





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.

NEXT





04 What Makes Us Different



05 Our History



06 Wealth Management



08 Investment Management



10 People Are Our Most Valuable Asset



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 our clients reach their goals.

Our legacy of holistic wealth management reflects our emphasis on stewardship. We put our clients first, listen to their needs and tailor solutions to their unique circumstances.

Since our founding in 1925, the world has experienced bull and bear markets, recessions and economic booms. Our experience helps in today's unpredictable world. Our firm has endured for generations, building a perspective that has helped us to preserve capital during times of uncertainty while maximizing opportunities for our clients.



What Makes Us Different



Small enough to care. Large enough to matter.

At Wellington Shields, our clients and colleagues are family. We value personal relationships, listen carefully, respect your concerns, communicate clearly and deliver a high level of service. Our firm possesses market presence, scale and infrastructure on par with larger peers.



Here for all the generations of your family.

With our distinguished history, it's only natural that we take a long-term view. Our approach to wealth planning encompasses today's needs and tomorrow's dreams. For almost a century, we have sought to identify and protect against underappreciated risks in order to help preserve and grow your assets for every generation of your family.



A tailored approach.

We customize your portfolio to reflect your individual needs and goals. We are committed to complete transparency, relying on a time-tested process and years of experience, backed by industry-leading research. We partner with your tax and legal advisors and can connect you with experts in our professional network.



Investing for your values.

We can construct an investment portfolio that reflects your commitment to environmental, social and governance (ESG) issues.



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.

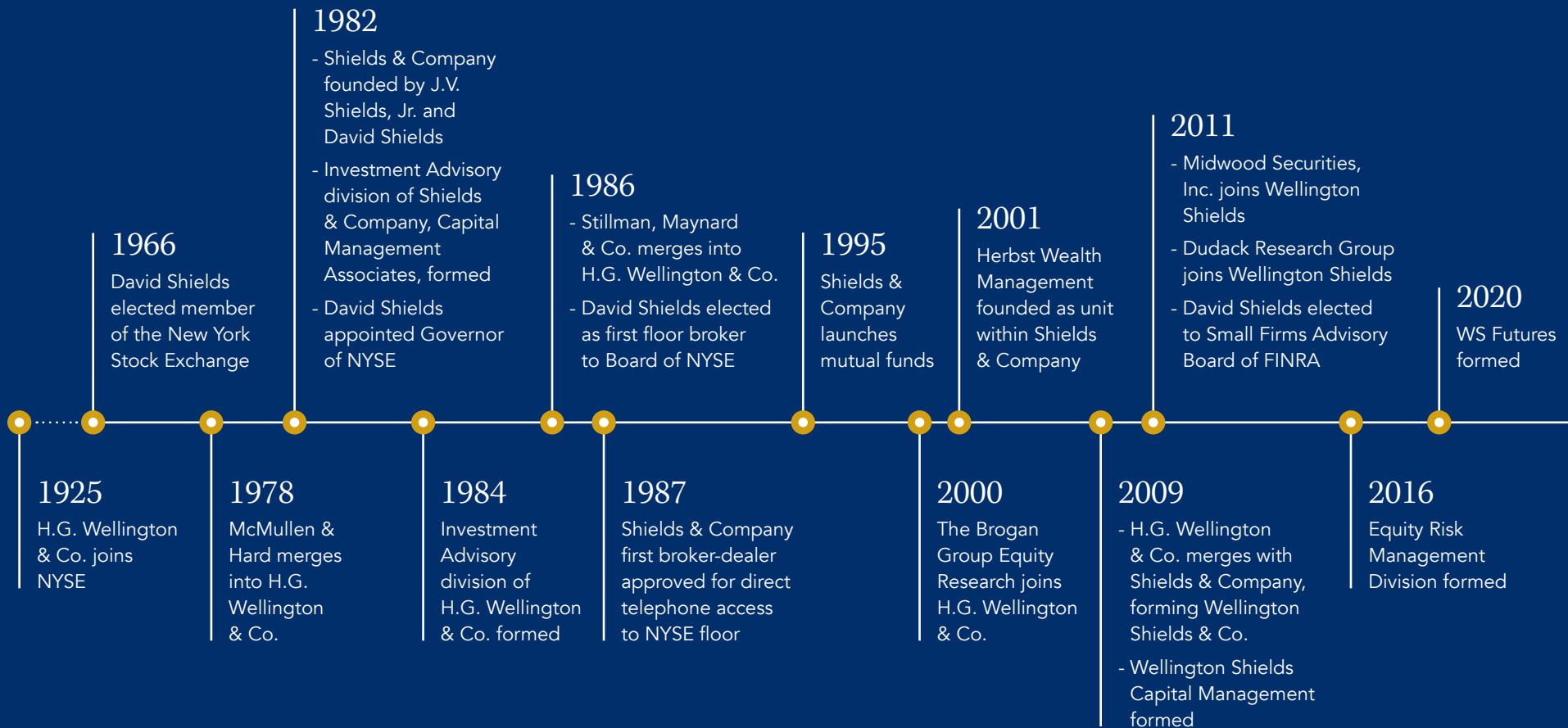


A collaborative culture.

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. Our Financial Advisors draw on this valuable input to manage portfolios according to each client's goals and values.

Our History

Wellington Shields has a long, rich history in wealth management — evolving and growing by bringing meaningful solutions to generations of individuals, their families and institutions.



Wealth Management

Your success has created opportunities, but it has also created complexity. Managing your wealth demands a holistic approach and time-tested process. Our planning discipline encompasses all aspects of your personal and business finances, ensuring everything works in harmony. We will consult with you to design a strategy to pursue all of your life goals for today and future generations.

*It starts with a conversation.
We listen, then develop a solution
tailored specifically to you, your
business and your family.*





Comprehensive Financial Planning

Our experienced wealth advisors take the time to get to know you, your family and your business. We ask questions and listen carefully in order to help you quantify and prioritize your goals. Your unique financial plan will reflect your current needs, long-term objectives and legacy wishes — and will be adjusted as circumstances change. The goal of our process is to give you peace of mind about the future by addressing:

- Investment management
- Insurance and annuities
- Estate planning
- Tax management
- Philanthropic planning
- Credit and lending



Insurance and Annuities

There are many powerful reasons to include insurance as part of an overall wealth management solution:

- Mitigate risk for unforeseen events that threaten the financial plan
- Take advantage of tax benefits versus direct transfer
- Defer taxes while growing savings
- Help preserve the estate for future generations
- Fund company buy/sell agreements
- Guarantee annual income with annuities with the potential to protect you from downside market risk and/or participate in rising markets



Multigenerational Planning

We have worked with wealthy families for nearly 100 years, and some of our client relationships extend to four generations. Our team is multigenerational by design, which enables us to understand the needs of clients at every stage of life. Our professionals can collaborate with your estate attorneys and tax professionals to ensure that your wealth transfer plans are fulfilled. We also provide:

- Education savings guidance including tax-advantaged strategies for 529 plans
- Access to solutions such as mortgages and business loans
- Family meeting coordination and communication
- Guidance to prepare the next generation for the responsibilities that wealth entails



Environmental, Social and Governance (ESG) Investing

Investors are increasingly recognizing the importance of ESG matters to the success and long-term sustainability of business. ESG covers a wide range of corporate behaviors, including: carbon emissions, waste generation, racial discrimination, labor practices, gender equality, board diversity and shareholder input to board elections.

We can tailor portfolios to guidelines, mandates and restrictions for ESG-conscious investors.



Investment Management

Since our founding and through every market cycle, our disciplined, long-term approach has been critical to helping our clients build and preserve wealth.

Philosophy

We take a top-down investment approach that emphasizes quality and growth. We have a preference to invest in companies with strong balance sheets that are leaders in their respective industries. Our investment committee develops a macroeconomic view, which informs our asset allocation.

We combine the latest technology with the insights and experience of our team to tailor investment solutions designed to build and preserve wealth.

Our Process



Tailored Solutions to Meet Your Needs

Our investment professionals benefit from top-down guidance from in-house strategists along with access to company-specific research from leading industry analysts. Client portfolios may include individual securities, model portfolios, indexed and/or actively managed ETFs, mutual funds, unit investment trusts and separately managed accounts from the industry's top managers.

We can create an account that reflects your preferences for a self-directed brokerage relationship or discretionary management and incorporate a range of actively and passively managed investment solutions, including:

- **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.



Speak to an Advisor about how
Wellington Shields can help
you pursue your goals.

Call **800-289-7443** or visit us at
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