

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

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3rd Quarter, 2024

July 2024

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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
99.62	70.33	5.29	24.37	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	98.99	99.61	98.63	98.81	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.36	0.00	1.37	1.19	0.00	0.0000	0.0000	2.0000	9.5500	7.0000	9.5500	0.0000	0.0000
CDR3	0.27	0.39	0.00	0.00	0.00	9.8792	9.3200	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.

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July 2024

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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	27.14	16.38	56.48	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	99.25	98.76	98.85	99.63	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.40	0.00	1.15	0.37	0.00	0.0000	0.0000	14.0000	9.5500	12.0000	9.5500	0.0000	0.0000
CDR3	0.33	1.21	0.00	0.00	0.00	22.1816	9.3200	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NYS3	0.01	0.03	0.00	0.00	0.00	0.0000	4.0000	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.

NYS3:

Wellington Shields pays exchange, regulatory, market data and clearing fees to NYS3 and receives exchange rebates as credits where applicable Wellington Shields also receives incremental pricing benefits if certain volume thresholds are met

## July 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)
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## August 2024



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)
DTT3	0.51	0.00	0.72	1.02	0.00	0.0000	0.0000	13.0000	10.3100	21.0000	10.3100	0.0000	0.0000
CDR3	0.36	0.82	0.00	0.00	0.00	27.0000	9.6100	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INT3	0.01	0.00	0.04	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

## August 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)
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## September 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
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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
99.33	74.73	10.73	14.54	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	98.40	99.48	98.68	97.20	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.53	0.00	1.32	2.68	0.00	0.0000	0.0000	5.0000	11.3200	12.0000	11.3200	0.0000	0.0000
CDR3	0.39	0.52	0.00	0.00	0.00	10.0000	9.6100	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INT3	0.02	0.00	0.00	0.12	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

## September 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
99.95	33.02	19.08	47.91	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	98.92	98.84	98.60	99.22	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DTT3	0.66	0.05	1.40	0.78	0.00	1.0000	11.3200	31.0000	11.3200	38.0000	11.3200	0.0000	0.0000

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	0.36	1.09	0.00	0.00	0.00	25.0000	9.6100	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDG3	0.01	0.02	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:**

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.

**CDG3:**

Wellington Shields pays exchange, regulatory, market data and clearing fees to CDG3 and receives exchange rebates as credits where applicable Wellington Shields also receives incremental pricing benefits if certain volume thresholds are met

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## September 2024

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### 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)
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