



Nov 2009
Breakdown

NASDAQ

NASDAQ National Market Top 25 Brokers	Advertised Vol (000)	% Of Total	# of Sec. Trd.
1KNIGHT	1,441,022	33.97	1139
2UBS	686,935	16.19	1084
3CITIGROUP	366,472	8.64	978
4MORGAN STANLEY	267,352	6.3	917
5MERRILL LYNCH	198,164	4.67	917
6BARCLAYS CAPITAL INC.	167,804	3.96	682
7INSTINET	117,468	2.77	519
8JPMORGAN	106,438	2.51	676
9DEUTSCHE BANK SECURITIES, IN	104,171	2.46	717
10JEFFERIES & COMPANY, INC.	54,826	1.29	401
11GOLDMAN SACHS GROUP	51,290	1.21	787
12OPPENHEIMER & CO	49,897	1.18	331
13JONESTRADING INSTITUTIONAL SER	49,708	1.17	206
14ITG, INC.	46,079	1.09	430
15RBC CAPITAL MARKETS	42,671	1.01	541
16CANTOR, FITZGERALD & CO., INC.	38,113	0.9	211
17PIPER JAFFRAY & CO.	32,095	0.76	281
18BTIG - BASS TRADING	31,984	0.75	162
19LEERINK SWANN & CO.	28,979	0.68	116
20COWEN & CO.	26,805	0.63	264
21WEEDEN & COMPANY, INC.	24,635	0.58	330
22SUSQUEHANNA INTERNATIONAL GRP.	18,761	0.44	322
23RAYMOND JAMES	18,413	0.43	438
24BNY CONVERGEX	17,400	0.41	313
25HUDSON SECURITIES	15,822	0.37	202

NASDAQ Small Cap Market Top 25 Brokers	Advertised Vol (000)	% Of Total	# of Sec. Trd.
1KNIGHT	444,098	50.14	542
2UBS	181,774	20.52	466
3CITIGROUP	70,749	7.99	368
4MORGAN STANLEY	29,595	3.34	290
5MERRILL LYNCH	20,322	2.29	278
6ROBERT W. BAIRD CO. INCORPORAT	13,678	1.54	64
7INSTINET	13,098	1.48	101
8BARCLAYS CAPITAL INC.	12,411	1.4	99
9DEUTSCHE BANK SECURITIES, IN	10,917	1.23	147
10JEFFERIES & COMPANY, INC.	10,406	1.17	65
11JPMORGAN	10,187	1.15	141

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12	OPPENHEIMER & CO	7,290	0.82	60
13	HUDSON SECURITIES	4,648	0.52	73
14	GOLDMAN SACHS GROUP	4,594	0.52	181
15	JONESTRADING INSTITUTIONAL SER	4,261	0.48	32
16	ITG, INC.	4,162	0.47	54
17	CANTOR, FITZGERALD & CO., INC.	3,791	0.43	30
18	BTIG - BASS TRADING	2,899	0.33	24
19	WEEDEN & COMPANY, INC.	2,839	0.32	40
20	STIFEL NICOLAUS CAPITAL MARKET	2,755	0.31	107
21	BNY CONVERGEX	2,681	0.3	40
22	RBC CAPITAL MARKETS	2,472	0.28	74
23	STEPHENS INC.	1,966	0.22	6
24	ROTH CAPITAL PARTNERS, LLC	1,881	0.21	11
25	SUSQUEHANNA INTERNATIONAL GRP.	1,813	0.2	36

NASDAQ 100 Top 25 Brokers		Advertised Vol (000)	% Of Total	# of Sec. Trd.
1	KNIGHT	1,139,039	14.74	86
2	CITIGROUP	824,631	10.67	86
3	UBS	799,098	10.34	85
4	MERRILL LYNCH	780,281	10.1	86
5	MORGAN STANLEY	779,831	10.09	86
6	BARCLAYS CAPITAL INC.	568,972	7.36	86
7	JPMORGAN	440,728	5.7	86
8	DEUTSCHE BANK SECURITIES, IN	426,202	5.52	86
9	GOLDMAN SACHS GROUP	320,067	4.14	86
10	INSTINET	253,513	3.28	86
11	RBC CAPITAL MARKETS	168,482	2.18	86
12	JEFFERIES & COMPANY, INC.	144,769	1.87	85
13	ITG, INC.	89,746	1.16	85
14	BNY CONVERGEX	84,579	1.09	85
15	COWEN & CO.	77,073	1	83
16	SANFORD C. BERNSTEIN & CO., LL	68,229	0.88	82
17	SUSQUEHANNA INTERNATIONAL GRP.	66,697	0.86	84
18	WEEDEN & COMPANY, INC.	62,454	0.81	84
19	BTIG - BASS TRADING	50,635	0.66	75
20	OPPENHEIMER & CO	45,520	0.59	84
21	STIFEL NICOLAUS CAPITAL MARKET	43,554	0.56	78
22	ROBERT W. BAIRD CO. INCORPORAT	40,110	0.52	79
23	WELLS FARGO SECURITIES LLC	38,754	0.5	82
24	PIPER JAFFRAY & CO.	37,385	0.48	84
25	THOMAS WEISEL PARTNERS LLC	27,756	0.36	74



NASDAQ National Market Top 25 Brokers YTD	Advertised Vol (000)	% Of Total	# of Sec. Trd.
1KNIGHT	27,230,809	42.58	1261
2UBS	9,062,091	14.17	1232
3CITIGROUP	5,848,005	9.14	1204
4MORGAN STANLEY	2,866,803	4.48	1164
5MERRILL LYNCH	2,217,581	3.47	1167
6CREDIT SUISSE	1,492,839	2.33	1089
7GOLDMAN SACHS GROUP	1,438,467	2.25	1096
8JPMORGAN	1,163,023	1.82	1031
9BARCLAYS CAPITAL INC.	1,106,441	1.73	864
10DEUTSCHE BANK SECURITIES, IN	920,992	1.44	1057
11INSTINET CORPORATION	841,465	1.32	958
12JEFFERIES & COMPANY, INC.	740,798	1.16	689
13INSTINET	581,114	0.91	959
14BTIG - BASS TRADING	575,040	0.9	554
15OPPENHEIMER & CO	517,565	0.81	427
16ITG, INC.	494,892	0.77	755
17PIPER JAFFRAY & CO.	472,928	0.74	558
18CANTOR, FITZGERALD & CO., INC.	428,081	0.67	694
19RBC CAPITAL MARKETS	423,280	0.66	882
20COWEN & CO.	419,637	0.66	516
21JONESTRADING INSTITUTIONAL SER	393,887	0.62	656
22SUSQUEHANNA INTERNATIONAL GRP.	317,919	0.5	765
23LEERINK SWANN & CO.	296,498	0.46	252
24WEEDEN & COMPANY, INC.	271,389	0.42	687
25THOMAS WEISEL PARTNERS LLC	226,508	0.35	473

NASDAQ Small Cap Market Top 25 Brokers YTD	Advertised Vol (000)	% Of Total	# of Sec. Trd.
1KNIGHT	4,485,255	46.93	613
2UBS	2,205,935	23.08	572
3CITIGROUP	838,168	8.77	534
4MORGAN STANLEY	243,538	2.55	491
5GOLDMAN SACHS GROUP	200,401	2.1	401
6MERRILL LYNCH	185,633	1.94	438
7JPMORGAN	158,428	1.66	305
8CREDIT SUISSE	104,618	1.09	363
9BARCLAYS CAPITAL INC.	84,796	0.89	193
10INSTINET CORPORATION	78,355	0.82	215
11BTIG - BASS TRADING	76,643	0.8	106
12CANTOR, FITZGERALD & CO., INC.	69,888	0.73	126
13INSTINET	64,797	0.68	267
14HUDSON SECURITIES	64,389	0.67	208
15DEUTSCHE BANK SECURITIES, IN	62,874	0.66	339

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16	JEFFERIES & COMPANY, INC.	49,051	0.51	141
17	OPPENHEIMER & CO	46,805	0.49	81
18	JONESTRADING INSTITUTIONAL SER	44,556	0.47	138
19	ITG, INC.	40,315	0.42	142
20	WEEDEN & COMPANY, INC.	29,152	0.3	93
21	ROBERT W. BAIRD CO. INCORPORAT	28,723	0.3	238
22	STIFEL NICOLAUS CAPITAL MARKET	28,056	0.29	273
23	RAYMOND JAMES	27,598	0.29	361
24	RBC CAPITAL MARKETS	23,513	0.25	274
25	MERRIMAN CURHAN FORD & CO.	17,661	0.18	41

NASDAQ 100	Advertised	% Of	# of	
Top 25 Brokers YTD	Vol (000)	Total	Sec. Trd.	
1	KNIGHT	17,297,014	15.12	88
2	UBS	11,818,681	10.33	88
3	CITIGROUP	11,770,576	10.29	88
4	MORGAN STANLEY	11,047,732	9.65	88
5	MERRILL LYNCH	8,850,960	7.73	88
6	CREDIT SUISSE	7,767,583	6.79	88
7	JPMORGAN	6,017,284	5.26	88
8	BARCLAYS CAPITAL INC.	5,477,616	4.79	88
9	GOLDMAN SACHS GROUP	5,117,067	4.47	88
10	DEUTSCHE BANK SECURITIES, IN	4,557,417	3.98	88
11	RBC CAPITAL MARKETS	2,812,423	2.46	88
12	INSTINET CORPORATION	2,293,524	2	88
13	JEFFERIES & COMPANY, INC.	2,120,136	1.85	88
14	ITG, INC.	1,467,634	1.28	88
15	INSTINET	1,262,426	1.1	88
16	COWEN & CO.	908,478	0.79	88
17	SUSQUEHANNA INTERNATIONAL GRP.	834,661	0.73	88
18	WEEDEN & COMPANY, INC.	833,937	0.73	88
19	BTIG - BASS TRADING	794,777	0.69	87
20	BNY CONVERGEX	755,628	0.66	88
21	ROBERT W. BAIRD CO. INCORPORAT	747,038	0.65	88
22	THOMAS WEISEL PARTNERS LLC	728,411	0.64	87
23	PIPER JAFFRAY & CO.	723,344	0.63	88
24	OPPENHEIMER & CO	706,166	0.62	88
25	STIFEL NICOLAUS CAPITAL MARKET	650,001	0.57	88