Wellington Shields

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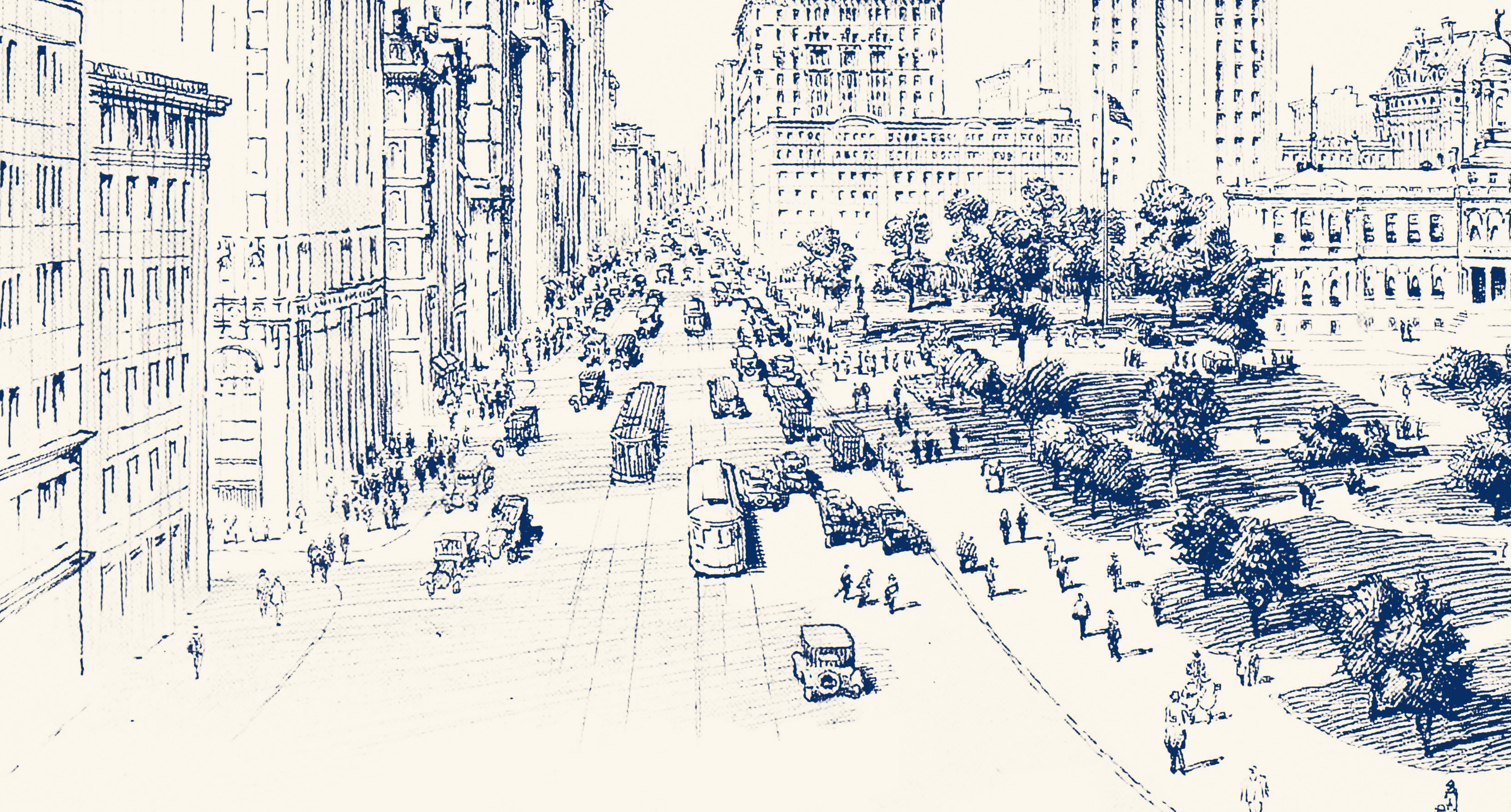

Invested in innovation.

Grounded in history.

Committed to you.

Since 1925, we have been a trusted wealth manager for individuals, families, businesses, endowments and foundations. We offer the personalized service of an independent firm while delivering the resources of a much larger firm. We are motivated by a desire to serve, not a mandate to sell. These attributes have enabled us to forge enduring relationships with generations of clients.

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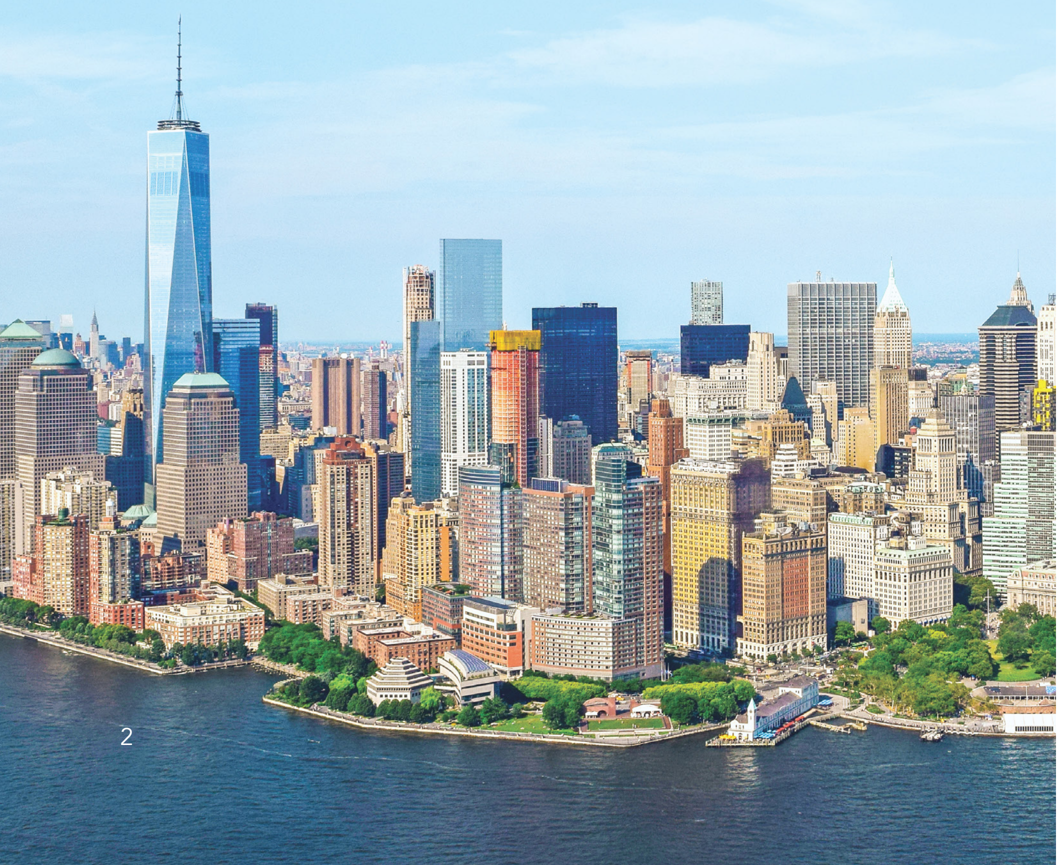

About Wellington Shields

Our firm has been a presence on Wall Street for nearly a century. We are distinguished by our high level of service, forward-thinking approach and commitment to integrity, transparency and respect. We utilize time-tested processes and leading-edge technology to help you and your clients reach their goals.

We are committed to attracting and retaining top talent with diverse backgrounds and skills. Our wealth advisors enjoy a collegial, supportive, flexible and autonomous environment. 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.

Since our founding in 1925, the world has experienced bull and bear markets, recessions and economic booms. Our experience has enabled us to endure for generations in an increasingly unpredictable world. It affords us the perspective to help preserve capital during times of uncertainty while maximizing opportunities for our clients.

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What Makes Us Different

Small enough to care. Large enough to matter.

At Wellington Shields, our colleagues and clients are family. We value personal relationships, listen carefully, respect your individualism, communicate clearly and work tirelessly to help you achieve your goals.

Autonomy and flexibility.

We provide an independent work environment within a culture that is collegial, entrepreneurial and client-centric. We offer competitive rates and superior client-service professional support. Our open architecture platform frees you from pushing specific products, cross-selling requirements, and technology platform/custody mandates.

Comprehensive business-building tools.

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 also provide you with a suite of high-quality marketing materials and ongoing communications to help you stay top of mind with clients and prospects.

Inhouse trading expertise.

Our roots as a broker-dealer and NYSE member date back to 1925. Our agency trading desk, significant NYSE floor presence and sophisticated order management and routing technologies ensure the timely and efficient execution of your orders in the marketplace.

We are truly independent.

Wellington Shields is employee-owned. Our money is at work in our business every day as we invest alongside our clients.

A collaborative culture.

Our team of investment professionals gathers weekly to identify trends and exchange ideas. The openness and camaraderie of the group allows disparate points of view to be heard, which enhances everyone's perspective. You can draw on this valuable input to manage portfolios according to each of your client's goals and values.

Our History

Wellington Shields has a long and successful history in wealth management by providing an environment in which financial professionals can bring meaningful solutions to their individual, family and institutional clients.

1925
H.G. Wellington & Co. joins NYSE

1966
David Shields elected member of the New York Stock Exchange

1978
McMullen & Hard merges into H.G. Wellington & Co.

1982
- Shields & Company founded by J.V. Shields, Jr. and David Shields
- Investment Advisory division of Shields & Company, Capital Management Associates, formed
- David Shields appointed Governor of NYSE

1984
Investment Advisory division of H.G. Wellington & Co. formed

1986
- Stillman, Maynard & Co. merges into H.G. Wellington & Co.
- David Shields elected as first floor broker to Board of NYSE

1987
Shields & Company first broker-dealer approved for direct telephone access to NYSE floor

1995
Shields & Company launches mutual funds

2000
The Brogan Group Equity Research joins H.G. Wellington & Co.

2001
Herbst Wealth Management founded as unit within Shields & Company

2009
- H.G. Wellington & Co. merges with Shields & Company, forming Wellington Shields & Co.
- Wellington Shields Capital Management formed

2011
- Midwood Securities, Inc. joins Wellington Shields
- Dudack Research Group joins Wellington Shields
- David Shields elected to Small Firms Advisory Board of FINRA

2016
Equity Risk Management Division formed

2020
WS Futures formed

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

At Wellington Shields, we've created an environment in which our wealth advisors can flourish. From our headquarters at 140 Broadway in Manhattan, we support our advisors with dedicated departments for business development, compliance, trading and operations. The average tenure within these groups is 18 years, which speaks to the experience and of the continuity within our firm.

The Business Development unit drives the onboarding process, coordinating with compliance, client services, operations and finance to facilitate a smooth transition for a new advisor. Our trading desk accesses equities, fixed income and options, and is staffed by three industry veterans who have a combined 86 years of experience serving both retail and institutional clients. Our compliance team helps you navigate the ever-changing regulatory environment.

Several of our team are on industry committees, enabling us to keep current with — and help shape — the regulatory environment. Our finance department ensures your timely compensation and is the point of contact for employee benefits. They also offer the expertise and flexibility to help you achieve your objectives.

We also help with succession planning, enabling new and experienced advisors to form collaborative relationships that benefit both parties. Younger advisors develop their businesses and gain valuable insight, while seasoned advisors build a roadmap for eventual succession. Clients benefit from the continuity and the blend of experienced advice and leading-edge perspective that multigenerational teams offer.

We foster collaboration among advisors, including weekly in-house research meetings/conference calls where ideas are shared and market strategy is discussed. Educational workshops are held on timely wealth management topics that keep advisors apprised of new developments and trends in the marketplace which can be good conversation starters with clients.

Tailored Solutions to Meet Your Clients' Needs

Our investment professionals benefit from top-down guidance from in-house strategists along with access to company-specific research from leading industry analysts. Wellington Shields supports your wealth management efforts with their expertise in a broad range of actively and passively managed investment solutions. Our core competencies include:

- Equities — Identify companies that combine good management, prudent allocation of capital and secular growth opportunities
- Equity Risk Management — Strategies that provide downside protection and income from concentrated holdings
- Fixed income — Expertise in municipal bonds, high grade corporate bonds, U.S. government securities and agency securities
- Alternative investments — Access to a platform of non-traditional investment solutions
- Insurance and annuity products — Solutions for wealth preservation, transfer of risk, tax-free income distribution, as well as guaranteed income
- Short-term/cash equivalents

People Are Our Most Valuable Asset

At Wellington Shields, our culture is collegial, entrepreneurial and client-centric. We have hand-picked our team of professionals, and we do our utmost to sustain a dynamic and supportive environment where they can thrive.

We live our values.

Our team members are active volunteers, board members and mentors for a range of non-profit groups. Individually and as a firm, we support educational, charitable and civic organizations in our local communities and in the broader world.

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.

To learn more, call **800-289-7443**
or visit us at **wellingtonshields.com**.