

Nov 2008

NASDAQ Breakdown

<b>NASDAQ National Market</b>	<b>Advertised</b>	<b>% Of</b>	<b># of</b>
<b>Top 25 Brokers</b>	<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1KNIGHT	1,176,248	30.12	1311
2UBS	558,838	14.31	1293
3MORGAN STANLEY	239,747	6.14	1031
4CREDIT SUISSE	177,839	4.55	1003
5MERRILL LYNCH, PIERCE FENNER	163,978	4.2	1063
6CITIGROUP	145,358	3.72	721
7INSTINET CORPORATION	128,515	3.29	694
8JPMORGAN	106,110	2.72	784
9DEUTSCHE BANK SECURITIES, IN	102,886	2.63	768
10GOLDMAN SACHS GROUP	90,843	2.33	814
11JEFFERIES & COMPANY, INC.	68,415	1.75	389
12ITG, INC.	60,750	1.56	508
13PIPER JAFFRAY & CO.	56,668	1.45	293
14BANC OF AMERICA SECURITIES LLC	56,485	1.45	461
15BTIG - BASS TRADING	48,954	1.25	182
16CANTOR, FITZGERALD & CO., INC.	48,351	1.24	302
17RBC CAPITAL MARKETS	47,022	1.2	372
18OPPENHEIMER & CO	40,171	1.03	251
19COWEN & CO.	36,771	0.94	262
20WEEDEN & COMPANY, INC.	36,061	0.92	389
21CRT CAPITAL GROUP LLC	33,846	0.87	6
22THOMAS WEISEL PARTNERS LLC	33,030	0.85	224
23JONESTRADING INSTITUTIONAL SER	32,903	0.84	241
24SUSQUEHANNA INTERNATIONAL GRP.	24,898	0.64	582
25ThinkPanmure	18,730	0.48	67

<b>NASDAQ Small Cap Market</b>	<b>Advertised</b>	<b>% Of</b>	<b># of</b>
<b>Top 25 Brokers</b>	<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1KNIGHT	175,771	42.66	545
2UBS	84,896	20.61	499
3MORGAN STANLEY	16,000	3.88	290
4MERRILL LYNCH, PIERCE FENNER	10,723	2.6	260
5CITIGROUP	10,033	2.44	123
6GOLDMAN SACHS GROUP	9,274	2.25	156
7INSTINET CORPORATION	9,088	2.21	93
8CREDIT SUISSE	9,020	2.19	204
9BTIG - BASS TRADING	8,836	2.14	20
10CANTOR, FITZGERALD & CO., INC.	8,181	1.99	48
11ITG, INC.	7,499	1.82	40
12BANC OF AMERICA SECURITIES LLC	4,919	1.19	46

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>



13JPMORGAN	4,546	1.1	101
14WEEDEN & COMPANY, INC.	4,144	1.01	30
15RBC CAPITAL MARKETS	4,108	1	28
16DEUTSCHE BANK SECURITIES, IN	3,772	0.92	121
17JONESTRADING INSTITUTIONAL SER	3,429	0.83	34
18PACIFIC GROWTH EQUITIES	3,071	0.75	1
19MAXIM GROUP LLC	2,790	0.68	37
20CRAIG-HALLUM CAPITAL GROUP	2,510	0.61	6
21ThinkPanmure	2,501	0.61	7
22HUDSON SECURITIES	1,997	0.48	24
23JEFFERIES & COMPANY, INC.	1,920	0.47	32
24OPPENHEIMER & CO	1,576	0.38	32
25RAYMOND JAMES	1,537	0.37	27

<b>NASDAQ 100 Top 25 Brokers</b>	<b>Advertised Vol (000)</b>	<b>% Of Total</b>	<b># of Sec. Trd.</b>
1KNIGHT	1,614,047	14.87	89
2UBS	1,200,603	11.06	89
3MORGAN STANLEY	914,469	8.43	88
4CITIGROUP	791,331	7.29	88
5MERRILL LYNCH, PIERCE FENNER	787,862	7.26	89
6JPMORGAN	602,979	5.56	89
7CREDIT SUISSE	598,554	5.52	89
8GOLDMAN SACHS GROUP	573,296	5.28	89
9INSTINET CORPORATION	473,317	4.36	89
10DEUTSCHE BANK SECURITIES, IN	413,878	3.81	89
11RBC CAPITAL MARKETS	387,352	3.57	88
12BANC OF AMERICA SECURITIES LLC	317,066	2.92	88
13ITG, INC.	223,226	2.06	88
14JEFFERIES & COMPANY, INC.	174,318	1.61	88
15ROBERT W. BAIRD CO. INCORPORAT	126,655	1.17	88
16RAYMOND JAMES	125,517	1.16	83
17WEEDEN & COMPANY, INC.	107,748	0.99	88
18CRT CAPITAL GROUP LLC	100,600	0.93	8
19LEHMAN BROTHERS, INC.	87,076	0.8	88
20BARCLAYS CAPITAL INC.	80,272	0.74	86
21WACHOVIA SECURITIES	75,232	0.69	68
22COWEN & CO.	74,972	0.69	87
23SANFORD C. BERNSTEIN COMPANY,	69,401	0.64	86
24THOMAS WEISEL PARTNERS LLC	69,195	0.64	83
25PIPER JAFFRAY & CO.	66,126	0.61	84

<b>NASDAQ National Market</b>	<b>Advertised</b>	<b>% Of</b>	<b># of</b>
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<b>Top 25 Brokers YTD</b>	<b>Vol (000)</b>	<b>Total</b>	<b>Sec. Trd.</b>
1KNIGHT	11,202,669	21.41	1486
2UBS	7,463,812	14.26	1460
3MORGAN STANLEY	4,141,490	7.91	1418
4CREDIT SUISSE	2,883,077	5.51	1331
5MERRILL LYNCH, PIERCE FENNER	2,551,815	4.88	1406
6INSTINET CORPORATION	2,253,341	4.31	1240
7CITIGROUP	1,970,687	3.77	1207
8LEHMAN BROTHERS, INC.	1,690,964	3.23	1085
9DEUTSCHE BANK SECURITIES, IN	1,561,803	2.98	1078
10JPMORGAN	1,501,336	2.87	1167
11GOLDMAN SACHS GROUP	1,174,955	2.25	1292
12JEFFERIES & COMPANY, INC.	1,098,171	2.1	880
13PIPER JAFFRAY & CO.	873,211	1.67	736
14BANC OF AMERICA SECURITIES LLC	834,589	1.59	903
15ITG, INC.	673,441	1.29	921
16CANTOR, FITZGERALD & CO., INC.	621,163	1.19	973
17COWEN & CO.	564,794	1.08	576
18RBC CAPITAL MARKETS	538,911	1.03	555
19BTIG - BASS TRADING	532,314	1.02	640
20JONESTRADING INSTITUTIONAL SER	478,975	0.92	759
21OPPENHEIMER & CO	474,602	0.91	510
22THOMAS WEISEL PARTNERS LLC	462,936	0.88	561
23WEEDEN & COMPANY, INC.	451,052	0.86	845
24SUSQUEHANNA INTERNATIONAL GRP.	412,367	0.79	1152
25LEERINK SWANN & CO.	296,680	0.57	325

<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	2,025,015	36.49	626
2UBS	1,319,122	23.77	579
3MORGAN STANLEY	235,641	4.25	530
4MERRILL LYNCH, PIERCE FENNER	190,759	3.44	519
5CREDIT SUISSE	189,901	3.42	440
6CITIGROUP	168,904	3.04	359
7INSTINET CORPORATION	137,709	2.48	263
8GOLDMAN SACHS GROUP	129,003	2.32	407
9CANTOR, FITZGERALD & CO., INC.	78,208	1.41	176
10JPMORGAN	69,998	1.26	254
11LEHMAN BROTHERS, INC.	69,604	1.25	244
12DEUTSCHE BANK SECURITIES, IN	64,301	1.16	236
13JEFFERIES & COMPANY, INC.	61,370	1.11	161
14JONESTRADING INSTITUTIONAL SER	52,721	0.95	125
15BTIG - BASS TRADING	49,857	0.9	95
16BANC OF AMERICA SECURITIES LLC	47,894	0.86	157

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17RBC CAPITAL MARKETS	46,485	0.84	55
18ITG, INC.	41,489	0.75	133
19MERRIMAN CURHAN FORD & CO.	33,268	0.6	81
20HUDSON SECURITIES	30,595	0.55	149
21WEEDEN & COMPANY, INC.	29,554	0.53	98
22MAXIM GROUP LLC	26,384	0.48	132
23CRAIG-HALLUM CAPITAL GROUP	25,918	0.47	8
24BEAR STEARNS AND COMPANY	25,798	0.46	185
25PALI CAPITAL LLC	24,577	0.44	52

<b>NASDAQ 100 Top 25 Brokers YTD</b>	<b>Advertised Vol (000)</b>	<b>% Of Total</b>	<b># of Sec. Trd.</b>
1UBS	14,433,960	11.07	94
2MORGAN STANLEY	13,512,036	10.36	93
3KNIGHT	12,200,886	9.36	93
4MERRILL LYNCH, PIERCE FENNER	10,874,716	8.34	93
5CITIGROUP	9,885,404	7.58	92
6CREDIT SUISSE	8,054,089	6.18	93
7JPMORGAN	7,593,966	5.82	93
8GOLDMAN SACHS GROUP	6,662,358	5.11	93
9LEHMAN BROTHERS, INC.	6,421,932	4.93	93
10BANC OF AMERICA SECURITIES LLC	5,513,455	4.23	93
11INSTINET CORPORATION	5,479,211	4.2	93
12DEUTSCHE BANK SECURITIES, IN	4,793,932	3.68	93
13RBC CAPITAL MARKETS	2,861,897	2.2	93
14JEFFERIES & COMPANY, INC.	2,122,168	1.63	93
15ITG, INC.	1,719,260	1.32	93
16BEAR STEARNS AND COMPANY	1,206,612	0.93	93
17COWEN & CO.	1,121,779	0.86	92
18WACHOVIA SECURITIES	1,063,157	0.82	93
19ROBERT W. BAIRD CO. INCORPORAT	931,474	0.71	93
20PIPER JAFFRAY & CO.	875,247	0.67	93
21WEEDEN & COMPANY, INC.	859,654	0.66	93
22SANFORD C. BERNSTEIN COMPANY,	809,974	0.62	93
23THOMAS WEISEL PARTNERS LLC	773,288	0.59	93
24OPPENHEIMER & CO	712,994	0.55	92
25SUSQUEHANNA INTERNATIONAL GRP.	658,535	0.51	93