

The best route to global liquidity starts here.

January 2007

NASDAQ Breakdown

<b>NASDAQ National Market Top 25 Brokers</b>	<b>Advertised Vol (000)</b>	<b>% Of Total</b>	<b># of Sec. Trd.</b>
1UBS	3,235,783	11.58	2414
2KNIGHT EQUITY MARKETS	3,124,514	11.18	2416
3MORGAN STANLEY	2,480,922	8.88	2178
4MERRILL LYNCH, PIERCE FENNER	1,902,298	6.81	2314
5E-TRADE CAPITAL MARKETS	1,831,118	6.55	1427
6CREDIT SUISSE	1,348,303	4.83	2240
7GOLDMAN SACHS GROUP	1,344,902	4.81	2046
8BANC OF AMERICA SECURITIES LLC	1,224,586	4.38	1193
9LEHMAN BROTHERS, INC.	1,219,717	4.37	1905
10JPMORGAN	1,155,734	4.14	1667
11CITIGROUP	1,093,686	3.91	720
12BEAR STEARNS AND COMPANY	977,581	3.5	1747
13COWEN & CO.	691,788	2.48	897
14INSTINET CORPORATION	528,924	1.89	1398
15DEUTSCHE BANK SECURITIES, IN	432,292	1.55	866
16WACHOVIA SECURITIES	371,128	1.33	561
17JEFFERIES & COMPANY, INC.	346,465	1.24	960
18PIPER JAFFRAY & CO.	345,117	1.24	980
19RBC CAPITAL MARKETS	320,731	1.15	635
20CIBC WORLD MARKETS	238,812	0.85	1555
21WEEDEN & COMPANY, INC.	223,679	0.8	1016
22ITG, INC.	206,274	0.74	1169
23SUSQUEHANNA INTERNATIONAL GRP.	181,009	0.65	1761
24CANTOR, FITZGERALD & CO., INC.	179,675	0.64	885
25THOMAS WEISEL PARTNERS LLC	173,220	0.62	582

<b>NASDAQ Small Cap Market Top 25 Brokers</b>	<b>Advertised Vol (000)</b>	<b>% Of Total</b>	<b># of Sec. Trd.</b>
1UBS	525,499	34.19	591
2KNIGHT EQUITY MARKETS	411,886	26.8	591
3E-TRADE CAPITAL MARKETS	182,615	11.88	282
4CITIGROUP	57,232	3.72	74
5MORGAN STANLEY	39,218	2.55	361
6GOLDMAN SACHS GROUP	35,955	2.34	324
7MERRILL LYNCH, PIERCE FENNER	34,291	2.23	467
8CREDIT SUISSE	25,361	1.65	434
9LEHMAN BROTHERS, INC.	21,313	1.39	194
10BEAR STEARNS AND COMPANY	20,773	1.35	160
11J.P. TURNER & CO.	13,729	0.89	26
12INSTINET CORPORATION	13,022	0.85	88

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13BANC OF AMERICA SECURITIES LLC	10,549	0.69	56
14JEFFERIES & COMPANY, INC.	10,544	0.69	88
15RAYMOND, JAMES & ASSOC. INC.	8,445	0.55	174
16CANTOR, FITZGERALD & CO., INC.	8,328	0.54	62
17JPMORGAN	6,986	0.45	80
18CRAIG-HALLUM CAPITAL GROUP	6,688	0.44	9
19COWEN & CO.	6,180	0.4	38
20CIBC WORLD MARKETS	6,014	0.39	82
21RBC CAPITAL MARKETS	5,217	0.34	20
22SANDERS MORRIS HARRIS	4,565	0.3	4
23JONESTRADING INSTITUTIONAL SER	4,129	0.27	25
24SUSQUEHANNA INTERNATIONAL GRP.	4,042	0.26	114
25WEDBUSH MORGAN SECURITIES	3,931	0.26	15

<b>NASDAQ 100 Top 25 Brokers</b>	<b>Advertised Vol (000)</b>	<b>% Of Total</b>	<b># of Sec. Trd.</b>
1UBS	1,146,482	10.49	89
2MORGAN STANLEY	1,089,459	9.96	87
3MERRILL LYNCH, PIERCE FENNER	953,635	8.72	89
4GOLDMAN SACHS GROUP	762,993	6.98	89
5KNIGHT EQUITY MARKETS	675,679	6.18	89
6CREDIT SUISSE	619,665	5.67	89
7BANC OF AMERICA SECURITIES LLC	614,439	5.62	89
8JPMORGAN	596,231	5.45	89
9E-TRADE CAPITAL MARKETS	569,937	5.21	86
10LEHMAN BROTHERS, INC.	482,269	4.41	89
11CITIGROUP	447,942	4.1	84
12BEAR STEARNS AND COMPANY	434,510	3.97	89
13COWEN & CO.	248,451	2.27	87
14DEUTSCHE BANK SECURITIES, IN	242,434	2.22	87
15INSTINET CORPORATION	217,775	1.99	89
16RBC CAPITAL MARKETS	191,155	1.75	87
17WACHOVIA SECURITIES	142,145	1.3	85
18WEEDEN & COMPANY, INC.	87,378	0.8	85
19JEFFERIES & COMPANY, INC.	83,252	0.76	84
20PIPER JAFFRAY & CO.	77,931	0.71	87
21CRT CAPITAL GROUP LLC	72,023	0.66	16
22CIBC WORLD MARKETS	70,592	0.65	89
23A.G. EDWARDS & SONS, INC.	70,553	0.65	59
24SUSQUEHANNA INTERNATIONAL GRP.	67,761	0.62	88
25ITG, INC.	66,153	0.61	88

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

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