

Nasdaq National Market & Small Cap Market  
August 2001

Sales and Trading

<b>NASDAQ National Market &amp; Small CAP Market</b>			
<b>Top 25 Brokers</b>	<b>Advertised</b>	<b>% Of</b>	<b># of</b>
<b>Aug 2001</b>	<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1 KNIGHT SECURITIES, INC.	3,113,640	8.36	3712
2 SALOMON SMITH BARNEY INC.	2,576,518	6.92	1032
3 MORGAN STANLEY & COMPANY, INC.	2,435,301	6.54	1140
4 CREDIT SUISSE FIRST BOSTON	2,064,157	5.54	752
5 SCHWAB CAPITAL MARKETS L.P.	2,043,003	5.48	3786
6 MERRILL LYNCH, PIERCE FENNER &	1,982,766	5.32	735
7 GOLDMAN, SACHS & COMPANY	1,839,348	4.94	413
8 HERZOG HEINE GEDULD, INC.	1,679,203	4.51	3716
9 SPEAR, LEEDS & KELLOGG CAPITA	1,544,916	4.15	3909
10 BANC OF AMERICA SECURITIES LLC	1,298,423	3.48	603
11 LEHMAN BROTHERS, INC.	1,183,920	3.18	483
12 UBS WARBURG	1,155,948	3.10	650
13 NDB CAPITAL MARKETS	1,122,695	3.01	3173
14 DEUTSCHE BANC ALEX. BROWN.	1,030,793	2.77	1735
15 BEAR STEARNS AND COMPANY	874,837	2.35	662
16 ROBERTSON STEPHENS	782,049	2.10	518
17 JP MORGAN H&Q	777,938	2.09	677
18 PRUDENTIAL SECURITIES, INC.	747,260	2.01	584
19 THOMAS WEISEL PARTNERS LLC	681,888	1.83	335
20 FIDELITY CAPITAL MARKETS	567,496	1.52	463
21 CIBC WORLD MARKETS	540,902	1.45	458
22 JEFFERIES & COMPANY, INC.	514,932	1.38	1149
23 FIRST UNION SECURITIES, INC.	505,122	1.36	487
24 CANTOR, FITZGERALD & CO., INC.	503,410	1.35	769
25 SG COWEN SECURITIES CORP.	427,934	1.15	273

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<b>Aug 2001</b>	<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1 KNIGHT SECURITIES, INC.	2,994,287	8.14	3102
2 SALOMON SMITH BARNEY INC.	2,571,031	6.99	1023
3 MORGAN STANLEY & COMPANY, INC.	2,435,044	6.62	1132
4 CREDIT SUISSE FIRST BOSTON	2,064,093	5.61	745
5 SCHWAB CAPITAL MARKETS L.P.	1,987,327	5.40	3147
6 MERRILL LYNCH, PIERCE FENNER &	1,982,566	5.39	732
7 GOLDMAN, SACHS & COMPANY	1,839,348	5.00	413
8 HERZOG HEINE GEDULD, INC.	1,593,332	4.33	3077
9 SPEAR, LEEDS & KELLOGG CAPITA	1,492,698	4.06	3179
10 BANC OF AMERICA SECURITIES LLC	1,296,476	3.53	600
11 LEHMAN BROTHERS, INC.	1,183,739	3.22	481
12 UBS WARBURG	1,147,029	3.12	645
13 NDB CAPITAL MARKETS	1,089,780	2.96	2765
14 DEUTSCHE BANC ALEX. BROWN.	1,030,643	2.80	1714
15 BEAR STEARNS AND COMPANY	872,529	2.37	658
16 ROBERTSON STEPHENS	782,024	2.13	517
17 JP MORGAN H&Q	776,898	2.11	672
18 PRUDENTIAL SECURITIES, INC.	747,036	2.03	582
19 THOMAS WEISEL PARTNERS LLC	681,888	1.85	335
20 FIDELITY CAPITAL MARKETS	565,100	1.54	459
21 CIBC WORLD MARKETS	538,561	1.46	454
22 JEFFERIES & COMPANY, INC.	511,872	1.39	1135
23 FIRST UNION SECURITIES, INC.	504,641	1.37	480
24 CANTOR, FITZGERALD & CO., INC.	501,966	1.36	760
25 SG COWEN SECURITIES CORP.	427,934	1.16	273

<b>NASDAQ Small CAP Market</b>			
<b>Top 25 Brokers</b>	<b>Advertised</b>	<b>% Of</b>	<b># of</b>
<b>Aug 2001</b>	<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1 KNIGHT SECURITIES, INC.	119,353	24.80	610
2 HERZOG HEINE GEDULD, INC.	85,870	17.84	639
3 SCHWAB CAPITAL MARKETS L.P.	55,675	11.57	639
4 SPEAR, LEEDS & KELLOGG CAPITA	52,218	10.85	730
5 NDB CAPITAL MARKETS	32,915	6.84	408
6 FLEET TRADING	24,796	5.15	247
7 M.H. MEYERSON & CO., INC.	9,351	1.94	229
8 UBS WARBURG	8,920	1.85	5
9 FAHNESTOCK & CO.	8,149	1.69	57
10 MILLER, JOHNSON, STEICHEN, KIN	6,689	1.39	22
11 INVESTEC ERNST & COMPANY	6,188	1.29	104
12 SALOMON SMITH BARNEY INC.	5,487	1.14	9
13 ABN-AMRO	4,126	0.86	3
14 GRUNTAL & COMPANY	3,986	0.83	49
15 LADENBURG THALMANN & CO., INC	3,842	0.80	64
16 JEFFERIES & COMPANY, INC.	3,060	0.64	14
17 FIDELITY CAPITAL MARKETS	2,396	0.50	4
18 CIBC WORLD MARKETS	2,341	0.49	4
19 NATIONAL SECURITIES	2,339	0.49	23
20 BEAR STEARNS AND COMPANY	2,308	0.48	4
21 ADAMS, HARKNESS & HILL, INC.	2,026	0.42	1
22 CRT CAPITAL GROUP LLC	2,000	0.42	1
23 BANC OF AMERICA SECURITIES LLC	1,947	0.40	3
24 SOUTHWEST SECURITIES, INC.	1,868	0.39	20
25 GVR COMPANY	1,814	0.38	8

<b>NASDAQ 100</b>			
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<b>Aug 2001</b>	<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1 MORGAN STANLEY & COMPANY, INC.	1,913,894	8.52	100
2 SALOMON SMITH BARNEY INC.	1,726,538	7.69	100
3 GOLDMAN, SACHS & COMPANY	1,573,772	7.01	96
4 MERRILL LYNCH, PIERCE FENNER &	1,472,205	6.56	100
5 KNIGHT SECURITIES, INC.	1,453,214	6.47	100
6 CREDIT SUISSE FIRST BOSTON	1,324,269	5.90	98
7 SCHWAB CAPITAL MARKETS L.P.	1,120,566	4.99	100
8 BANC OF AMERICA SECURITIES LLC	919,385	4.09	98
9 LEHMAN BROTHERS, INC.	911,015	4.06	100
10 UBS WARBURG	832,048	3.71	100
11 DEUTSCHE BANC ALEX. BROWN.	771,723	3.44	100
12 SPEAR, LEEDS & KELLOGG CAPITA	666,240	2.97	100
13 HERZOG HEINE GEDULD, INC.	656,031	2.92	100
14 BEAR STEARNS AND COMPANY	559,334	2.49	99
15 PRUDENTIAL SECURITIES, INC.	547,342	2.44	99
16 NDB CAPITAL MARKETS	521,802	2.32	100
17 FIDELITY CAPITAL MARKETS	397,294	1.77	100
18 ROBERTSON STEPHENS	392,881	1.75	88
19 CIBC WORLD MARKETS	355,122	1.58	65
20 SG COWEN SECURITIES CORP.	328,753	1.46	87
21 JP MORGAN H&Q	319,125	1.42	100
22 THOMAS WEISEL PARTNERS LLC	298,846	1.33	70
23 FIRST UNION SECURITIES, INC.	274,901	1.22	91
24 SOUNDVIEW TECHNOLOGY GROUP	253,978	1.13	75
25 CANTOR, FITZGERALD & CO., INC.	250,399	1.12	100

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<b>YTD Aug 2001</b>	<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1 KNIGHT SECURITIES, INC.	27,168,968	8.24	4190
2 SALOMON SMITH BARNEY INC.	24,098,086	7.31	1912
3 MORGAN STANLEY & COMPANY, INC.	22,467,853	6.81	2135
4 SCHWAB CAPITAL MARKETS L.P.	20,717,127	6.28	4686
5 MERRILL LYNCH, PIERCE FENNER &	18,423,548	5.58	845
6 CREDIT SUISSE FIRST BOSTON	17,438,486	5.29	1643
7 HERZOG HEINE GEDULD, INC.	15,595,847	4.73	4200
8 GOLDMAN, SACHS & COMPANY	15,021,384	4.55	495
9 SPEAR, LEEDS & KELLOGG CAPITA	14,673,411	4.45	4278
10 LEHMAN BROTHERS, INC.	11,094,396	3.36	636
11 BANC OF AMERICA SECURITIES LLC	10,572,025	3.20	756
12 NDB CAPITAL MARKETS	9,462,741	2.87	3724
13 UBS WARBURG	9,275,920	2.81	1789
14 ROBERTSON STEPHENS	8,572,804	2.60	660
15 BEAR STEARNS AND COMPANY	8,243,409	2.50	1350
16 DEUTSCHE BANC ALEX. BROWN.	8,185,796	2.48	2359
17 JP MORGAN H&Q	7,983,022	2.42	990
18 PRUDENTIAL SECURITIES, INC.	5,873,916	1.78	718
19 THOMAS WEISEL PARTNERS LLC	5,089,505	1.54	367
20 FIDELITY CAPITAL MARKETS	4,693,638	1.42	717
21 CANTOR, FITZGERALD & CO., INC.	4,564,209	1.38	1609
22 JEFFERIES & COMPANY, INC.	4,436,699	1.34	2040
23 CIBC WORLD MARKETS	4,003,561	1.21	606
24 U.S. BANCORP PIPER JAFFRAY	3,909,591	1.19	548
25 FLEET TRADING	3,882,633	1.18	2981

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<b>YTD Aug 2001</b>	<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1 KNIGHT SECURITIES, INC.	26,056,271	8.00	3532
2 SALOMON SMITH BARNEY INC.	24,043,548	7.39	1831
3 MORGAN STANLEY & COMPANY, INC.	22,462,735	6.90	2068
4 SCHWAB CAPITAL MARKETS L.P.	20,155,329	6.19	3845
5 MERRILL LYNCH, PIERCE FENNER &	18,419,302	5.66	840
6 CREDIT SUISSE FIRST BOSTON	17,437,253	5.36	1608
7 GOLDMAN, SACHS & COMPANY	15,016,784	4.61	490
8 HERZOG HEINE GEDULD, INC.	14,826,069	4.55	3506
9 SPEAR, LEEDS & KELLOGG CAPITA	14,272,720	4.38	3435
10 LEHMAN BROTHERS, INC.	11,090,014	3.41	627
11 BANC OF AMERICA SECURITIES LLC	10,560,555	3.24	749
12 UBS WARBURG	9,231,202	2.84	1682
13 NDB CAPITAL MARKETS	9,139,846	2.81	3160
14 ROBERTSON STEPHENS	8,568,197	2.63	657
15 BEAR STEARNS AND COMPANY	8,224,281	2.53	1323
16 DEUTSCHE BANC ALEX. BROWN.	8,184,288	2.51	2291
17 JP MORGAN H&Q	7,969,770	2.45	974
18 PRUDENTIAL SECURITIES, INC.	5,871,688	1.80	713
19 THOMAS WEISEL PARTNERS LLC	5,089,405	1.56	366
20 FIDELITY CAPITAL MARKETS	4,677,410	1.44	706
21 CANTOR, FITZGERALD & CO., INC.	4,557,398	1.40	1567
22 JEFFERIES & COMPANY, INC.	4,417,625	1.36	1956
23 CIBC WORLD MARKETS	3,989,907	1.23	595
24 U.S. BANCORP PIPER JAFFRAY	3,905,005	1.20	540
25 FIRST UNION SECURITIES, INC.	3,785,843	1.16	617

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<b>YTD Aug 2001</b>	<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1 KNIGHT SECURITIES, INC.	1,112,696	25.84	658
2 HERZOG HEINE GEDULD, INC.	769,778	17.87	694
3 SCHWAB CAPITAL MARKETS L.P.	561,798	13.04	841
4 SPEAR, LEEDS & KELLOGG CAPITA	400,691	9.30	843
5 NDB CAPITAL MARKETS	322,895	7.50	564
6 FLEET TRADING	226,880	5.27	396
7 M.H. MEYERSON & CO., INC.	102,022	2.37	349
8 FAHNESTOCK & CO.	66,524	1.54	71
9 SALOMON SMITH BARNEY INC.	54,538	1.27	81
10 INVESTEC ERNST & COMPANY	47,506	1.10	153
11 UBS WARBURG	44,718	1.04	107
12 MILLER, JOHNSON, STEICHEN, KIN	42,728	0.99	46
13 GRUNTAL & COMPANY	41,489	0.96	103
14 LADENBURG THALMANN & CO., INC	28,310	0.66	104
15 GVR COMPANY	23,799	0.55	20
16 WEEDEN & COMPANY, INC.	22,488	0.52	24
17 TUCKER ANTHONY CAPITAL MARKETS	21,486	0.50	60
18 BEAR STEARNS AND COMPANY	19,128	0.44	27
19 JEFFERIES & COMPANY, INC.	19,074	0.44	84
20 C.E. UNTERBERG, TOWBIN	17,254	0.40	7
21 FIDELITY CAPITAL MARKETS	16,228	0.38	11
22 AM CAPITAL MANAGEMENT	16,154	0.38	78
23 SOUTHWEST SECURITIES, INC.	14,360	0.33	40
24 CIBC WORLD MARKETS	13,653	0.32	11
25 PACIFIC GROWTH EQUITIES	13,498	0.31	12

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<b>YTD Aug 2001</b>	<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1 MORGAN STANLEY & COMPANY, INC.	17,528,876	9.00	100
2 SALOMON SMITH BARNEY INC.	17,085,917	8.77	100
3 MERRILL LYNCH, PIERCE FENNER &	13,995,740	7.18	100
4 GOLDMAN, SACHS & COMPANY	12,712,538	6.52	97
5 CREDIT SUISSE FIRST BOSTON	11,699,643	6.00	100
6 KNIGHT SECURITIES, INC.	11,118,755	5.71	100
7 SCHWAB CAPITAL MARKETS L.P.	10,548,122	5.41	100
8 LEHMAN BROTHERS, INC.	8,463,494	4.34	100
9 BANC OF AMERICA SECURITIES LLC	7,198,923	3.69	100
10 UBS WARBURG	6,999,399	3.59	100
11 SPEAR, LEEDS & KELLOGG CAPITA	6,693,010	3.43	100
12 DEUTSCHE BANC ALEX. BROWN.	6,007,695	3.08	100
13 HERZOG HEINE GEDULD, INC.	5,549,194	2.85	100
14 BEAR STEARNS AND COMPANY	5,384,036	2.76	100
15 ROBERTSON STEPHENS	4,697,817	2.41	92
16 NDB CAPITAL MARKETS	4,146,323	2.13	100
17 PRUDENTIAL SECURITIES, INC.	4,134,440	2.12	99
18 JP MORGAN H&Q	3,674,123	1.89	100
19 FIDELITY CAPITAL MARKETS	3,080,948	1.58	100
20 SOUNDVIEW TECHNOLOGY GROUP	2,418,368	1.24	77
21 THOMAS WEISEL PARTNERS LLC	2,398,386	1.23	72
22 CIBC WORLD MARKETS	2,386,386	1.22	76
23 CANTOR, FITZGERALD & CO., INC.	2,344,322	1.20	100
24 SG COWEN SECURITIES CORP.	2,229,024	1.14	91
25 SUSQUEHANNA INTERNATIONAL GRP.	2,221,321	1.14	100