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

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3rd Quarter, 2026

July 2026

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	79.19	0.38	15.19	5.25

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)
VALR	24.94	26.12	33.33	20.58	19.05	0.0000	0.0000	0.0000	0.0000	1.6897	2.8639	0.0000	0.0000
NITE	16.69	17.44	33.33	13.17	14.29	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDRG	15.56	15.63	16.67	13.58	20.24	0.0153	0.0425	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
JNST	13.69	13.42	0.00	12.76	21.43	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	10.44	9.94	0.00	13.99	8.33	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	6.69	6.39	0.00	5.76	14.29	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PFRA	5.69	5.76	0.00	6.58	2.38	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	4.31	3.95	0.00	7.82	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	0.94	1.18	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ICRS	0.94	0.00	16.67	5.76	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ETMM	0.12	0.16	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

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

NITE:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Virtu's Broker/Dealer desk.

CDRG:
Wellington Shields pays execution fees and receives execution rebates as credits where applicable

JNST:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Jane Street Capital.

INTL:

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

HRTF:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to HRT Financial.

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

SOHO:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Two Sigma.

UBSS:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to UBS Securities.

ICRS:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to ICRS

ETMM:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to G1 Execution Services.

July 2026

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	79.66	2.12	12.34	5.88

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	25.82	25.13	15.38	25.83	38.89	0.4796	0.5048	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ETMM	19.77	19.38	23.08	14.57	34.72	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
JNST	18.14	19.59	3.85	17.22	5.56	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	11.27	11.38	3.85	7.28	20.83	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	7.68	9.23	3.85	1.99	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	4.66	4.51	3.85	7.95	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	4.66	5.13	0.00	4.64	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	3.92	4.10	3.85	4.64	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	2.86	0.00	42.31	15.89	0.00	0.0000	0.0000	-4.0278	-7.7458	22.1168	15.7977	0.0000	0.0000
PFRA	0.90	1.13	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTSM	0.25	0.31	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ICRS	0.08	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:

CDRG:
Wellington Shields pays execution fees and receives execution rebates as credits where applicable

ETMM:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to G1 Execution Services.

JNST:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Jane Street Capital.

NITE:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Virtu's Broker/Dealer desk.

HRTF:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to HRT Financial.

SOHO:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Two Sigma.

UBSS:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to UBS Securities.

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

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

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

GTSM:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to GTS Securities.

ICRS:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to ICRS

July 2026

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	27.10	3.30	61.90	7.70

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	35.10	33.00	25.00	38.80	17.50	-16.5000	-0.2500	-1.5000	-0.2500	-44.2500	-0.2500	-2.5000	-0.2500
SUSQ	20.10	13.50	29.20	21.50	28.10	-6.7500	-0.2500	-1.7500	-0.2500	-24.5000	-0.2500	-4.0000	-0.2500
WEXX	17.90	13.50	20.80	17.50	35.10	-6.7500	-0.2500	-1.2500	-0.2500	-20.0000	-0.2500	-5.0000	-0.2500
DASH	17.00	25.50	16.70	13.80	12.30	-12.7500	-0.2500	-1.0000	-0.2500	-15.7500	-0.2500	-1.7500	-0.2500

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)
DFIN	6.40	8.50	4.20	5.90	3.50	-4.2500	-0.2500	-0.2500	-0.2500	-6.7500	-0.2500	-0.5000	-0.2500
JNOP	3.50	6.00	4.20	2.40	3.50	-3.0000	-0.2500	-0.2500	-0.2500	-2.7500	-0.2500	-0.5000	-0.2500

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

JNOP:
Wellington Shields pays execution and clearing fees to Pershing

August 2026

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	63.70	3.54	30.31	2.44

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)
CDRG	22.66	25.19	19.23	28.18	10.01	0.0005	0.0036	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	15.74	0.94	1.92	14.52	0.00	0.0000	0.0000	0.0000	0.0000	8.6442	16.3097	0.0000	0.0000
ETMM	11.88	15.09	19.23	10.25	16.72	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
JNST	11.41	13.40	19.23	12.30	23.32	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	10.31	11.51	0.00	11.44	33.33	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	9.52	11.42	38.46	11.02	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	5.66	6.89	0.00	5.29	13.31	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	4.72	6.60	0.00	2.48	3.30	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	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)
UBSS	4.64	5.94	0.00	4.53	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PFRA	1.73	2.74	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PERX	1.57	0.00	1.92	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ICRS	0.16	0.28	0.00	0.00	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 fees and receives execution rebates as credits where applicable

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

ETMM:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to G1 Execution Services.

JNST:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Jane Street Capital.

NITE:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Virtu's Broker/Dealer desk.

HRTF:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to HRT Financial.

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

SOHO:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Two Sigma.

UBSS:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to UBS Securities.

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

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

ICRS:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to ICRS

August 2026

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	57.50	10.46	31.57	0.46

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)
VALR	31.47	0.00	15.82	31.63	0.00	0.0000	0.0000	-5.9459	-5.2693	59.6476	20.5681	0.0000	0.0000
CDRG	29.29	43.69	34.05	17.43	50.00	0.7346	0.3637	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
JNST	8.01	12.55	3.83	11.62	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ETMM	7.73	11.35	18.90	11.04	50.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	6.11	9.36	11.32	9.30	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	4.95	8.30	0.00	4.65	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PERX	3.24	0.00	0.83	3.87	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	2.59	3.76	3.83	5.23	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	2.31	3.69	3.83	2.91	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PFRA	2.08	3.83	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	1.99	3.05	7.58	2.32	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTSM	0.23	0.43	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

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

CDRG:
Wellington Shields pays execution fees and receives execution rebates as credits where applicable

JNST:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Jane Street Capital.

ETMM:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to G1 Execution Services.

NITE:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Virtu's Broker/Dealer desk.

HRTF:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to HRT Financial.

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

SOHO:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Two Sigma.

UBSS:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to UBS Securities.

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

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

GTSM:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to GTS Securities.

August 2026

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	25.90	2.30	58.00	13.80

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	36.80	35.30	29.40	37.40	38.60	-16.7500	-0.2500	-1.2500	-0.2500	-39.7500	-0.2500	-9.7500	-0.2500
SUSQ	20.50	13.70	35.30	21.40	26.70	-6.5000	-0.2500	-1.5000	-0.2500	-22.7500	-0.2500	-6.7500	-0.2500
WEXX	19.40	15.80	29.40	20.90	17.80	-7.5000	-0.2500	-1.2500	-0.2500	-22.2500	-0.2500	-4.5000	-0.2500
DASH	17.50	25.80	0.00	14.60	16.80	-12.2500	-0.2500	0.0000	0.0000	-15.5000	-0.2500	-4.2500	-0.2500
JNOP	3.10	7.40	0.00	2.10	0.00	-3.5000	-0.2500	0.0000	0.0000	-2.2500	-0.2500	0.0000	0.0000
DFIN	2.70	2.10	5.90	3.50	0.00	-1.0000	-0.2500	-0.2500	-0.2500	-3.7500	-0.2500	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

JNOP:
Wellington Shields pays execution and clearing fees to Pershing

DFIN:
Wellington Shields pays execution and clearing fees to Pershing

September 2026

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	81.09	1.09	15.82	2.01

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	22.09	19.96	41.67	30.85	29.17	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ETMM	16.54	16.65	0.00	16.49	20.83	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
JNST	15.11	15.62	25.00	12.23	12.50	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	13.77	14.06	0.00	13.83	8.33	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	10.75	11.27	8.33	9.57	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	7.89	8.79	0.00	2.66	16.67	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	6.72	6.31	8.33	7.98	12.50	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	4.62	5.38	0.00	1.60	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PFRA	1.51	1.86	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	0.92	0.00	16.67	4.79	0.00	0.0000	0.0000	0.0000	0.0000	3.0401	10.8575	0.0000	0.0000
ICRS	0.08	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:

CDRG:
Wellington Shields pays execution fees and receives execution rebates as credits where applicable

ETMM:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to G1 Execution Services.

JNST:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Jane Street Capital.

HRTF:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to HRT Financial.

NITE:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Virtu's Broker/Dealer desk.

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

SOHO:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Two Sigma.

UBSS:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to UBS Securities.

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

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

ICRS:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to ICRS

September 2026

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	78.63	2.97	17.83	0.56

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	23.82	24.27	24.32	21.62	28.57	0.1300	0.1831	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ETMM	19.76	19.71	10.81	22.07	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
JNST	19.35	18.67	10.81	23.42	28.57	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	10.49	10.79	10.81	9.01	14.29	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	7.97	9.02	0.00	4.05	28.57	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	4.39	5.29	0.00	1.35	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	4.39	5.19	0.00	1.80	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	3.74	0.00	43.24	13.51	0.00	0.0000	0.0000	-6.5007	-3.0956	35.2818	25.1833	0.0000	0.0000
UBSS	3.33	3.53	0.00	3.15	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PFRA	2.44	3.11	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTSM	0.16	0.21	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ICRS	0.16	0.21	0.00	0.00	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 fees and receives execution rebates as credits where applicable

ETMM:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to G1 Execution Services.

JNST:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Jane Street Capital.

NITE:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Virtu's Broker/Dealer desk.

HRTF:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to HRT Financial.

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

SOHO:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to Two Sigma.

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

UBSS:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to UBS Securities.

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

GTSM:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to GTS Securities.

ICRS:
Wellington Shields does not participate in any exchange rebates nor does it pay any fees to ICRS

September 2026

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	21.00	2.50	62.50	14.00

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)
CDRG	38.60	34.10	52.40	40.30	35.00	-15.0000	-0.2500	-2.7500	-0.2500	-52.7500	-0.2500	-10.2500	-0.2500
SUSQ	23.50	16.50	23.80	23.50	34.20	-7.2500	-0.2500	-1.2500	-0.2500	-30.7500	-0.2500	-10.0000	-0.2500
WEXX	16.00	15.30	9.50	15.90	18.80	-6.7500	-0.2500	-0.5000	-0.2500	-20.7500	-0.2500	-5.5000	-0.2500
DASH	14.70	23.30	0.00	13.00	12.00	-10.2500	-0.2500	0.0000	0.0000	-17.0000	-0.2500	-3.5000	-0.2500
JNOP	4.20	9.70	14.30	2.90	0.00	-4.2500	-0.2500	-0.7500	-0.2500	-3.7500	-0.2500	0.0000	0.0000
DFIN	3.00	1.10	0.00	4.40	0.00	-0.5000	-0.2500	0.0000	0.0000	-5.7500	-0.2500	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

JNOP:
Wellington Shields pays execution and clearing fees to Pershing

DFIN:
Wellington Shields pays execution and clearing fees to Pershing