

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

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2nd Quarter, 2026

April 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	83.40	1.14	10.75	4.71

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	25.24	24.78	24.00	25.11	33.98	4.2672	6.6676	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ETMM	15.23	15.46	8.00	13.19	17.48	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	10.70	10.69	8.00	10.21	12.62	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ICRS	0.27	0.33	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	7.00	7.24	0.00	5.11	8.74	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
JNST	17.60	18.26	8.00	15.74	12.62	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	11.29	11.46	4.00	13.62	4.85	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PERX	0.09	0.00	8.00	0.00	0.00	0.0000	0.0000	-0.4714	-15.7139	0.0000	0.0000	0.0000	0.0000
PFRA	1.28	1.54	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	5.49	5.26	16.00	6.81	3.88	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	4.89	4.88	4.00	4.68	5.83	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	0.91	0.11	20.00	5.53	0.00	-1.0717	-21.4339	-2.1467	-11.9260	2.1898	4.6592	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.

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

ICRS:

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

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

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

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.

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

April 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	93.86	1.67	4.09	0.38

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	3.26	3.38	0.00	2.04	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	2.67	2.76	0.00	2.04	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	2.76	0.04	55.00	43.88	0.00	-0.2617	-8.7218	-9.8188	-6.7735	71.2097	26.6204	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.

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

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

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

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

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.

PERX:
Wellington Shields pays execution fees, exchange, regulatory, market data and clearing fees to Pershing 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

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.

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

April 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	22.20	3.00	63.60	11.30

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	37.90	33.50	18.20	37.50	54.20	-13.7500	-0.2500	-1.0000	-0.2500	-44.0000	-0.2500	-11.2500	-0.2500
SUSQ	25.60	14.00	50.00	26.20	38.60	-5.7500	-0.2500	-2.7500	-0.2500	-30.7500	-0.2500	-8.0000	-0.2500
DASH	14.20	23.80	13.60	13.40	0.00	-9.7500	-0.2500	-0.7500	-0.2500	-15.7500	-0.2500	0.0000	-0.2500
WEXX	13.10	11.00	13.60	14.90	7.20	-4.5000	-0.2500	-0.7500	-0.2500	-17.5000	-0.2500	-1.5000	-0.2500
JNOP	5.40	12.80	4.60	3.80	0.00	-5.2500	-0.2500	-0.2500	-0.2500	-4.5000	-0.2500	0.0000	-0.2500
DFIN	3.70	4.90	0.00	4.10	0.00	-2.0000	-0.2500	0.0000	-0.2500	-4.7500	-0.2500	0.0000	-0.2500

Material Aspects:

CDRG:
Wellington Shields pays execution and clearing fees to Pershing

SUSQ:
Wellington Shields pays execution and clearing fees to Pershing

DASH:
Wellington Shields pays execution and clearing fees to Pershing

WEXX:
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

May 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	84.36	1.17	10.36	4.12

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)
HRTF	10.84	11.54	5.88	3.97	15.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ICRS	0.34	0.41	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	7.00	7.56	0.00	4.64	3.33	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
JNST	18.72	18.62	17.65	21.85	13.33	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	11.04	11.22	0.00	11.92	8.33	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PERX	0.21	0.00	0.00	1.99	0.00	0.0000	0.0000	0.0000	0.0000	-0.3706	-3.0348	0.0000	0.0000
PFRA	1.23	1.46	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	3.70	3.50	0.00	5.96	3.33	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	7.68	7.40	5.88	7.95	13.33	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	1.58	0.00	52.94	9.27	0.00	0.0000	0.0000	-1.1642	-3.6383	0.6729	1.5725	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.

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

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

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

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.

PERX:
Wellington Shields pays execution fees, exchange, regulatory, market data and clearing fees to Pershing 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

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.

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

May 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	91.06	2.51	6.28	0.14

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	26.82	28.91	8.33	2.22	100.00	12.4390	6.6876	2.2283	7.4278	0.0000	0.0000	0.0000	0.0000
ETMM	14.87	15.49	5.56	10.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTSM	0.70	0.77	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	9.08	9.74	2.78	2.22	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ICRS	0.07	0.08	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	5.31	5.83	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
JNST	14.18	15.34	0.00	3.33	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	11.38	11.96	8.33	4.44	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PERX	0.28	0.00	5.56	2.22	0.00	0.0000	0.0000	-0.4249	-3.0348	-0.2731	-3.0348	0.0000	0.0000
PFRA	1.54	1.69	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	4.61	4.83	2.78	2.22	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	5.17	5.37	2.78	3.33	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	6.01	0.00	63.89	70.00	0.00	0.0000	0.0000	0.3806	0.2394	63.3649	20.1159	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.

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

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

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

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

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.

PERX:
Wellington Shields pays execution fees, exchange, regulatory, market data and clearing fees to Pershing 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

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.

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

May 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	20.50	1.80	63.60	14.10

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	40.10	29.50	33.30	45.50	31.90	-12.7500	-0.2500	-1.2500	-0.2500	-61.0000	-0.2500	-9.5000	-0.2500
SUSQ	24.80	18.50	53.30	21.50	45.40	-8.0000	-0.2500	-2.0000	-0.2500	-28.7500	-0.2500	-13.5000	-0.2500
WEXX	15.30	16.80	6.70	15.10	15.10	-7.2500	-0.2500	-0.2500	-0.2500	-20.2500	-0.2500	-4.5000	-0.2500
DASH	12.90	23.70	6.70	12.30	0.80	-10.2500	-0.2500	-0.2500	-0.2500	-16.5000	-0.2500	-0.2500	-0.2500
JNOP	3.80	10.40	0.00	2.60	0.00	-4.5000	-0.2500	0.0000	-0.2500	-3.5000	-0.2500	0.0000	-0.2500
DFIN	3.10	1.20	0.00	3.00	6.70	-0.5000	-0.2500	0.0000	-0.2500	-4.0000	-0.2500	-2.0000	-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

JNOP:
Wellington Shields pays execution and clearing fees to Pershing

DFIN:
Wellington Shields pays execution and clearing fees to Pershing

June 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	81.59	1.07	14.26	3.08

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	23.36	23.54	37.50	21.13	23.91	2.1379	4.8588	0.0000	0.0000	0.2416	8.0548	0.0000	0.0000
ETMM	14.52	14.36	12.50	12.68	28.26	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTSM	0.07	0.08	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	10.37	10.99	0.00	8.92	4.35	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ICRS	0.27	0.33	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	6.09	6.15	0.00	7.51	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
JNST	15.39	15.91	12.50	12.68	15.22	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	11.78	11.57	6.25	15.96	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PFRA	5.29	6.48	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	5.02	4.76	0.00	3.29	21.74	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	6.02	5.82	0.00	7.51	6.52	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	1.81	0.00	31.25	10.33	0.00	0.0000	0.0000	-2.3047	-13.5570	2.9461	3.7293	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.

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

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

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

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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

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

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

June 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	80.62	3.47	14.44	1.47

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	26.18	28.07	13.33	20.86	5.26	10.6315	6.0751	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ETMM	14.13	15.33	13.33	9.09	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTSM	1.24	1.53	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
HRTF	8.03	9.00	2.22	4.81	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
ICRS	0.39	0.48	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTL	5.95	6.23	4.44	3.74	15.79	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
JNST	16.22	16.28	17.78	11.76	52.63	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NITE	11.81	11.40	8.89	13.90	21.05	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
PFRA	1.62	2.01	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SOHO	4.48	4.98	4.44	2.14	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBSS	4.48	4.69	0.00	4.28	5.26	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	5.48	0.00	35.56	29.41	0.00	0.0000	0.0000	-8.1280	-6.2523	37.6623	14.9454	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.

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

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

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

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

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.

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.

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

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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
100.00	23.40	3.00	65.30	8.30

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	45.70	36.00	33.30	49.70	45.50	-16.7500	-0.2500	-2.0000	-0.2500	-64.5000	-0.2500	-7.5000	-0.2500
SUSQ	19.50	13.40	29.20	18.30	42.40	-6.2500	-0.2500	-1.7500	-0.2500	-23.7500	-0.2500	-7.0000	-0.2500
DASH	14.00	20.40	12.50	12.50	7.60	-9.5000	-0.2500	-0.7500	-0.2500	-16.2500	-0.2500	-1.2500	-0.2500
WEXX	14.50	12.90	12.50	16.60	3.00	-6.0000	-0.2500	-0.7500	-0.2500	-21.5000	-0.2500	-0.5000	-0.2500
DFIN	3.80	12.40	4.20	1.20	0.00	-5.7500	-0.2500	-0.2500	-0.2500	-1.5000	-0.2500	0.0000	-0.2500
JNOP	2.60	4.80	8.30	1.70	1.50	-2.2500	-0.2500	-0.5000	-0.2500	-2.2500	-0.2500	-0.2500	-0.2500

Material Aspects:

CDRG:
Wellington Shields pays execution and clearing fees to Pershing

SUSQ:
Wellington Shields pays execution and clearing fees to Pershing

DASH:
Wellington Shields pays execution and clearing fees to Pershing

WEXX:
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