

AUTEX BLOCKDATA

Your Global Trade Information Source

Autex BlockDATA is the most comprehensive tool available for gauging broker market share in global equity markets. BlockDATA ranks brokers based on trading activity by volume or by value traded in selected stocks, markets or industries, or by user-defined custom portfolios. In addition, BlockDATA provides detailed trading activity reports for each broker in the Autex community.

HOW AUTEX BLOCKDATA WORKS

Broker Dealers post trade advertisements detailing key information including the size, market, direction, and unit price of the trade to the Autex system. Advertised trades are used by Brokers to market their trading activity and solicit client interest. Buy-side institutions use Advertised Trades alongside Pre-trade Indications of Interest. At the end of every trading day, these trade advertisements are transferred to the BlockDATA database and aggregated by firm for ranking purposes.

THE BLOCKDATA ADVANTAGE

- Market your firm's trading prowess in specific securities, industries or markets
- Increase your knowledge of the trading environment and major market players
- Receive reports automatically by email

DATABASE COVERAGE

The BlockDATA database covers more than 180,000 equity securities, including convertibles, featuring approximately 4,000 Listed (NYSE, AMEX), 35,000 NASDAQ/OTC, 86,000 International Ordinaries, 3,500 American Depositary Receipts (ADRs), 300 Coupon Convertible Bonds, 50 Zero Coupon Convertible Bonds, 200 Convertible Preferred Stocks, 100 Mandatory Convertibles, and 500 Warrants. Autex BlockDATA is the only service of its kind that provides statistics for trading activity over most equity exchanges. Other services only provide their own exchange trading volume statistics. This comprehensive full-market approach makes BlockDATA the most valuable resource available for broker statistical information.

FEATURES AND BENEFITS:

- Contains over a decade of historical trading activity
- Provides accurate daily rankings and trading statistics of broker, security, index and custom portfolio activity
- Employs a rigorous data integrity process to ensure accurate rankings
- Made Highly Accessible
 - Available through your standard Internet browser
 - Available through the Thomson Reuters Eikon
 - Available via datafeed
 - No additional software to download

MULTIPLE REPORTS TO MEET YOUR NEEDS

- **Security Report** – ranks the most active brokers for any security, over any time period
- **Customisable time periods** – Generate reports on advertised trade volumes for any start and end date in the last ten years
- **Sector Report** – ranks the most active brokers for a given sector or subsector
- **Market Cap reporting** – Reports on any group of equities can be further filtered by market cap
- **Region/Country Report** – displays the top brokers in a given region or country

The Security Report shows the amount traded by brokers in a particular security.

Adv Volume Rank	Broker	Advertised Vol...	% of Exchange	# of Trade Ads	% of Autex	% Bid	% Sell	% Tot	% Cross
1	Merrill Lynch	4,214,629	16.64%	11	19.44%	0.00%	0.00%	100.00%	0.00%
2	KCG	3,181,500	12.56%	158	14.07%	0.00%	0.00%	98.96%	1.94%
3	JPMorgan	2,821,824	11.14%	242	13.02%	0.00%	0.00%	100.00%	0.00%
4	HSBC Securities	2,194,950	8.67%	1	10.12%	0.00%	0.00%	100.00%	0.00%
5	UBS	1,500,369	5.92%	41	6.92%	0.00%	0.00%	99.95%	0.05%
6	Credit Suisse	1,458,116	5.70%	1	6.73%	0.00%	0.00%	100.00%	0.00%
7	Goldman Sachs	1,170,343	4.62%	104	5.40%	0.00%	0.00%	100.00%	0.00%
8	Deutsche Bank	1,050,872	4.15%	24	4.85%	0.00%	0.00%	100.00%	0.00%
9	Morgan Stanley	848,229	3.35%	81	3.91%	0.00%	0.00%	100.00%	0.00%
10	Citigroup	687,127	2.71%	1	3.17%	0.00%	0.00%	100.00%	0.00%
11	Barclays Capital	476,185	1.88%	25	2.20%	0.00%	0.00%	100.00%	0.00%
12	Jeffries & Co.	436,435	1.72%	11	2.01%	0.00%	0.00%	100.00%	0.00%
13	Piper Jaffray & Co.	400,800	1.58%	18	1.84%	0.00%	0.00%	100.00%	0.00%
14	Sunamphama In	385,336	1.52%	34	1.78%	0.00%	0.00%	100.00%	0.00%
15	Wooden & Co.	295,000	1.16%	2	1.36%	0.00%	0.00%	100.00%	0.00%
16	Cowen & Co.	200,000	0.79%	7	0.92%	0.00%	0.00%	100.00%	0.00%
17	Commerzbank	165,000	0.65%	17	0.76%	0.00%	0.00%	100.00%	0.00%
18	RBC Capital Ma	55,819	0.22%	3	0.26%	0.00%	0.00%	100.00%	0.00%
19	Canaccord Finan	37,302	0.15%	1	0.17%	0.00%	0.00%	100.00%	0.00%

The Region Report shows the top brokers in the Autex community, with volume totals from various different regions and countries that have been traded and reported to Autex.

Adv Volume Rank	Broker	Advertised Vol...	% of Exchange	# of Trade Ads	% of Autex	% Bid	% Sell	% Tot	% Cross
1	KCG	42,471,708	1.94%	1,200	29.07%	0.00%	0.00%	79.08%	20.92%
2	WindsorSec	23,056,954	1.08%	38	16.19%	0.00%	0.00%	100.00%	0.00%
3	HSBC Securities	22,668,508	1.03%	24	15.52%	0.00%	0.00%	99.99%	0.01%
4	Merrill Lynch	14,210,146	0.65%	125	9.73%	0.00%	0.00%	100.00%	0.00%
5	UBS	6,567,330	0.3%	302	4.50%	0.00%	0.00%	99.20%	0.80%
6	Morgan Stanley	4,310,058	0.2%	192	2.95%	0.00%	0.00%	100.00%	0.00%
7	Citigroup	4,184,403	0.19%	85	2.86%	0.00%	0.00%	100.00%	0.00%
8	JPMorgan	3,834,997	0.17%	919	2.63%	0.00%	0.00%	100.00%	0.00%
9	Canaccord Finan	3,365,328	0.15%	564	2.30%	0.00%	0.00%	100.00%	0.00%
10	Barclays Capital	3,141,950	0.14%	129	2.15%	0.00%	0.00%	100.00%	0.00%
11	Morgan Stanley	2,884,800	0.13%	12	1.96%	0.00%	0.00%	100.00%	0.00%
12	Goldman Sachs	2,785,995	0.13%	759	1.91%	0.00%	0.00%	100.00%	0.00%
13	Macquarie Capit	2,061,209	0.09%	16	1.41%	0.00%	0.00%	100.00%	0.00%
14	Credit Suisse	1,631,292	0.07%	45	1.12%	0.00%	0.00%	100.00%	0.00%
15	Toronto Dominio	1,330,800	0.06%	112	0.91%	0.00%	0.00%	88.53%	11.47%
16	Deutsche Bank	1,251,323	0.06%	79	0.86%	0.00%	0.00%	100.00%	0.00%
17	Wells Fargo Sec	1,090,418	0.05%	130	0.75%	0.00%	0.00%	100.00%	0.00%
18	Morgan Stanley	1,046,742	0.05%	15	0.72%	0.00%	0.00%	100.00%	0.00%
19	RBC Capital Ma	957,729	0.04%	31	0.60%	0.00%	0.00%	100.00%	0.00%

The Sector Report shows the top brokers in the Autex community, with share volume representing trades reported in various sectors and subsectors.

Adv Volume Rank	Broker	Advertised Vol...	% of Exchange	# of Trade Ads	% of Autex	% Bid	% Sell	% Tot	% Cross
1	KCG	42,471,708	1.94%	1,200	29.07%	0.00%	0.00%	79.08%	20.92%
2	WindsorSec	23,056,954	1.08%	38	16.19%	0.00%	0.00%	100.00%	0.00%
3	HSBC Securities	22,668,508	1.03%	24	15.52%	0.00%	0.00%	99.99%	0.01%
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19	RBC Capital Ma	957,729	0.04%	31	0.60%	0.00%	0.00%	100.00%	0.00%

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