

The best route to global liquidity starts here.

Sept 2007 YTD

3RD Quarter 2007

<b>Listed Securities Top 50 Brokers</b>	<b>Advertised Vol (000)</b>	<b>% of Total</b>	<b>% of Vol. Crossed</b>
1MERRILL LYNCH, PIERCE FENNER	44,977,394	12.13	8
2UBS	41,197,125	11.11	5
3MORGAN STANLEY	40,416,685	10.9-	
4LEHMAN BROTHERS, INC.	28,386,807	7.66	13
5DEUTSCHE BANK SECURITIES, IN	24,771,223	6.68	2
6CREDIT SUISSE	21,408,473	5.77	0
7KNIGHT	19,106,726	5.15	6
8JPMORGAN	16,915,003	4.56	6
9BANC OF AMERICA SECURITIES LLC	15,341,065	4.14	2
10GOLDMAN SACHS GROUP	12,474,762	3.36	14
11BEAR STEARNS AND COMPANY	11,790,546	3.18	11
12CITIGROUP	9,452,415	2.55	13
13RBC CAPITAL MARKETS	8,943,135	2.41	4
14E-TRADE CAPITAL MARKETS	5,422,268	1.46	1
15JEFFERIES & COMPANY, INC.	4,835,719	1.3	20
16WEEDEN & COMPANY, INC.	4,452,355	1.2	14
17SUSQUEHANNA INTERNATIONAL GRP.	4,114,457	1.11	2
18HSBC SECURITIES	4,067,147	1.1	0
19INSTINET CORPORATION	3,902,288	1.05	5
20ITG, INC.	3,436,618	0.93	82
21SANFORD C. BERNSTEIN COMPANY,	3,223,516	0.87	10
22BNY BROKERAGE	3,056,478	0.82	2
23CANTOR, FITZGERALD & CO., INC.	2,632,075	0.71	33
24CIBC WORLD MARKETS	2,310,994	0.62	1
25COWEN & CO.	2,279,706	0.61	5
26WACHOVIA SECURITIES	2,227,813	0.6	9
27JONESTRADING INSTITUTIONAL SER	2,044,025	0.55	45
28RAYMOND, JAMES & ASSOC. INC.	1,698,029	0.46	3
29FRIEDMAN, BILLINGS, RAMSEY & C	1,694,073	0.46	8
30PIPER JAFFRAY & CO.	1,626,286	0.44	3
31THOMAS WEISEL PARTNERS LLC	1,584,617	0.43	2
32STIFEL NICOLAUS CAPITAL MARKET	1,013,104	0.27	9
33KEEFE, BRUYETTE & WOODS, INC.	896,561	0.24	6
34DAHLMAN ROSE & CO., LLC.	894,798	0.24	1
35NOMURA SECURITIES INTERNATIONA	879,811	0.24	0
36ROBERT W. BAIRD CO. INCORPORAT	848,730	0.23	17
37KEYBANC CAPITAL MARKETS INC.	716,119	0.19	2
38MAXIM GROUP LLC	714,003	0.19	0
39CAPITAL INSTITUTIONAL SERVICES	692,281	0.19-	
40BTIG - BASS TRADING	672,003	0.18	22
41OPPENHEIMER & CO	663,486	0.18	6
42PRUDENTIAL SECURITIES, INC.	658,687	0.18	10

1

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>

The best route to global liquidity starts here.

43SUNTRUST ROBINSON HUMPHREY	610,226	0.16	8
44DRESDNER KLEINWORT	609,624	0.16-	
45WILLIAM BLAIR & COMPANY, LLC.	586,576	0.16	5
46CRT CAPITAL GROUP LLC	543,903	0.15	18
47THE INTERSTATE GROUP	526,915	0.14	0
48A.G. EDWARDS & SONS, INC.	525,517	0.14	6
49ROCHDALE SECURITIES	522,267	0.14	6
50JMP SECURITIES	449,730	0.12	2

<b>NASDAQ / OTC - National Market &amp; Small Cap Market Top 50 Brokers</b>	<b>Advertised Vol (000)</b>	<b>% of Total</b>	<b># of Sec Traded</b>
1UBS	30,658,167	12.35	3334
2KNIGHT	28,214,194	11.37	3342
3MORGAN STANLEY	23,615,666	9.52	3011
4MERRILL LYNCH, PIERCE FENNER	17,325,530	6.98	3185
5E-TRADE CAPITAL MARKETS	13,400,247	5.4	2390
6LEHMAN BROTHERS, INC.	11,726,472	4.73	2616
7CREDIT SUISSE	11,194,662	4.51	2988
8GOLDMAN SACHS GROUP	10,993,396	4.43	2889
9BANC OF AMERICA SECURITIES LLC	10,615,415	4.28	1518
10JPMORGAN	10,417,949	4.2	2491
11DEUTSCHE BANK SECURITIES, IN	9,073,633	3.66	2468
12BEAR STEARNS AND COMPANY	7,387,989	2.98	2813
13CITIGROUP	6,755,725	2.72	1560
14INSTINET CORPORATION	4,628,125	1.86	2590
15COWEN & CO.	4,272,298	1.72	1421
16JEFFERIES & COMPANY, INC.	3,594,959	1.45	2049
17RBC CAPITAL MARKETS	3,364,450	1.36	1351
18PIPER JAFFRAY & CO.	2,617,117	1.05	1816
19WACHOVIA SECURITIES	2,508,250	1.01	856
20CIBC WORLD MARKETS	2,161,168	0.87	1962
21SUSQUEHANNA INTERNATIONAL GRP.	2,032,919	0.82	2568
22WEEDEN & COMPANY, INC.	1,868,984	0.75	1993
23THOMAS WEISEL PARTNERS LLC	1,765,164	0.71	1268
24CANTOR, FITZGERALD & CO., INC.	1,700,099	0.69	2089
25ITG, INC.	1,427,028	0.58	1901
26RAYMOND, JAMES & ASSOC. INC.	1,296,563	0.52	2535
27ROBERT W. BAIRD CO. INCORPORAT	1,272,052	0.51	759
28BNY BROKERAGE	1,058,326	0.43	2080
29JONESTRADING INSTITUTIONAL SER	1,014,470	0.41	1618
30FRIEDMAN, BILLINGS, RAMSEY & C	981,815	0.4	1190
31KEEFE, BRUYETTE & WOODS, INC.	938,504	0.38	1029
32SANFORD C. BERNSTEIN COMPANY,	930,125	0.37	1617

The best route to global liquidity starts here.

33BTIG - BASS TRADING	912,882	0.37	1403
34WILLIAM BLAIR & COMPANY, LLC.	713,918	0.29	1544
35A.G. EDWARDS & SONS, INC.	681,627	0.27	715
36OPPENHEIMER & CO	613,631	0.25	985
37CRT CAPITAL GROUP LLC	593,662	0.24	339
38MAXIM GROUP LLC	586,949	0.24	1731
39NEEDHAM & COMPANY	583,075	0.23	940
40STIFEL NICOLAUS CAPITAL MARKET	554,547	0.22	871
41THINKEQUITY PARTNERS	553,164	0.22	796
42BROADPOINT CAPITAL, INC.	546,165	0.22	529
43LEERINK SWANN & CO.	545,720	0.22	606
44PACIFIC CREST SECURITIES	522,725	0.21	290
45JMP SECURITIES	507,437	0.2	600
46CANACCORD ADAMS	474,455	0.19	704
47SUNTRUST ROBINSON HUMPHREY	448,902	0.18	1424
48WEDBUSH MORGAN SECURITIES	416,348	0.17	423
49MERRIMAN CURHAN FORD & CO.	372,122	0.15	1119
50HSBC SECURITIES	362,567	0.15	1586

**Listed Securities**  
**Non NY Brokers**  
**Top 25 Brokers**  
**Broker-Dealer**

	<u>Advertised</u> <u>Vol.(000)</u>		<u>% of Vol.</u> <u>Crossed</u>
1BANC OF AMERICA SECURITIES LLC	10,499,296		1,518
2WACHOVIA SECURITIES	2,467,094		856
3SUSQUEHANNA INTERNATIONAL GRP.	2,030,372		2,570
4WEEDEN & COMPANY, INC.	1,868,662		1,994
5THOMAS WEISEL PARTNERS LLC	1,764,665		1,268
6RAYMOND, JAMES & ASSOC. INC.	1,297,498		2,536
7ROBERT W. BAIRD CO. INCORPORAT	1,271,295		758
8FRIEDMAN, BILLINGS, RAMSEY & C	980,865		1,190
9WILLIAM BLAIR & COMPANY, LLC.	714,361		1,545
10A.G. EDWARDS & SONS, INC.	680,703		715
11THINKEQUITY PARTNERS	552,799		797
12PACIFIC CREST SECURITIES	522,705		289
13WEDBUSH MORGAN SECURITIES	416,348		423
14CRAIG-HALLUM CAPITAL GROUP	352,034		131
15STEPHENS INC.	267,155		642
16CAPITAL INSTITUTIONAL SERVICES	236,732		1,153
17MORGAN KEEGAN & CO., INC.	219,359		310
18PACIFIC GROWTH EQUITIES	200,024		572
19D.A. DAVIDSON & CO.	188,444		370
20W.R. HAMBRECHT & COMPANY, LLC	119,117		322
21SANDERS MORRIS HARRIS	77,786	210	

The best route to global liquidity starts here.

22MIDWEST RESEARCH	73,040	403
23JOHNSON RICE & COMPANY	56,604	355
24MKM PARTNERS	49,515	383
25THE INTERSTATE GROUP	47,181	387

## NASDAQ / OTC – National Market & Small Cap Market

### Top 25 Non NY Brokers Broker-Dealer

	<u>Advertised Vol.(000)</u>	<u># of Stocks</u>
1BANC OF AMERICA SECURITIES LLC	15,340,565	2
2WEEDEN & COMPANY, INC.	4,453,990	14
3SUSQUEHANNA INTERNATIONAL GRP.	4,115,143	2
4CANTOR, FITZGERALD & CO., INC.	2,634,299	33
5WACHOVIA SECURITIES	2,227,831	9
6RAYMOND, JAMES & ASSOC. INC.	1,698,034	3
7FRIEDMAN, BILLINGS, RAMSEY & C	1,694,327	8
8THOMAS WEISEL PARTNERS LLC	1,584,604	2
9ROBERT W. BAIRD CO. INCORPORAT	848,913	17
10CAPITAL INSTITUTIONAL SERVICES	692,243	-
11WILLIAM BLAIR & COMPANY, LLC.	586,520	5
12THE INTERSTATE GROUP	526,921	0
13A.G. EDWARDS & SONS, INC.	525,541	6
14SIMMONS AND COMPANY INTERNATIO	335,198	0
15MORGAN KEEGAN & CO., INC.	326,461	10
16ABN-AMRO	294,426	0
17GREEN STREET ADVISORS	244,645	13
18MIDWEST RESEARCH	230,445	10
19MKM PARTNERS	208,317	13
20JOHNSON RICE & COMPANY	199,942	2
21THINKEQUITY PARTNERS	170,369	19
22WEDBUSH MORGAN SECURITIES	165,900	7
23STEPHENS INC.	162,550	1
24D.A. DAVIDSON & CO.	91,714	1
25DAVENPORT & COMPANY	84,240	3

### Ordinary Securities (Ex-Brazil) Top 25 Brokers

	<u>Advertised Vol (000)</u>	<u>% of Total</u>	<u># of Stocks</u>
1BEAR STEARNS AND COMPANY	1,148,942	25.57	41

The best route to global liquidity starts here.

2JPMORGAN	1,080,942	24.06	108
3MERRILL LYNCH, PIERCE FENNER	782,716	17.42	68
4MORGAN STANLEY	723,245	16.1	53
5CITIGROUP	593,686	13.21	79
6GOLDMAN SACHS GROUP	75,449	1.68	20
7UBS	50,440	1.12	64
8DEUTSCHE BANK SECURITIES, IN	24,767	0.55	25
9LEHMAN BROTHERS, INC.	4,629	0.1	10
10E-TRADE CAPITAL MARKETS	3,110	0.07	1
11CREDIT SUISSE	1,986	0.04	8
12KNIGHT	1,845	0.04	16
13LAZARD CAPITAL MARKETS	1,233	0.03	2
14ING FINANCIAL MARKETS	163	0	2
15ABN-AMRO	63	0	6
16FERRIS BAKER WATTS & CO.,INC	8	0	1
17HSBC SECURITIES	6	0	2
18DRESDNER KLEINWORT	6	0	18
19MAXIM GROUP LLC	5	0	1
20MERRIMAN CURHAN FORD & CO.	3	0	1
21KEPLER EQUITIES	3	0	1
22BB&T CAPITAL MARKETS	2	0	2
23SUNTRUST ROBINSON HUMPHREY	1	0	1

<b>Ordinary Securities Top 25 Brokers Canada</b>	<b>Advertised Vol (000)</b>	<b>% of Total</b>	<b># of Stocks</b>
1RBC CAPITAL MARKETS	2,029,944	26.26	629
2MORGAN STANLEY	1,104,571	14.29	777
3LEHMAN BROTHERS, INC.	703,928	9.11	387
4UBS	697,426	9.02	393
5DEUTSCHE BANK SECURITIES, IN	559,592	7.24	496
6KNIGHT	449,536	5.82	836
7TORONTO DOMINION SECURITIES (U	409,724	5.3	216
8HSBC SECURITIES	306,367	3.96	404
9CITIGROUP	246,326	3.19	249
10MERRILL LYNCH, PIERCE FENNER	166,075	2.15	298
11DRESDNER KLEINWORT	156,560	2.03	462
12INSTINET CORPORATION	125,868	1.63	177
13CREDIT SUISSE	123,656	1.6	275
14E-TRADE CAPITAL MARKETS	106,598	1.38	60
15PANMURE & CO. LTD	87,380	1.13	73
16GOLDMAN SACHS GROUP	72,550	0.94	206

The best route to global liquidity starts here.

17BANC OF AMERICA SECURITIES LLC	44,124	0.57	135
18ABN-AMRO	32,158	0.42	96
19SHORE CAPITAL STOCKBROKERS LTD	28,937	0.37	9
20EVOLUTION SECURITIES	26,951	0.35	14
21JPMORGAN	24,599	0.32	84
22SUSQUEHANNA INTERNATIONAL GRP.	19,617	0.25	14
23MERRIMAN CURHAN FORD & CO.	17,920	0.23	16
24BEAR STEARNS AND COMPANY	15,379	0.2	9
25NUMIS SECURITIES LIMITED	14,430	0.19	6

<b>Ordinary Securities Top 15 Brokers Europe</b>	<b>Advertised Vol (000)</b>	<b>% of Total</b>	<b># of Stocks</b>
1LEHMAN BROTHERS, INC.	153,621,216	15.6	2318
2UBS	114,075,612	11.58	4963
3DEUTSCHE BANK SECURITIES, IN	108,729,851	11.04	4291
4CREDIT SUISSE	100,154,023	10.17	2683
5CITIGROUP	84,413,978	8.57	3467
6MERRILL LYNCH, PIERCE FENNER	60,643,770	6.16	3231
7MORGAN STANLEY	57,787,841	5.87	2906
8DRESDNER KLEINWORT	52,337,203	5.31	3905
9JPMORGAN	45,007,586	4.57	2531
10GOLDMAN SACHS GROUP	42,475,224	4.31	3758
11ABN-AMRO	38,800,067	3.94	3319
12HSBC SECURITIES	24,962,901	2.53	4734
13CAZENOVE SECURITIES	13,914,522	1.41	1749
14BEAR STEARNS AND COMPANY	9,715,334	0.99	2180
15ING FINANCIAL MARKETS	9,606,123	0.98	1567

<b>Ordinary Securities Top 15 Brokers Far East / Pac Rim</b>	<b>Advertised Vol (000)</b>	<b>% of Total</b>	<b># of Stocks</b>
1UBS	240,676,858	27.79	8050

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>

The best route to global liquidity starts here.

2CITIGROUP	142,106,666	16.41	4960
3DEUTSCHE BANK SECURITIES, IN	116,107,909	13.41	5301
4JPMORGAN	78,270,341	9.04	3165
5HSBC SECURITIES	62,953,358	7.27	4196
6MERRILL LYNCH, PIERCE FENNER	52,535,325	6.07	4317
7BNP PARIBAS	45,530,503	5.26	4336
8CREDIT SUISSE	44,859,274	5.18	2464
9LEHMAN BROTHERS, INC.	25,152,136	2.9	4438
10MORGAN STANLEY	24,718,429	2.85	584
11BEAR STEARNS AND COMPANY	15,691,734	1.81	3806
12ABN-AMRO	11,733,486	1.35	1018
13MORGAN STANLEY ASIA	2,050,080	0.24	287
14DRESDNER KLEINWORT	1,560,986	0.18	1546
15ING FINANCIAL MARKETS	681,528	0.08	617

<b>Ordinary Securities</b> <b>Top 15 Brokers</b> <b>Latin America (Ex. Brazil)</b>	<b>Advertised</b> <b>Vol (000)</b>	<b>% of</b> <b>Total</b>	<b># of</b> <b>Stocks</b>
1BEAR STEARNS AND COMPANY	1,148,942	25.57	41
2JPMORGAN	1,080,942	24.06	108
3MERRILL LYNCH, PIERCE FENNER	782,716	17.42	68
4MORGAN STANLEY	723,245	16.1	53
5CITIGROUP	593,686	13.21	79
6GOLDMAN SACHS GROUP	75,449	1.68	20
7UBS	50,440	1.12	64
8DEUTSCHE BANK SECURITIES, IN	24,767	0.55	25
9LEHMAN BROTHERS, INC.	4,629	0.1	10
10E-TRADE CAPITAL MARKETS	3,110	0.07	1
11CREDIT SUISSE	1,986	0.04	8
12KNIGHT	1,845	0.04	16
13LAZARD CAPITAL MARKETS	1,233	0.03	2
14ING FINANCIAL MARKETS	163	0	2
15ABN-AMRO	63	0	6

<b>ADR Securities</b> <b>Top 15 Brokers</b> <b>Argentina</b>	<b>Advertised</b> <b>Vol (000)</b>	<b>% of</b> <b>Total</b>	<b># of</b> <b>Stocks</b>
1MERRILL LYNCH, PIERCE FENNER	9,963	54.14	8

The best route to global liquidity starts here.

2JPMORGAN	4,125	22.41	11
3UBS	3,639	19.77	3
4MORGAN STANLEY	654	3.55	5
CREDIT SUISSE	13	0.07	1
LEHMAN BROTHERS, INC.	10	0.05	1

<b>ADR Securities Top 15 Brokers Hong Kong</b>	<b>Advertised Vol (000)</b>	<b>% of Total</b>	<b># of Stocks</b>
1MERRILL LYNCH, PIERCE FENNER	14,441	21.28	40
2KNIGHT	13,057	19.24	35
3UBS	11,820	17.42	36
4MORGAN STANLEY	6,017	8.87	21
5HSBC SECURITIES	4,432	6.53	4
6E-TRADE CAPITAL MARKETS	3,611	5.32	26
7DEUTSCHE BANK SECURITIES, IN	1,848	2.72	7
8LEHMAN BROTHERS, INC.	1,459	2.15	10
9CREDIT SUISSE	1,391	2.05	14
10BEAR STEARNS AND COMPANY	1,059	1.56	13
11CITIGROUP	987	1.45	4
12GOLDMAN SACHS GROUP	934	1.38	23
13PIPER JAFFRAY & CO.	733	1.08	4
14JPMORGAN	728	1.07	5
15INSTINET CORPORATION	585	0.86	3

<b>Ordinary Securities Top 25 Brokers United Kingdom</b>	<b>Advertised Vol (000)</b>	<b>% of Total</b>	<b># of Stocks</b>
1LEHMAN BROTHERS, INC.	88,656,195	15.19	719
2UBS	66,763,224	11.44	1805

The best route to global liquidity starts here.

3DEUTSCHE BANK SECURITIES, IN	60,219,665	10.32	1627
4CREDIT SUISSE	57,582,706	9.87	987
5CITIGROUP	50,133,104	8.59	1294
6MERRILL LYNCH, PIERCE FENNER	43,272,425	7.41	1216
7DRESDNER KLEINWORT	35,177,956	6.03	1456
8MORGAN STANLEY	34,301,469	5.88	1180
9GOLDMAN SACHS GROUP	24,614,416	4.22	1327
10ABN-AMRO	22,729,467	3.89	1072
11JPMORGAN	18,447,295	3.16	908
12HSBC SECURITIES	17,595,706	3.01	2391
13CAZENOVE SECURITIES	12,287,442	2.11	843
14EVOLUTION SECURITIES	8,900,284	1.52	843
15SHORE CAPITAL STOCKBROKERS LTD	6,695,479	1.15	870
16NUMIS SECURITIES LIMITED	5,436,197	0.93	444
17PANMURE & CO. LTD	5,054,391	0.87	830
18BEAR STEARNS AND COMPANY	4,535,272	0.78	714
19INVESTEC SECURITIES LTD	4,457,449	0.76	318
20MORGAN STANLEY EUROPE	2,647,976	0.45	644
21SANFORD C. BERNSTEIN COMPANY,	2,279,915	0.39	331
22LANDSBANKI.	2,279,012	0.39	710
23INSTINET CORPORATION	2,190,303	0.38	942
24ARBUTHNOT	1,353,737	0.23	421
25EXANE BNP PARIBAS	1,109,971	0.19	332

<b>Listed Securities</b>			
<b>Top 10 Brokers</b>	<b>Average</b>		<b># of</b>
<b>Average Vol. Per Security</b>	<b>Vol (000)</b>		<b>Stocks</b>
1MERRILL LYNCH, PIERCE FENNER	12,910		3484
2UBS	11,298		3647
3MORGAN STANLEY	15,421		2621
4LEHMAN BROTHERS, INC.	8,922		3185
5DEUTSCHE BANK SECURITIES, IN	8,607		2878
6CREDIT SUISSE	6,831		3133
7KNIGHT	5,466		3497
8JPMORGAN	6,608		2560
9BANC OF AMERICA SECURITIES LLC	6,500		2360
10GOLDMAN SACHS GROUP	4,580		2724

<b>NASDAQ/OTC Securities</b>			
<b>Top 10 Brokers</b>	<b>Average</b>		<b># of</b>
<b>Average Vol. Per Security</b>	<b>Vol (000)</b>		<b>Stocks</b>
1UBS	9,154		3337
2KNIGHT	8,418		3345
3MORGAN STANLEY	7,803		3014

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>

The best route to global liquidity starts here.

4MERRILL LYNCH, PIERCE FENNER	5,424	3188
5E-TRADE CAPITAL MARKETS	5,604	2392
6LEHMAN BROTHERS, INC.	4,476	2618
7CREDIT SUISSE	3,732	2990
8GOLDMAN SACHS GROUP	3,790	2891
9BANC OF AMERICA SECURITIES LLC	6,917	1518
10JPMORGAN	4,173	2493