

Aug 2009

NASDAQ Breakdown

NASDAQ National Market Top 25 Brokers	Advertised Vol (000)	% Of Total	# of Sec. Trd.
1KNIGHT	7,446,281	69.12	1149
2UBS	940,731	8.73	1088
3CITIGROUP	522,606	4.85	996
4MORGAN STANLEY	237,049	2.2	901
5GOLDMAN SACHS GROUP	214,937	2	700
6MERRILL LYNCH	203,652	1.89	941
7BARCLAYS CAPITAL INC.	127,144	1.18	633
8JPMORGAN	115,239	1.07	711
9DEUTSCHE BANK SECURITIES, IN	102,774	0.95	757
10INSTINET CORPORATION	84,429	0.78	509
11JEFFERIES & COMPANY, INC.	70,525	0.65	280
12OPPENHEIMER & CO	54,465	0.51	325
13ITG, INC.	47,144	0.44	436
14PIPER JAFFRAY & CO.	42,573	0.4	286
15BTIG - BASS TRADING	41,010	0.38	128
16CANTOR, FITZGERALD & CO., INC.	38,926	0.36	176
17MAXIM GROUP LLC	37,970	0.35	35
18RBC CAPITAL MARKETS	35,243	0.33	521
19SUSQUEHANNA INTERNATIONAL GRP.	34,710	0.32	457
20JONESTRADING INSTITUTIONAL SER	31,118	0.29	237
21COWEN & CO.	25,283	0.23	244
22LEERINK SWANN & CO.	22,115	0.21	114
23ROBERT W. BAIRD CO. INCORPORAT	20,462	0.19	270
24BNY CONVERGEX	19,758	0.18	392
25WEEDEN & COMPANY, INC.	19,703	0.18	277

NASDAQ Small Cap Market Top 25 Brokers	Advertised Vol (000)	% Of Total	# of Sec. Trd.
1KNIGHT	431,633	48.6	531
2UBS	200,528	22.58	472
3CITIGROUP	84,740	9.54	353
4GOLDMAN SACHS GROUP	21,317	2.4	168
5MORGAN STANLEY	20,317	2.29	280
6MERRILL LYNCH	16,603	1.87	281
7BARCLAYS CAPITAL INC.	10,990	1.24	94
8INSTINET CORPORATION	9,137	1.03	78
9JPMORGAN	8,764	0.99	125
10DEUTSCHE BANK SECURITIES, IN	7,181	0.81	146
11CANTOR, FITZGERALD & CO., INC.	5,971	0.67	29
12MERRIMAN CURHAN FORD & CO.	5,681	0.64	9

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13HUDSON SECURITIES	4,948	0.56	54
14BTIG - BASS TRADING	4,172	0.47	19
15WEEDEN & COMPANY, INC.	4,136	0.47	24
16ITG, INC.	3,661	0.41	69
17STIFEL NICOLAUS CAPITAL MARKET	3,620	0.41	106
18RBC CAPITAL MARKETS	3,567	0.4	107
19JONESTRADING INSTITUTIONAL SER	3,428	0.39	44
20CRT CAPITAL GROUP LLC	3,148	0.35	3
21OPPENHEIMER & CO	2,897	0.33	51
22SANFORD C. BERNSTEIN & CO., LL	2,867	0.32	9
23RAYMOND JAMES	2,414	0.27	174
24STEPHENS INC.	2,408	0.27	2
25SUSQUEHANNA INTERNATIONAL GRP.	2,182	0.25	55

NASDAQ 100 Top 25 Brokers	Advertised Vol (000)	% Of Total	# of Sec. Trd.
1KNIGHT	1,574,903	17.74	88
2UBS	1,120,805	12.62	87
3CITIGROUP	954,887	10.75	87
4MORGAN STANLEY	838,102	9.44	88
5MERRILL LYNCH	729,958	8.22	88
6BARCLAYS CAPITAL INC.	537,532	6.05	87
7DEUTSCHE BANK SECURITIES, IN	462,011	5.2	88
8JPMORGAN	439,187	4.95	88
9GOLDMAN SACHS GROUP	386,425	4.35	88
10RBC CAPITAL MARKETS	189,327	2.13	88
11INSTINET CORPORATION	177,918	2	88
12JEFFERIES & COMPANY, INC.	163,768	1.84	85
13ITG, INC.	119,158	1.34	88
14OPPENHEIMER & CO	76,727	0.86	88
15WEEDEN & COMPANY, INC.	71,674	0.81	88
16BTIG - BASS TRADING	69,753	0.79	68
17SUSQUEHANNA INTERNATIONAL GRP.	67,524	0.76	88
18PIPER JAFFRAY & CO.	61,530	0.69	86
19STIFEL NICOLAUS CAPITAL MARKET	57,536	0.65	84
20COWEN & CO.	57,396	0.65	85
21WELLS FARGO SECURITIES LLC	56,071	0.63	83
22BNY CONVERGEX	51,485	0.58	88
23RAYMOND JAMES	46,935	0.53	85
24THOMAS WEISEL PARTNERS LLC	46,587	0.52	84
25THINKEQUITY PARTNERS	42,251	0.48	46

NASDAQ National Market	Advertised	% Of	# of
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Top 25 Brokers YTD	Vol (000)	Total	Sec. Trd.
1KNIGHT	21,513,050	45.18	1232
2UBS	6,376,977	13.39	1205
3CITIGROUP	4,349,624	9.13	1176
4MORGAN STANLEY	1,897,892	3.99	1131
5MERRILL LYNCH	1,532,024	3.22	1133
6CREDIT SUISSE	1,492,723	3.13	1087
7GOLDMAN SACHS GROUP	1,252,184	2.63	967
8INSTINET CORPORATION	841,465	1.77	958
9JPMORGAN	759,665	1.6	988
10DEUTSCHE BANK SECURITIES, IN	532,275	1.12	900
11JEFFERIES & COMPANY, INC.	517,444	1.09	600
12BARCLAYS CAPITAL INC.	503,487	1.06	753
13BTIG - BASS TRADING	428,125	0.9	479
14ITG, INC.	360,338	0.76	707
15PIPER JAFFRAY & CO.	342,782	0.72	502
16OPPENHEIMER & CO	340,949	0.72	395
17COWEN & CO.	323,550	0.68	442
18CANTOR, FITZGERALD & CO., INC.	296,051	0.62	600
19RBC CAPITAL MARKETS	290,610	0.61	803
20JONESTRADING INSTITUTIONAL SER	268,207	0.56	593
21SUSQUEHANNA INTERNATIONAL GRP.	247,653	0.52	729
22WEEDEN & COMPANY, INC.	197,334	0.41	609
23LEERINK SWANN & CO.	196,298	0.41	216
24THOMAS WEISEL PARTNERS LLC	168,506	0.35	381
25STIFEL NICOLAUS CAPITAL MARKET	163,408	0.34	773

NASDAQ Small Cap Market Top 25 Brokers YTD	Advertised Vol (000)	% Of Total	# of Sec. Trd.
1KNIGHT	2,860,110	45.18	590
2UBS	1,495,518	23.63	548
3CITIGROUP	560,594	8.86	498
4GOLDMAN SACHS GROUP	185,547	2.93	312
5MORGAN STANLEY	155,341	2.45	444
6JPMORGAN	128,641	2.03	272
7MERRILL LYNCH	122,221	1.93	416
8CREDIT SUISSE	104,032	1.64	362
9INSTINET CORPORATION	78,323	1.24	215
10BTIG - BASS TRADING	60,905	0.96	84
11CANTOR, FITZGERALD & CO., INC.	49,409	0.78	105
12HUDSON SECURITIES	48,614	0.77	152
13JONESTRADING INSTITUTIONAL SER	35,471	0.56	116
14DEUTSCHE BANK SECURITIES, IN	32,719	0.52	208
15BARCLAYS CAPITAL INC.	30,941	0.49	153
16ITG, INC.	30,044	0.47	124

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17	OPPENHEIMER & CO	26,066	0.41	70
18	JEFFERIES & COMPANY, INC.	25,885	0.41	100
19	WEEDEN & COMPANY, INC.	21,935	0.35	66
20	RAYMOND JAMES	18,824	0.3	327
21	STIFEL NICOLAUS CAPITAL MARKET	17,201	0.27	239
22	RBC CAPITAL MARKETS	15,596	0.25	230
23	SUSQUEHANNA INTERNATIONAL GRP.	12,135	0.19	124
24	CRT CAPITAL GROUP LLC	11,737	0.19	7
25	JANNEY MONTGOMERY SCOTT, INC.	11,302	0.18	212

NASDAQ 100 Top 25 Brokers YTD		Advertised Vol (000)	% Of Total	# of Sec. Trd.
1	KNIGHT	13,083,233	15.2	88
2	UBS	9,019,596	10.48	88
3	CITIGROUP	8,655,597	10.06	87
4	MORGAN STANLEY	8,149,668	9.47	88
5	CREDIT SUISSE	7,756,267	9.01	88
6	MERRILL LYNCH	6,214,519	7.22	88
7	JPMORGAN	4,398,447	5.11	88
8	GOLDMAN SACHS GROUP	3,979,647	4.62	88
9	BARCLAYS CAPITAL INC.	3,372,772	3.92	88
10	DEUTSCHE BANK SECURITIES, IN	3,045,742	3.54	88
11	INSTINET CORPORATION	2,293,524	2.66	88
12	RBC CAPITAL MARKETS	2,202,217	2.56	88
13	JEFFERIES & COMPANY, INC.	1,595,434	1.85	88
14	ITG, INC.	1,167,839	1.36	88
15	COWEN & CO.	707,329	0.82	88
16	ROBERT W. BAIRD CO. INCORPORAT	622,364	0.72	88
17	WEEDEN & COMPANY, INC.	620,183	0.72	88
18	SUSQUEHANNA INTERNATIONAL GRP.	588,485	0.68	88
19	THOMAS WEISEL PARTNERS LLC	588,202	0.68	87
20	BTIG - BASS TRADING	580,209	0.67	87
21	PIPER JAFFRAY & CO.	572,059	0.66	88
22	SANFORD C. BERNSTEIN COMPANY,	548,767	0.64	88
23	BNY CONVERGEX	534,953	0.62	88
24	OPPENHEIMER & CO	529,367	0.62	88
25	STIFEL NICOLAUS CAPITAL MARKET	474,961	0.55	88

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