



Sept 2009 YTD

3rd Quarter 2009

Listed Securities Top 50 Brokers	Advertised Vol (000)	% of Total	% of Vol. Crossed
1KNIGHT	106,262,491	17.07	14
2UBS	88,608,018	14.23	13
3CITIGROUP	66,154,494	10.63	1
4MERRILL LYNCH	53,475,406	8.59	0
5MORGAN STANLEY	53,117,456	8.53-	
6CREDIT SUISSE	51,687,426	8.3-	
7DEUTSCHE BANK SECURITIES, IN	26,751,516	4.3	0
8JPMORGAN	24,830,301	3.99	1
9BARCLAYS CAPITAL INC.	21,456,344	3.45	0
10GOLDMAN SACHS GROUP	16,393,414	2.63	5
11RBC CAPITAL MARKETS	14,943,094	2.4	5
12INSTINET CORPORATION	12,276,701	1.97	4
13ITG, INC.	8,465,645	1.36	33
14JEFFERIES & COMPANY, INC.	7,311,216	1.17	6
15STIFEL NICOLAUS CAPITAL MARKET	5,483,572	0.88	8
16WEEDEN & COMPANY, INC.	5,477,710	0.88	16
17SUSQUEHANNA INTERNATIONAL GRP.	4,678,132	0.75	1
18BNY CONVERGEX	3,160,832	0.51	1
19SANFORD C. BERNSTEIN COMPANY,	3,103,467	0.5	8
20BTIG - BASS TRADING	3,045,569	0.49	6
21COWEN & CO.	3,005,846	0.48	12
22CANTOR, FITZGERALD & CO., INC.	2,773,160	0.45	5
23OPPENHEIMER & CO	2,586,200	0.42	0
24FRIEDMAN, BILLINGS, RAMSEY & C	2,382,118	0.38	10
25ROBERT W. BAIRD CO. INCORPORAT	2,287,670	0.37	5
26JONESTRADING INSTITUTIONAL SER	2,030,733	0.33	20
27HSBC SECURITIES	2,017,562	0.32	0
28PIPER JAFFRAY & CO.	1,870,254	0.3	3
29RAYMOND JAMES	1,802,984	0.29	4
30KEEFE, BRUYETTE & WOODS, INC.	1,731,080	0.28	1
31THOMAS WEISEL PARTNERS LLC	1,713,883	0.28	2
32HUDSON SECURITIES	1,047,269	0.17	1
33WACHOVIA SECURITIES	1,028,984	0.17	3
34KEYBANC CAPITAL MARKETS INC.	963,401	0.15	5
35WILLIAM BLAIR & COMPANY, LLC.	824,265	0.13	5
36MORGAN KEEGAN & CO., INC.	756,207	0.12	3
37BANC OF AMERICA SECURITIES LLC	736,075	0.12	0
38SUNTRUST ROBINSON HUMPHREY	706,767	0.11	10
39CRT CAPITAL GROUP LLC	704,896	0.11	49
40WELLS FARGO SECURITIES LLC	702,018	0.11	3
41JMP SECURITIES	678,231	0.11	0
42BENCHMARK COMPANY, LLC	670,684	0.11	2
43LEERINK SWANN & CO.	633,202	0.1	4

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44LAZARD CAPITAL MARKETS	610,011	0.1	3
45FOX-PITT KELTON, INC.	598,970	0.1	3
46SANFORD C. BERNSTEIN & CO., LL	590,862	0.09	5
47BMO CAPITAL MARKETS	567,376	0.09	10
48CAPITAL INSTITUTIONAL SERVICES	491,854	0.08	1
49STERNE AGEE & LEACH, INC.	459,515	0.07	2
50BULLTICK	445,393	0.07-	

NASDAQ / OTC - National Market & Small Cap Market Top 50 Brokers	Advertised Vol (000)	% of Total	# of Sec Traded
1KNIGHT	63,976,418	24.34	3066
2UBS	31,769,195	12.08	3000
3CITIGROUP	25,222,023	9.59	2927
4MORGAN STANLEY	20,027,517	7.62	2813
5CREDIT SUISSE	16,003,064	6.09	2662
6MERRILL LYNCH	15,304,364	5.82	2806
7JPMORGAN	10,295,924	3.92	2498
8GOLDMAN SACHS GROUP	9,240,104	3.51	2558
9BARCLAYS CAPITAL INC.	7,783,171	2.96	2135
10DEUTSCHE BANK SECURITIES, IN	7,561,946	2.88	2583
11INSTINET CORPORATION	5,940,966	2.26	2369
12RBC CAPITAL MARKETS	5,132,654	1.95	2261
13JEFFERIES & COMPANY, INC.	4,483,490	1.71	1764
14ITG, INC.	3,509,076	1.33	2007
15BTIG - BASS TRADING	2,146,890	0.82	1389
16PIPER JAFFRAY & CO.	2,070,701	0.79	1666
17COWEN & CO.	1,942,678	0.74	1424
18SUSQUEHANNA INTERNATIONAL GRP.	1,883,646	0.72	2052
19OPPENHEIMER & CO	1,870,983	0.71	1239
20WEEDEN & COMPANY, INC.	1,838,353	0.7	1814
21THOMAS WEISEL PARTNERS LLC	1,678,536	0.64	1347
22ROBERT W. BAIRD CO. INCORPORAT	1,532,562	0.58	2166
23CANTOR, FITZGERALD & CO., INC.	1,502,363	0.57	1743
24STIFEL NICOLAUS CAPITAL MARKET	1,391,417	0.53	2184
25BNY CONVERGEX	1,248,034	0.47	2106
26FRIEDMAN, BILLINGS, RAMSEY & C	1,159,112	0.44	893
27SANFORD C. BERNSTEIN COMPANY,	950,064	0.36	1045
28RAYMOND JAMES	947,135	0.36	2491
29JONESTRADING INSTITUTIONAL SER	847,534	0.32	1780
30KEEFE, BRUYETTE & WOODS, INC.	685,966	0.26	938
31HSBC SECURITIES	631,479	0.24	1500
32WILLIAM BLAIR & COMPANY, LLC.	617,335	0.23	1280
33HUDSON SECURITIES	608,272	0.23	1466
34LEERINK SWANN & CO.	550,973	0.21	589
35BENCHMARK COMPANY, LLC	524,346	0.2	1094
36WEDBUSH MORGAN SECURITIES	517,752	0.2	653

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37THINKEQUITY PARTNERS	509,159	0.19	694
38JMP SECURITIES	508,341	0.19	580
39NEEDHAM & COMPANY	498,833	0.19	1165
40CANACCORD ADAMS	459,791	0.17	943
41WACHOVIA SECURITIES	398,120	0.15	630
42BMO CAPITAL MARKETS	331,603	0.13	409
43WELLS FARGO SECURITIES LLC	324,736	0.12	572
44BANC OF AMERICA SECURITIES LLC	314,280	0.12	1385
45MORGAN KEEGAN & CO., INC.	311,540	0.12	697
46LAZARD CAPITAL MARKETS	307,588	0.12	776
47SANDLER O'NEILL & PARTNERS, L.	273,959	0.1	615
48STEPHENS INC.	270,798	0.1	852
49CRT CAPITAL GROUP LLC	257,501	0.1	229
50KEYBANC CAPITAL MARKETS INC.	255,236	0.1	606

Listed Securities Non NY Brokers Top 25 Brokers Broker-Dealer	<u>Advertised Vol.(000)</u>	<u>% of Vol. Crossed</u>
1WEEDEN & COMPANY, INC.	5,477,838	16
2SUSQUEHANNA INTERNATIONAL GRP.	4,678,154	1
3CANTOR, FITZGERALD & CO., INC.	2,773,210	5
4FRIEDMAN, BILLINGS, RAMSEY & C	2,382,118	10
5ROBERT W. BAIRD CO. INCORPORAT	2,288,107	5
6THOMAS WEISEL PARTNERS LLC	1,713,885	2
7WACHOVIA SECURITIES	1,028,984	3
8WILLIAM BLAIR & COMPANY, LLC.	824,269	5
9MORGAN KEEGAN & CO., INC.	756,263	3
10BANC OF AMERICA SECURITIES LLC	736,150	0
11CAPITAL INSTITUTIONAL SERVICES	491,854	1
12BULLTICK	445,450	-
13SIMMONS AND COMPANY INTERNATIO	397,200	-
14JANNEY MONTGOMERY SCOTT, INC.	305,169	0
15WEDBUSH MORGAN SECURITIES	288,325	2
16THE INTERSTATE GROUP	285,225	1
17STEPHENS INC.	261,427	2
18MKM PARTNERS	231,088	4
19JOHNSON RICE & COMPANY	224,815	10
20GREEN STREET ADVISORS	219,427	5
21THINKEQUITY PARTNERS	205,161	12
22ABN-AMRO	179,823	-
23D.A. DAVIDSON & CO.	136,720	2
24ROCHDALE SECURITIES	118,713	8
25CRAIG-HALLUM CAPITAL GROUP	30,606	14

NASDAQ / OTC – National Market

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& Small Cap Market Top 25 Non NY Brokers Broker-Dealer	Advertised Vol.(000)	# of Stocks
1SUSQUEHANNA INTERNATIONAL GRP.	1,883,646	2,052
2WEEDEN & COMPANY, INC.	1,838,353	1,814
3THOMAS WEISEL PARTNERS LLC	1,678,536	1,347
4ROBERT W. BAIRD CO. INCORPORAT	1,532,562	2,167
5FRIEDMAN, BILLINGS, RAMSEY & C	1,159,112	893
6WILLIAM BLAIR & COMPANY, LLC.	617,335	1,280
7WEDBUSH MORGAN SECURITIES	517,752	653
8THINKEQUITY PARTNERS	509,159	694
9WACHOVIA SECURITIES	398,120	630
10BANC OF AMERICA SECURITIES LLC	314,280	1,385
11MORGAN KEEGAN & CO., INC.	311,550	698
12STEPHENS INC.	270,799	853
13D.A. DAVIDSON & CO.	218,924	592
14JANNEY MONTGOMERY SCOTT, INC.	194,796	1,850
15CRAIG-HALLUM CAPITAL GROUP	183,067	130
16CAPITAL INSTITUTIONAL SERVICES	149,546	662
17MKM PARTNERS	95,661	420
18JOHNSON RICE & COMPANY	54,742	274
19THE INTERSTATE GROUP	53,969	635
20BULLTICK	38,135	294
21SIMMONS AND COMPANY INTERNATIO	36,384	173
22ROCHDALE SECURITIES	28,923	346
23PACIFIC GROWTH EQUITIES	19,901	116
24SANDERS MORRIS HARRIS	18,373	41
25PACIFIC CREST SECURITIES	7,729	53

Ordinary Securities (Ex-Brazil) Top 25 Brokers	Advertised Vol (000)	% of Total	# of Stocks
1MERRILL LYNCH	10,278,829	47.34	131
2MORGAN STANLEY	4,098,352	18.88	85
3CREDIT SUISSE	3,681,737	16.96	94
4JPMORGAN	1,579,945	7.28	100
5CITIGROUP	1,373,436	6.33	116
6GOLDMAN SACHS GROUP	291,777	1.34	24
7UBS	208,906	0.96	72
8DEUTSCHE BANK SECURITIES, IN	104,461	0.48	38
9HSBC SECURITIES	53,214	0.25	56
10RAYMOND JAMES	37,654	0.17	8
11KNIGHT	1,256	0.01	13

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12WEEDEN & COMPANY, INC.	895	0	5
13MAXIM GROUP LLC	740	0	2
14DRESDNER KLEINWORT	359	0	4
15MORGAN KEEGAN & CO., INC.	219	0	1
16RBC CAPITAL MARKETS	165	0	8
17JANNEY MONTGOMERY SCOTT, INC.	137	0	7
18Tradewire Securities	70	0	1
19LABRANCHE FINANCIAL SERVICES	61	0	2
20STIFEL NICOLAUS CAPITAL MARKET	26	0	3
21JEFFERIES & COMPANY, INC.	20	0	2
22ABN-AMRO	20	0	1
23BNY CONVERGEX	20	0	1
24D.A. DAVIDSON & CO.	12	0	1
25ROBERT W. BAIRD CO. INCORPORAT	10	0	5

Ordinary Securities Top 25 Brokers Canada	Advertised Vol (000)	% of Total	# of Stocks
1KNIGHT	6,039,141	21.44	755
2MORGAN STANLEY	3,787,980	13.45	1189
3CREDIT SUISSE	3,367,656	11.95	517
4UBS	3,191,403	11.33	253
5CITIGROUP	2,662,410	9.45	1075
6DEUTSCHE BANK SECURITIES, IN	1,667,412	5.92	435
7MERRILL LYNCH	1,503,780	5.34	387
8JPMORGAN	880,871	3.13	607
9THOMAS WEISEL PARTNERS LLC	662,188	2.35	264
10RBC CAPITAL MARKETS	562,548	2	782
11GOLDMAN SACHS GROUP	501,259	1.78	451
12INSTINET CORPORATION	487,555	1.73	215
13BARCLAYS CAPITAL INC.	459,562	1.63	185
14BMO CAPITAL MARKETS	213,322	0.76	93
15JEFFERIES & COMPANY, INC.	179,060	0.64	282
16SUSQUEHANNA INTERNATIONAL GRP.	161,738	0.57	123
17ITG, INC.	145,708	0.52	121
18BTIG - BASS TRADING	110,429	0.39	113
19RAYMOND JAMES	94,216	0.33	664
20HSBC SECURITIES	91,899	0.33	148
21HUDSON SECURITIES	87,615	0.31	193
22WEEDEN & COMPANY, INC.	79,062	0.28	129
23OPPENHEIMER & CO	76,765	0.27	97
24CANTOR, FITZGERALD & CO., INC.	75,683	0.27	81
25JONESTRADING INSTITUTIONAL SER	72,817	0.26	143

Ordinary Securities Top 15 Brokers	Advertised	% of	# of
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<u>Europe</u>	<u>Vol (000)</u>	<u>Total</u>	<u>Stocks</u>
1DEUTSCHE BANK SECURITIES, IN	128,788,976	16.31	3225
2UBS	108,899,615	13.79	2794
3CREDIT SUISSE	102,392,952	12.97	2570
4CITIGROUP	72,112,721	9.13	2551
5JPMORGAN	53,139,779	6.73	2314
6NOMURA	51,900,712	6.57	2994
7MERRILL LYNCH	42,784,596	5.42	2595
8MORGAN STANLEY EUROPE	41,866,732	5.3	2125
9ABN-AMRO	30,417,448	3.85	2388
10GOLDMAN SACHS GROUP	28,521,109	3.61	2425
11HSBC SECURITIES	23,367,515	2.96	3606
12SHORE CAPITAL STOCKBROKERS LTD	23,355,290	2.96	970
13CAZENOVE SECURITIES	20,897,953	2.65	1468
14EXANE BNP PARIBAS	9,160,002	1.16	1083
15INVESTEC SECURITIES LTD	7,617,782	0.96	366

<u>Ordinary Securities Top 15 Brokers Far East / Pac Rim</u>	<u>Advertised Vol (000)</u>	<u>% of Total</u>	<u># of Stocks</u>
1DEUTSCHE BANK SECURITIES, IN	74,285,174	19.12	4662
2CITIGROUP	66,409,462	17.09	4553
3JPMORGAN	57,611,940	14.83	2742
4UBS	55,539,672	14.3	5797
5GOLDMAN SACHS GROUP	42,094,155	10.84	3553
6HSBC SECURITIES	33,197,899	8.55	3645
7MORGAN STANLEY ASIA	30,039,920	7.73	510
8MERRILL LYNCH	15,167,979	3.9	1948
9ABN-AMRO	9,295,115	2.39	1303
10INSTINET CORPORATION	1,888,983	0.49	1821
11SHORE CAPITAL STOCKBROKERS LTD	762,001	0.2	32
12DRESDNER KLEINWORT	469,356	0.12	996
13CREDIT SUISSE	335,386	0.09	215
14KNIGHT	314,107	0.08	411
15THOMAS WEISEL PARTNERS LLC	250,118	0.06	10



Ordinary Securities			
Top 15 Brokers	Advertised	% of	# of
Latin America (Ex. Brazil)	Vol (000)	Total	Stocks
1MERRILL LYNCH	10,278,829	47.34	131
2MORGAN STANLEY	4,098,352	18.88	85
3CREDIT SUISSE	3,681,737	16.96	94
4JPMORGAN	1,579,945	7.28	100
5CITIGROUP	1,373,436	6.33	116
6GOLDMAN SACHS GROUP	291,777	1.34	24
7UBS	208,906	0.96	72
8DEUTSCHE BANK SECURITIES, IN	104,461	0.48	38
9HSBC SECURITIES	53,214	0.25	56
10RAYMOND JAMES	37,654	0.17	8
11KNIGHT	1,256	0.01	13
12WEEDEN & COMPANY, INC.	895	0	5
13MAXIM GROUP LLC	740	0	2
14DRESDNER KLEINWORT	359	0	4
15MORGAN KEEGAN & CO., INC.	219	0	1

ADR Securities			
Top 15 Brokers	Advertised	% of	# of
Argentina	Vol (000)	Total	Stocks
1KNIGHT	43,642	22.36	13
2MERRILL LYNCH	28,785	14.74	13
3BULLTICK	22,538	11.55	13
4UBS	19,869	10.18	13
5CITIGROUP	17,695	9.06	12
6JPMORGAN	16,135	8.27	11
7DEUTSCHE BANK SECURITIES, IN	9,715	4.98	11
8MORGAN STANLEY	9,534	4.88	14
9CREDIT SUISSE	6,809	3.49	13
10RAYMOND JAMES	5,282	2.71	7
11INSTINET CORPORATION	2,933	1.5	8
12ITG, INC.	2,891	1.48	6
13BARCLAYS CAPITAL INC.	2,465	1.26	10
14WEEDEN & COMPANY, INC.	1,850	0.95	6
15JEFFERIES & COMPANY, INC.	884	0.45	4

ADR Securities

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Top 15 Brokers Hong Kong	Advertised Vol (000)	% of Total	# of Stocks
1MORGAN STANLEY ASIA	240,880	17.63	1
2KNIGHT	219,029	16.03	73
3UBS	164,990	12.08	51
4CITIGROUP	142,387	10.42	56
5HSBC SECURITIES	111,924	8.19	11
6MERRILL LYNCH	108,910	7.97	78
7DEUTSCHE BANK SECURITIES, IN	77,646	5.68	15
8MORGAN STANLEY	63,066	4.62	59
9GOLDMAN SACHS GROUP	41,407	3.03	56
10CREDIT SUISSE	37,047	2.71	27
11JPMORGAN	36,445	2.67	40
12BARCLAYS CAPITAL INC.	28,628	2.1	43
13INSTINET CORPORATION	11,902	0.87	22
14CALYON SECURITIES USA	9,432	0.69	11
15SUSQUEHANNA INTERNATIONAL GRP.	8,929	0.65	8

Ordinary Securities Top 25 Brokers United Kingdom	Advertised Vol (000)	% of Total	# of Stocks
1KNIGHT	697,901	16.82	100
2CITIGROUP	517,130	12.46	86
3MERRILL LYNCH	494,615	11.92	80
4UBS	464,312	11.19	72
5MORGAN STANLEY	283,506	6.83	84
6STIFEL NICOLAUS CAPITAL MARKET	221,998	5.35	39
7DEUTSCHE BANK SECURITIES, IN	189,926	4.58	44
8CREDIT SUISSE	189,215	4.56	54
9BARCLAYS CAPITAL INC.	184,198	4.44	71
10JPMORGAN	149,508	3.6	68
11HSBC SECURITIES	144,724	3.49	33
12INSTINET CORPORATION	96,532	2.33	40
13GOLDMAN SACHS GROUP	70,999	1.71	77
14ABN-AMRO	70,602	1.7	18
15RBC CAPITAL MARKETS	34,854	0.84	73
16BNY CONVERGEX	27,313	0.66	47
17ITG, INC.	25,501	0.61	24
18CANTOR, FITZGERALD & CO., INC.	25,020	0.6	15
19JONESTRADING INSTITUTIONAL SER	23,863	0.57	45
20NOMURA	21,611	0.52	11
21SUSQUEHANNA INTERNATIONAL GRP.	21,038	0.51	26

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22JEFFERIES & COMPANY, INC.	17,002	0.41	44
23HUDSON SECURITIES	14,427	0.35	31
24FRIEDMAN, BILLINGS, RAMSEY & C	12,731	0.31	13
25NUMIS SECURITIES LIMITED	12,690	0.31	1

Listed Securities Top 10 Brokers Average Vol. Per Security	Average Vol (000)	# of Stocks
1KNIGHT	28,700	3,678
2UBS	24,238	3,652
3CITIGROUP	18,586	3,554
4MERRILL LYNCH	16,190	3,304
5MORGAN STANLEY	15,257	3,482
6CREDIT SUISSE	16,606	3,113
7DEUTSCHE BANK SECURITIES, IN	10,770	2,485
8JPMORGAN	8,572	2,898
9BARCLAYS CAPITAL INC.	8,405	2,553
10GOLDMAN SACHS GROUP	5,785	2,835

NASDAQ/OTC Securities Top 10 Brokers Average Vol. Per Security	Average Vol (000)	# of Stocks
1KNIGHT	20,860	3,067
2UBS	10,586	3,001
3CITIGROUP	8,614	2,928
4MORGAN STANLEY	7,117	2,814
5CREDIT SUISSE	6,009	2,663
6MERRILL LYNCH	5,452	2,807
7JPMORGAN	4,120	2,499
8BARCLAYS CAPITAL INC.	3,644	2,559
9GOLDMAN SACHS GROUP	3,611	2,136
10DEUTSCHE BANK SECURITIES, IN	2,926	2,584