



Sept 2008 YTD

Special Insert

<b>NASDAQ – National Market &amp; Small Cap Market</b>	<b>Adv.</b>	<b># of</b>
<b>Top 25 (Securities Traded 1-100)</b>	<b>Vol. (000)</b>	<b>Stocks</b>
1MORGAN STANLEY EUROPE	1,747	10
2CAZENOVE SECURITIES	929	10
3ING FINANCIAL MARKETS	858	20
4DOUGHERTY & COMPANY LLC	810	83
5KEPLER EQUITIES	764	12
6EXANE BNP PARIBAS	579	7
7FELTL & COMPANY	572	66
8W.R. HAMBRECHT & COMPANY, LLC	438	28
9J GIORDANO SECURITIES	347	6
10EVOLUTION SECURITIES	340	1
11TRISTONE CAPITAL INC.	336	31
12ABEL NOSER CORP	317	78
13KAUFMAN BROS., L.P.	246	31
14NATIXIS BLEICHROEDER INC.	239	38
15HUNTLEIGH SECURITIES CORP.	233	11
16CHARDAN CAPITAL MARKETS, LLC	211	5
17GREEN STREET ADVISORS	205	13
18AUTEX	200	1
19MAGNA SECURITIES CORP.	167	30
20LIGHTHOUSE FINANCIAL GROUP, LL	159	21
21PARK FINANCIAL GROUP	150	2
22R.F. LAFFERTY & COMPANY INC.	149	2
23DAVENPORT & COMPANY	141	56
24GFI GROUP, INC.	140	1
25COKER, PALMER, PHILLIPS & MULL	132	34

<b>NASDAQ – National Market &amp; Small Cap Market</b>	<b>Adv.</b>	<b># of</b>
<b>Top 25 (Securities Traded 1-250)</b>	<b>Vol. (000)</b>	<b>Stocks</b>
1CRAIG-HALLUM CAPITAL GROUP	1,848	135
2MORGAN STANLEY EUROPE	1,747	10
3HILL THOMPSON MAGID CO. INC.	1,000	195
4CAZENOVE SECURITIES	929	10
5ING FINANCIAL MARKETS	858	20
6DOUGHERTY & COMPANY LLC	810	83
7KEPLER EQUITIES	764	12
8NORTHLAND SECURITIES	616	121
9EXANE BNP PARIBAS	579	7
10FELTL & COMPANY	572	66
11W.R. HAMBRECHT & COMPANY, LLC	438	28
12DAHLMAN ROSE & CO., LLC.	434	150
13AMERICAN TECHNOLOGY RESEARCH	388	227
14J GIORDANO SECURITIES	347	6
15EVOLUTION SECURITIES	340	1

NOTE: \*\* Indicates a broker who is not certified to the AutEx Trade Reporting Rules and Charter.  
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16TRISTONE CAPITAL INC.	336	31
17ABEL NOSER CORP	317	78
18AVIAN SECURITIES	309	172
19CARIS & COMPANY	304	162
20SIMMONS AND COMPANY INTERNATIO	257	200
21SANDERS MORRIS HARRIS	248	124
22KAUFMAN BROS., L.P.	246	31
23GARBAN INSTITUTIONAL	241	165
24NATIXIS BLEICHROEDER INC.	239	38
25HUNTLEIGH SECURITIES CORP.	233	11

<b>NASDAQ – National Market &amp; Small Cap Market</b>	<b>Adv.</b>	<b># of</b>
<b>Top 25 (Securities Traded 1-500)</b>	<b>Vol. (000)</b>	<b>Stocks</b>
1CRAIG-HALLUM CAPITAL GROUP	1,848	135
2MORGAN STANLEY EUROPE	1,747	10
3PACIFIC CREST SECURITIES	1,638	311
4CRT CAPITAL GROUP LLC	1,052	328
5HILL THOMPSON MAGID CO. INC.	1,000	195
6CAZENOVE SECURITIES	929	10
7BMO CAPITAL MARKETS	879	423
8ING FINANCIAL MARKETS	858	20
9DOUGHERTY & COMPANY LLC	810	83
10KEPLER EQUITIES	764	12
11NORTHLAND SECURITIES	616	121
12EXANE BNP PARIBAS	579	7
13FELTL & COMPANY	572	66
14ABN-AMRO	478	279
15FOX-PITT KELTON, INC.	454	359
16W.R. HAMBRECHT & COMPANY, LLC	438	28
17SANDLER O'NEIL & PARTNERS, L.P	435	427
18DAHLMAN ROSE & CO., LLC.	434	150
19AMERICAN TECHNOLOGY RESEARCH	388	227
20J GIORDANO SECURITIES	347	6
21STERNE AGEE & LEACH, INC.	341	481
22EVOLUTION SECURITIES	340	1
23TRISTONE CAPITAL INC.	336	31
24PACIFIC GROWTH EQUITIES	332	440
25STANFORD GROUP COMPANY	320	399

<b>NASDAQ – National Market &amp; Small Cap Market</b>	<b>Adv.</b>	<b># of</b>
<b>Top 25 (Securities Traded 1-750)</b>	<b>Vol. (000)</b>	<b>Stocks</b>
1CRAIG-HALLUM CAPITAL GROUP	1,848	135
2MORGAN STANLEY EUROPE	1,747	10
3PACIFIC CREST SECURITIES	1,638	311
4CRT CAPITAL GROUP LLC	1,052	328
5JMP SECURITIES	1,027	504

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6HILL THOMPSON MAGID CO. INC.	1,000	195
7CAZENOVE SECURITIES	929	10
8BMO CAPITAL MARKETS	879	423
9ING FINANCIAL MARKETS	858	20
10LEERINK SWANN & CO.	848	683
11DOUGHERTY & COMPANY LLC	810	83
12WEDBUSH MORGAN SECURITIES	765	541
13KEPLER EQUITIES	764	12
14NORTHLAND SECURITIES	616	121
15EXANE BNP PARIBAS	579	7
16FELTL & COMPANY	572	66
17MORGAN KEEGAN & CO., INC.	518	519
18ABN-AMRO	478	279
19FOX-PITT KELTON, INC.	454	359
20W.R. HAMBRECHT & COMPANY, LLC	438	28
21SANDLER O'NEIL & PARTNERS, L.P	435	427
22DAHLMAN ROSE & CO., LLC.	434	150
23AMERICAN TECHNOLOGY RESEARCH	388	227
24D.A. DAVIDSON & CO.	361	503
25KEYBANC CAPITAL MARKETS INC.	355	671

<b>Listed Brokers</b>	<b>Adv.</b>	<b># of</b>
<b>Top 25 (Securities Traded 1-500)</b>	<b>Vol. (000)</b>	<b>Stocks</b>
1R & H SECURITIES	2,317	3
2CRAIG-HALLUM CAPITAL GROUP	1,017	9
3GREEN STREET ADVISORS	853	268
4MORGAN STANLEY EUROPE	830	28
5HILL THOMPSON MAGID CO. INC.	497	34
6DAHLMAN ROSE & CO., LLC.	449	479
7CAZENOVE SECURITIES	424	21
8HUNTLEIGH SECURITIES CORP.	389	8
9PACIFIC CREST SECURITIES	386	213
10NATIXIS BLEICHROEDER INC.	385	39
11THINKEQUITY PARTNERS	355	468
12PRITCHARD CAPITAL PARTNERS	337	398
13TRISTONE CAPITAL INC.	316	174
14ABEL NOSER CORP	315	253
15ARBUTHNOT	310	1
16AVIAN SECURITIES	310	289
17UTENDAHL CAPITAL PARTNERS.	309	46
18PUNK, ZIEGEL AND COMPANY, L.P.	249	111
19DOUGHERTY & COMPANY LLC	231	41
20LADENBURG THALMANN & CO., INC	230	97
21CARIS & COMPANY	226	223
22E-TRADE CAPITAL MARKETS	213	434
23SANDERS MORRIS HARRIS	208	100
24AMERICAS GROWTH CAPITAL	207	1

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<b>Listed Brokers</b>	<b>Adv.</b>	<b># of</b>
<b>Top 25 (Securities Traded 1-1000)</b>	<b>Vol. (000)</b>	<b>Stocks</b>
1R & H SECURITIES	2,317	3
2CART CAPITAL GROUP LLC	1,167	708
3CRAIG-HALLUM CAPITAL GROUP	1,017	9
4FOX-PITT KELTON, INC.	915	767
5GREEN STREET ADVISORS	853	268
6MORGAN STANLEY EUROPE	830	28
7SIMMONS AND COMPANY INTERNATIO	811	594
8JMP SECURITIES	797	707
9LEERINK SWANN & CO.	727	702
10HILL THOMPSON MAGID CO. INC.	497	34
11WEDBUSH MORGAN SECURITIES	458	643
12DAHLMAN ROSE & CO., LLC.	449	479
13ABN-AMRO	444	668
14CAZENOVE SECURITIES	424	21
15HUDSON SECURITIES	412	893
16SANDLER O'NEIL & PARTNERS, L.P	407	564
17HUNTLEIGH SECURITIES CORP.	389	8
18PACIFIC CREST SECURITIES	386	213
19NATIXIS BLEICHROEDER INC.	385	39
20STANFORD GROUP COMPANY	357	763
21THINKEQUITY PARTNERS	355	468
22JOHNSON RICE & COMPANY	351	734
23PRITCHARD CAPITAL PARTNERS	337	398
24OTA OFF THE RECORD RESEARCH	335	640
25TRISTONE CAPITAL INC.	316	174

<b>Listed Brokers</b>	<b>Adv.</b>	<b># of</b>
<b>Top 25 (Securities Traded 1-1750)</b>	<b>Vol. (000)</b>	<b>Stocks</b>
1R & H SECURITIES	2,317	3
2WACHOVIA SECURITIES	1,928	1532
3OPPENHEIMER & CO	1,552	1644
4FRIEDMAN, BILLINGS, RAMSEY & C	1,507	1383
5COWEN & CO.	1,271	1617
6BTIG - BASS TRADING	1,242	1469
7KEEFE, BRUYETTE & WOODS, INC.	1,198	1300
8CART CAPITAL GROUP LLC	1,167	708
9CRAIG-HALLUM CAPITAL GROUP	1,017	9
10THOMAS WEISEL PARTNERS LLC	968	1550
11FOX-PITT KELTON, INC.	915	767

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12GREEN STREET ADVISORS	853	268
13MORGAN STANLEY EUROPE	830	28
14DRESDNER KLEINWORT	829	1227
15SIMMONS AND COMPANY INTERNATIO	811	594
16JMP SECURITIES	797	707
17KEYBANC CAPITAL MARKETS INC.	761	1248
18LEERINK SWANN & CO.	727	702
19HSBC SECURITIES	695	1487
20PALI CAPITAL LLC	588	1293
21HILL THOMPSON MAGID CO. INC.	497	34
22MAXIM GROUP LLC	496	1384
23WEDBUSH MORGAN SECURITIES	458	643
24DAHLMAN ROSE & CO., LLC.	449	479
25ABN-AMRO	444	668

<b>Listed Brokers</b>	<b>Adv.</b>	<b># of</b>
<b>Top 25 (Securities Traded 1-2500)</b>	<b>Vol. (000)</b>	<b>Stocks</b>
1RBC CAPITAL MARKETS	7,442	1770
2GOLDMAN SACHS GROUP	5,415	2244
3BANC OF AMERICA SECURITIES LLC	5,052	2287
4ITG, INC.	3,805	2056
5JEFFERIES & COMPANY, INC.	3,546	2178
6R & H SECURITIES	2,317	3
7WEEDEN & COMPANY, INC.	2,230	2202
8SANFORD C. BERNSTEIN COMPANY,	2,082	1912
9WACHOVIA SECURITIES	1,928	1532
10BEAR STEARNS AND COMPANY	1,922	2308
11CANTOR, FITZGERALD & CO., INC.	1,663	2002
12OPPENHEIMER & CO	1,552	1644
13FRIEDMAN, BILLINGS, RAMSEY & C	1,507	1383
14COWEN & CO.	1,271	1617
15BTIG - BASS TRADING	1,242	1469
16BNY CONVERGEX	1,204	2429
17KEEFE, BRUYETTE & WOODS, INC.	1,198	1300
18JONESTRADING INSTITUTIONAL SER	1,180	1981
19CRT CAPITAL GROUP LLC	1,167	708
20SUSQUEHANNA INTERNATIONAL GRP.	1,050	2452
21CRAIG-HALLUM CAPITAL GROUP	1,017	9
22RAYMOND JAMES	976	1891
23THOMAS WEISEL PARTNERS LLC	968	1550
24FOX-PITT KELTON, INC.	915	767
25PIPER JAFFRAY & CO.	897	1810

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