



Oct 2009
Breakdown

NASDAQ

NASDAQ National Market Top 25 Brokers	Advertised Vol (000)	% Of Total	# of Sec. Trd.
1KNIGHT	2,026,145	34.24	1146
2UBS	951,443	16.08	1085
3CITIGROUP	545,685	9.22	983
4MORGAN STANLEY	366,722	6.2	904
5MERRILL LYNCH	259,703	4.39	931
6BARCLAYS CAPITAL INC.	237,847	4.02	689
7INSTINET	160,996	2.72	540
8JPMORGAN	157,397	2.66	675
9DEUTSCHE BANK SECURITIES, IN	148,046	2.5	653
10JEFFERIES & COMPANY, INC.	83,000	1.4	320
11GOLDMAN SACHS GROUP	71,811	1.21	814
12OPPENHEIMER & CO	65,921	1.11	345
13BTIG - BASS TRADING	61,660	1.04	204
14RBC CAPITAL MARKETS	52,202	0.88	637
15JONESTRADING INSTITUTIONAL SER	49,902	0.84	219
16CANTOR, FITZGERALD & CO., INC.	47,823	0.81	255
17PIPER JAFFRAY & CO.	47,052	0.8	280
18ITG, INC.	44,040	0.74	392
19COWEN & CO.	38,068	0.64	262
20LEERINK SWANN & CO.	36,382	0.61	126
21WEEDEN & COMPANY, INC.	30,788	0.52	309
22BB&T CAPITAL MARKETS	27,078	0.46	116
23BNY CONVERGEX	25,756	0.44	347
24LAZARD CAPITAL MARKETS	24,150	0.41	67
25RAYMOND JAMES	23,782	0.4	471

NASDAQ Small Cap Market Top 25 Brokers	Advertised Vol (000)	% Of Total	# of Sec. Trd.
1KNIGHT	499,109	48.98	543
2UBS	225,055	22.09	468
3CITIGROUP	87,453	8.58	348
4MORGAN STANLEY	29,862	2.93	288
5BARCLAYS CAPITAL INC.	21,564	2.12	110
6MERRILL LYNCH	19,800	1.94	271
7INSTINET	16,077	1.58	109
8JPMORGAN	9,707	0.95	130
9CANTOR, FITZGERALD & CO., INC.	9,424	0.92	29
10DEUTSCHE BANK SECURITIES, IN	9,049	0.89	119
11OPPENHEIMER & CO	8,192	0.8	56

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12	JEFFERIES & COMPANY, INC.	7,836	0.77	48
13	BTIG - BASS TRADING	6,690	0.66	35
14	GOLDMAN SACHS GROUP	5,281	0.52	228
15	ROBERT W. BAIRD CO. INCORPORAT	5,243	0.51	59
16	HUDSON SECURITIES	4,409	0.43	61
17	STEPHENS INC.	3,730	0.37	6
18	STIFEL NICOLAUS CAPITAL MARKET	3,690	0.36	120
19	ITG, INC.	3,385	0.33	49
20	RBC CAPITAL MARKETS	2,977	0.29	132
21	RAYMOND JAMES	2,874	0.28	116
22	JONESTRADING INSTITUTIONAL SER	2,852	0.28	41
23	WEEDEN & COMPANY, INC.	2,640	0.26	26
24	D.A. DAVIDSON & CO.	2,466	0.24	7
25	CRT CAPITAL GROUP LLC	1,996	0.2	2

NASDAQ 100 Top 25 Brokers	Advertised Vol (000)	% Of Total	# of Sec. Trd.	
1	KNIGHT	1,613,541	14.65	88
2	CITIGROUP	1,307,488	11.87	88
3	MORGAN STANLEY	1,216,042	11.04	88
4	MERRILL LYNCH	1,112,372	10.1	88
5	UBS	1,032,777	9.38	87
6	BARCLAYS CAPITAL INC.	847,412	7.69	87
7	JPMORGAN	618,068	5.61	88
8	DEUTSCHE BANK SECURITIES, IN	534,016	4.85	88
9	GOLDMAN SACHS GROUP	418,637	3.8	88
10	INSTINET	371,767	3.37	88
11	JEFFERIES & COMPANY, INC.	229,773	2.09	86
12	RBC CAPITAL MARKETS	223,230	2.03	88
13	SANFORD C. BERNSTEIN & CO., LL	94,548	0.86	85
14	SUSQUEHANNA INTERNATIONAL GRP.	90,026	0.82	86
15	ITG, INC.	89,032	0.81	87
16	BTIG - BASS TRADING	85,003	0.77	77
17	WELLS FARGO SECURITIES LLC	76,981	0.7	86
18	OPPENHEIMER & CO	73,338	0.67	88
19	STIFEL NICOLAUS CAPITAL MARKET	72,850	0.66	85
20	BNY CONVERGEX	70,814	0.64	88
21	COWEN & CO.	66,045	0.6	82
22	PIPER JAFFRAY & CO.	65,939	0.6	85
23	WEEDEN & COMPANY, INC.	61,132	0.55	88
24	THOMAS WEISEL PARTNERS LLC	54,639	0.5	85
25	ROBERT W. BAIRD CO. INCORPORAT	52,681	0.48	83



NASDAQ National Market Top 25 Brokers YTD	Advertised Vol (000)	% Of Total	# of Sec. Trd.
1KNIGHT	25,789,788	43.19	1251
2UBS	8,375,156	14.03	1224
3CITIGROUP	5,481,533	9.18	1198
4MORGAN STANLEY	2,599,452	4.35	1153
5MERRILL LYNCH	2,019,417	3.38	1160
6CREDIT SUISSE	1,492,839	2.5	1089
7GOLDMAN SACHS GROUP	1,387,178	2.32	1065
8JPMORGAN	1,056,585	1.77	1019
9BARCLAYS CAPITAL INC.	938,637	1.57	830
10INSTINET CORPORATION	841,465	1.41	958
11DEUTSCHE BANK SECURITIES, IN	816,820	1.37	1052
12JEFFERIES & COMPANY, INC.	685,972	1.15	648
13BTIG - BASS TRADING	543,056	0.91	535
14OPPENHEIMER & CO	467,668	0.78	419
15INSTINET	463,646	0.78	948
16ITG, INC.	448,812	0.75	737
17PIPER JAFFRAY & CO.	440,833	0.74	541
18COWEN & CO.	392,833	0.66	491
19CANTOR, FITZGERALD & CO., INC.	389,968	0.65	675
20RBC CAPITAL MARKETS	380,608	0.64	877
21JONESTRADING INSTITUTIONAL SER	344,179	0.58	631
22SUSQUEHANNA INTERNATIONAL GRP.	299,158	0.5	755
23LEERINK SWANN & CO.	267,519	0.45	242
24WEEDEN & COMPANY, INC.	246,753	0.41	651
25THOMAS WEISEL PARTNERS LLC	211,817	0.35	463

NASDAQ Small Cap Market Top 25 Brokers YTD	Advertised Vol (000)	% Of Total	# of Sec. Trd.
1KNIGHT	4,041,157	46.6	605
2UBS	2,024,161	23.34	565
3CITIGROUP	767,419	8.85	519
4MORGAN STANLEY	213,943	2.47	475
5GOLDMAN SACHS GROUP	195,807	2.26	382
6MERRILL LYNCH	165,311	1.91	432
7JPMORGAN	148,241	1.71	295
8CREDIT SUISSE	104,618	1.21	363
9INSTINET CORPORATION	78,355	0.9	215
10BTIG - BASS TRADING	73,744	0.85	100
11BARCLAYS CAPITAL INC.	72,385	0.83	183
12CANTOR, FITZGERALD & CO., INC.	66,097	0.76	120
13HUDSON SECURITIES	59,741	0.69	192
14DEUTSCHE BANK SECURITIES, IN	51,957	0.6	333
15INSTINET	51,699	0.6	254

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16	JONESTRADING INSTITUTIONAL SER	40,295	0.46	134
17	OPPENHEIMER & CO	39,514	0.46	77
18	JEFFERIES & COMPANY, INC.	38,644	0.45	118
19	ITG, INC.	36,154	0.42	136
20	WEEDEN & COMPANY, INC.	26,313	0.3	78
21	RAYMOND JAMES	25,916	0.3	351
22	STIFEL NICOLAUS CAPITAL MARKET	25,301	0.29	264
23	RBC CAPITAL MARKETS	21,041	0.24	271
24	MERRIMAN CURHAN FORD & CO.	16,161	0.19	38
25	CRT CAPITAL GROUP LLC	15,393	0.18	8

NASDAQ 100	Advertised	% Of	# of	
Top 25 Brokers YTD	Vol (000)	Total	Sec. Trd.	
1	KNIGHT	16,157,975	15.14	88
2	UBS	11,019,582	10.33	88
3	CITIGROUP	10,945,945	10.26	88
4	MORGAN STANLEY	10,267,901	9.62	88
5	MERRILL LYNCH	8,070,679	7.56	88
6	CREDIT SUISSE	7,764,425	7.28	88
7	JPMORGAN	5,576,556	5.23	88
8	BARCLAYS CAPITAL INC.	4,908,643	4.6	88
9	GOLDMAN SACHS GROUP	4,796,999	4.5	88
10	DEUTSCHE BANK SECURITIES, IN	4,131,215	3.87	88
11	RBC CAPITAL MARKETS	2,643,941	2.48	88
12	INSTINET CORPORATION	2,293,524	2.15	88
13	JEFFERIES & COMPANY, INC.	1,975,367	1.85	88
14	ITG, INC.	1,377,888	1.29	88
15	INSTINET	1,008,913	0.95	88
16	COWEN & CO.	831,406	0.78	88
17	WEEDEN & COMPANY, INC.	771,484	0.72	88
18	SUSQUEHANNA INTERNATIONAL GRP.	767,964	0.72	88
19	BTIG - BASS TRADING	744,143	0.7	87
20	ROBERT W. BAIRD CO. INCORPORAT	706,928	0.66	88
21	THOMAS WEISEL PARTNERS LLC	700,655	0.66	87
22	PIPER JAFFRAY & CO.	685,960	0.64	88
23	BNY CONVERGEX	671,050	0.63	88
24	OPPENHEIMER & CO	660,647	0.62	88
25	STIFEL NICOLAUS CAPITAL MARKET	606,447	0.57	88

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