



Sept 2009  
Breakdown

NASDAQ

<b>NASDAQ National Market Top 25 Brokers</b>	<b>Advertised Vol (000)</b>	<b>% Of Total</b>	<b># of Sec. Trd.</b>
1KNIGHT	2,250,011	37.45	1147
2UBS	1,046,602	17.42	1091
3CITIGROUP	586,187	9.76	993
4MORGAN STANLEY	334,802	5.57	890
5MERRILL LYNCH	227,494	3.79	938
6BARCLAYS CAPITAL INC.	197,293	3.28	671
7INSTINET	140,858	2.34	516
8JPMORGAN	139,515	2.32	690
9DEUTSCHE BANK SECURITIES, IN	136,499	2.27	965
10JEFFERIES & COMPANY, INC.	85,528	1.42	310
11GOLDMAN SACHS GROUP	63,181	1.05	719
12OPPENHEIMER & CO	60,799	1.01	332
13BTIG - BASS TRADING	53,270	0.89	157
14PIPER JAFFRAY & CO.	50,999	0.85	291
15CANTOR, FITZGERALD & CO., INC.	46,094	0.77	223
16ITG, INC.	44,434	0.74	415
17RBC CAPITAL MARKETS	37,797	0.63	587
18LEERINK SWANN & CO.	34,839	0.58	130
19COWEN & CO.	31,215	0.52	279
20SUSQUEHANNA INTERNATIONAL GRP.	28,963	0.48	469
21JONESTRADING INSTITUTIONAL SER	26,028	0.43	191
22RAYMOND JAMES	25,141	0.42	570
23STIFEL NICOLAUS CAPITAL MARKET	24,856	0.41	422
24JMP SECURITIES	23,953	0.4	52
25THOMAS WEISEL PARTNERS LLC	23,324	0.39	204

<b>NASDAQ Small Cap Market Top 25 Brokers</b>	<b>Advertised Vol (000)</b>	<b>% Of Total</b>	<b># of Sec. Trd.</b>
1KNIGHT	681,784	52.35	534
2UBS	300,879	23.1	461
3CITIGROUP	119,261	9.16	343
4MORGAN STANLEY	29,004	2.23	280
5MERRILL LYNCH	23,290	1.79	276
6BARCLAYS CAPITAL INC.	19,903	1.53	118
7INSTINET	18,221	1.4	115
8DEUTSCHE BANK SECURITIES, IN	10,314	0.79	301
9JPMORGAN	9,732	0.75	142
10CANTOR, FITZGERALD & CO., INC.	7,309	0.56	39
11HUDSON SECURITIES	6,688	0.51	75
12BTIG - BASS TRADING	6,149	0.47	23

NOTE: \*\* Indicates a broker who is not certified to the AutEx Trade Reporting Rules and Charter.  
## Indicates a broker with certification pending.  
Visit the Sales and Trading Group web site for more information on reporting rules.  
<http://www.salesandtradinggroup.com>

13	OPPENHEIMER & CO	5,256	0.4	55
14	GOLDMAN SACHS GROUP	5,053	0.39	155
15	JEFFERIES & COMPANY, INC.	4,928	0.38	43
16	STIFEL NICOLAUS CAPITAL MARKET	4,410	0.34	116
17	RAYMOND JAMES	4,218	0.32	164
18	MERRIMAN CURHAN FORD & CO.	3,612	0.28	11
19	ITG, INC.	2,734	0.21	47
20	STEPHENS INC.	2,461	0.19	5
21	BNY CONVERGEX	2,321	0.18	41
22	RBC CAPITAL MARKETS	2,298	0.18	125
23	MAXIM GROUP LLC	2,183	0.17	23
24	JONESTRADING INSTITUTIONAL SER	2,178	0.17	34
25	ROBERT W. BAIRD CO. INCORPORAT	1,839	0.14	65

<b>NASDAQ 100 Top 25 Brokers</b>		<b>Advertised Vol (000)</b>	<b>% Of Total</b>	<b># of Sec. Trd.</b>
1	KNIGHT	1,461,201	16.26	88
2	CITIGROUP	982,860	10.93	88
3	UBS	967,210	10.76	87
4	MORGAN STANLEY	902,191	10.04	88
5	MERRILL LYNCH	743,789	8.27	88
6	BARCLAYS CAPITAL INC.	688,459	7.66	88
7	JPMORGAN	560,041	6.23	88
8	DEUTSCHE BANK SECURITIES, IN	551,457	6.14	88
9	GOLDMAN SACHS GROUP	398,715	4.44	88
10	RBC CAPITAL MARKETS	218,495	2.43	88
11	JEFFERIES & COMPANY, INC.	150,160	1.67	88
12	ITG, INC.	121,018	1.35	87
13	WEEDEN & COMPANY, INC.	90,168	1	87
14	SUSQUEHANNA INTERNATIONAL GRP.	89,453	1	87
15	BTIG - BASS TRADING	78,931	0.88	74
16	SANFORD C. BERNSTEIN & CO., LL	78,593	0.87	87
17	BNY CONVERGEX	65,283	0.73	88
18	WELLS FARGO SECURITIES LLC	60,200	0.67	83
19	STIFEL NICOLAUS CAPITAL MARKET	58,636	0.65	87
20	COWEN & CO.	58,031	0.65	88
21	OPPENHEIMER & CO	57,942	0.64	87
22	THOMAS WEISEL PARTNERS LLC	57,815	0.64	84
23	PIPER JAFFRAY & CO.	47,962	0.53	87
24	CANTOR, FITZGERALD & CO., INC.	36,085	0.4	76
25	ROBERT W. BAIRD CO. INCORPORAT	31,883	0.35	84

<b>NASDAQ National Market</b>	<b>Advertised</b>	<b>% Of</b>	<b># of</b>
-------------------------------	-------------------	-------------	-------------



<b>Top 25 Brokers YTD</b>	<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1KNIGHT	23,763,642	44.18	1243
2UBS	7,423,713	13.8	1218
3CITIGROUP	4,935,848	9.18	1187
4MORGAN STANLEY	2,232,730	4.15	1145
5MERRILL LYNCH	1,759,715	3.27	1149
6CREDIT SUISSE	1,492,798	2.78	1089
7GOLDMAN SACHS GROUP	1,315,367	2.45	1006
8JPMORGAN	899,188	1.67	1006
9INSTINET CORPORATION	841,465	1.56	958
10BARCLAYS CAPITAL INC.	700,790	1.3	796
11DEUTSCHE BANK SECURITIES, IN	668,775	1.24	1046
12JEFFERIES & COMPANY, INC.	602,972	1.12	621
13BTIG - BASS TRADING	481,395	0.89	511
14ITG, INC.	404,772	0.75	724
15OPPENHEIMER & CO	401,748	0.75	408
16PIPER JAFFRAY & CO.	393,781	0.73	528
17COWEN & CO.	354,765	0.66	479
18CANTOR, FITZGERALD & CO., INC.	342,145	0.64	625
19RBC CAPITAL MARKETS	328,406	0.61	836
20INSTINET	302,650	0.56	938
21JONESTRADING INSTITUTIONAL SER	294,277	0.55	616
22SUSQUEHANNA INTERNATIONAL GRP.	276,616	0.51	749
23LEERINK SWANN & CO.	231,136	0.43	235
24WEEDEN & COMPANY, INC.	215,965	0.4	635
25THOMAS WEISEL PARTNERS LLC	191,830	0.36	424

<b>NASDAQ Small Cap Market</b>	<b>Advertised</b>	<b>% Of</b>	<b># of</b>
<b>Top 25 Brokers YTD</b>	<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1KNIGHT	3,542,048	46.28	593
2UBS	1,799,106	23.51	553
3CITIGROUP	679,966	8.88	505
4GOLDMAN SACHS GROUP	190,526	2.49	338
5MORGAN STANLEY	184,081	2.41	455
6MERRILL LYNCH	145,511	1.9	425
7JPMORGAN	138,534	1.81	285
8CREDIT SUISSE	104,618	1.37	363
9INSTINET CORPORATION	78,355	1.02	215
10BTIG - BASS TRADING	67,054	0.88	90
11CANTOR, FITZGERALD & CO., INC.	56,674	0.74	116
12HUDSON SECURITIES	55,333	0.72	179
13BARCLAYS CAPITAL INC.	50,820	0.66	169
14DEUTSCHE BANK SECURITIES, IN	42,908	0.56	329
15JONESTRADING INSTITUTIONAL SER	37,443	0.49	124

NOTE: \*\* Indicates a broker who is not certified to the AutEx Trade Reporting Rules and Charter.  
 ## Indicates a broker with certification pending.  
 Visit the Sales and Trading Group web site for more information on reporting rules.  
<http://www.salesandtradinggroup.com>

16	INSTINET	35,622	0.47	235
17	ITG, INC.	32,768	0.43	130
18	OPPENHEIMER & CO	31,322	0.41	74
19	JEFFERIES & COMPANY, INC.	30,808	0.4	108
20	WEEDEN & COMPANY, INC.	23,673	0.31	71
21	RAYMOND JAMES	23,042	0.3	345
22	STIFEL NICOLAUS CAPITAL MARKET	21,611	0.28	251
23	RBC CAPITAL MARKETS	18,064	0.24	256
24	MERRIMAN CURHAN FORD & CO.	14,721	0.19	33
25	CRT CAPITAL GROUP LLC	13,397	0.18	7

<b>NASDAQ 100</b>		<b>Advertised</b>	<b>% Of</b>	<b># of</b>
<b>Top 25 Brokers YTD</b>		<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1	KNIGHT	14,544,434	15.3	88
2	UBS	9,986,805	10.51	88
3	CITIGROUP	9,638,457	10.14	88
4	MORGAN STANLEY	9,051,860	9.52	88
5	CREDIT SUISSE	7,757,951	8.16	88
6	MERRILL LYNCH	6,958,308	7.32	88
7	JPMORGAN	4,958,488	5.22	88
8	GOLDMAN SACHS GROUP	4,378,363	4.61	88
9	BARCLAYS CAPITAL INC.	4,061,231	4.27	88
10	DEUTSCHE BANK SECURITIES, IN	3,597,199	3.78	88
11	RBC CAPITAL MARKETS	2,420,712	2.55	88
12	INSTINET CORPORATION	2,293,524	2.41	88
13	JEFFERIES & COMPANY, INC.	1,745,594	1.84	88
14	ITG, INC.	1,288,857	1.36	88
15	COWEN & CO.	765,361	0.81	88
16	WEEDEN & COMPANY, INC.	710,351	0.75	88
17	SUSQUEHANNA INTERNATIONAL GRP.	677,938	0.71	88
18	BTIG - BASS TRADING	659,139	0.69	87
19	ROBERT W. BAIRD CO. INCORPORAT	654,247	0.69	88
20	THOMAS WEISEL PARTNERS LLC	646,017	0.68	87
21	PIPER JAFFRAY & CO.	620,021	0.65	88
22	BNY CONVERGEX	600,236	0.63	88
23	OPPENHEIMER & CO	587,309	0.62	88
24	SANFORD C. BERNSTEIN COMPANY,	548,786	0.58	88
25	STIFEL NICOLAUS CAPITAL MARKET	533,597	0.56	88