

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

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1st Quarter, 2025

January 2025

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	84.75	0.98	12.75	1.51

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)
CDRG	25.66	26.09	23.08	25.44	5.00	14.4510	7.0493	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	1.13	0.09	23.08	6.51	0.00	-0.9906	-24.7640	-2.0851	-20.8514	5.2371	14.9632	0.0000	0.0000
PERX	0.08	0.00	7.69	0.00	0.00	0.0000	0.0000	-0.2796	-13.9822	0.0000	0.0000	0.0000	0.0000
JNST	18.26	18.88	7.69	15.38	15.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	12.30	11.93	7.69	13.61	25.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	11.77	11.93	7.69	9.47	25.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ETMM	10.04	10.15	0.00	8.88	20.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	7.09	7.12	15.38	5.92	10.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	7.09	7.03	7.69	8.28	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	6.57	6.77	0.00	6.51	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

CDRG:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees Citadel Execution Desk.

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

PERX:
Wellington Shields pays execution and clearance fees to Pershing.

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

NITE:

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

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

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

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

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

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

January 2025

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	89.41	3.56	6.71	0.31

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)
CDRG	31.45	33.88	0.00	17.19	0.00	24.1297	6.5748	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	5.87	0.12	85.29	40.62	0.00	-0.5876	-19.6529	-25.6738	-14.1469	41.1217	18.7300	0.0000	0.0000
PERX	0.10	0.00	2.94	0.00	0.00	0.0000	0.0000	-0.6991	-13.9822	0.0000	0.0000	0.0000	0.0000
ETMM	14.88	15.94	0.00	9.38	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
JNST	14.57	15.24	0.00	14.06	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	9.64	10.43	2.94	1.56	33.33	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	9.43	9.73	5.88	7.81	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	5.66	5.98	0.00	1.56	66.67	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	3.98	3.99	2.94	4.69	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	3.56	3.75	0.00	3.12	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTSM	0.84	0.94	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

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Wellington Shields pays execution and clearance fees to Pershing.

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

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

January 2025

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	15.80	5.40	76.90	1.90

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)
CDRG	39.30	31.60	41.00	40.50	50.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SUSQ	23.00	25.40	12.80	23.60	7.10	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
WEXX	18.70	13.20	25.60	19.40	14.30	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DASH	13.80	26.30	10.30	11.50	14.30	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DFIN	5.30	3.50	10.30	5.00	14.30	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

CDRG:
Wellington Shields pays execution and clearing fees to Pershing

SUSQ:
Wellington Shields pays execution and clearing fees to Pershing

WEXX:
Wellington Shields pays execution and clearing fees to Pershing

DASH:
Wellington Shields pays execution and clearing fees to Pershing

DFIN:
Wellington Shields pays execution and clearing fees to Pershing

February 2025

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	82.78	1.81	13.82	1.59

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)
CDRG	28.27	27.34	41.18	32.31	26.67	67,583,352.0000	70,399,328.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	1.06	0.00	35.29	3.08	0.00	0.0000	0.0000	-6.8718	-18.5725	1.4708	8.6518	0.0000	0.0000
JNST	15.30	16.30	5.88	11.54	6.67	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ETMM	12.86	13.74	0.00	10.77	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	11.69	11.42	11.76	14.62	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	9.46	9.76	5.88	6.92	20.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	7.55	7.70	0.00	3.85	40.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	7.97	7.83	0.00	10.00	6.67	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	5.63	5.65	0.00	6.92	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ICRS	0.11	0.13	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PFRA	0.11	0.13	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

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

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

ETMM:

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

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

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

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

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

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

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

Non-S&P 500 Stocks

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	87.52	3.16	8.57	0.75

[illegible]

Material Aspects:

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VALR:

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PERX:

Wellington Shields pays execution and clearance fees to Pershing.

JNST:

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

ETMM:

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

NITE:

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

HRTF:

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

INTL:

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SOHO:

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UBSS:

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

GTSM:

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PFRA:

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

February 2025

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	13.40	5.00	81.20	0.50

Venues

[illegible]

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)
SOHO	5.25	5.65	0.00	2.90	8.82	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	5.40	5.74	0.00	4.98	2.94	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PFRA	2.99	3.92	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ICRS	0.07	0.10	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

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SOHO:
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UBSS:
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PFRA:
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ICRS:
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March 2025

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	84.40	3.98	10.26	1.36

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)
CDRG	26.91	29.65	7.89	14.29	7.69	74.4977	15.7834	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	6.28	0.00	73.68	32.65	0.00	0.0000	0.0000	-37.8516	-15.0653	36.6031	17.1846	0.0000	0.0000
PERX	0.10	0.00	0.00	1.02	0.00	0.0000	0.0000	0.0000	0.0000	-0.9734	-19.4674	0.0000	0.0000
JNST	16.75	17.62	2.63	17.35	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ETMM	14.66	14.89	2.63	17.35	15.38	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	9.95	11.41	0.00	3.06	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	9.21	9.55	2.63	7.14	23.08	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	5.03	5.09	2.63	2.04	30.77	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	4.50	4.47	5.26	3.06	15.38	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	4.82	5.21	2.63	2.04	7.69	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTSM	1.05	1.24	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PFRA	0.73	0.87	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

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March 2025

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	15.80	2.30	78.10	3.80

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)
CDRG	38.00	35.70	20.00	39.30	41.20	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SUSQ	24.20	20.00	10.00	24.90	35.30	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
WEXX	16.00	12.90	10.00	17.10	11.80	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DASH	10.80	15.70	50.00	8.70	11.80	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DFIN	10.60	15.70	10.00	10.10	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

CDRG:
Wellington Shields pays execution and clearing fees to Pershing

SUSQ:
Wellington Shields pays execution and clearing fees to Pershing

WEXX:
Wellington Shields pays execution and clearing fees to Pershing

DASH:
Wellington Shields pays execution and clearing fees to Pershing

DFIN:
Wellington Shields pays execution and clearing fees to Pershing