

Supporting the growth of your practice — now and into the future

Firm facts

Founded: 1925

Total assets: \$3.5 billion

Employees: ~80

Advisors: ~60

Business model:

Traditional Retail (W2),
Independent (1099)

Main office

New York, NY

Branch offices

Shelburne Falls, MA

Locust Valley, NY

Thomasville, GA

Dorset, VT

Advisor profile

T-12: \$250+k

Total assets: \$25 million

Experience: 5+ years

Business model:

Wealth Management,
Traditional Brokerage

Who we are

Wellington Shields has been a presence on Wall Street for nearly a century, providing wealth management, investment management and full-service brokerage to institutions, high-net-worth individuals and family accounts. We are distinguished by our high level of service, forward-thinking approach and commitment to integrity, transparency and respect. By utilizing time-tested processes and leading-edge technology, we help clients reach their goals.

What we offer

- ✓ **Autonomy:** An independent work environment within a culture that is collegial, entrepreneurial and client-centric.
- ✓ **Flexibility:** Our open architecture platform frees you from cross-selling, pushing specific products or being wedded to one technology or custodian.
- ✓ **Collaboration:** Weekly meetings of our investment team bring the best ideas to light and keep you ahead of the trend.
- ✓ **Support:** Our shared team of experienced client service professionals responds quickly to you and your clients.
- ✓ **Competitive compensation:** We reward performance with annual incentive bonuses, expense funds, comprehensive benefits and firm ownership opportunities.

How we help you and your clients succeed

- Our flexible technology platform offers best-of-breed financial planning, risk management and performance reporting software.
- You have access to a wealth of third-party research and insights, as well as institutional-quality investment solutions.
- We are committed to transparency, and adhere to all industry regulations regarding performance reporting and client relationships.
- Our holistic planning approach makes it easier to capture all of a family's assets and build relationships with the next generation.
- Model portfolios and managed solutions available through our clearing firm, First Clearing, allow you to spend more time with clients and prospects.
- We provide a suite of high-quality marketing materials and ongoing communications to help you stay top of mind with prospects/clients.
- When you're ready, we can help you design a business succession plan on your terms and timeframe.

In-house trading expertise

Our roots as a broker-dealer and New York Stock Exchange member date back to 1925. Our agency trading desk serves our clients with prompt and efficient execution of orders in the marketplace.

We have access to sophisticated order management and routing technologies and algorithms that we utilize in conjunction with our significant NYSE floor presence in pursuit of best execution on behalf of our clients.



At Wellington Shields, you have the freedom to operate, grow and transition your practice in the manner that best suits your needs and those of your clients.

We are always looking for talented professionals to join our team. Contact us to learn more.

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