



Sept 2009 YTD
Special Insert

NASDAQ - National Market & Small Cap Market		
Top 25 (Securities Traded 1-100)	Adv. Vol. (000)	# of Stocks
1MILLER TABAK HIRSCH AND COMPAN	1,525	2
2FELTL & COMPANY	1,407	70
3KEPLER EQUITIES	1,029	6
4AUTEX	750	2
5MORGAN STANLEY EUROPE	662	16
6NOMURA	598	26
7CAZENOVE SECURITIES	497	18
8ING FINANCIAL MARKETS	467	10
9SANDERS MORRIS HARRIS	448	41
10EXANE BNP PARIBAS	369	3
11ABEL NOSER CORP	296	68
12RESOLUTE CAPITAL MARKETS	238	2
13MAGNA SECURITIES CORP.	233	36
14EVOLUTION SECURITIES	220	2
15AURIGA USA	219	34
16LADENBURG THALMANN & CO., INC	217	34
17HUNTLEIGH SECURITIES CORP.	203	15
18PACIFIC CREST SECURITIES	146	53
19TRISTONE CAPITAL INC.	134	46
20B. RILEY AND CO	134	67
21GREEN STREET ADVISORS	123	25
22Melvin Securities	122	8
23HEFLIN & CO., LLC	116	7
24THE BUCKINGHAM RESEARCH GROUP,	108	88
25DAVENPORT & COMPANY	107	29

NASDAQ - National Market & Small Cap Market		
Top 25 (Securities Traded 1-250)	Adv. Vol. (000)	# of Stocks
1MILLER TABAK HIRSCH AND COMPAN	1,525	2
2CRAIG-HALLUM CAPITAL GROUP	1,408	130
3FELTL & COMPANY	1,407	70
4CRT CAPITAL GROUP LLC	1,124	229
5KEPLER EQUITIES	1,029	6
6AUTEX	750	2
7MORGAN STANLEY EUROPE	662	16
8NOMURA	598	26
9CAZENOVE SECURITIES	497	18
10ING FINANCIAL MARKETS	467	10
11NORTHLAND SECURITIES	452	170
12SANDERS MORRIS HARRIS	448	41
13EXANE BNP PARIBAS	369	3

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14	ABN-AMRO	330	184
15	DOUGHERTY & COMPANY LLC	304	105
16	ABEL NOSER CORP	296	68
17	OTA OFF THE RECORD RESEARCH	265	176
18	RESOLUTE CAPITAL MARKETS	238	2
19	MAGNA SECURITIES CORP.	233	36
20	EVOLUTION SECURITIES	220	2
21	AURIGA USA	219	34
22	LADENBURG THALMANN & CO., INC	217	34
23	SIMMONS AND COMPANY INTERNATIO	210	173
24	HUNTLEIGH SECURITIES CORP.	203	15
25	PACIFIC GROWTH EQUITIES	172	116

NASDAQ - National Market & Small Cap			
Market		Adv.	# of
Top 25 (Securities Traded 1-500)		Vol. (000)	Stocks
1	MILLER TABAK HIRSCH AND COMPAN	1,525	2
2	CRAIG-HALLUM CAPITAL GROUP	1,408	130
3	FELTL & COMPANY	1,407	70
4	CRT CAPITAL GROUP LLC	1,124	229
5	KEPLER EQUITIES	1,029	6
6	BMO CAPITAL MARKETS	811	409
7	AUTEX	750	2
8	MORGAN STANLEY EUROPE	662	16
9	NOMURA	598	26
10	CAZENOVE SECURITIES	497	18
11	ING FINANCIAL MARKETS	467	10
12	NORTHLAND SECURITIES	452	170
13	SANDERS MORRIS HARRIS	448	41
14	AMERICAN TECHNOLOGY RESEARCH	427	292
15	FOX-PITT KELTON, INC.	405	432
16	EXANE BNP PARIBAS	369	3
17	CALYON SECURITIES USA	366	326
18	ABN-AMRO	330	184
19	AVIAN SECURITIES	324	286
20	DOUGHERTY & COMPANY LLC	304	105
21	ABEL NOSER CORP	296	68
22	AVONDALE PARTNERS	267	328
23	OTA OFF THE RECORD RESEARCH	265	176
24	DAHLMAN ROSE & CO., LLC.	263	316
25	RESOLUTE CAPITAL MARKETS	238	2

NASDAQ - National Market & Small Cap			
Market		Adv.	# of
Top 25 (Securities Traded 1-750)		Vol. (000)	Stocks
1	MILLER TABAK HIRSCH AND COMPAN	1,525	2



2CRAIG-HALLUM CAPITAL GROUP	1,408	130
3FELTL & COMPANY	1,407	70
4CRT CAPITAL GROUP LLC	1,124	229
5KEPLER EQUITIES	1,029	6
6LEERINK SWANN & CO.	935	589
7JMP SECURITIES	876	580
8BMO CAPITAL MARKETS	811	409
9WEDBUSH MORGAN SECURITIES	793	653
10AUTEX	750	2
11THINKEQUITY PARTNERS	734	694
12MORGAN STANLEY EUROPE	662	16
13WACHOVIA SECURITIES	632	630
14NOMURA	598	26
15WELLS FARGO SECURITIES LLC	568	572
16CAZENOVE SECURITIES	497	18
17ING FINANCIAL MARKETS	467	10
18NORTHLAND SECURITIES	452	170
19SANDERS MORRIS HARRIS	448	41
20MORGAN KEEGAN & CO., INC.	446	698
21SANDLER O'NEILL & PARTNERS, L.	445	616
22AMERICAN TECHNOLOGY RESEARCH	427	292
23KEYBANC CAPITAL MARKETS INC.	421	606
24FOX-PITT KELTON, INC.	405	432
25D.A. DAVIDSON & CO.	370	592

Listed Brokers	Adv.	# of
Top 25 (Securities Traded 1-500)	Vol. (000)	Stocks
1CARIS & COMPANY	1,753	1
2CRAIG-HALLUM CAPITAL GROUP	1,331	1
3ING FINANCIAL MARKETS	1,001	1
4CAZENOVE SECURITIES	978	1
5GREEN STREET ADVISORS	834	1
6HILL THOMPSON MAGID CO. INC.	815	1
7SHORE CAPITAL STOCKBROKERS LTD	626	1
8NUMIS SECURITIES LIMITED	474	2
9MORGAN STANLEY EUROPE	464	2
10MILLER TABAK HIRSCH AND COMPAN	446	2
11AUTEX	420	3
12THINKEQUITY PARTNERS	410	3
13NOMURA	394	5
14ARBUTHNOT	392	6
15HUNTLEIGH SECURITIES CORP.	388	9
16ABEL NOSER CORP	341	10
17AVIAN SECURITIES	322	12
18TRISTONE CAPITAL INC.	296	12
19OTA OFF THE RECORD RESEARCH	287	15
20JEFFERIES INTERNATIONAL LTD.	270	16



21	PACIFIC CREST SECURITIES	246	16
22	BAYCREST PARTNERS	245	17
23	UTENDAHL CAPITAL PARTNERS LP	227	21
24	AURIGA USA	224	22
25	MAXIM GROUP LLC	224	23

Listed Brokers		Adv.	# of
Top 25 (Securities Traded 1-1000)		Vol. (000)	Stocks
1	CARIS & COMPANY	1,753	5
2	CRT CAPITAL GROUP LLC	1,363	517
3	CRAIG-HALLUM CAPITAL GROUP	1,331	23
4	ING FINANCIAL MARKETS	1,001	2
5	LEERINK SWANN & CO.	991	639
6	CAZENOVE SECURITIES	978	33
7	JMP SECURITIES	847	801
8	GREEN STREET ADVISORS	834	263
9	HILL THOMPSON MAGID CO. INC.	815	12
10	SIMMONS AND COMPANY INTERNATIO	745	533
11	BULLTICK	690	646
12	FOX-PITT KELTON, INC.	688	871
13	SHORE CAPITAL STOCKBROKERS LTD	626	2
14	CALYON SECURITIES USA	533	737
15	NUMIS SECURITIES LIMITED	474	3
16	MORGAN STANLEY EUROPE	464	16
17	MILLER TABAK HIRSCH AND COMPAN	446	1
18	WEDBUSH MORGAN SECURITIES	423	682
19	AUTEX	420	1
20	THINKEQUITY PARTNERS	410	500
21	NOMURA	394	76
22	ARBUTHNOT	392	1
23	HUNTLEIGH SECURITIES CORP.	388	10
24	SANDLER O'NEILL & PARTNERS, L.	384	753
25	JOHNSON RICE & COMPANY	377	596

Listed Brokers		Adv.	# of
Top 25 (Securities Traded 1-1750)		Vol. (000)	Stocks
1	BTIG - BASS TRADING	2,103	1448
2	FRIEDMAN, BILLINGS, RAMSEY & C	1,909	1248
3	SANFORD C. BERNSTEIN COMPANY,	1,877	1653
4	COWEN & CO.	1,831	1642
5	CARIS & COMPANY	1,753	5
6	CRT CAPITAL GROUP LLC	1,363	517
7	CRAIG-HALLUM CAPITAL GROUP	1,331	23

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8	KEEFE, BRUYETTE & WOODS, INC.	1,242	1394
9	THOMAS WEISEL PARTNERS LLC	1,120	1530
10	ING FINANCIAL MARKETS	1,001	2
11	LEERINK SWANN & CO.	991	639
12	CAZENOVE SECURITIES	978	33
13	WACHOVIA SECURITIES	921	1117
14	JMP SECURITIES	847	801
15	GREEN STREET ADVISORS	834	263
16	HILL THOMPSON MAGID CO. INC.	815	12
17	KEYBANC CAPITAL MARKETS INC.	789	1221
18	SIMMONS AND COMPANY INTERNATIO	745	533
19	HUDSON SECURITIES	710	1476
20	BULLTICK	690	646
21	FOX-PITT KELTON, INC.	688	871
22	WELLS FARGO SECURITIES LLC	685	1025
23	MORGAN KEEGAN & CO., INC.	656	1153
24	SHORE CAPITAL STOCKBROKERS LTD	626	2
25	BENCHMARK COMPANY, LLC	568	1181

Listed Brokers	Adv.	# of	
Top 25 (Securities Traded 1-2500)	Vol. (000)	Stocks	
1	DEUTSCHE BANK SECURITIES, IN	10,770	2485
2	INSTINET CORPORATION	5,187	2367
3	ITG, INC.	4,290	1974
4	JEFFERIES & COMPANY, INC.	3,602	2031
5	WEEDEN & COMPANY, INC.	2,761	1984
6	STIFEL NICOLAUS CAPITAL MARKET	2,507	2187
7	SUSQUEHANNA INTERNATIONAL GRP.	2,168	2158
8	BTIG - BASS TRADING	2,103	1448
9	FRIEDMAN, BILLINGS, RAMSEY & C	1,909	1248
10	SANFORD C. BERNSTEIN COMPANY,	1,877	1653
11	COWEN & CO.	1,831	1642
12	CARIS & COMPANY	1,753	5
13	CANTOR, FITZGERALD & CO., INC.	1,538	1803
14	OPPENHEIMER & CO	1,445	1790
15	BNY CONVERGEX	1,408	2245
16	CRT CAPITAL GROUP LLC	1,363	517
17	CRAIG-HALLUM CAPITAL GROUP	1,331	23
18	KEEFE, BRUYETTE & WOODS, INC.	1,242	1394
19	INSTINET	1,211	2431
20	HSBC SECURITIES	1,127	1791
21	THOMAS WEISEL PARTNERS LLC	1,120	1530
22	PIPER JAFFRAY & CO.	1,033	1811
23	RAYMOND JAMES	1,028	1757
24	ING FINANCIAL MARKETS	1,001	2
25	LEERINK SWANN & CO.	991	639

