 |
| DTT3 | 0.07 | 0.00 | 0.29 | 0.16 | 0.00 | 0.0000 | 0.0000 | -1.0000 | -11.8930 | -1.0000 | -11.8930 | 0.0000 | 0.0000 |

Material Aspects:

First Clearing:

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

CDR3:

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

DTT3:

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

June 2024

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 |
|--|---|---|---|--|
| 99.93 | 38.61 | 16.71 | 44.68 | 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 | 98.67 | 98.69 | 98.43 | 98.89 | 0.00 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 |
| DTT3 | 0.70 | 0.00 | 1.32 | 1.08 | 0.00 | 0.0000 | 0.0000 | -18.0000 | -11.8930 | -31.0000 | -11.8930 | 0.0000 | 0.0000 |
| CDR3 | 0.54 | 1.31 | 0.13 | 0.02 | 0.00 | 19.0000 | 9.3043 | 2.0000 | 9.3043 | 1.0000 | 9.3043 | 0.0000 | 0.0000 |
| INT3 | 0.02 | 0.00 | 0.13 | 0.00 | 0.00 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 | 0.0000 |

Material Aspects:

First Clearing:

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

DTT3:

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

CDR3:

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

INT3:

Wellington Shields pays exchange, regulatory, market data and clearing fees to INT3 and receives exchange rebates as credits where applicable Wellington Shields also receives incremental pricing benefits if certain volume thresholds are met

June 2024

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 |
|--|---|---|---|--|
| 0.00 | 0.00 | 0.00 | 0.00 | 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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|