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| Form 1 Page 1 Execution Page | U.S. SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549 APPLICATION FOR, AND AMENDMENTS TO APPLICATION FOR, REGISTRATION AS A NATIONAL SECURITIES EXCHANGE OR EXEMPTION FROM REGISTRATION PURSUANT TO SECTION 5 OF THE EXCHANGE ACT | Date filed (MM/DD/YY) 06/26/13 | OFFICIAL USE ONLY |
|------------------------------------|---|---|-------------------------|

WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of the applicant would violate the federal securities laws and may result in disciplinary, administrative or criminal action.

INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS
MAY CONSTITUTE CRIMINAL VIOLATIONS

APPLICATION AMENDMENT

- State the name of the applicant: BATS Exchange, Inc.
- Provide the applicant's primary street address (Do not use a P.O. Box):
8050 Marshall Dr., Suite 120
Lenexa, Kansas 66214
- Provide the applicant's mailing address (if different):

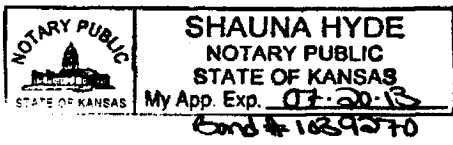
- Provide the business telephone and facsimile number:
(913) 815-7000 (Telephone) (913) 815-7119 (Facsimile)
- Provide the name, title and telephone number of a contact employee:
Eric Swanson General Counsel, BATS Exchange, Inc. (212) 378-8523
(Name) (Title) (Telephone Number)
- Provide the name and address of counsel for the applicant:
Eric Swanson
14 Wall Street
New York, NY 10005
- Provide the date that applicant's fiscal year ends: December 31
- Indicate legal status of the applicant: Corporation Sole Partnership Partnership
 Limited Liability Company Other (specify): _____

If other than a sole proprietor, indicate the date and place where applicant obtained its legal status (e.g. state where incorporated, place where partnership agreement was filed or where applicant entity was formed):
(a) Date (MM/DD/YY): 11/01/07 (b) State/Country of formation: Delaware/United States of America
(c) Statute under which applicant was organized: General Corporation Law of the State of Delaware

EXECUTION:
The applicant consents that service of any civil action brought by, or notice of any proceeding before, the Securities and Exchange Commission in connection with the applicant's activities may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 2 and 3. The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with the authority of, said applicant. The undersigned and applicant represent that the information and statement contained herein, including exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true and complete.

Date: 06/26/13 BATS Exchange, Inc.
(MM/DD/YY) (Name of Applicant)
By: [Signature] Anders Franzon, VP, Associate General Counsel
(Signature) (Printed Name and Title)
Subscribed and sworn before me this 26 day of June, 2013 by [Signature]
(Month) (Year) (Notary Public)
My Commission expires 07-20-13 County of Johnson State of Kansas

This page must always be completed in full with original, manual signature and notarization.
Affix notary stamp or seal where applicable.



| | | | |
|--|---|---|-------------------------|
| Form 1 Page 1 Execution Page | U.S. SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549 | Date filed (MM/DD/YY) 06/26/13 | OFFICIAL USE ONLY |
| APPLICATION FOR, AND AMENDMENTS TO APPLICATION FOR, REGISTRATION AS A NATIONAL SECURITIES EXCHANGE OR EXEMPTION FROM REGISTRATION PURSUANT TO SECTION 5 OF THE EXCHANGE ACT | | | |

WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of the applicant would violate the federal securities laws and may result in disciplinary, administrative or criminal action.

INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS
MAY CONSTITUTE CRIMINAL VIOLATIONS

APPLICATION AMENDMENT

1. State the name of the applicant: BATS Exchange, Inc.
 2. Provide the applicant's primary street address (Do not use a P.O. Box):
8050 Marshall Dr., Suite 120
Lenexa, Kansas 66214
 3. Provide the applicant's mailing address (if different):

 4. Provide the business telephone and facsimile number:
(913) 815-7000 (913) 815-7119
(Telephone) (Facsimile)
 5. Provide the name, title and telephone number of a contact employee:
Eric Swanson General Counsel, BATS Exchange, Inc. (212) 378-8523
(Name) (Title) (Telephone Number)
 6. Provide the name and address of counsel for the applicant:
Eric Swanson
14 Wall Street
New York, NY 10005
 7. Provide the date that applicant's fiscal year ends: December 31
 8. Indicate legal status of the applicant: Corporation Sole Partnership Partnership
 Limited Liability Company Other (specify): _____
- If other than a sole proprietor, indicate the date and place where applicant obtained its legal status (e.g. state where incorporated, place where partnership agreement was filed or where applicant entity was formed):
(a) Date (MM/DD/YY): 11/01/07 (b) State/Country of formation: Delaware/United States of America
(c) Statute under which applicant was organized: General Corporation Law of the State of Delaware

EXECUTION:

The applicant consents that service of any civil action brought by, or notice of any proceeding before, the Securities and Exchange Commission in connection with the applicant's activities may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 2 and 3. The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with the authority of, said applicant. The undersigned and applicant represent that the information and statement contained herein, including exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true and complete.

Date: 06/26/13 BATS Exchange, Inc.
(MM/DD/YY) (Name of Applicant)
By: [Signature] Anders Franzon, VP, Associate General Counsel
(Signature) (Printed Name and Title)
Subscribed and sworn before me this 26 day of June, 2013 by [Signature]
(Month) (Year) (Notary Public)
My Commission expires 07-20-13 County of Johnson State of Kansas

This page must always be completed in full with original, manual signature and notarization.
Affix notary stamp or seal where applicable.

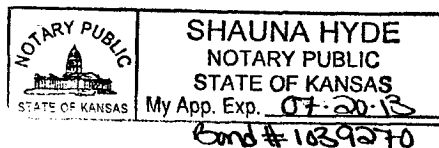


Exhibit C

Exhibit Request:

For each subsidiary or affiliate of the applicant, and for any entity with whom the applicant has a contractual or other agreement relating to the operation of an electronic trading system to be used to effect transactions on the exchange ("System"), provide the following information:

1. Name and address of organization.
2. Form of organization (e.g., association, corporation, partnership, etc.).
3. Name of state and statute citation under which organized. Date of incorporation in present form.
4. Brief description of nature and extent of affiliation.
5. Brief description of business or functions. Description should include responsibilities with respect to operation of the System and/or execution, reporting, clearance, or settlement of transactions in connection with operation of the System.
6. A copy of the constitution.
7. A copy of the articles of incorporation or association including all amendments.
8. A copy of existing by-laws or corresponding rules or instruments.
9. The name and title of the present officers, governors, members of all standing committees or persons performing similar functions.
10. An indication of whether such business or organization ceased to be associated with the applicant during the previous year, and a brief statement of the reasons for termination of the association.

Response: Please see below responses for the following entities:

A. BATS Trading, Inc.

1. *Name:* BATS Trading, Inc.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on June 16, 2005.

BATS Exchange Form 1 Registration Statement: Exhibit C

4. *Brief description of nature and extent of affiliation:* BATS Trading, Inc. ("BATS Trading") is wholly-owned by BATS Global Markets, Inc., which is also the Exchange's 100% owner.
5. *Brief description of business or functions:* BATS Trading provides outbound routing of orders from the Exchange to other securities exchanges, facilities of securities exchanges, automated trading systems, electronic communication networks or other broker-dealers. BATS Trading also provides inbound routing of orders from the Exchange's affiliate, BATS Y-Exchange, Inc. See Exchange Rules 2.11 and 2.12 for details regarding BATS Trading.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Joe Ratterman
- Chris Isaacson
- Tami Schademann

Current Officers

- Chris Isaacson (President, Treasurer)
- Tami Schademann (Chief Compliance Officer, Secretary)
- Brian Schell (FINOP)
- Jeromee Johnson (VP, Options)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

B. BATS Global Markets, Inc.

1. *Name:* BATS Global Markets, Inc. ("BATS Global Markets")
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on June 29, 2007.
4. *Brief description of nature and extent of affiliation:* BATS Global Markets is the Exchange's 100% owner.

5. *Brief description of business or functions:* BATS Global Markets is the entity through which the ultimate owners of the Exchange indirectly hold their ownership interest in the Exchange and its affiliates.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Directors

- Joe Ratterman
- David Cummings
- Michael Richter
- Christopher Mosher
- Alan Freudenstein
- Jose Marques
- John McCarthy
- John Comerford
- Daniel Keegan
- Bina Kalola
- Paul Atkins
- Robert Jones
- Brett Redfearn

Officers

- Joe Ratterman (President, CEO)
- Chris Isaacson (Senior Vice President, Chief Operating Officer)
- Eric Swanson (Senior Vice President, General Counsel, Secretary)
- Mark Hemsley (Senior Vice President)
- Brian Schell (Senior Vice President, Chief Financial Officer, Treasurer)
- Ken Conklin (Senior Vice President)
- Tami Schademann (Senior Vice President)

Compensation Committee

- Michael Richter
- Jose Marques
- Bina Kalola
- Daniel Keegan

Audit Committee

- Michael Richter
- John Comerford
- Alan Freudenstein

- Christopher Mosher

Nominating and Corporate Governance Committee

- John McCarthy
- David Cummings
- Alan Freudenstein

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

C. Chi-X Europe Limited

1. *Name:* Chi-X Europe Limited
Address: 10 Lower Thames Street, 6th Floor, London, UK EC3R 6AF
2. *Form of organization:* Private Company Limited by Shares.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in England and Wales. It changed its name to Chi-X Europe Limited on July 2, 2007.
4. *Brief description of nature and extent of affiliation:* Chi-X Europe Limited (“Chi-X”) is wholly-owned by BATS Trading Limited which, in turn, is indirectly wholly owned by Global Markets, Inc.
5. *Brief description of business or functions:* Chi-X is authorised in the United Kingdom under the Financial Services and Markets Act 2000 (“FSMA”), as a broker dealer. Between April 30, 2012 and May 20, 2013 it has been a dormant company. Since May 20, 2013 Chi-X operates the smart order router that is needed for the routing strategies deployed by BATS Trading Limited
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Mark Hemsley
- Adam Eades
- John Woodman

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

D. BATS Y-Exchange, Inc.

1. *Name:* BATS Y-Exchange, Inc.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on July 31, 2009.
4. *Brief description of nature and extent of affiliation:* BATS Y-Exchange, Inc. ("BATS YX") is wholly-owned by BATS Global Markets, Inc., which is also the Exchange's 100% owner.
5. *Brief description of business or functions:* BATS YX operates as a national securities exchange pursuant to Section 6 of the Act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

CURRENT DIRECTORS:

- Joe Ratterman
- James Selway
- Chris Isaacson
- Brett Redfearn
- Peter Wallison
- David Roscoe
- Harry Temkin
- Sandy Kemper
- Scott Wagner
- Chris Concannon

CURRENT OFFICERS:

- Joe Ratterman (Chief Executive Officer, President)
- Chris Isaacson (Senior Vice President, Chief Operating Officer)
- Tami Schademann (Senior Vice President, Chief Regulatory Officer)
- Eric Swanson (Senior Vice President, General Counsel, Secretary)
- Brian Schell (Senior Vice President, Chief Financial Officer, Treasurer)
- Phillip Ratterman (Vice President, Core Software Development)
- Charles Randy Williams (Senior Vice President, Global Communications)
- Jeromee Johnson (Vice President, Market Development)

- Anders Franzon (Vice President, Associate General Counsel)
- Joe Bracco (Senior Vice President, US Sales)
- Troy Yeazel (Vice President, Operations)
- Jeff Connell (Vice President, Market Oversight)
- Derick Shupe (Vice President, Controller)
- Greg Steinberg (Vice President, Assistant Secretary and Associate General Counsel)
- Aaron Weissenfluh (Vice President, Chief Information Security Officer)
- Eric Crampton (Vice President, Global Head of Software Engineering)
- Rodney Burt (Vice President, Infrastructure)

STANDING COMMITTEES:

Compensation Committee

- Peter Wallison
- Sandy Kemper
- Harry Temkin

Audit Committee

- Scott Wagner
- David Roscoe
- Chris Concannon

Regulatory Oversight Committee

- Harry Temkin
- Sandy Kemper
- Peter Wallison

Appeals Committee

- Brett Redfearn
- James Selway
- Scott Wagner

Executive Committee

- Joe Ratterman
- Sandy Kemper
- David Roscoe
- Harry Temkin
- James Selway

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

E. Omicron Holdings Corp.

1. *Name:* Omicron Holdings Corp.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on February 7, 2011.
4. *Brief description of nature and extent of affiliation:* BATS Global Markets, Inc., which is also the Exchange's 100% owner, owns 100% of the common stock of Omicron Holdings Corp. ("OHC")
5. *Brief description of business or functions:* OHC is a Delaware corporation established to hold Omicron Acquisitions Corp. and Omicron Intermediary Acquisitions Corp. potential future operating entities.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

CURRENT DIRECTORS:
 - Joe Ratterman
 - Mark Hemsley
CURRENT OFFICERS:
 - Mark Hemsley (President and Treasurer)
 - Eric Swanson (Vice President, Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

F. Omicron Intermediate Holdings Corp.

1. *Name:* Omicron Intermediate Holdings Corp.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.

3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on February 7, 2011.
4. *Brief description of nature and extent of affiliation:* Omicron Intermediate Holdings Corp. ("OIHC") is wholly-owned by BATS Global Markets, Inc., which is also the Exchange's 100% owner.
5. *Brief description of business or functions:* OIHC is a Delaware corporation established to acquire and potentially operate the assets of existing operating companies.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

CURRENT DIRECTORS:
 - Joe Ratterman
 - Mark Hemsley
CURRENT OFFICERS:
 - Mark Hemsley (President and Treasurer)
 - Eric Swanson (Vice President, Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

G. Omicron Acquisition Corp.

1. *Name:* Omicron Acquisition Corp.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on February 7, 2011.
4. *Brief description of nature and extent of affiliation:* Omicron Acquisition Corp. ("OAC") is wholly-owned by Omicron Holdings Corp., which is an affiliate of the Exchange.

5. *Brief description of business or functions:* OAC is a Delaware corporation established to acquire and potentially operate the assets of existing operating companies.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

CURRENT DIRECTORS:
 - Joe Ratterman
 - Mark Hemsley
CURRENT OFFICERS:
 - Mark Hemsley (President and Treasurer)
 - Eric Swanson (Vice President, Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

H. BATS Trading Limited

1. *Name:* BATS Trading Limited
Address: 10 Lower Thames Street, 6th Floor, London, UK EC3R 6AF
2. *Form of organization:* Private Company Limited by Shares.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in England and Wales under the Companies Act 1985 on March 28, 2008.
4. *Brief description of nature and extent of affiliation:* BATS Trading Limited (“BATS Limited”) is wholly-owned by Omicron Acquisition Corp. which is an affiliate of the Exchange.
5. *Brief description of business or functions:* BATS Limited is recognized as a Recognised Investment Exchange in the United Kingdom under the Financial Services and Markets Act 2000 (“FSMA”). It operates a platform for trading of European equity securities.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.

8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Mark Hemsley
- Adam Eades
- John Woodman
- Anthony Whalley
- William Eldridge
- Naseer Al-Khudairi
- Jelle Elzinga
- Jon Ross
- Rebecca Fuller

Current Officers

- Mark Hemsley (CEO)
- Antonio Amelia (Secretary)
- Michael Beaver (CFO)
- Adam Eades (Chief Legal and Regulatory Officer)
- Jerry Avenell (Co-Head Sales)
- Alex Dalley (Co-Head Sales)
- Guy Simpkin (Head of Business Development)
- David Howson (COO)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

I. BATS FX, Inc.

1. *Name:* BATS FX, Inc.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on September 17, 2012.
4. *Brief description of nature and extent of affiliation:* BATS FX, Inc. ("BATS FX") is wholly-owned by BATS Global Markets, Inc., which is also the Exchange's 100% owner.
5. *Brief description of business or functions:* BATS FX operates a global foreign exchange market.
6. *Copy of constitution:* Not applicable.

7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Joe Ratterman

Current Officers

- Ken Conklin (President and Secretary)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

Delaware

PAGE 1

The First State

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF INCORPORATION OF "BAT'S TRADING, INC.", FILED IN THIS OFFICE ON THE SIXTEENTH DAY OF JUNE, A. D. 2005, AT 5:46 O'CLOCK P.M.

A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.



3986650 8100

050505316

Harriet Smith Windsor

Harriet Smith Windsor, Secretary of State

AUTHENTICATION: 3957625

DATE: 06-17-05

STATE of DELAWARE
CERTIFICATE of INCORPORATION
A STOCK CORPORATION

- First: The name of this Corporation is Dats Trading, Inc.
- Second: Its registered office in the State of Delaware is to be located at
1209 Orange Street, in the City of Wilmington
County of New Castle Zip Code 19801. The registered agent in
charge thereof is The Corporation Trust Company.
- Third: The purpose of the corporation is to engage in any lawful act or activity for
which corporations may be organized under the General Corporation Law of
Delaware.
- Fourth: The amount of the total stock of this corporation is authorized to issue is
100,000 shares (number of authorized shares) with a par value of
\$1.00 per share.
- Fifth: The name and mailing address of the Incorporator are as follows:
Name Lawrence A. Swain
Mailing Address 2225 Indian Creek Parkway, Suite 1100
Overland Park, KS Zip Code 66210
- I, The Undersigned, for the purpose of forming a corporation under the laws of the
State of Delaware, do make, file and record this Certificate, and do certify that the
facts herein stated are true, and I have accordingly hereunto set my hand this
16th day of June, A.D. 2005.

BY: [Signature]
(Incorporator)

NAME: Lawrence A. Swain
(type or print)

State of Delaware
Secretary of State
Division of Corporations
Delivered 05:56 PM 06/16/2005
FILED 05:46 PM 06/16/2005
IV 050505316 - 3986650 FILE

Delaware

PAGE 1

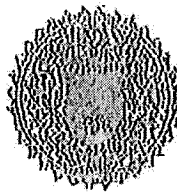
The First State

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "BATS TRADING, INC.", FILED IN THIS OFFICE ON THE EIGHTEENTH DAY OF OCTOBER, A.D. 2005, AT 6:04 O'CLOCK P.M.

A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.

3906650 0100

050051173



Harriet Smith Windsor
Harriet Smith Windsor, Secretary of State
AUTHENTICATION: 4234352

DATE: 10-19-05

10/18/2005 15:34 0162217669

TRANSFER

State of Delaware
Secretary of State
Division of Corporations
Notified 06:30 PM 10/18/2005
FILED 06:04 PM 10/18/2005
SRV 05085173 - 3986650 FILE

STATE OF DELAWARE
CERTIFICATE OF AMENDMENT
OF CERTIFICATE OF INCORPORATION

The corporation organized and existing under and by virtue of the General Corporation Law of the State of Delaware does hereby certify:

FIRST: That Pursuant to a Consent Action in Lieu of a Special Joint Meeting of the Stockholders and Board of Directors of BATS Trading, Inc. (the "Corporation") adopted pursuant to Sections 228 and 141(f) of the General Corporation Law of the State of Delaware (the "Consent"), resolutions were duly adopted setting forth an amendment of the Certificate of Incorporation of said corporation, declaring said amendment to be advisable and authorizing and directing the proper officers of the Corporation to file the necessary certificate effecting said amendment with the Secretary of State of Delaware. The resolution setting forth the proposed amendment is as follows: RESOLVED, that the Certificate of Incorporation of this corporation be amended by changing the Article thereof numbered "Fourth" so that, as amended, said Article shall be and read as follows:

The amount of the total stock this corporation is authorized to issue is 8,000,000 shares with a par value of \$.01 per share.

SECOND: That the Consent was signed by all of the stockholders and directors of the Corporation and was made effective as of October 14, 2005.

THIRD: That said amendment was duly adopted in accordance with the provisions of Section 242 of the General Corporation Law of the State of Delaware.

FOURTH: That the capital of said corporation shall not be reduced under or by reason of said amendment.

IN WITNESS WHEREOF, said corporation has caused this certificate to be signed this 18th day of OCTOBER, 2005.

By: David R. Cummings
Authorized Officer
Title: President
Name: David R. Cummings

Delaware

PAGE 1

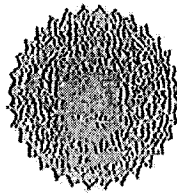
The First State

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "BATY TRADING, INC.", FILED IN THIS OFFICE ON THE TWENTIETH DAY OF OCTOBER, A.D. 2005, AT 10:56 O'CLOCK A.M.

A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.

3906650 8100

050056591



Harriet Smith Windsor
HARRIET SMITH WINDSOR, SECRETARY OF STATE
NOTMENTEXTION 9230665

DATE: 10-20-05

10/19/2005 16:16 0162217009

INCEB01

State of Delaware
Secretary of State 03
Division of Corporations
Delivered 11:02 AM 10/20/2005
FILED 10:56 AM 10/20/2005
SRV 050056591 - 3986650 FILE

STATE OF DELAWARE
CERTIFICATE OF AMENDMENT
OF CERTIFICATE OF INCORPORATION

The corporation organized and existing under and by virtue of the General Corporation Law of the State of Delaware does hereby certify:

FIRST: That Pursuant to a Consent Action in Lieu of a Special Joint Meeting of the Stockholders and Board of Directors of BATS Trading, Inc. (the "Corporation") adopted pursuant to Sections 228 and 141(O) of the General Corporation Law of the State of Delaware (the "Consent"), resolutions were duly adopted setting forth an amendment of the Certificate of Incorporation of said corporation, declaring said amendment to be advisable and authorizing and directing the proper officers of the Corporation to file the necessary certificate effecting said amendment with the Secretary of State of Delaware. The resolution setting forth the proposed amendment is as follows: RESOLVED, that the Certificate of Incorporation of this corporation be amended by changing the Article thereof numbered "Fourth" so that, as amended, said Article shall be and read as follows:

The amount of the total stock this corporation is authorized to issue is 8,000,000 shares with a par value of \$.01 per share. Each issued and outstanding share of \$1.00 par value stock shall be exchanged for 100 shares of \$.01 par value stock.

SECOND: That the Consent was signed by all of the stockholders and directors of the Corporation and was made effective as of October 19, 2005.

THIRD: That said amendment was duly adopted in accordance with the provisions of Section 242 of the General Corporation Law of the State of Delaware.

FOURTH: That the capital of said corporation shall not be reduced under or by reason of said amendment.

IN WITNESS WHEREOF, said corporation has caused this certificate to be signed this 19th day of October, 2005.

By: David R. Cummings
Authorized Officer
Title: President
Name: David R. Cummings

Delaware

PAGE 1

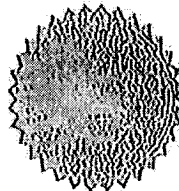
The First State

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "BATS TRADING, INC.", FILED IN THIS OFFICE ON THE THIRTEENTH DAY OF JUNE, A.D. 2006, AT 3:57 O'CLOCK P.M.

A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.

3906650 8100

060570539



Harriet Smith Windsor
Harriet Smith Windsor, Secretary of State
AUTHENTICATION: 4025744

DATE: 06-14-06

State of Delaware
Secretary of State
Division of Corporations
Delivered 04:44 PM 06/13/2006
FILED 03:57 PM 06/13/2006
SRV-060570539 - 3986650 FILE

STATE OF DELAWARE
CERTIFICATE OF AMENDMENT
OF CERTIFICATE OF INCORPORATION

The corporation organized and existing under and by virtue of the General Corporation Law of the State of Delaware does hereby certify:

FIRST: That Pursuant to a Consent Action In Lieu of a Special Joint Meeting of the Stockholders and Board of Directors of BATS Trading, Inc. (the "Corporation") adopted pursuant to Sections 228 and 141(f) of the General Corporation Law of the State of Delaware (the "Consent"), resolutions were duly adopted setting forth an amendment of the Certificate of Incorporation of said corporation, declaring said amendment to be advisable and authorizing and directing the proper officers of the Corporation to file the necessary certificate effecting said amendment with the Secretary of State of Delaware. The resolution setting forth the proposed amendment is as follows:

RESOLVED, that the Certificate of Incorporation of this corporation be amended by changing the Article thereof numbered "Fourth" so that, as amended, said Article shall be and read as follows:

The amount of the total stock this corporation is authorized to issue is 20,000,000 shares with a par value of \$.01 per share.

SECOND: That the Consent was signed by all of the stockholders and directors of the Corporation and was made effective as of June 1, 2006.

THIRD: That said amendment was duly adopted in accordance with the provisions of Section 242 of the General Corporation Law of the State of Delaware.

FOURTH: That the capital of said corporation shall not be reduced under or by reason of said amendment.

IN WITNESS WHEREOF, said corporation has caused this certificate to be signed this 1st day of June, 2006.

By: [Signature]
Authorized Officer
Title: President
Name: Dayid R. Cummings

Delaware

PAGE 1

The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "BATS TRADING, INC.", FILED IN THIS OFFICE ON THE TENTH DAY OF NOVEMBER, A.D. 2009, AT 11:37 O'CLOCK A.M.

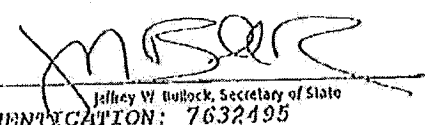
A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.

3986650 8100

091004922

You may verify this certificate online
at corp.delaware.gov/authver.shtml




Jeffrey W. Bullock, Secretary of State
AUTHENTICATION: 7632495

DATE: 11-10-09

State of Delaware
Secretary of State
Division of Corporations
Delivered 11:40 AM 11/10/2009
FILED 11:37 AM 11/10/2009
SRV 091004922 - 3906650 FILE

CERTIFICATE OF AMENDMENT OF
CERTIFICATE OF INCORPORATION
OF
BATS TRADING, INC.,
a Delaware Corporation

It is hereby certified that:

1. The name of the corporation (hereinafter, referred to as the "Corporation") is BATS Trading, Inc.

2. The Certificate of Incorporation of the Corporation is hereby amended by striking out Article Fourth thereof and by substituting in lieu of said Article the following new Article:

FOURTH: Immediately after giving effect to the Reverse Stock Split (as defined below), the total number of shares of stock which the corporation shall have authority to issue is One Thousand (1,000) and each such share is \$0.01 par value.

On November 10, 2009 (the "Reverse Split Date"), each one hundred seventy seven thousand three hundred ninety three and 33/100 (177,393.33) shares of outstanding stock of the corporation shall be and become, without further action by the corporation, one (1) share of stock of the corporation (the "Reverse Stock Split"). Each stock certificate outstanding immediately prior to the Reverse Split Date shall, without any action on the part of the holder, thereupon and thereafter, until surrendered as hereinafter provided, represent one (1) share of stock of the corporation for every one hundred seventy seven thousand three hundred ninety three and 33/100 (177,393.33) shares of stock of the corporation stated thereon. The registered holder of such certificates may, on or after the Reverse Split Date, surrender such certificates to the corporation for cancellation and, upon such surrender, shall receive in exchange therefor, without charge, new certificate(s) registered in the name of such holder representing one (1) share of stock of the corporation for each one hundred seventy seven thousand three hundred ninety three and 33/100 (177,393.33) shares of stock of the corporation which, prior to the Reverse Split Date, was represented by the certificate(s) representing shares of stock of the corporation.

3. The amendment of the Certificate of Incorporation herein certified has been duly adopted and authorized by director's resolution and by the written consent without a meeting of stockholders entitled to vote in accordance with the provision of Sections 228 and 242 of the General Corporation Law of the State of Delaware.

IN WITNESS WHEREOF, the undersigned has executed this Certificate of Amendment of this 10th day of November, 2009.

BATS TRADING, INC.

/s/ Christopher Isaacson
Christopher Isaacson, President

THIRD AMENDED AND RESTATED BYLAWS

OF

BATS TRADING, INC.

(a Delaware corporation)

ARTICLE I,

OFFICES

1.1. Principal and Business Offices. The corporation may have such principal and other business offices, either within or without the State of Delaware, as the Board of Directors may designate or as the business of the corporation may require from time to time.

1.2. Registered Office. The registered office of the corporation required by the Delaware General Corporation Law to be maintained in the State of Delaware may be, but need not be, identical with the principal office in the State of Delaware, and the address of the registered office may be changed from time to time by the Board of Directors or by the registered agent. The business office of the registered agent of the corporation shall be identical to such registered office.

ARTICLE II.

STOCKHOLDERS

2.1. Annual Meeting. The annual meeting of the stockholders shall be held on the 1st Monday in November of each year (unless that date shall be a non-business day or legal holiday, in which event the annual meeting of the stockholders shall be held the first business day immediately following such date) for the purposes of electing directors and for the transaction of such other business as may come before the meeting.

2.2. Special Meeting. Special meetings of the stockholders, for any purpose or purposes, unless otherwise prescribed by statute, may be called by the Board of Directors or the President or the Secretary or by the person, or in the manner, designated by the Board of Directors.

2.3. Place of Meeting. The Board of Directors may designate any place, either within or without the State of Delaware, as the place of meeting for any annual meeting or for any special meeting of stockholders called by the Board of Directors. If no designation is made, or if a special meeting be otherwise called, the place of meeting shall be the registered office of the corporation in the State of Delaware.

2.4. Notice of Meeting. Written notice stating the place, day and hour of the meeting of stockholders and, in case of a special meeting, the purpose or purposes for which the meeting is called, shall be delivered to each stockholder of record entitled to vote at such meeting not less than ten (10) days (unless a longer period is required by law or the articles of incorporation) not more than sixty (60) days before the date of the meeting, either personally or by mail, by or at the direction of the Board of Directors, the President, the Secretary, or any other officer or persons calling the meeting. If mailed, such notice shall be deemed to be delivered when deposited in the United States mail, addressed to the

stockholder at his address as it appears on the stock record books of the corporation, with postage thereon prepaid.

2.5. Adjournment. Any meeting of stockholders may be adjourned to reconvene at any place designated by vote of a majority of the shares represented thereat. At the adjourned meeting, the corporation may transact any business which might have been transacted at the original meeting. No notice of the time or place of an adjournment need be given if the time and place are announced at the meeting at which an adjournment is taken, unless the adjournment is for more than thirty (30) days or a new record date is fixed for the adjourned meeting, in which case notice of the adjourned meeting shall be given to each stockholder. Unless a new record date for the adjourned meeting is fixed, the determination of stockholders of record entitled to notice or to vote at the meeting at which adjournment is taken shall apply to the adjourned meeting.

2.6. Fixing of Record Date. For the purpose of determining stockholders entitled to notice of or to vote at any meeting of stockholders or any adjournment thereof, or stockholders entitled to receive payment of any dividend, or in order to make a determination of stockholders for any other proper purpose, the Board of Directors may fix in advance a date as the record date for any such determination of stockholders, such date in any case to be not more than sixty (60) days, and, in case of a meeting of stockholders, not less than ten (10) days prior to the date on which the particular action requiring such determination of stockholders is to be taken. If no record date is fixed, the record date for determining:

(a) stockholders entitled to notice of or to vote at a meeting of stockholders shall be at the close of business on the day next preceding the day on which notice is given or, if notice is waived, at the close of business on the day next preceding the day on which the meeting is held;

(b) stockholders entitled to express consent to a corporate action in writing without meeting shall be the day on which the first written consent is expressed; or

(c) stockholders for any other purpose shall be the close of business on the day on which the Board of Directors adopts the resolution relating thereto.

2.7. Voting Records. The officer having charge of the stock transfer books for shares of the corporation shall, at least ten (10) days before each meeting of stockholders, make a complete record of the stockholders entitled to vote at such meeting, arranged in alphabetical order, with the address of and the number of shares held by each. Such record shall be produced and kept open to the examination of any stockholders, for any purpose germane to the meeting, during ordinary business hours, for a period of at least ten (10) days prior to the meeting, either at a place within the city where the meeting is to be held as specified in the notice of the meeting or at the place of the meeting. The record shall also be produced and kept at the time and place of the meeting during the whole time thereof, and may be inspected by any stockholders present. The original stock transfer books shall be the only evidence as to who are the stockholders entitled to examine such record or transfer books or to vote at any meeting of stockholders.

2.8. Quorum. Except as otherwise provided in the certificate of incorporation, a majority of the shares entitled to vote, represented in person or by proxy, shall constitute a quorum at a meeting of stockholders, but in no event shall less than one-third of the shares entitled to vote constitute a quorum. If a quorum is present, the affirmative vote of the majority of the shares represented at the meeting and entitled to vote on the subject matter shall be the act of the stockholders unless the vote of a greater number or voting by classes is required by law or the certificates of incorporation. Though less than a quorum of the outstanding shares are represented at a meeting, a majority of the shares represented

at a meeting which initially had a quorum may adjourn the meeting from time to time without further notice.

2.9. Conduct of Meeting. The President or, in his absence, a Vice President in the order provided under Section 4.6 or, in their absence, any person chosen by the stockholders present, shall call the meeting of the stockholders to order and shall act as chairman of the meeting. The Secretary of the corporation shall act as secretary of all meetings of the stockholders, but, in the absence of the Secretary, the presiding officer may appoint any other person to act as secretary of the meeting.

2.10. Proxies. At all meetings of stockholders, a stockholder entitled to vote may vote in person, by proxy, appointed in writing by the stockholder, or by his duly authorized attorney in fact. Such proxy shall be filed with the Secretary of the Corporation before or at the time of the meeting. Unless otherwise provided in the proxy and supported by sufficient interest, a proxy may be revoked at any time before it is voted, either by written notice filed with the Secretary or the acting secretary, or by oral notice given by the stockholder to the presiding officer during the meeting. The presence of a stockholder who has filed a proxy shall not of itself constitute a revocation. No proxy shall be valid after three (3) years from the date of its execution, unless otherwise provided in the proxy. The Board of Directors shall have the power and authority to make rules establishing presumptions as to the validity and sufficiency of proxies.

2.11. Voting of Shares. Each outstanding share shall be entitled to one vote upon each matter submitted to a vote at a meeting of stockholders, except to the extent that the voting rights of the shares of any class or classes are enlarged, limited or denied by the certificate of incorporation.

2.12. Voting of Shares by Certain Holders.

(a) Other Corporations. Shares standing in the name of another corporation may be voted either in person or by proxy, by the president of such corporation or any other officer appointed by such president. A proxy executed by any principal officer of such other corporation or assistant thereto shall be conclusive evidence of the signer's authority to act, in the absence of express notice to this corporation, given in writing to the Secretary of this corporation, of the designation of some other person by the board of directors or the bylaws of such other corporation.

(b) Legal Representatives and Fiduciaries. Shares held by any administrator, executor, guardian, conservator, trustee in bankruptcy, receiver, or assignee for creditors may be voted by a duly executed proxy, without a transfer of such shares to his name. Shares standing in the name of a fiduciary may be voted by him, either in person or by proxy. A proxy executed by a fiduciary, shall be conclusive evidence of the signer's authority to act, in the absence of express notice to this corporation, given in writing to the Secretary of this corporation, that such manner of voting is expressly prohibited or otherwise directed by the document creating the fiduciary relationship.

(c) Pledges. A stockholder whose shares are pledged shall be entitled to vote such shares, unless in the transfer of the shares the pledgor has expressly authorized the pledgee to vote the shares and thereafter the pledgee, or his proxy, shall be entitled to vote the shares so transferred.

(d) Treasury Stock and Subsidiaries. Neither treasury shares, nor shares held by another corporation if a majority of the shares entitled to vote for the election of directors of such other corporation is held by this corporation, shall be voted at any meeting or counted in determining the total number of outstanding shares entitled to vote, but shares of its own issue held by its corporation in a fiduciary capacity, or held by such other corporation in a fiduciary capacity, may be voted and shall be counted in determining the total number of outstanding shares entitled to vote.

(c) Joint Holders. Shares of record in the names of two or more persons or shares to which two or more persons have the same fiduciary relationship, unless the Secretary of the corporation is given notice otherwise and furnished with a copy of the instrument creating the relationship, may be voted as follows: (i) if voted by an individual, his vote binds all holders; or (ii) if voted by more than one holder, the majority vote binds all, unless the vote is evenly split in which case the shares may be voted proportionately, or according to the ownership interest as shown in the instrument filed with the Secretary of the corporation.

2.13. Waiver of Notice by Stockholders. Whenever any notice is required to be given to any stockholder of the corporation under the certificate of incorporation or bylaws or any provision of the Delaware General Corporation Law, a waiver thereof in writing, signed at any time, whether before or after the time of meeting, by the stockholder entitled to such notice, shall be deemed equivalent to the giving of such notice. Attendance of a person at a meeting shall constitute a waiver of notice of such meeting, except where the person attends for the express purpose of objecting to the transaction of any business. Neither the business nor the purpose of any regular or special meeting of stockholders, directors or members of a committee of directors need be specified in the waiver.

2.14. Stockholders Consent Without Meeting. Any action required or permitted by the certificate of incorporation or bylaws or any provision of law to be taken at a meeting of the stockholders, may be taken without a meeting, prior notice or vote, if a consent in writing, setting forth the action so taken, shall be signed by the number of stockholders required to authorize such action at a meeting. If the action is authorized by less than unanimous consent, notice of the action shall be given to nonconsenting stockholders.

ARTICLE III.

BOARD OF DIRECTORS

3.1. General Powers and Number. The business and affairs of the corporation shall be managed by its Board of Directors. The number of directors of the corporation shall be one (1) or such other specific number as may be designated from time to time by resolution of the Board of Directors.

3.2. Tenure and Qualifications. Each director shall hold office until the next annual meeting of stockholders and until his successor shall have been qualified and elected, or until his prior death, resignation or removal. A director may be removed from office by affirmative vote of a majority of the outstanding shares entitled to vote for the election of such director, taken at a meeting of stockholders called for that purpose. A director may resign at any time by filing his written resignation with the Secretary of the corporation. Directors need not be residents of the State of Delaware or stockholders of the corporation.

3.3. Regular Meetings. A regular meeting of the Board of Directors shall be held without other notice than this by-law immediately after the annual meeting of stockholders, and each adjourned session thereof. The place of such regular meeting shall be the same as the place of the meeting of stockholders which precedes it, or such other suitable place as may be announced at such meeting of stockholders. The Board of Directors may provide, by resolution, the time and place, either within or without the State of Delaware, for the holding of additional regular meetings without other notice than such resolution.

3.4. Special Meetings. Special meetings of the Board of Directors may be called by or at the request of the President, Secretary or Treasurer. The President or Secretary calling any special meeting of the Board of Directors may fix any place, either within or without the State of Delaware, as

the place for holding any special meeting of the Board of Directors called by them, and if no other place is fixed the place of the meeting shall be the registered office of the corporation in the State of Delaware.

3.5. Notice; Waiver. Notice of each meeting of the Board of Directors (unless otherwise provided in or pursuant to Section 3.3) shall be given to each director not less than twenty-four (24) hours prior to the meeting by giving oral, telephone or written notice to a director in person, or by telegram, or not less than three (3) days prior to a meeting by delivering or mailing notice to the business address or such other address as a director shall have designated in writing and filed with the Secretary. If mailed, such notice shall be deemed to be delivered when deposited in the United States mail so addressed, with postage thereon prepaid. If notice be given by telegram, such notice shall be deemed to be delivered when the telegram is delivered to the telegraph company. Whenever any notice is required to be given to any director of the corporation under the certificate of incorporation or bylaws or any provision of law, a waiver thereof in writing, signed at any time, whether before or after the time of meeting, by the director entitled to such notice, shall be deemed equivalent to the giving of such notice. The attendance of a director at a meeting shall constitute a waiver of notice of such meeting, except where a director attends a meeting and objects thereto to the transaction of any business because the meeting is not lawfully called or convened. Neither the business to be transacted at, nor the purpose of, any regular or special meeting of the Board of Directors need be specified in the notice or waiver of notice of such meeting.

3.6. Quorum. Except as otherwise provided by law or by the certificate of incorporation or these bylaws, a majority of the directors shall constitute a quorum for the transaction of business at any meeting of the Board of Directors, but in no event shall less than one-third of the directors constitute a quorum. A majority of the directors present (though less than such quorum) may adjourn the meeting from time to time without further notice.

3.7. Manner of Acting. The act of the majority of the directors present at a meeting at which a quorum is present shall be the act of the Board of Directors, unless the act of a greater number is required by law or by the certificate of incorporation or these bylaws.

3.8. Conduct of Meetings. The President, or, in his absence a Vice President in the order provided under Section 4.6, or, in their absence, any director chosen by the directors present, shall call meetings of the Board of Directors to order and shall act as chairman of the meeting. The Secretary of the corporation shall act as secretary of all meetings of the Board of Directors but in the absence of the Secretary, the presiding officer may appoint any Assistant Secretary or any director or other person present to act as secretary of the meeting.

3.9. Vacancies. Any vacancy occurring in the Board of Directors, including a vacancy created by an increase in the number of directors, may be filled until the next succeeding annual election by the affirmative vote of a majority of the directors then in office, though less than a quorum of the Board of Directors; provided, that in case of a vacancy created by the removal of a director by vote of the stockholders, the stockholders shall have the right to fill such vacancy at the same meeting or any adjournment thereof.

3.10. Compensation. The Board of Directors, by affirmative vote of a majority of the directors then in office, and irrespective of any personal interest of any of its members, may establish reasonable compensation of all directors for services to the corporation as directors, officers or otherwise, or may delegate such authority to an appropriate committee. The Board of Directors also shall have authority to provide for or delegate authority to an appropriate committee to provide for reasonable pensions, disability or death benefits, and other benefits or payments, to directors, officers and employees

and to their estates, families, dependents or beneficiaries on account of prior services rendered by such directors, officers and employees to the corporation.

3.11. Presumption of Assent. A director of the corporation who is present at a meeting of the Board of Directors or a committee thereof of which he is a member at which action on any corporate matter is taken unless his dissent shall be entered in the minutes of the meeting or unless he shall file his written dissent to such action with the person acting as the secretary of the meeting before the adjournment thereof or shall forward such dissent by registered mail to the Secretary of the corporation immediately after the adjournment of the meeting. Such right to dissent shall not apply to a director who voted in favor of such action.

3.12. Committees. The Board of Directors by resolution adopted by the affirmative vote of a majority of the directors may designate one or more committees, each committee to consist of one or more directors elected by the Board of Directors, which to the extent provided in said resolution as initially adopted, and as thereafter supplemented or amended by further resolution adopted by a like vote, shall have and may exercise the powers of the Board of Directors in the management of the business and affairs of the corporation and may authorize the seal of the corporation to be affixed to all papers which may require it. Each such committee shall fix its own rules governing the conduct of its activities and shall make such reports to the Board of Directors of its activities as the Board of Directors may request.

3.13. Unanimous Consent Without Meeting. Any action required or permitted by the certificate of incorporation or bylaws or any provision of law to be taken by the Board of Directors at a meeting or by a resolution of any committee thereof may be taken without a meeting if a consent in writing, setting forth the action so taken, filed with the minutes of the proceedings, shall be signed by all of the directors then in office.

3.14. Telephonic Meetings. Members of the Board of Directors, or any committee designated by the Board, may participate in a meeting of such Board or committee by means of conference telephone or similar communications equipment by means of which all persons participating in the meeting can hear each other, and participation in a meeting pursuant to this by-law shall constitute presence in person at such meeting.

ARTICLE IV.

OFFICERS

4.1. Number. The principal officers of the corporation shall be a President, or any number of Vice Presidents, and a Secretary, each of whom shall be elected by the Board of Directors. Such other officers and assistant officers as may be deemed necessary may be elected or appointed by the Board of Directors. Any number of offices may be held by the same person.

4.2. Election and Term of Office. The officers of the corporation to be elected by the Board of Directors shall be elected annually by the Board of Directors at the first meeting of the Board of Directors held after each annual meeting of the stockholders. If the election of officers shall not be held at such meeting, such election shall be held as soon thereafter as conveniently may be. Each officer shall hold office until his successor shall have been duly elected or until his prior death, resignation or removal. Any officer may resign at any time upon written notice to the corporation. Failure to elect officers shall not dissolve or otherwise affect the corporation.

4.3. Removal. Any officer or agent may be removed by the Board of Directors whenever in its judgment the best interests of the corporation will be served thereby, but such removal

shall be without prejudice to the contract rights, if any, of the person so removed. Election or appointment shall not of itself create contract rights.

4.4. Vacancies. A vacancy in any principal office because of death, resignation, removal, disqualification or otherwise, shall be filled by the Board of Directors for the unexpired portion of the term.

4.5. President. The President shall be the principal executive officer of the corporation and, subject to the control of the Board of Directors, shall, in general, supervise and control all of the business and affairs of the corporation. He shall, when present, preside at all meetings of the stockholders and of the Board of Directors. He shall have authority, subject to such rules as may be prescribed by the Board of Directors, to appoint such agents and employees of the corporation as he shall deem necessary, to prescribe their powers, duties and compensation, and to delegate authority to them. Such agents and employees shall hold office at the discretion of the President. He shall have authority to sign, execute and acknowledge, on behalf of the corporation, all deeds, mortgages, bonds, stock certificates, contracts, leases, reports and all other documents or instruments, of every conceivable kind and character whatsoever, necessary or proper to be executed in the course of the corporation's regular business, or which shall be authorized by resolution of the Board of Directors; and, except as otherwise provided by law or the Board of Directors, he may authorize any Vice President or other officer or agent of the corporation to sign, execute and acknowledge such documents or instruments in his place and stead. In general he shall perform all duties incident to the office of President and such other duties as may be prescribed by the Board of Directors from time to time.

4.6. The Vice President. In the absence of the President or in the event of his death, inability or refusal to act, or in the event for any reason it shall be impracticable for the President to act personally, the Vice President, if one is elected, (or in the event there be more than one Vice President, the Vice Presidents in the order designated by the Board of Directors, or in the absence of any designation, then in the order of their election) shall perform the duties of the President, and when so acting, shall have all the powers of and be subject to all the restrictions upon the President. Any Vice President may sign, with the Secretary or Assistant Secretary, certificates for shares of the corporation; and shall perform such other duties and have such authority as from time to time may be delegated or assigned to him by the President or by the Board of Directors. The execution of any instrument of the corporation by any Vice President shall be conclusive evidence, as to third parties, of his authority to act in the stead of the President.

4.7. The Secretary. The Secretary shall: (a) keep the minutes of the meetings of the stockholders and of the Board of Directors in one or more books provided for the purpose; (b) attest instruments to be filed with the Secretary of State; (c) see that all notices are duly given in accordance with the provisions of these bylaws or as required by law; (d) be custodian of the corporate records and of the seal of the corporation and see that the seal of the corporation is affixed to all documents the execution of which on behalf of the corporation under its seal is duly authorized; (e) keep or arrange for the keeping of a register of the post office address of each stockholder which shall be furnished to the Secretary by such stockholder; (f) sign with the President, or a Vice President, certificates for shares of the corporation, the issuance of which shall have been authorized by resolution of the Board of Directors; (g) have general charge of the stock transfer books of the corporation; and (h) in general perform all duties incident to the office of Secretary and have such other duties and exercise such authority as from time to time may be delegated or assigned to him by the President or by the Board of Directors.

4.8. The Treasurer. The Treasurer shall: (a) have charge and custody of and be responsible for all funds and securities of the corporation; (b) receive and give receipts for moneys due and payable to the corporation from any source whatsoever, and deposit all such moneys in the name of

the corporation in such banks, trust companies or other depositories as shall be selected in accordance with the provisions of Section 5.3; and (c) in general perform all of the duties incident to the office of Treasurer and have such other duties and exercise such other authority as from time to time may be delegated or assigned to him by the President or by the Board of Directors. If required by the Board of Directors, the Treasurer shall give a bond for the faithful discharge of his duties in such sum and with such surety or sureties as the Board of Directors shall determine.

4.9. Assistant Secretaries and Assistant Treasurers. There shall be such number of Assistant Secretaries and Assistant Treasurers as the Board of Directors may from time to time authorize, if any. The Assistant Secretaries may sign with the President or a Vice President certificates for shares of the corporation the issuance of which shall have been authorized by a resolution of the Board of Directors. The Assistant Treasurers shall respectively, if required by the Board of Directors, give bonds for the faithful discharge of the duties in such sums and with such sureties as the Board of Directors shall determine. The Assistant Secretaries and Assistant Treasurers, in general, shall perform such duties and have such authority as shall from time to time be delegated or assigned to them by the Secretary or the Treasurer, respectively, or by the President or the Board of Directors.

4.10. Other Assistants and Acting Officers. The Board of Directors shall have the power to appoint any person to act as assistant to any officer, or as agent for the corporation in his stead, or to perform the duties of such officer whenever for any reason it is impracticable for such officer to act personally, and such assistant or acting officer or other agent so appointed by the Board of Directors shall have the power to perform all the duties of the office to which he is so appointed to be an assistant, or as to which he is so appointed to act, except as such power may be otherwise defined or restricted by the Board of Directors.

4.11. Salaries. The salaries of the principal officers shall be fixed from time to time by the Board of Directors or by a duly authorized committee thereof, and no officer shall be prevented from receiving such salary by reason of the fact that he is also a director of the corporation.

ARTICLE V.

CONTRACTS, LOAN, CHECKS AND DEPOSITS; SPECIAL CORPORATE ACTS

5.1. Contracts. The Board of Directors may authorize any officer or officers, agent or agents, to enter into any contract or execute or deliver any instrument in the name of and on behalf of the corporation, and such authorization may be general or confined to specific instances. In the absence of other designation, all deeds, mortgages and instruments of assignment or pledge made by the corporation shall be executed in the name of the corporation by the President or a Vice President and by the Secretary, an Assistant Secretary, the Treasurer or an Assistant Treasurer; the Secretary or an Assistant Secretary, when necessary or required, shall affix the corporate seal thereto; and when so executed no other party to such instrument or any third party shall be required to make any inquiry into the authority of the signing officer or officers.

5.2. Loans. No indebtedness for borrowed money shall be contracted on behalf of the corporation and no evidences of such indebtedness shall be issued in its name unless authorized by or under the authority of a resolution of the Board of Directors. Such authorization may be general or confined to specific instances.

5.3. Deposits. All funds of the corporation not otherwise employed shall be deposited from time to time to the credit of the corporation in such banks, trust companies or other depositories as may be selected by or under the authority of a resolution of the Board of Directors.

5.4. Voting of Securities Owned by this Corporation. Subject always to the specific directions of the Board of Directors, (a) any shares or other securities issued by any other corporation and owned or controlled by this corporation may be voted at any meeting of security holders of such other corporation by the President of this corporation if he is present, or in his absence, by a Vice President of this corporation who may be present, and (b) whenever, in the judgment of the President, or in his absence, of a Vice President, it is desirable for this corporation to execute a proxy or written consent in respect to any shares or other securities issued by any other corporation and owned by this corporation, such proxy or consent shall be executed in the name of this corporation by the President or one of the Vice Presidents of this corporation, without necessity of any authorization by the Board of Directors affixation of corporate seal or countersignature or attestation by another officer. Any person or persons designated in the manner above stated as the proxy or proxies of this corporation shall have full right, power and authority to vote the shares or other securities issued by such other corporation and owned by its corporation the same as such shares or other securities might be voted by this corporation.

ARTICLE VI.

CERTIFICATES FOR SHARES AND THEIR TRANSFER

6.1. Certificates for Shares. Certificates representing shares of the corporation shall be in such form, consistent with law, as shall be determined by the Board of Directors. Such certificates shall be signed by the President or a Vice President and by the Secretary or an Assistant Secretary or Treasurer or Assistant Treasurer. All certificates for shares shall be consecutively numbered or otherwise identified. The name and address of the person to whom the shares represented thereby are issued, with the number of shares and date of issue, shall be entered on the stock transfer books of the corporation. All certificates surrendered to the corporation for transfer shall be canceled and no new certificate shall be issued until the former certificate for a like number of shares shall have been surrendered and canceled, except as provided in Section 6.06.

6.2. Facsimile Signatures and Seal. The seal of the corporation on any certificates for shares may be a facsimile. The signature of the President or Vice President and the Secretary or Assistant Secretary upon a certificate may be facsimiles if the certificate is manually signed on behalf of a transfer agent, or a registrar, other than the corporation itself or an employee of the corporation.

6.3. Signature by Former Officers. In case any officer, who has signed or whose facsimile signature has been placed upon any certificate for shares, shall have ceased to be such officer before such certificate is issued, it may be issued by the corporation with the same effect as if he were such officer at the date of its issue.

6.4. Transfer of Shares. Prior to due presentment of a certificate for shares for registration of transfer, the corporation may treat the registered owner of such shares as the person exclusively entitled to vote, to receive notifications and otherwise to have and exercise all the rights and power of an owner. Where a certificate for shares is presented to the corporation with a request to register for transfer, the corporation shall not be liable to the owner or any other person suffering loss as a result of such registration of transfer if (a) there were on or with the certificate the necessary endorsements, and (b) the corporation had no duty to inquire into adverse claims or has discharged by such duty. The corporation may require reasonable assurance that said endorsements are genuine and effective and compliance with such other regulations as may be prescribed by or under the authority of the Board of

Directors. Where a transfer of shares is made for collateral security, and not absolutely, it shall be so expressed in the entry of transfer if, when the shares are presented, both the transferor and the transferee so request.

6.5. Restrictions on Transfer. The face or reverse side of each certificate representing shares shall bear a conspicuous notation of any restriction imposed by the corporation upon the transfer of such shares. Otherwise the restriction is invalid except against those with actual knowledge of the restrictions.

6.6. Lost, Destroyed or Stolen Certificates. The Board of Directors may direct a new certificate or certificates to be issued in place of any certificate or certificates theretofore issued by the corporation alleged to have been lost, stolen or destroyed, upon the making of an affidavit of that fact by the person claiming the certificate of stock to be lost, stolen or destroyed. When authorizing such issue of a new certificate or certificates, the Board of Directors may, in its discretion and as a condition precedent to the issuance thereof, require the person requesting such new certificate or certificates, or his or her legal representative, to give the corporation a bond in such sum as it may direct as indemnity against any claim that may be made against the corporation with respect to the certificate alleged to have been lost, stolen or destroyed.

6.7. Consideration for Shares. The shares of the corporation may be issued for such consideration as shall be fixed from time to time by the Board of Directors, consistent with the laws of the State of Delaware.

6.8. Stock Regulations. The Board of Directors shall have the power and authority to make all such further rules and regulations not inconsistent with the statutes of the State of Delaware as it may deem expedient concerning the issue, transfer and registration of certificates representing shares of the corporation.

ARTICLE VII.

SEAL

7.1. The Board of Directors may, at their discretion, provide a corporate seal in an appropriate form.

ARTICLE VIII.

FISCAL YEAR

8.1. The fiscal year of the corporation shall begin on the first day of January and end on the last day of December in each year.

ARTICLE IX.

AMENDMENTS

9.1. By Stockholders. These bylaws may be adopted, amended or repealed and new bylaws may be adopted by the stockholders entitled to vote at the stockholders' annual meeting without prior notice or any other meeting provided the amendment under consideration has been set forth in the notice of meeting, by affirmative vote of not less than a majority of the shares present or represented at any meeting at which a quorum is in attendance.

9.2. By Directors. These bylaws may be adopted, amended or repealed by the Board of Directors as provided in the certificate of incorporation by the affirmative vote of a majority of the number of directors present at any meeting at which a quorum is in attendance; but no by-law adopted by the stockholders shall be amended or repealed by the Board of Directors if the bylaws so provide.

9.3. Implied Amendments. Any action taken or authorized by the Board of Directors, which would be inconsistent with the bylaws then in effect but if taken or authorized by affirmative vote of not less than the number of directors required to amend the bylaws so that the bylaws would be consistent with such action, shall be given the same effect as though the bylaws had been temporarily amended or suspended so far, but only so far, as is necessary to permit the specific action so taken or authorized.

ARTICLE X.

INDEMNIFICATION OF DIRECTORS AND OFFICERS

10.1. Indemnification of Directors, Officers and Employees. The Corporation shall indemnify to the full extent permitted by law any person made or threatened to be made a party to an action or proceeding, whether criminal, civil, administrative or investigative, by reason of the fact that the person, his or her testator or intestate is or was a director, officer or employee of the Corporation or any predecessor of the Corporation or serves or served any other enterprise as a director, officer or employee at the request of the Corporation or any predecessor of the Corporation.

CERTIFICATE OF INCORPORATION OF BATS HOLDINGS, INC.

The undersigned, for the purpose of organizing a corporation under the General Corporation Law of the State of Delaware, certifies:

Name

FIRST: The name of the Corporation is BATS Holdings, Inc. (the "Corporation").

Registered Office

SECOND: The initial registered office of the Corporation in the State of Delaware is 1209 Orange Street, Wilmington, County of New Castle, Delaware 19801, and the name of its initial registered agent at that address is The Corporation Trust Company.

Purpose

THIRD: The purpose or purposes of the Corporation is to engage in any lawful act or activity for which corporations may be organized under the General Corporation Law of Delaware.

Authorized Stock

FOURTH:

(a) The total number of shares of stock that the Corporation shall have authority to issue is 20,000,000 shares of common stock having a par value of \$.01 per share.

Limitations on Transfer, Ownership and Voting

FIFTH: In addition to any limitations on the transfer of shares of the Corporation's capital stock set forth in the By-Laws of the Corporation, the following shall apply to the fullest extent permitted by law:

(a) Definitions. As used in this Article FIFTH:

(i) The term "Person" shall mean a natural person, partnership, corporation, limited liability company, entity, government, or political subdivision, agency or instrumentality of a government;

(ii) The term "Related Persons" shall mean with respect to any Person: (A) any "affiliate" of such Person (as such term is defined in Rule 12b-2 under the Securities Exchange Act of 1934, as amended (the "Act")); (B) any other Person with which such first Person has any agreement, arrangement or understanding (whether or not in writing) to act together for the purpose of acquiring, voting, holding or disposing of shares of the capital stock of the Corporation (provided no Person shall be deemed a Related Person pursuant to this clause (B) solely as a result of such Person's being or becoming a party to an Investor Rights

State of Delaware
Secretary of State
Division of Corporations
Delivered 04:32 PM 06/29/2007
FILED 04:30 PM 06/29/2007
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Agreement to be entered into by and among the Corporation and the stockholders named therein on or about July 2, 2007 (the "Investor Rights Agreement"); (C) in the case of a Person that is a company, corporation or similar entity, any executive officer (as defined under Rule 3b-7 under the Act) or director of such Person and, in the case of a Person that is a partnership or limited liability company, any general partner, managing member or manager of such Person, as applicable; (D) in the case of any Person that is a registered broker or dealer that has been admitted to membership in the national securities exchange known as BATS Exchange, Inc. (an "Exchange Member"), any Person that is associated with the Exchange Member (as determined using the definition of "person associated with a member" as defined under Section 3(a)(21) of the Act); (E) in the case of a Person that is an individual, any relative or spouse of such Person, or any relative of such spouse who has the same home as such Person or who is a director or officer of the Corporation or any of its parents or subsidiaries; (F) in the case of a Person that is an executive officer (as defined under Rule 3b-7 under the Act) or a director of a company, corporation or similar entity, such company, corporation or entity, as applicable; and (G) in the case of a Person that is a general partner, managing member or manager of a partnership or limited liability company, such partnership or limited liability company, as applicable; and

(iii) The term "beneficially own", "own beneficially" or any derivative thereof shall have the meaning set forth in Rule 13d-3 under the Act.

(b) Limitations.

(i) For so long as the Corporation shall control, directly or indirectly, BATS Exchange, Inc., except as provided in clause (ii) below:

(A) No Person, either alone or together with its Related Persons, may own, directly or indirectly, of record or beneficially, shares constituting more than forty percent (40%) of any class of capital stock of the Corporation;

(B) No Exchange Member, either alone or together with its Related Persons, may own, directly or indirectly, of record or beneficially, shares constituting more than twenty percent (20%) of any class of capital stock of the Corporation; and

(C) No Person, either alone or together with its Related Persons, at any time may, directly, indirectly or pursuant to any voting trust, agreement, plan or other arrangement (other than the Investor Rights Agreement), vote or cause the voting of shares of the capital stock of the Corporation or give any consent or proxy with respect to shares representing more than twenty percent (20%) of the voting power of the then issued and outstanding capital stock of the Corporation, nor may any Person, either alone or together with its Related Persons, enter into any agreement, plan or other arrangement (other than the Investor Rights Agreement) with any other Person, either alone or together with its

Related Persons, under circumstances that would result in the shares of capital stock of the Corporation that are subject to such agreement, plan or other arrangement not being voted on any matter or matters or any proxy relating thereto being withheld, where the effect of such agreement, plan or other arrangement would be to enable any Person, either alone or together with its Related Persons, to vote, possess the right to vote or cause the voting of shares of the capital stock of the Corporation that would represent more than twenty percent (20%) of said voting power.

(ii) Subject to clauses (iii) and (iv) below:

(A) The limitations in clauses (i)(A) and (i)(C) above shall not apply in the case of any class of stock that does not have the right by its terms to vote in the election of members of the Board of Directors of the Corporation or on other matters that may require the approval of the holders of voting shares of the Corporation (other than matters affecting the rights, preferences or privileges of said class of stock); and

(B) The limitations in clauses (i)(A) and (i)(C) above (except with respect to Exchange Members and their Related Persons) may be waived by the Board of Directors of the Corporation pursuant to a resolution duly adopted by the Board of Directors, if, in connection with taking such action, the Board of Directors adopts a resolution stating that it is the determination of such Board that such action will not impair the ability of BATS Exchange, Inc. to carry out its functions and responsibilities as an "exchange" under the Act and the rules and regulations promulgated thereunder, that it is otherwise in the best interests of the Corporation, its stockholders and BATS Exchange, Inc., and that it will not impair the ability of the United States Securities and Exchange Commission (the "Commission") to enforce the Act and the rules and regulations promulgated thereunder, and such resolution shall not be effective until it is filed with and approved by the Commission. In making the determinations referred to in the immediately preceding sentence, the Board of Directors may impose on the Person in question and its Related Persons such conditions and restrictions that it may in its sole discretion deem necessary, appropriate or desirable in furtherance of the objectives of the Act and the rules and regulations promulgated thereunder, and the governance of BATS Exchange, Inc.

(iii) Notwithstanding clauses (ii)(A) and (ii)(B) above, in any case where a Person, either alone or together with its Related Persons, would own or vote more than any of the above percentage limitations upon consummation of any proposed sale, assignment or transfer of the Corporation's capital stock, such sale, assignment or transfer shall not become effective until the Board of Directors of the Corporation shall have determined, by resolution, that such Person and its Related Persons are not subject to any applicable "statutory disqualification" (within the meaning of Section 3(a)(39) of the Act).

(iv) Notwithstanding clauses (ii)(A) and (ii)(B) above, and without giving effect to same, any Exchange Member that, either alone or together with its Related Persons, proposes to own, directly or indirectly, of record or beneficially, shares of the capital stock of the Corporation constituting more than twenty percent (20%) of the outstanding shares of any class of capital stock of the Corporation and any Person that, either alone or together with its Related Persons, proposes to own, directly or indirectly, of record or beneficially, shares of the capital stock of the Corporation constituting more than forty percent (40%) of the outstanding shares of any class of capital stock of the Corporation, or to exercise voting rights, or grant any proxies or consents with respect to shares of the capital stock of the Corporation constituting more than twenty percent (20%) of the voting power of the then issued and outstanding shares of capital stock of the Corporation, shall have delivered to the Board of Directors of the Corporation a notice in writing, not less than forty-five (45) days (or any shorter period to which said Board shall expressly consent), before the proposed ownership of such shares, or the proposed exercise of said voting rights or the granting of said proxies or consents, of its intention to do so.

(c) Required Notices.

(i) Any Person that, either alone or together with its Related Persons, owns, directly or indirectly (whether by acquisition or by a change in the number of shares outstanding), of record or beneficially, five percent (5%) or more of the then outstanding shares of capital stock of the Corporation (excluding shares of any class of stock that does not have the right by its terms to vote generally in the election of members of the Board of Directors of the Corporation) shall, immediately upon acquiring knowledge of its ownership of five percent (5%) or more of the then outstanding shares of such stock, give the Board of Directors written notice of such ownership, which notice shall state: (A) such Person's full legal name; (B) such Person's title or status and the date on which such title or status was acquired; (C) such Person's (and its Related Person's) approximate ownership interest of the Corporation; and (D) whether such Person has the power, directly or indirectly, to direct the management or policies of the Corporation, whether through ownership of securities, by contract or otherwise.

(ii) Each Person required to provide written notice pursuant to subparagraph (c)(i) of this Article FIFTH shall update such notice promptly after any change in the contents of that notice; provided that no such updated notice shall be required to be provided to the Board of Directors: (A) in the event of an increase or decrease in the ownership percentage so reported of less than one percent (1%) of the then outstanding shares of any class of capital stock (such increase or decrease to be measured cumulatively from the amount shown on the last such notice), unless any increase or decrease of less than one percent (1%) results in such Person owning more than twenty percent (20%) or more than forty percent (40%) of the shares of any class of capital stock then outstanding (at a time when such Person previously owned less than such percentages) or such Person owning less than twenty percent (20%) or less than forty percent (40%) of

the shares of any class of capital stock then outstanding (at a time when such Person previously owned more than such percentages); or (B) in the event the Corporation issues additional shares of capital stock (or securities convertible into capital stock) or takes any other action that dilutes the ownership of such Person, or acquires or redeems shares of outstanding capital stock or takes any other action that increases the ownership of such Person, in each case without any change in the number of shares held by such Person.

(iii) The Board of Directors of the Corporation shall have the right to require any Person reasonably believed to be subject to and in violation of this Article FIFTH to provide the Corporation complete information as to all shares of stock of the Corporation owned, directly or indirectly, of record or beneficially, by such Person and its Related Persons and as to any other (actual) matter relating to the applicability or effect of this Article FIFTH as may reasonably be requested of such Person.

(d) Effect of Purported Transfers and Voting in Violation of this Article. If any stockholder purports to sell, transfer, assign or pledge to any Person, other than the Corporation, any shares of the Corporation that would violate the provisions of this Article FIFTH, then the Corporation shall record on the books of the Corporation the transfer of only that number of shares that would not violate the provisions of this Article FIFTH and shall treat the remaining shares as owned by the purported transferor, for all purposes, including without limitation, voting, payment of dividends and distributions with respect to such shares, whether upon liquidation or otherwise. If any stockholder purports to vote, or to grant any proxy or enter into any agreement, plan or other arrangement relating to the voting of, shares that would violate the provisions of this Article FIFTH, then the Corporation shall not honor such vote, proxy, agreement, plan or other arrangement to the extent that such provisions would be violated, and any shares subject to that arrangement shall not be entitled to be voted to the extent of such violation.

(e) Right to Redeem Shares Purportedly Transferred in Violation of this Article. If any stockholder purports to sell, transfer, assign, pledge, or own any shares of the Corporation in violation of the provisions of this Article Fifth, then the Corporation shall have the right to, and shall promptly after confirming such violation and to the extent funds are legally available, redeem the shares sold, transferred, assigned, pledged, or owned in violation of the provisions of this Article Fifth for a price per share equal to the fair market value of those shares. Written notice shall be given by the Secretary of the Corporation to the holder or holders of record with respect to the redeemable shares at the address of the holder or holders of record appearing on the books of the Corporation, which notice shall specify a date for redemption of the shares that shall be not less than ten (10) days nor more than thirty (30) days from the date of such notice. Any shares that have been so called for redemption shall not be deemed outstanding shares for the purpose of voting or determining the total number of shares entitled to vote on any matter on and after the date on which written notice of redemption has been given to the holder or holders of those shares if a sum sufficient to redeem such shares shall have been irrevocably deposited or set aside to pay the redemption price to the holder or holders of the shares upon surrender of certificates for those shares. Written notice shall be given by the Secretary of the Corporation to all holders of record appearing on the books of the Corporation of any redemption by the

Corporation (including, without limitation, a redemption pursuant to this clause (c)) (in each case, a "Redemption") not more than ten (10) days after consummation of the Redemption, which notice shall specify the number of shares outstanding after the Redemption of each class of the Corporation's capital stock.

Board of Directors

SIXTH: The number of directors may be increased or decreased from time to time by a resolution adopted by the Board of Directors. Directors shall be elected by the stockholders of the Corporation pursuant to and in accordance with this Certificate of Incorporation and the By-Laws of the Corporation. Election of directors need not be by written ballot unless the By-Laws of the Corporation shall so provide. The Board of Directors or any individual director may be removed from office in accordance with the By-Laws of the Corporation.

Duration

SEVENTH: The duration of the Corporation shall be perpetual.

By-Laws

EIGHTH: The Board of Directors shall have the power to adopt, amend or repeal By-Laws of the Corporation. The By-Laws of the Corporation may also be amended or repealed, or new By-Laws of the Corporation may be adopted, by action taken by the stockholders of the Corporation. All amendments to the Corporation's By-Laws must be made in accordance with procedures set out in the By-Laws of the Corporation.

Indemnification and Limitation of Director Liability

NINTH:

(a) Indemnification. The Corporation shall provide indemnification for members of its Board of Directors, members of committees of the Board of Directors and of other committees of the Corporation, and its executive officers, and may provide indemnification for its other officers and its agents and employees, and those serving another corporation, partnership, joint venture, trust or other enterprise at the request of the Corporation, in each case to the maximum extent permitted by Delaware law; provided, however, that the Corporation may limit the extent of such indemnification by individual contracts with its directors and executive officers; and, provided, further, that the Corporation shall not be required to indemnify any person in connection with any proceeding (or part thereof) initiated by such person or any proceeding by such person against the Corporation or its directors, officers, employees or other agents unless (i) such indemnification is expressly required to be made by law, (ii) the proceeding was authorized by the Board of Directors of the Corporation or (iii) such indemnification is provided by the Corporation, in its sole discretion, pursuant to the powers vested in the Corporation under the General Corporation Law of Delaware.

(b) Limitation of Liability. To the fullest extent not prohibited by the General Corporation Law of the State of Delaware, as it exists on the date this Certificate of Incorporation is adopted or as such law may later be amended, no director of the Corporation shall be liable to the

Corporation or its stockholders for monetary damages for any breach of fiduciary duty as a director. No amendment to or repeal of this Article shall adversely affect any right or protection of a director of the Corporation that exists at the time of such amendment or repeal with respect to any actions taken, or inactions, prior thereto.

Action without Meeting

TENTH: Action may be taken by the stockholders of the Corporation, without a meeting, by written consent as and to the extent provided at the time by the General Corporation Law of Delaware.

Compromise or Other Arrangement

ELEVENTH: Whenever a compromise or arrangement is proposed between the Corporation and its creditors or any class of them and/or between the Corporation and its stockholders or any class of them, any court of equitable jurisdiction within the State of Delaware may, on the application in a summary way of the Corporation or of any creditor or stockholder thereof or on the application of any receiver or receivers appointed for the Corporation under Section 291 of Title 8 of the Delaware Code or on the application of trustees in dissolution or of any receiver or receivers appointed for the Corporation under Section 279 of Title 8 of the Delaware Code, order a meeting of the creditors or class of creditors, and/or of the stockholders or class of stockholders of the Corporation, as the case may be, to be summoned in such manner as such court directs. If a majority in number representing three fourths in value of the creditors or class of creditors, and/or of the stockholders or class of stockholders of the Corporation, as the case may be, agree to any compromise or arrangement and to any reorganization of the Corporation as consequence of such compromise or arrangement, the said compromise or arrangement and the said reorganization shall, if sanctioned by the court to which the said application has been made, be binding on all the creditors or class of creditors, and/or on all the stockholders or class of stockholders, of the Corporation, as the case may be, and also on the Corporation.

Amendment of Certificate of Incorporation

TWELFTH: The Corporation reserves the right to amend this Certificate of Incorporation, and to change or repeal any provision of the Certificate of Incorporation, in the manner prescribed at the time by statute (provided, however, that any such amendment, change or repeal must be first approved by the Board of Directors), and all rights conferred upon stockholders in this Certificate of Incorporation are granted subject to this reservation. For so long as the Corporation shall control, directly or indirectly, BATS Exchange, Inc., before any amendment to or repeal of any provision of this Certificate of Incorporation shall be effective, those changes shall be submitted to the Board of Directors of BATS Exchange, Inc. and if that Board shall determine that the same must be filed with or filed with and approved by the Commission before the changes may be effective, under Section 19 of the Act and the rules and regulations promulgated thereunder by the Commission or otherwise, then the proposed changes to the Certificate of Incorporation of this Corporation shall not be effective until filed with or filed with and approved by the Commission, as the case may be.

The undersigned has caused this Certificate of
Incorporation to be executed this 29th day of June,
2007.

By: Joseph P. Ratt
(Incorporator)

Name: Joseph P. Rattmann

4151 N. MULBERRY DRIVE
SUITE 275
KANSAS CITY, MO 64116

Delaware

PAGE 1

The First State

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE RESTATED CERTIFICATE OF "DATA GLOBAL MARKETS, INC.", FILED IN THIS OFFICE ON THE TENTH DAY OF DECEMBER, A.D. 2008, AT 5:07 O'CLOCK P.M.

A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.



4381465 8100

081103373

You may verify this certificate online
at corp.delaware.gov/authver.shtml

Harriet Smith Windsor
Harriet Smith Windsor, Secretary of State
AUTHENTICATION: 7016354

DATE: 12-11-08

State of Delaware
Secretary of State
Division of Corporations
Delivered 05:10 PM 12/10/2008
FILED 05:07 PM 12/10/2008
SRV 001103373 - 4381465 FILE

**AMENDED AND RESTATED CERTIFICATE OF
INCORPORATION OF BATS GLOBAL MARKETS, INC.**

(Pursuant to Sections 242 and 245 of the
General Corporation Law of the State of Delaware)

BATS Global Markets, Inc., a corporation organized and existing under and by virtue of the provisions of the General Corporation Law of the State of Delaware (the "General Corporation Law"),

DOES HEREBY CERTIFY:

That the name of this corporation is BATS Global Markets, Inc. and that this corporation was originally incorporated pursuant to the General Corporation Law on June 29, 2007 under the name BATS Holdings, Inc.

That the Board of Directors duly adopted resolutions proposing to amend and restate the Certificate of Incorporation of this corporation, declaring said amendment and restatement to be advisable and in the best interests of this corporation and its stockholders, and authorizing the appropriate officers of this corporation to solicit the consent of the stockholders therefore, which resolution setting forth the proposed amendment and restatement is as follows:

RESOLVED, that the Certificate of Incorporation of this corporation be amended and restated in its entirety to read as follows:

Name

FIRST: The name of the Corporation is BATS Global Markets, Inc. (the "Corporation").

Registered Office

SECOND: The initial registered office of the Corporation in the State of Delaware is 1209 Orange Street, Wilmington, County of New Castle, Delaware 19801, and the name of its initial registered agent at that address is The Corporation Trust Company.

Purpose

THIRD: The purpose or purposes of the Corporation is to engage in any lawful act or activity for which corporations may be organized under the General Corporation Law of Delaware.

Authorized Stock

FOURTH:

(a) The total number of shares of stock that the Corporation shall have authority to issue is 20,000,000 shares of common stock having a par value of \$.01 per share.

Limitations on Transfer, Ownership and Voting

FIFTH: In addition to any limitations on the transfer of shares of the Corporation's capital stock set forth in the By-Laws of the Corporation, the following shall apply to the fullest extent permitted by law:

(a) Definitions. As used in this Article FIFTH:

(i) The term "Person" shall mean a natural person, partnership, corporation, limited liability company, entity, government, or political subdivision, agency or instrumentality of a government;

(ii) The term "Related Persons" shall mean with respect to any Person: (A) any "affiliate" of such Person (as such term is defined in Rule 12b-2 under the Securities Exchange Act of 1934, as amended (the "Act")); (B) any other Person with which such first Person has any agreement, arrangement or understanding (whether or not in writing) to act together for the purpose of acquiring, voting, holding or disposing of shares of the capital stock of the Corporation (provided no Person shall be deemed a Related Person pursuant to this clause (B) solely as a result of such Person's being or becoming a party to an Investor Rights Agreement entered into by and among the Corporation and the stockholders named therein on January 1, 2008 (the "Investor Rights Agreement")); (C) in the case of a Person that is a company, corporation or similar entity, any executive officer (as defined under Rule 3b-7 under the Act) or director of such Person and, in the case of a Person that is a partnership or limited liability company, any general partner, managing member or manager of such Person, as applicable; (D) in the case of any Person that is a registered broker or dealer that has been admitted to membership in the national securities exchange known as BATS Exchange, Inc (an "Exchange Member"), any Person that is associated with the Exchange Member (as determined using the definition of "person associated with a member" as defined under Section 3(a)(21) of the Act); (E) in the case of a Person that is a natural person and Exchange Member, any broker or dealer that is also an Exchange Member with which such Person is associated; (F) in the case of a Person that is a natural person, any relative or spouse of such Person, or any relative of such spouse who has the same home as such Person or who is a director or officer of the Corporation or any of its parents or subsidiaries; (G) in the case of a Person that is an executive officer (as defined under Rule 3b-7 under the Act) or a director of a company, corporation or similar entity, such company, corporation or entity, as applicable; and (H) in the case of a Person that is a general partner, managing member or manager of a partnership or limited liability company, such partnership or limited liability company, as applicable; and

(iii) The term "beneficially own", "own beneficially" or any derivative thereof shall have the meaning set forth in Rule 13d-3 under the Act.

(b) Limitations.

(i) For so long as the Corporation shall control, directly or indirectly, BATS Exchange, Inc., except as provided in clause (ii) below:

(A) No Person, either alone or together with its Related Persons, may own, directly or indirectly, of record or beneficially, shares constituting more than forty percent (40%) of any class of capital stock of the Corporation;

(B) No Exchange Member, either alone or together with its Related Persons, may own, directly or indirectly, of record or beneficially, shares constituting more than twenty percent (20%) of any class of capital stock of the Corporation; and

(C) No Person, either alone or together with its Related Persons, at any time may, directly, indirectly or pursuant to any voting trust, agreement, plan or other arrangement (other than the Investor Rights Agreement), vote or cause the voting of shares of the capital stock of the Corporation or give any consent or proxy with respect to shares representing more than twenty percent (20%) of the voting power of the then issued and outstanding capital stock of the Corporation, nor may any Person, either alone or together with its Related Persons, enter into any agreement, plan or other arrangement (other than the Investor Rights Agreement) with any other Person, either alone or together with its Related Persons, under circumstances that would result in the shares of capital stock of the Corporation that are subject to such agreement, plan or other arrangement not being voted on any matter or matters or any proxy relating thereto being withheld, where the effect of such agreement, plan or other arrangement would be to enable any Person, either alone or together with its Related Persons, to vote, possess the right to vote or cause the voting of shares of the capital stock of the Corporation that would represent more than twenty percent (20%) of said voting power.

(ii) Subject to clauses (iii) and (iv) below:

(A) The limitations in clauses (i)(A) and (i)(C) above shall not apply in the case of any class of stock that does not have the right by its terms to vote in the election of members of the Board of Directors of the Corporation or on other matters that may require the approval of the holders of voting shares of the Corporation (other than matters affecting the rights, preferences or privileges of said class of stock); and

(B) The limitations in clauses (i)(A) and (i)(C) above (except with respect to Exchange Members and their Related Persons) may be waived by the Board of Directors of the Corporation pursuant to a resolution duly adopted by the Board of Directors, if, in connection with taking such action, the Board of Directors adopts a resolution stating that it is the determination of such Board that such action will not impair the ability of

BATS Exchange, Inc. to carry out its functions and responsibilities as an "exchange" under the Act and the rules and regulations promulgated thereunder, that it is otherwise in the best interests of the Corporation, its stockholders and BATS Exchange, Inc., and that it will not impair the ability of the United States Securities and Exchange Commission (the "Commission") to enforce the Act and the rules and regulations promulgated thereunder, and such resolution shall not be effective until it is filed with and approved by the Commission. In making the determinations referred to in the immediately preceding sentence, the Board of Directors may impose on the Person in question and its Related Persons such conditions and restrictions that it may in its sole discretion deem necessary, appropriate or desirable in furtherance of the objectives of the Act and the rules and regulations promulgated thereunder, and the governance of BATS Exchange, Inc.

(iii) Notwithstanding clauses (ii)(A) and (ii)(B) above, in any case where a Person, either alone or together with its Related Persons, would own or vote more than any of the above percentage limitations upon consummation of any proposed sale, assignment or transfer of the Corporation's capital stock, such sale, assignment or transfer shall not become effective until the Board of Directors of the Corporation shall have determined, by resolution, that such Person and its Related Persons are not subject to any applicable "statutory disqualification" (within the meaning of Section 3(a)(39) of the Act).

(iv) Notwithstanding clauses (ii)(A) and (ii)(B) above, and without giving effect to same, any Exchange Member that, either alone or together with its Related Persons, proposes to own, directly or indirectly, of record or beneficially, shares of the capital stock of the Corporation constituting more than twenty percent (20%) of the outstanding shares of any class of capital stock of the Corporation and any Person that, either alone or together with its Related Persons, proposes to own, directly or indirectly, of record or beneficially, shares of the capital stock of the Corporation constituting more than forty percent (40%) of the outstanding shares of any class of capital stock of the Corporation, or to exercise voting rights, or grant any proxies or consents with respect to shares of the capital stock of the Corporation constituting more than twenty percent (20%) of the voting power of the then issued and outstanding shares of capital stock of the Corporation, shall have delivered to the Board of Directors of the Corporation a notice in writing, not less than forty-five (45) days (or any shorter period to which said Board shall expressly consent), before the proposed ownership of such shares, or the proposed exercise of said voting rights or the granting of said proxies or consents, of its intention to do so

(c) Required Notices.

(i) Any Person that, either alone or together with its Related Persons, owns, directly or indirectly (whether by acquisition or by a change in the number of shares outstanding), of record or beneficially, five percent (5%) or more of the

then outstanding shares of capital stock of the Corporation (excluding shares of any class of stock that does not have the right by its terms to vote generally in the election of members of the Board of Directors of the Corporation) shall, immediately upon acquiring knowledge of its ownership of five percent (5%) or more of the then outstanding shares of such stock, give the Board of Directors written notice of such ownership, which notice shall state: (A) such Person's full legal name; (B) such Person's title or status and the date on which such title or status was acquired; (C) such Person's (and its Related Person's) approximate ownership interest of the Corporation; and (D) whether such Person has the power, directly or indirectly, to direct the management or policies of the Corporation, whether through ownership of securities, by contract or otherwise.

(ii) Each Person required to provide written notice pursuant to subparagraph (c)(1) of this Article FIFTH shall update such notice promptly after any change in the contents of that notice; provided that no such updated notice shall be required to be provided to the Board of Directors; (A) in the event of an increase or decrease in the ownership percentage so reported of less than one percent (1%) of the then outstanding shares of any class of capital stock (such increase or decrease to be measured cumulatively from the amount shown on the last such notice), unless any increase or decrease of less than one percent (1%) results in such Person owning more than twenty percent (20%) or more than forty percent (40%) of the shares of any class of capital stock then outstanding (at a time when such Person previously owned less than such percentages) or such Person owning less than twenty percent (20%) or less than forty percent (40%) of the shares of any class of capital stock then outstanding (at a time when such Person previously owned more than such percentages); or (B) in the event the Corporation issues additional shares of capital stock (or securities convertible into capital stock) or takes any other action that dilutes the ownership of such Person, or acquires or redeems shares of outstanding capital stock or takes any other action that increases the ownership of such Person, in each case without any change in the number of shares held by such Person.

(iii) The Board of Directors of the Corporation shall have the right to require any Person reasonably believed to be subject to and in violation of this Article FIFTH to provide the Corporation complete information as to all shares of stock of the Corporation owned, directly or indirectly, of record or beneficially, by such Person and its Related Persons and as to any other factual matter relating to the applicability or effect of this Article FIFTH as may reasonably be requested of such Person.

(d) Effect of Purported Transfers and Voting in Violation of this Article. If any stockholder purports to sell, transfer, assign or pledge to any Person, other than the Corporation, any shares of the Corporation that would violate the provisions of this Article FIFTH, then the Corporation shall record on the books of the Corporation the transfer of only that number of shares that would not violate the provisions of this Article FIFTH and shall treat the remaining shares as owned by the purported transferor, for all purposes, including without limitation, voting, payment of dividends and distributions with respect to such shares, whether upon

liquidation or otherwise. If any stockholder purports to vote, or to grant any proxy or enter into any agreement, plan or other arrangement relating to the voting of, shares that would violate the provisions of this Article FIFTH, then the Corporation shall not honor such vote, proxy, agreement, plan or other arrangement to the extent that such provisions would be violated, and any shares subject to that arrangement shall not be entitled to be voted to the extent of such violation.

(e) Right to Redeem Shares Purportedly Transferred in Violation of this Article. If any stockholder purports to sell, transfer, assign, pledge, or own any shares of the Corporation in violation of the provisions of this Article Fifth, then the Corporation shall have the right to, and shall promptly after confirming such violation and to the extent funds are legally available, redeem the shares sold, transferred, assigned, pledged, or owned in violation of the provisions of this Article Fifth for a price per share equal to the fair market value of those shares. Written notice shall be given by the Secretary of the Corporation to the holder or holders of record with respect to the redeemable shares at the address of the holder or holders of record appearing on the books of the Corporation, which notice shall specify a date for redemption of the shares that shall be not less than ten (10) days nor more than thirty (30) days from the date of such notice. Any shares that have been so called for redemption shall not be deemed outstanding shares for the purpose of voting or determining the total number of shares entitled to vote on any matter on and after the date on which written notice of redemption has been given to the holder or holders of those shares if a sum sufficient to redeem such shares shall have been irrevocably deposited or set aside to pay the redemption price to the holder or holders of the shares upon surrender of certificates for those shares. Written notice shall be given by the Secretary of the Corporation to all holders of record appearing on the books of the Corporation of any redemption by the Corporation (including, without limitation, a redemption pursuant to this clause (e)) (in each case, a "Redemption") not more than ten (10) days after consummation of the Redemption, which notice shall specify the number of shares outstanding after the Redemption of each class of the Corporation's capital stock.

Board of Directors

SIXTH: The number of directors may be increased or decreased from time to time by a resolution adopted by the Board of Directors. Directors shall be elected by the stockholders of the Corporation pursuant to and in accordance with this Certificate of Incorporation and the By-Laws of the Corporation. Election of directors need not be by written ballot unless the By-Laws of the Corporation shall so provide. The Board of Directors or any individual director may be removed from office in accordance with the By-Laws of the Corporation.

Duration

SEVENTH: The duration of the Corporation shall be perpetual.

By-Laws

EIGHTH: The Board of Directors shall have the power to adopt, amend or repeal By-Laws of the Corporation. The By-Laws of the Corporation may also be amended or repealed, or new By-Laws of the Corporation may be adopted, by action taken by the stockholders of the

Corporation. All amendments to the Corporation's By-Laws must be made in accordance with procedures set out in the By-Laws of the Corporation.

Indemnification and Limitation of Director Liability

NINTH:

(a) Indemnification. The Corporation shall provide indemnification for members of its Board of Directors, members of committees of the Board of Directors and of other committees of the Corporation, and its executive officers, and may provide indemnification for its other officers and its agents and employees, and those serving another corporation, partnership, joint venture, trust or other enterprise at the request of the Corporation, in each case to the maximum extent permitted by Delaware law; provided, however, that the Corporation may limit the extent of such indemnification by individual contracts with its directors and executive officers; and, provided, further, that the Corporation shall not be required to indemnify any person in connection with any proceeding (or part thereof) initiated by such person or any proceeding by such person against the Corporation or its directors, officers, employees or other agents unless (i) such indemnification is expressly required to be made by law, (ii) the proceeding was authorized by the Board of Directors of the Corporation or (iii) such indemnification is provided by the Corporation, in its sole discretion, pursuant to the powers vested in the Corporation under the General Corporation Law of Delaware.

(b) Limitation of Liability. To the fullest extent not prohibited by the General Corporation Law of the State of Delaware, as it exists on the date this Certificate of Incorporation is adopted or as such law may later be amended, no director of the Corporation shall be liable to the Corporation or its stockholders for monetary damages for any breach of fiduciary duty as a director. No amendment to or repeal of this Article shall adversely affect any right or protection of a director of the Corporation that exists at the time of such amendment or repeal with respect to any actions taken, or inactions, prior thereto.

Action without Meeting

TENTH: Action may be taken by the stockholders of the Corporation, without a meeting, by written consent as and to the extent provided at the time by the General Corporation Law of Delaware.

Compromise or Other Arrangement

ELEVENTH: Whenever a compromise or arrangement is proposed between the Corporation and its creditors or any class of them and/or between the Corporation and its stockholders or any class of them, any court of equitable jurisdiction within the State of Delaware may, on the application in a summary way of the Corporation or of any creditor or stockholder thereof or on the application of any receiver or receivers appointed for the Corporation under Section 291 of Title 8 of the Delaware Code or on the application of trustees in dissolution or of any receiver or receivers appointed for the Corporation under Section 279 of Title 8 of the Delaware Code, order a meeting of the creditors or class of creditors, and/or of the stockholders or class of stockholders of the Corporation, as the case may be, to be summoned in such manner as such court directs. If a majority in number representing three fourths in value of

the creditors or class of creditors, and/or of the stockholders or class of stockholders of the Corporation, as the case may be, agree to any compromise or arrangement and to any reorganization of the Corporation as consequence of such compromise or arrangement, the said compromise or arrangement and the said reorganization shall, if sanctioned by the court to which the said application has been made, be binding on all the creditors or class of creditors, and/or on all the stockholders or class of stockholders, of the Corporation, as the case may be, and also on the Corporation.

Amendment of Certificate of Incorporation

TWELFTH The Corporation reserves the right to amend this Certificate of Incorporation, and to change or repeal any provision of this Certificate of Incorporation, in the manner prescribed at the time by statute (provided, however, that any such amendment, change or repeal must be first approved by the Board of Directors), and all rights conferred upon stockholders in this Certificate of Incorporation are granted subject to this reservation. For so long as the Corporation shall control, directly or indirectly, BATS Exchange, Inc., before any amendment to or repeal of any provision of this Certificate of Incorporation shall be effective, those changes shall be submitted to the Board of Directors of BATS Exchange, Inc. and if the same must be filed with or filed with and approved by the Commission before the changes may be effective, under Section 19 of the Act and the rules and regulations promulgated thereunder by the Commission or otherwise, then the proposed changes to the Certificate of Incorporation of this Corporation shall not be effective until filed with or filed with and approved by the Commission, as the case may be.

The undersigned has caused this Amended and Restated Certificate of Incorporation to be executed this 10th day of December, 2008.

By: Joe Ratt
Authorized Officer

Name: Joe Rattman (Chief Executive Officer)

Delaware

PAGE 1

The First State

I, JEFFREY W. BOLLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE RESTATED CERTIFICATE OF "DATA GLOBAL MARKETS, INC.", FILED IN THIS OFFICE ON THE EIGHTEENTH DAY OF NOVEMBER, A.D. 2010, AT 2:32 O'CLOCK P.M.


A TRUE COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.



4301465 8100

101102293

You may verify this certificate online
at corp.delaware.gov/authver.shtml


Jeffrey W. Bollock, Secretary of State
AUTHENTICATION: 8365726

DATE: 11-18-10

State of Delaware
Secretary of State
Division of Corporations
Delivered 02:32 PM 11/18/2010
FILED 02:32 PM 11/18/2010
101102293 - J301665 FILE

**AMENDED AND RESTATED CERTIFICATE OF
INCORPORATION OF BATS GLOBAL MARKETS, INC.**

(Pursuant to Sections 242 and 243 of the
General Corporation Law of the State of Delaware)

BATS Global Markets, Inc., a corporation organized and existing under and by virtue of the provisions of the General Corporation Law of the State of Delaware (the "General Corporation Law"),

DOES HEREBY CERTIFY:

That the name of this corporation is BATS Global Markets, Inc. and that this corporation was originally incorporated pursuant to the General Corporation Law on June 29, 2007 under the name BATS Holdings, Inc.

That the Board of Directors duly adopted resolutions proposing to amend and restate the Certificate of Incorporation of this corporation, declaring said amendment and restatement to be advisable and in the best interests of this corporation and its stockholders, and authorizing the appropriate officers of this corporation to solicit the consent of the stockholders therefore, which resolution setting forth the proposed amendment and restatement is as follows:

RESOLVED, that the Certificate of Incorporation of this corporation be amended and restated in its entirety to read as follows:

Name

FIRST: The name of the Corporation is BATS Global Markets, Inc. (the "Corporation").

Registered Office

SECOND: The initial registered office of the Corporation in the State of Delaware is 1209 Orange Street, Wilmington, County of New Castle, Delaware 19801, and the name of its initial registered agent at that address is The Corporation Trust Company.

Purpose

THIRD: The purpose or purposes of the Corporation is to engage in any lawful act or activity for which corporations may be organized under the General Corporation Law of Delaware.

Authorized Stock

FOURTH:

(a) The total number of shares of stock that the Corporation shall have authority to issue is 20,000,000 shares of common stock having a par value of \$.01 per share.

Limitations on Transfer, Ownership and Voting

FIFTH: In addition to any limitations on the transfer of shares of the Corporation's capital stock set forth in the By-Laws of the Corporation, the following shall apply to the fullest extent permitted by law:

(a) Definitions. As used in this Article FIFTH:

(i) The term "Person" shall mean a natural person, partnership, corporation, limited liability company, entity, government, or political subdivision, agency or instrumentality of a government;

(ii) The term "Related Persons" shall mean with respect to any Person: (A) any "affiliate" of such Person (as such term is defined in Rule 12b-2 under the Securities Exchange Act of 1934, as amended (the "Act")); (B) any other Person with which such first Person has any agreement, arrangement or understanding (whether or not in writing) to act together for the purpose of acquiring, voting, holding or disposing of shares of the capital stock of the Corporation (provided no Person shall be deemed a Related Person pursuant to this clause (B) solely as a result of such Person's being or becoming a party to an Investor Rights Agreement entered into by and among the Corporation and the stockholders named therein on January 1, 2008 (the "Investor Rights Agreement")); (C) in the case of a Person that is a company, corporation or similar entity, any executive officer (as defined under Rule 3b-7 under the Act) or director of such Person and, in the case of a Person that is a partnership or limited liability company, any general partner, managing member or manager of such Person, as applicable; (D) in the case of any Person that is a registered broker or dealer that has been admitted to membership in the national securities exchange known as BATS Exchange, Inc. or the national securities exchange known as BATS Y-Exchange, Inc. (hereinafter, either such national securities exchange shall be referred to generally as an "Exchange" and any such Person, an "Exchange Member"), any Person that is associated with the Exchange Member (as determined using the definition of "person associated with a member" as defined under Section 3(a)(21) of the Act); (E) in the case of a Person that is a natural person and Exchange Member, any broker or dealer that is also an Exchange Member with which such Person is associated; (F) in the case of a Person that is a natural person, any relative or spouse of such Person, or any relative of such spouse who has the same home as such Person or who is a director or officer of the Corporation or any of its parents or subsidiaries; (G) in the case of a Person that is an executive officer (as defined under Rule 3b-7 under the Act) or a director of a company, corporation or similar entity, such company, corporation or entity, as applicable; and (H) in the case of a Person that is a general partner, managing member or manager of a partnership or limited liability company, such partnership or limited liability company, as applicable; and

(iii) The term "beneficially own", "own beneficially" or any derivative thereof shall have the meaning set forth in Rule 13d-3 under the Act.

(b) Limitations.

(i) For so long as the Corporation shall control, directly or indirectly, an Exchange except as provided in clause (ii) below:

(A) No Person, either alone or together with its Related Persons, may own, directly or indirectly, of record or beneficially, shares constituting more than forty percent (40%) of any class of capital stock of the Corporation;

(B) No Exchange Member, either alone or together with its Related Persons, may own, directly or indirectly, of record or beneficially, shares constituting more than twenty percent (20%) of any class of capital stock of the Corporation; and

(C) No Person, either alone or together with its Related Persons, at any time may, directly, indirectly or pursuant to any voting trust, agreement, plan or other arrangement (other than the Investor Rights Agreement), vote or cause the voting of shares of the capital stock of the Corporation or give any consent or proxy with respect to shares representing more than twenty percent (20%) of the voting power of the then issued and outstanding capital stock of the Corporation, nor may any Person, either alone or together with its Related Persons, enter into any agreement, plan or other arrangement (other than the Investor Rights Agreement) with any other Person, either alone or together with its Related Persons, under circumstances that would result in the shares of capital stock of the Corporation that are subject to such agreement, plan or other arrangement not being voted on any matter or matters or any proxy relating thereto being withheld, where the effect of such agreement, plan or other arrangement would be to enable any Person, either alone or together with its Related Persons, to vote, possess the right to vote or cause the voting of shares of the capital stock of the Corporation that would represent more than twenty percent (20%) of said voting power.

(ii) Subject to clauses (iii) and (iv) below:

(A) The limitations in clauses (i)(A) and (i)(C) above shall not apply in the case of any class of stock that does not have the right by its terms to vote in the election of members of the Board of Directors of the Corporation or on other matters that may require the approval of the holders of voting shares of the Corporation (other than matters affecting the rights, preferences or privileges of said class of stock); and

(B) The limitations in clauses (i)(A) and (i)(C) above (except with respect to Exchange Members and their Related Persons) may be waived by the Board of Directors of the Corporation pursuant to a resolution duly adopted by the Board of Directors, if, in connection with taking such action, the Board of Directors adopts a resolution stating that it is the determination of such Board that such action will not impair the ability of

an Exchange to carry out its functions and responsibilities as an "exchange" under the Act and the rules and regulations promulgated thereunder, that it is otherwise in the best interests of the Corporation, its stockholders and the Exchange, and that it will not impair the ability of the United States Securities and Exchange Commission (the "Commission") to enforce the Act and the rules and regulations promulgated thereunder, and such resolution shall not be effective until it is filed with and approved by the Commission. In making the determinations referred to in the immediately preceding sentence, the Board of Directors may impose on the Person in question and its Related Persons such conditions and restrictions that it may in its sole discretion deem necessary, appropriate or desirable in furtherance of the objectives of the Act and the rules and regulations promulgated thereunder, and the governance of the applicable Exchange.

(iii) Notwithstanding clauses (ii)(A) and (ii)(B) above, in any case where a Person, either alone or together with its Related Persons, would own or vote more than any of the above percentage limitations upon consummation of any proposed sale, assignment or transfer of the Corporation's capital stock, such sale, assignment or transfer shall not become effective until the Board of Directors of the Corporation shall have determined, by resolution, that such Person and its Related Persons are not subject to any applicable "statutory disqualification" (within the meaning of Section 3(a)(39) of the Act).

(iv) Notwithstanding clauses (ii)(A) and (ii)(B) above, and without giving effect to same, any Exchange Member that, either alone or together with its Related Persons, proposes to own, directly or indirectly, of record or beneficially, shares of the capital stock of the Corporation constituting more than twenty percent (20%) of the outstanding shares of any class of capital stock of the Corporation and any Person that, either alone or together with its Related Persons, proposes to own, directly or indirectly, of record or beneficially, shares of the capital stock of the Corporation constituting more than forty percent (40%) of the outstanding shares of any class of capital stock of the Corporation, or to exercise voting rights, or grant any proxies or consents with respect to shares of the capital stock of the Corporation constituting more than twenty percent (20%) of the voting power of the then issued and outstanding shares of capital stock of the Corporation, shall have delivered to the Board of Directors of the Corporation a notice in writing, not less than forty-five (45) days (or any shorter period to which said Board shall expressly consent), before the proposed ownership of such shares, or the proposed exercise of said voting rights or the granting of said proxies or consents, of its intention to do so.

(v) Required Notices.

(i) Any Person that, either alone or together with its Related Persons, owns, directly or indirectly (whether by acquisition or by a change in the number of shares outstanding), of record or beneficially, five percent (5%) or more of the

then outstanding shares of capital stock of the Corporation (excluding shares of any class of stock that does not have the right by its terms to vote generally in the election of members of the Board of Directors of the Corporation) shall, immediately upon acquiring knowledge of its ownership of five percent (5%) or more of the then outstanding shares of such stock, give the Board of Directors written notice of such ownership, which notice shall state: (A) such Person's full legal name; (B) such Person's title or status and the date on which such title or status was acquired; (C) such Person's (and its Related Person's) approximate ownership interest of the Corporation; and (D) whether such Person has the power, directly or indirectly, to direct the management or policies of the Corporation, whether through ownership of securities, by contract or otherwise.

(ii) Each Person required to provide written notice pursuant to subparagraph (c)(i) of this Article FIFTH shall update such notice promptly after any change in the contents of that notice; provided that no such updated notice shall be required to be provided to the Board of Directors: (A) in the event of an increase or decrease in the ownership percentage so reported of less than one percent (1%) of the then outstanding shares of any class of capital stock (such increase or decrease to be measured cumulatively from the amount shown on the last such notice), unless any increase or decrease of less than one percent (1%) results in such Person owning more than twenty percent (20%) or more than forty percent (40%) of the shares of any class of capital stock then outstanding (at a time when such Person previously owned less than such percentages) or such Person owning less than twenty percent (20%) or less than forty percent (40%) of the shares of any class of capital stock then outstanding (at a time when such Person previously owned more than such percentages); or (B) in the event the Corporation issues additional shares of capital stock (or securities convertible into capital stock) or takes any other action that dilutes the ownership of such Person, or acquires or redeems shares of outstanding capital stock or takes any other action that increases the ownership of such Person, in each case without any change in the number of shares held by such Person.

(iii) The Board of Directors of the Corporation shall have the right to require any Person reasonably believed to be subject to and in violation of this Article FIFTH to provide the Corporation complete information as to all shares of stock of the Corporation owned, directly or indirectly, of record or beneficially, by such Person and its Related Persons and as to any other factual matter relating to the applicability or effect of this Article FIFTH as may reasonably be requested of such Person.

(d) Effect of Purported Transfers and Voting in Violation of this Article. If any stockholder purports to sell, transfer, assign or pledge to any Person, other than the Corporation, any shares of the Corporation that would violate the provisions of this Article FIFTH, then the Corporation shall record on the books of the Corporation the transfer of only that number of shares that would not violate the provisions of this Article FIFTH and shall treat the remaining shares as owned by the purported transferor, for all purposes, including without limitation, voting, payment of dividends and distributions with respect to such shares, whether upon

liquidation or otherwise. If any stockholder purports to vote, or to grant any proxy or enter into any agreement, plan or other arrangement relating to the voting of, shares that would violate the provisions of this Article FIFTH, then the Corporation shall not honor such vote, proxy, agreement, plan or other arrangement to the extent that such provisions would be violated, and any shares subject to that arrangement shall not be entitled to be voted to the extent of such violation.

(c) Right to Redeem Shares Purportedly Transferred in Violation of this Article. If any stockholder purports to sell, transfer, assign, pledge, or own any shares of the Corporation in violation of the provisions of this Article Fifth, then the Corporation shall have the right to, and shall promptly after confirming such violation and to the extent funds are legally available, redeem the shares sold, transferred, assigned, pledged, or owned in violation of the provisions of this Article Fifth for a price per share equal to the fair market value of those shares. Written notice shall be given by the Secretary of the Corporation to the holder or holders of record with respect to the redeemable shares at the address of the holder or holders of record appearing on the books of the Corporation, which notice shall specify a date for redemption of the shares that shall be not less than ten (10) days nor more than thirty (30) days from the date of such notice. Any shares that have been so called for redemption shall not be deemed outstanding shares for the purpose of voting or determining the total number of shares entitled to vote on any matter on and after the date on which written notice of redemption has been given to the holder or holders of those shares if a sum sufficient to redeem such shares shall have been irrevocably deposited or set aside to pay the redemption price to the holder or holders of the shares upon surrender of certificates for those shares. Written notice shall be given by the Secretary of the Corporation to all holders of record appearing on the books of the Corporation of any redemption by the Corporation (including, without limitation, a redemption pursuant to this clause (c)) (in each case, a "Redemption") not more than ten (10) days after consummation of the Redemption, which notice shall specify the number of shares outstanding after the Redemption of each class of the Corporation's capital stock.

Board of Directors

SIXTH: The number of directors may be increased or decreased from time to time by a resolution adopted by the Board of Directors. Directors shall be elected by the stockholders of the Corporation pursuant to and in accordance with this Certificate of Incorporation and the By-Laws of the Corporation. Election of directors need not be by written ballot unless the By-Laws of the Corporation shall so provide. The Board of Directors or any individual director may be removed from office in accordance with the By-Laws of the Corporation.

Duration

SEVENTH: The duration of the Corporation shall be perpetual.

By-Laws

EIGHTH: The Board of Directors shall have the power to adopt, amend or repeal By-Laws of the Corporation. The By-Laws of the Corporation may also be amended or repealed, or new By-Laws of the Corporation may be adopted, by action taken by the stockholders of the

Corporation. All amendments to the Corporation's By-Laws must be made in accordance with procedures set out in the By-Laws of the Corporation.

Indemnification and Limitation of Director Liability

NINTH:

(a) Indemnification. The Corporation shall provide indemnification for members of its Board of Directors, members of committees of the Board of Directors and of other committees of the Corporation, and its executive officers, and may provide indemnification for its other officers and its agents and employees, and those serving another corporation, partnership, joint venture, trust or other enterprise at the request of the Corporation, in each case to the maximum extent permitted by Delaware law; provided, however, that the Corporation may limit the extent of such indemnification by individual contracts with its directors and executive officers; and, provided, further, that the Corporation shall not be required to indemnify any person in connection with any proceeding (or part thereof) initiated by such person or any proceeding by such person against the Corporation or its directors, officers, employees or other agents unless (i) such indemnification is expressly required to be made by law, (ii) the proceeding was authorized by the Board of Directors of the Corporation or (iii) such indemnification is provided by the Corporation, in its sole discretion, pursuant to the powers vested in the Corporation under the General Corporation Law of Delaware.

(b) Limitation of Liability. To the fullest extent not prohibited by the General Corporation Law of the State of Delaware, as it exists on the date this Certificate of Incorporation is adopted or as such law may later be amended, no director of the Corporation shall be liable to the Corporation or its stockholders for monetary damages for any breach of fiduciary duty as a director. No amendment to or repeal of this Article shall adversely affect any right or protection of a director of the Corporation that exists at the time of such amendment or repeal with respect to any actions taken, or inactions, prior thereto.

Action without Meeting

TENTH: Action may be taken by the stockholders of the Corporation, without a meeting, by written consent as and to the extent provided at the time by the General Corporation Law of Delaware.

Compromise or Other Arrangement

ELEVENTH: Whenever a compromise or arrangement is proposed between the Corporation and its creditors or any class of them and/or between the Corporation and its stockholders or any class of them, any court of equitable jurisdiction within the State of Delaware may, on the application in a summary way of the Corporation or of any creditor or stockholder thereof or on the application of any receiver or receivers appointed for the Corporation under Section 291 of Title 8 of the Delaware Code or on the application of trustees in dissolution or of any receiver or receivers appointed for the Corporation under Section 279 of Title 8 of the Delaware Code, order a meeting of the creditors or class of creditors, and/or of the stockholders or class of stockholders of the Corporation, as the case may be, to be summoned in such manner as such court directs. If a majority in number representing three fourths in value of

the creditors or class of creditors, and/or of the stockholders or class of stockholders of the Corporation, as the case may be, agree to any compromise or arrangement and to any reorganization of the Corporation as consequence of such compromise or arrangement, the said compromise or arrangement and the said reorganization shall, if sanctioned by the court to which the said application has been made, be binding on all the creditors or class of creditors, and/or on all the stockholders or class of stockholders, of the Corporation, as the case may be, and also on the Corporation.

Amendment of Certificate of Incorporation

TWELFTH. The Corporation reserves the right to amend this Certificate of Incorporation, and to change or repeal any provision of this Certificate of Incorporation, in the manner prescribed at the time by statute (provided, however, that any such amendment, change or repeal must be first approved by the Board of Directors), and all rights conferred upon stockholders in this Certificate of Incorporation are granted subject to this reservation. For so long as the Corporation shall control, directly or indirectly, an Exchange, before any amendment to or repeal of any provision of this Certificate of Incorporation shall be effective, those changes shall be submitted to the Board of Directors of such Exchange and if the same must be filed with or filed with and approved by the Commission before the changes may be effective, under Section 19 of the Act and the rules and regulations promulgated thereunder by the Commission or otherwise, then the proposed changes to the Certificate of Incorporation of this Corporation shall not be effective until filed with or filed with and approved by the Commission, as the case may be.

The undersigned has caused this Amended and Restated Certificate of Incorporation to be executed this 18th day of November, 2010.

By: /s/ Joseph P. Ratterman
Authorized Officer - Chief Executive Officer

Name: Joseph P. Ratterman (Chief Executive Officer)

Delaware

PAGE 1

The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE RESTATED CERTIFICATE OF "BATS GLOBAL MARKETS, INC.", FILED IN THIS OFFICE ON THE FOURTH DAY OF MAY, A.D. 2011, AT 2:18 O'CLOCK P.M.

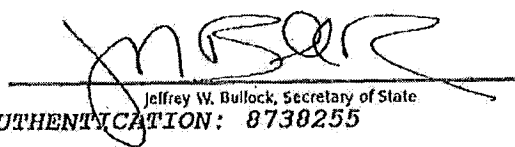
A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.

4381465 8100

110491520

You may verify this certificate online
at corp.delaware.gov/authvor.shtml




Jeffrey W. Bullock, Secretary of State
AUTHENTICATION: 8738255

DATE: 05-04-11

State of Delaware
Secretary of State
Division of Corporations
Delivered 02:23 PM 05/04/2011
FILED 02:18 PM 05/04/2011
SRV 110491520 - 4381465 FILE

**SECOND AMENDED AND RESTATED CERTIFICATE OF
INCORPORATION OF BATS GLOBAL MARKETS, INC.**

(Pursuant to Sections 242 and 245 of the
General Corporation Law of the State of Delaware)

BATS Global Markets, Inc., a corporation organized and existing under and by virtue of the provisions of the General Corporation Law of the State of Delaware (the "General Corporation Law"),

DOES HEREBY CERTIFY:

That the name of this corporation is BATS Global Markets, Inc. and that this corporation was originally incorporated pursuant to the General Corporation Law on June 29, 2007 under the name BATS Holdings, Inc. The original Certificate of Incorporation of the Corporation was amended and restated by filing with the Secretary of State of Delaware an Amended and Restated Certificate of Incorporation dated as of November 18, 2010.

That the Board of Directors duly adopted resolutions proposing to amend and restate the Certificate of Incorporation of this corporation as heretofore amended, declaring said amendment and restatement to be advisable and in the best interests of this corporation and its stockholders, and authorizing the appropriate officers of this corporation to solicit the consent of the stockholders therefore, which resolution setting forth the proposed amendment and restatement is as follows:

RESOLVED, that the Certificate of Incorporation of this corporation be amended and restated in its entirety to read as follows:

Name

FIRST: The name of the Corporation is BATS Global Markets, Inc. (the "Corporation").

Registered Office

SECOND: The initial registered office of the Corporation in the State of Delaware is 1209 Orange Street, Wilmington, County of New Castle, Delaware 19801, and the name of its initial registered agent at that address is The Corporation Trust Company.

Purpose

THIRD: The purpose or purposes of the Corporation is to engage in any lawful act or activity for which corporations may be organized under the General Corporation Law of Delaware.

Authorized Stock

FOURTH:

(a) The total number of shares of stock that the Corporation shall have authority to issue is 25,000,000 shares of common stock having a par value of \$.01 per share ("Common Stock") of which 24,500,000 are designated as Voting Common Stock ("Voting Common Stock"), and 500,000 are designated as Non-Voting Common Stock ("Non-Voting Common Stock"). The rights, preferences, powers, privileges, and the restrictions, qualifications and limitations of the Non-Voting Common Stock are identical with those of the Voting Common Stock other than in respect of voting and conversion rights as set forth herein, and for all purposes under this Certificate of Incorporation, the Voting Common Stock and Non-Voting Common Stock shall together constitute a single class of shares of the capital stock of the Corporation.

(b) *Voting Rights.*

(i) *Voting Common Stock.* Except as otherwise required by law or this Certificate of Incorporation, the holders of the Voting Common Stock shall possess exclusively all voting power, and each holder of Voting Common Stock shall have one vote in respect of each share held by him of record on the books of the Corporation for the election of directors and on all matters submitted to a vote of shareholders of the Corporation.

(ii) *Non-Voting Common Stock.* Except as otherwise required by law, shares of Non-Voting Common Stock shall be non-voting; *provided* that so long as any shares of Non-Voting Common Stock are outstanding, the Corporation shall not, without the written consent of a majority of the outstanding shares of Non-Voting Common Stock or the affirmative vote of holders of a majority of the outstanding shares of Non-Voting Common Stock at a meeting of the holders of Non-Voting Common Stock duly called for such purpose, amend, alter or repeal (by merger, consolidation, combination, reclassification or otherwise) its Certificate of Incorporation or bylaws so as to adversely affect (disproportionately relative to the Voting Common Stock) the preferences, rights or powers of the Non-Voting Common Stock.

(c) *Conversion of Non-Voting Common Stock.*

(i) Upon a transfer by any holder of any issued and outstanding shares of Non-Voting Common Stock (other than a subsidiary of the Corporation) to a person other than any Related Person of such holder, the shares of Non-Voting Common Stock so transferred shall automatically, without any action on part of the transferor, the transferee or the Corporation, be converted into an equal number of shares of Voting Common Stock upon the consummation of such transfer. Upon surrender of the certificate or certificates representing the shares so transferred and converted the Corporation shall issue and deliver in accordance with the surrendering holder's instructions the certificate or certificates representing the shares of Voting Common Stock into which such transferred shares of Non-Voting Common Stock have been converted.

(ii) The shares of Non-Voting Common Stock shall be convertible into shares of Voting Common Stock on a one-to-one basis at any time and from time to time at the option of the holder. Any such conversion shall be effected by the surrender to the Corporation of the certificate or certificates representing the Non-Voting Common Stock, together with written notice by the holder of such Non-Voting Common Stock, stating that such holder desires to convert the shares of Non-Voting Common Stock, or a stated number of such shares represented by such certificate or certificates, into an equal number of shares of the Voting Common Stock. Such notice shall also state the name or names (with addresses) and denominations in which the certificate or certificates for shares of Voting Common Stock are to be issued and shall include instructions for the delivery thereof. The Corporation shall promptly upon receipt of such notice and certificates, issue and deliver in accordance with the surrendering holder's instructions the certificate or certificates evidencing the shares of Voting Common Stock issuable upon such conversion, and the Corporation will deliver to the converting holder a certificate representing any Non-Voting Common Stock shares which were represented by the certificate or certificates delivered to the Corporation in connection with such conversion that were not converted. Such conversion, to the extent permitted by law, shall be deemed to have been effected as of the close of business on the date on which such surrendered certificate or certificates shall have been received by the Corporation.

(d) Concurrently with the filing of this Second Amended and Restated Certificate of Incorporation with the Secretary of State of Delaware, all shares of common stock outstanding immediately prior to such filing shall be redesignated as Voting Common Stock, and all rights exercisable or convertible into common stock outstanding immediately prior to such filing shall be redesignated exercisable or convertible into Voting Common Stock.

Limitations on Transfer, Ownership and Voting

FIFTH: In addition to any limitations on the transfer of shares of the Corporation's capital stock set forth in the By-Laws of the Corporation, the following shall apply to the fullest extent permitted by law:

(a) Definitions. As used in this Article FIFTH:

(i) The term "Person" shall mean a natural person, partnership, corporation, limited liability company, entity, government, or political subdivision, agency or instrumentality of a government;

(ii) The term "Related Persons" shall mean with respect to any Person: (A) any "affiliate" of such Person (as such term is defined in Rule 12b-2 under the Securities Exchange Act of 1934, as amended (the "Act")); (B) any other Person with which such first Person has any agreement, arrangement or understanding (whether or not in writing) to act together for the purpose of acquiring, voting, holding or disposing of shares of the capital stock of the Corporation (provided no Person shall be deemed a Related Person pursuant to this clause (B) solely as a result of such Person's being or becoming a party to an Investor Rights Agreement entered into by and among the Corporation and the stockholders named therein on January 1, 2008 (the "Investor Rights Agreement")); (C) in the

case of a Person that is a company, corporation or similar entity, any executive officer (as defined under Rule 3b-7 under the Act) or director of such Person and, in the case of a Person that is a partnership or limited liability company, any general partner, managing member or manager of such Person, as applicable; (D) in the case of any Person that is a registered broker or dealer that has been admitted to membership in the national securities exchange known as BATS Exchange, Inc. or the national securities exchange known as BATS Y-Exchange, Inc. (hereinafter, either such national securities exchange shall be referred to generally as an "Exchange" and any such Person, an "Exchange Member"), any Person that is associated with the Exchange Member (as determined using the definition of "person associated with a member" as defined under Section 3(a)(21) of the Act); (E) in the case of a Person that is a natural person and Exchange Member, any broker or dealer that is also an Exchange Member with which such Person is associated; (F) in the case of a Person that is a natural person, any relative or spouse of such Person, or any relative of such spouse who has the same home as such Person or who is a director or officer of the Corporation or any of its parents or subsidiaries; (G) in the case of a Person that is an executive officer (as defined under Rule 3b-7 under the Act) or a director of a company, corporation or similar entity, such company, corporation or entity, as applicable; and (H) in the case of a Person that is a general partner, managing member or manager of a partnership or limited liability company, such partnership or limited liability company, as applicable; and

(iii) The term "beneficially own", "own beneficially" or any derivative thereof shall have the meaning set forth in Rule 13d-3 under the Act.

(b) Limitations.

(i) For so long as the Corporation shall control, directly or indirectly, an Exchange except as provided in clause (ii) below:

(A) No Person, either alone or together with its Related Persons, may own, directly or indirectly, of record or beneficially, shares constituting more than forty percent (40%) of any class of capital stock of the Corporation;

(B) No Exchange Member, either alone or together with its Related Persons, may own, directly or indirectly, of record or beneficially, shares constituting more than twenty percent (20%) of any class of capital stock of the Corporation; and

(C) No Person, either alone or together with its Related Persons, at any time may, directly, indirectly or pursuant to any voting trust, agreement, plan or other arrangement (other than the Investor Rights Agreement), vote or cause the voting of shares of the capital stock of the Corporation or give any consent or proxy with respect to shares representing more than twenty percent (20%) of the voting power of the then issued and outstanding capital stock of the Corporation, nor may any Person, either alone or together with its Related Persons, enter into any

agreement, plan or other arrangement (other than the Investor Rights Agreement) with any other Person, either alone or together with its Related Persons, under circumstances that would result in the shares of capital stock of the Corporation that are subject to such agreement, plan or other arrangement not being voted on any matter or matters or any proxy relating thereto being withheld, where the effect of such agreement, plan or other arrangement would be to enable any Person, either alone or together with its Related Persons, to vote, possess the right to vote or cause the voting of shares of the capital stock of the Corporation that would represent more than twenty percent (20%) of said voting power.

(ii) Subject to clauses (iii) and (iv) below:

(A) The limitations in clauses (i)(A) and (i)(C) above shall not apply in the case of any class of stock that does not have the right by its terms to vote in the election of members of the Board of Directors of the Corporation or on other matters that may require the approval of the holders of voting shares of the Corporation (other than matters affecting the rights, preferences or privileges of said class of stock); and

(B) The limitations in clauses (i)(A) and (i)(C) above (except with respect to Exchange Members and their Related Persons) may be waived by the Board of Directors of the Corporation pursuant to a resolution duly adopted by the Board of Directors, if, in connection with taking such action, the Board of Directors adopts a resolution stating that it is the determination of such Board that such action will not impair the ability of an Exchange to carry out its functions and responsibilities as an "exchange" under the Act and the rules and regulations promulgated thereunder, that it is otherwise in the best interests of the Corporation, its stockholders and the Exchange, and that it will not impair the ability of the United States Securities and Exchange Commission (the "Commission") to enforce the Act and the rules and regulations promulgated thereunder, and such resolution shall not be effective until it is filed with and approved by the Commission. In making the determinations referred to in the immediately preceding sentence, the Board of Directors may impose on the Person in question and its Related Persons such conditions and restrictions that it may in its sole discretion deem necessary, appropriate or desirable in furtherance of the objectives of the Act and the rules and regulations promulgated thereunder, and the governance of the applicable Exchange.

(iii) Notwithstanding clauses (ii)(A) and (ii)(B) above, in any case where a Person, either alone or together with its Related Persons, would own or vote more than any of the above percentage limitations upon consummation of any proposed sale, assignment or transfer of the Corporation's capital stock, such sale, assignment or transfer shall not become effective until the Board of Directors of the Corporation shall have determined, by resolution, that such Person and its Related Persons are not subject to any applicable "statutory disqualification" (within the meaning of Section 3(a)(39) of the Act).

(iv) Notwithstanding clauses (ii)(A) and (ii)(B) above, and without giving effect to same, any Exchange Member that, either alone or together with its Related Persons, proposes to own, directly or indirectly, of record or beneficially, shares of the capital stock of the Corporation constituting more than twenty percent (20%) of the outstanding shares of any class of capital stock of the Corporation and any Person that, either alone or together with its Related Persons, proposes to own, directly or indirectly, of record or beneficially, shares of the capital stock of the Corporation constituting more than forty percent (40%) of the outstanding shares of any class of capital stock of the Corporation, or to exercise voting rights, or grant any proxies or consents with respect to shares of the capital stock of the Corporation constituting more than twenty percent (20%) of the voting power of the then issued and outstanding shares of capital stock of the Corporation, shall have delivered to the Board of Directors of the Corporation a notice in writing, not less than forty-five (45) days (or any shorter period to which said Board shall expressly consent), before the proposed ownership of such shares, or the proposed exercise of said voting rights or the granting of said proxies or consents, of its intention to do so.

(c) Required Notices.

(i) Any Person that, either alone or together with its Related Persons, owns, directly or indirectly (whether by acquisition or by a change in the number of shares outstanding), of record or beneficially, five percent (5%) or more of the then outstanding shares of capital stock of the Corporation (excluding shares of any class of stock that does not have the right by its terms to vote generally in the election of members of the Board of Directors of the Corporation) shall, immediately upon acquiring knowledge of its ownership of five percent (5%) or more of the then outstanding shares of such stock, give the Board of Directors written notice of such ownership, which notice shall state: (A) such Person's full legal name; (B) such Person's title or status and the date on which such title or status was acquired; (C) such Person's (and its Related Person's) approximate ownership interest of the Corporation; and (D) whether such Person has the power, directly or indirectly, to direct the management or policies of the Corporation, whether through ownership of securities, by contract or otherwise.

(ii) Each Person required to provide written notice pursuant to subparagraph (c)(i) of this Article FIFTH shall update such notice promptly after any change in the contents of that notice; provided that no such updated notice shall be required to be provided to the Board of Directors: (A) in the event of an increase or decrease in the ownership percentage so reported of less than one percent (1%) of the then outstanding shares of any class of capital stock (such increase or decrease to be measured cumulatively from the amount shown on the last such notice), unless any increase or decrease of less than one percent (1%) results in such Person owning more than twenty percent (20%) or more than forty percent (40%) of the shares of any class of capital stock then outstanding (at a time when such Person previously owned less than such percentages) or such Person owning less than twenty percent (20%) or less than forty percent (40%) of the shares of any class of capital stock then outstanding (at a time when such

Person previously owned more than such percentages); or (B) in the event the Corporation issues additional shares of capital stock (or securities convertible into capital stock) or takes any other action that dilutes the ownership of such Person, or acquires or redeems shares of outstanding capital stock or takes any other action that increases the ownership of such Person, in each case without any change in the number of shares held by such Person.

(iii) The Board of Directors of the Corporation shall have the right to require any Person reasonably believed to be subject to and in violation of this Article FIFTH to provide the Corporation complete information as to all shares of stock of the Corporation owned, directly or indirectly, of record or beneficially, by such Person and its Related Persons and as to any other factual matter relating to the applicability or effect of this Article FIFTH as may reasonably be requested of such Person.

(d) Effect of Purported Transfers and Voting in Violation of this Article. If any stockholder purports to sell, transfer, assign or pledge to any Person, other than the Corporation, any shares of the Corporation that would violate the provisions of this Article FIFTH, then the Corporation shall record on the books of the Corporation the transfer of only that number of shares that would not violate the provisions of this Article FIFTH and shall treat the remaining shares as owned by the purported transferor, for all purposes, including without limitation, voting, payment of dividends and distributions with respect to such shares, whether upon liquidation or otherwise. If any stockholder purports to vote, or to grant any proxy or enter into any agreement, plan or other arrangement relating to the voting of, shares that would violate the provisions of this Article FIFTH, then the Corporation shall not honor such vote, proxy, agreement, plan or other arrangement to the extent that such provisions would be violated, and any shares subject to that arrangement shall not be entitled to be voted to the extent of such violation.

(e) Right to Redeem Shares Purportedly Transferred in Violation of this Article. If any stockholder purports to sell, transfer, assign, pledge, or own any shares of the Corporation in violation of the provisions of this Article Fifth, then the Corporation shall have the right to, and shall promptly after confirming such violation and to the extent funds are legally available, redeem the shares sold, transferred, assigned, pledged, or owned in violation of the provisions of this Article Fifth for a price per share equal to the fair market value of those shares. Written notice shall be given by the Secretary of the Corporation to the holder or holders of record with respect to the redeemable shares at the address of the holder or holders of record appearing on the books of the Corporation, which notice shall specify a date for redemption of the shares that shall be not less than ten (10) days nor more than thirty (30) days from the date of such notice. Any shares that have been so called for redemption shall not be deemed outstanding shares for the purpose of voting or determining the total number of shares entitled to vote on any matter on and after the date on which written notice of redemption has been given to the holder or holders of those shares if a sum sufficient to redeem such shares shall have been irrevocably deposited or set aside to pay the redemption price to the holder or holders of the shares upon surrender of certificates for those shares. Written notice shall be given by the Secretary of the Corporation to all holders of record appearing on the books of the Corporation of any redemption by the Corporation (including, without limitation, a redemption pursuant to this clause (e)) (in each case, a "Redemption") not more than ten (10) days after consummation of the Redemption,

which notice shall specify the number of shares outstanding after the Redemption of each class of the Corporation's capital stock.

Board of Directors

SIXTH: The number of directors may be increased or decreased from time to time by a resolution adopted by the Board of Directors. Directors shall be elected by the stockholders of the Corporation pursuant to and in accordance with this Certificate of Incorporation and the By-Laws of the Corporation. Election of directors need not be by written ballot unless the By-Laws of the Corporation shall so provide. The Board of Directors or any individual director may be removed from office in accordance with the By-Laws of the Corporation.

Duration

SEVENTH: The duration of the Corporation shall be perpetual.

By-Laws

EIGHTH: The Board of Directors shall have the power to adopt, amend or repeal By-Laws of the Corporation. The By-Laws of the Corporation may also be amended or repealed, or new By-Laws of the Corporation may be adopted, by action taken by the stockholders of the Corporation. All amendments to the Corporation's By-Laws must be made in accordance with procedures set out in the By-Laws of the Corporation.

Indemnification and Limitation of Director Liability

NINTH:

(a) Indemnification. The Corporation shall provide indemnification for members of its Board of Directors, members of committees of the Board of Directors and of other committees of the Corporation, and its executive officers, and may provide indemnification for its other officers and its agents and employees, and those serving another corporation, partnership, joint venture, trust or other enterprise at the request of the Corporation, in each case to the maximum extent permitted by Delaware law; provided, however, that the Corporation may limit the extent of such indemnification by individual contracts with its directors and executive officers; and, provided, further, that the Corporation shall not be required to indemnify any person in connection with any proceeding (or part thereof) initiated by such person or any proceeding by such person against the Corporation or its directors, officers, employees or other agents unless (i) such indemnification is expressly required to be made by law, (ii) the proceeding was authorized by the Board of Directors of the Corporation or (iii) such indemnification is provided by the Corporation, in its sole discretion, pursuant to the powers vested in the Corporation under the General Corporation Law of Delaware.

(b) Limitation of Liability. To the fullest extent not prohibited by the General Corporation Law of the State of Delaware, as it exists on the date this Certificate of Incorporation is adopted or as such law may later be amended, no director of the Corporation shall be liable to the Corporation or its stockholders for monetary damages for any breach of fiduciary duty as a director. No amendment to or repeal of this Article shall adversely affect any right or protection

of a director of the Corporation that exists at the time of such amendment or repeal with respect to any actions taken, or inactions, prior thereto.

Action without Meeting

TENTH: Action may be taken by the stockholders of the Corporation, without a meeting, by written consent as and to the extent provided at the time by the General Corporation Law of Delaware.

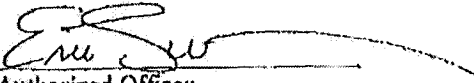
Compromise or Other Arrangement

ELEVENTH: Whenever a compromise or arrangement is proposed between the Corporation and its creditors or any class of them and/or between the Corporation and its stockholders or any class of them, any court of equitable jurisdiction within the State of Delaware may, on the application in a summary way of the Corporation or of any creditor or stockholder thereof or on the application of any receiver or receivers appointed for the Corporation under Section 291 of Title 8 of the Delaware Code or on the application of trustees in dissolution or of any receiver or receivers appointed for the Corporation under Section 279 of Title 8 of the Delaware Code, order a meeting of the creditors or class of creditors, and/or of the stockholders or class of stockholders of the Corporation, as the case may be, to be summoned in such manner as such court directs. If a majority in number representing three fourths in value of the creditors or class of creditors, and/or of the stockholders or class of stockholders of the Corporation, as the case may be, agree to any compromise or arrangement and to any reorganization of the Corporation as consequence of such compromise or arrangement, the said compromise or arrangement and the said reorganization shall, if sanctioned by the court to which the said application has been made, be binding on all the creditors or class of creditors, and/or on all the stockholders or class of stockholders, of the Corporation, as the case may be, and also on the Corporation.

Amendment of Certificate of Incorporation

TWELFTH. The Corporation reserves the right to amend this Certificate of Incorporation, and to change or repeal any provision of this Certificate of Incorporation, in the manner prescribed at the time by statute (provided, however, that any such amendment, change or repeal must be first approved by the Board of Directors), and all rights conferred upon stockholders in this Certificate of Incorporation are granted subject to this reservation. For so long as the Corporation shall control, directly or indirectly, an Exchange, before any amendment to or repeal of any provision of this Certificate of Incorporation shall be effective, those changes shall be submitted to the Board of Directors of such Exchange and if the same must be filed with or filed with and approved by the Commission before the changes may be effective, under Section 19 of the Act and the rules and regulations promulgated thereunder by the Commission or otherwise, then the proposed changes to the Certificate of Incorporation of this Corporation shall not be effective until filed with or filed with and approved by the Commission, as the case may be.

The undersigned has caused this Amended and Restated Certificate of Incorporation to be executed this 4th day of May, 2011.

By: 
Authorized Officer

Name: Eric Swanson
Title: Secretary

**AMENDED AND RESTATED
BYLAWS OF
BATS GLOBAL MARKETS, INC.**

Amended through October 28, 2010

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**AMENDED AND RESTATED
BYLAWS OF
BATS GLOBAL MARKETS, INC.**

**ARTICLE I
OFFICES**

The initial registered office of the Corporation in the State of Delaware shall be located at 1209 Orange Street in the City of Wilmington, County of New Castle, State of Delaware. The initial registered agent at such address shall be The Corporation Trust Company. The Corporation may have such other office or offices, either within or without the State of Delaware, as the Board of Directors may from time to time designate or as the purposes of the Corporation may require from time to time.

**ARTICLE II
STOCKHOLDERS MEETINGS**

Section 2.01 Place of Meetings. Meetings of the Stockholders of the Corporation shall be held at such place, either within or without the State of Delaware, as may be designated from time to time by the Board of Directors.

Section 2.02 Annual Meeting.

(a) The annual meeting of the Stockholders of the Corporation, for the purpose of election of directors and for such other business as may lawfully come before it, shall be held on the third Tuesday of January of each year or at such other time as may be designated from time to time by the Board of Directors.

(b) At an annual meeting of the Stockholders, only such business shall be conducted as shall have been properly brought before the meeting. To be properly brought before an annual meeting, business must be: (A) specified in the notice of meeting (or any supplement thereto) given by or at the direction of the Board of Directors, (B) otherwise properly brought before the meeting by or at the direction of the Board of Directors, or (C) otherwise properly brought before the meeting by a Stockholder. For business to be properly brought before an annual meeting by a Stockholder, the Stockholder must have given timely notice thereof in writing to the Secretary of the Corporation. To be timely, a Stockholder's notice must be delivered to or mailed and received at the principal executive offices of the Corporation not later than the close of business on the sixtieth (60th) day nor earlier than the close of business on the ninetieth (90th) day prior to the first anniversary of the preceding year's annual meeting; provided, however, that in the event that no annual meeting was held in the previous year or the date of the annual meeting has been changed by more than thirty (30) days from the date contemplated at the time of the previous year's proxy statement, notice by the Stockholder to be timely must be so received not earlier than the close of business on the ninetieth (90th) day prior to such annual meeting and not later than the close of business on the later of the sixtieth (60th) day prior to such annual meeting or, in the event public announcement of the date of such annual meeting is first made by the Corporation fewer than seventy (70) days prior to the date of such annual meeting, the close of business on the tenth (10th) day following the day on which public announcement of the date of such meeting is first made by the Corporation. A Stockholder's

notice to the Secretary shall set forth as to each matter the Stockholder proposes to bring before the annual meeting: (i) a brief description of the business desired to be brought before the annual meeting and the reasons for conducting such business at the annual meeting, (ii) the name and address, as they appear on the Corporation's books, of the Stockholder proposing such business, (iii) the class and number of shares of the Corporation which are beneficially owned by the Stockholder, (iv) any material interest of the Stockholder in such business and (v) any other information that is required to be provided by the Stockholder pursuant to Regulation 14A under the Securities Exchange Act of 1934, as amended (the "1934 Act"), in his capacity as a proponent to a Stockholder proposal. Notwithstanding the foregoing, in order to include information with respect to a Stockholder proposal in the proxy statement and form of proxy for a Stockholder's meeting, Stockholders must provide notice as required by the regulations promulgated under the 1934 Act. Notwithstanding anything in these Bylaws to the contrary, no business shall be conducted at any annual meeting except in accordance with the procedures set forth in this paragraph (b). The chairman of the annual meeting shall, if the facts warrant, determine and declare at the meeting that business was not properly brought before the meeting and in accordance with the provisions of this paragraph (b), and, if he should so determine, he shall so declare at the meeting that any such business not properly brought before the meeting shall not be transacted.

(c) Only persons who are nominated in accordance with the procedures set forth in this Section 2.02(c) shall be eligible for election as directors. Nominations of persons for election to the Board of Directors of the Corporation may be made at a meeting of Stockholders by or at the direction of the Board of Directors or by any Stockholder of the Corporation entitled to vote in the election of directors at the meeting who complies with the notice procedures set forth in this paragraph (c) and Section 4.1 of that certain Investor Rights Agreement (the "Investor Agreement"), dated January 1, 2008, as may be amended from time to time, for so long as such Investor Agreement is in effect (capitalized terms in the Investor Agreement shall have the meanings assigned to them in such Investor Agreement, a copy of which is attached to these Bylaws as Exhibit A). Such nominations, other than those made by or at the direction of the Board of Directors, shall be made pursuant to timely notice in writing to the Secretary of the Corporation in accordance with the provisions of paragraph (b) of this Section 2.02. Such Stockholder's notice shall set forth (i) as to each person, if any, whom the Stockholder proposes to nominate for election or re-election as a director: (A) the name, age, business address and residence address of such person, (B) the principal occupation or employment of such person, (C) the class and number of shares of the Corporation which are beneficially owned by such person, (D) a description of all arrangements or understandings between the Stockholder and each nominee and any other person or persons (naming such person or persons) pursuant to which the nominations are to be made by the Stockholder, and (E) any other information relating to such person that is required to be disclosed in solicitations of proxies for election of directors, or is otherwise required, in each case pursuant to Regulation 14A under the 1934 Act (including without limitation such person's written consent to being named in the proxy statement, if any, as a nominee and to serving as a director if elected); and (ii) as to such Stockholder giving notice, the information required to be provided pursuant to paragraph (b) of this Section 2.02. At the request of the Board of Directors, any person nominated by a Stockholder for election as a director shall furnish to the Secretary of the Corporation that information required to be set forth in the Stockholder's notice of nomination which pertains to the nominee. No person shall be eligible for election as a director of the Corporation unless nominated in accordance with the procedures set forth in this paragraph (c). The chairman of the meeting shall, if the facts warrant, determine and declare at the meeting that a nomination was not made in accordance with the

procedures prescribed by these Bylaws, and if he should so determine, he shall so declare at the meeting, and the defective nomination shall be disregarded.

Section 2.03 Special Meetings.

(a) Special meetings of the Stockholders of the Corporation may be called, for any purpose or purposes, by (i) the Chairman of the Board of Directors, (ii) the Chief Executive Officer, (iii) the Board of Directors pursuant to a resolution adopted by a majority of the total number of authorized directors (whether or not there exist any vacancies in previously authorized directorships at the time any such resolution is presented to the Board of Directors for adoption) or (iv) by the holders of shares entitled to cast not less than ten percent (10%) of the votes at the meeting, and shall be held at such place, on such date, and at such time as the Board of Directors, shall fix.

(b) If a special meeting is called by any person or persons other than the Board of Directors, the request shall be in writing, specifying the general nature of the business proposed to be transacted, and shall be delivered personally or sent by registered mail or by telegraphic or other facsimile transmission to the Chairman of the Board of Directors, the Chief Executive Officer, or the Secretary of the Corporation. No business may be transacted at such special meeting otherwise than specified in such notice. The Board of Directors shall determine the time and place of such special meeting, which shall be held not less than thirty-five (35) nor more than one hundred twenty (120) days after the date of the receipt of the request. Upon determination of the time and place of the meeting, the officer receiving the request shall cause notice to be given to the Stockholders entitled to vote, in accordance with the provisions of Section 2.04 of these Bylaws. If the notice is not given within sixty (60) days after the receipt of the request, the person or persons requesting the meeting may set the time and place of the meeting and give the notice. Nothing contained in this Section 2.03(b) shall be construed as limiting, fixing, or affecting the time when a meeting of Stockholders called by action of the Board of Directors may be held.

Section 2.04 Notice of Meetings. Except as otherwise provided by law or the Certificate of Incorporation, written notice of each meeting of Stockholders shall be given not less than ten (10) nor more than sixty (60) days before the date of the meeting to each Stockholder entitled to vote at such meeting, such notice to specify the place, date and hour and purpose or purposes of the meeting. Notice of the time, place and purpose of any meeting of Stockholders may be waived in writing, signed by the person entitled to notice thereof, either before or after such meeting, and will be waived by any Stockholder by his attendance thereat in person or by proxy, except when the Stockholder attends a meeting for the express purpose of objecting, at the beginning of the meeting, to the transaction of any business because the meeting is not lawfully called or convened. Any Stockholder so waiving notice of such meeting shall be bound by the proceedings of any such meeting in all respects as if due notice thereof had been given.

Section 2.05 Quorum. At all meetings of Stockholders, except where otherwise provided by statute or by the Certificate of Incorporation, or by these Bylaws, the presence, in person or by proxy duly authorized, of the holders of a majority of the outstanding shares of stock entitled to vote shall constitute a quorum for the transaction of business. In the absence of a quorum, any meeting of Stockholders may be adjourned, from time to time, either by the chairman of the meeting or by vote of the holders of a majority of the shares represented thereat, but no other business shall be transacted at such meeting. The Stockholders present at a duly called or convened meeting, at which

a quorum is present, may continue to transact business until adjournment, notwithstanding the withdrawal of enough Stockholders to leave less than a quorum. Except as otherwise provided by law, the Certificate of Incorporation or these Bylaws, all action taken by the holders of a majority of the vote cast, excluding abstentions, at any meeting at which a quorum is present shall be valid and binding upon the Corporation; provided, however, that directors shall be elected by a plurality of the votes of the shares present in person or represented by proxy at the meeting and entitled to vote on the election of directors. Where a separate vote by a class or classes or series is required, except where otherwise provided by the statute or by the Certificate of Incorporation or these Bylaws, a majority of the outstanding shares of such class or classes or series, present in person or represented by proxy, shall constitute a quorum entitled to take action with respect to that vote on that matter and, except where otherwise provided by the statute or by the Certificate of Incorporation or these Bylaws, the affirmative vote of the majority (plurality, in the case of the election of directors) of the votes cast, excluding abstentions, by the holders of shares of such class or classes or series shall be the act of such class or classes or series.

Section 2.06 Adjournment and Notice of Adjourned Meetings. Any meeting of Stockholders, whether annual or special, may be adjourned from time to time either by the chairman of the meeting or by the vote of a majority of the shares casting votes, excluding abstentions. When a meeting is adjourned to another time or place, notice need not be given of the adjourned meeting if the time and place thereof are announced at the meeting at which the adjournment is taken. At the adjourned meeting, the Corporation may transact any business which might have been transacted at the original meeting. If the adjournment is for more than thirty (30) days or if after the adjournment a new record date is fixed for the adjourned meeting, a notice of the adjourned meeting shall be given to each Stockholder of record entitled to vote at the meeting.

Section 2.07 Voting Rights. For the purpose of determining those Stockholders entitled to vote at any meeting of the Stockholders, except as otherwise provided by law or the Certificate of Incorporation, only persons in whose names shares stand on the stock records of the Corporation on the record date, as provided in Section 6.04 of these Bylaws, shall be entitled to vote at any meeting of Stockholders. Every person entitled to vote or execute consents shall have the right to do so either in person or by an agent or agents authorized by a proxy granted in accordance with Delaware law. An agent so appointed need not be a Stockholder. No proxy shall be voted after three (3) years from its date of creation unless the proxy provides for a longer period.

Section 2.08 Joint Owners of Stock. If shares or other securities having voting power stand of record in the names of two (2) or more persons, whether fiduciaries, members of a partnership, joint tenants, tenants in common, tenants by the entirety, or otherwise, or if two (2) or more persons have the same fiduciary relationship respecting the same shares, unless the Secretary is given written notice to the contrary and is furnished with a copy of the instrument or order appointing them or creating the relationship wherein it is so provided, their acts with respect to voting shall have the following effect: (a) if only one (1) votes, his act binds all; (b) if more than one (1) votes, the act of the majority so voting binds all; (c) if more than one (1) votes, but the vote is evenly split on any particular matter, each faction may vote the securities in question proportionally, or may apply to the Delaware Court of Chancery for relief as provided in the General Corporation Law of Delaware, Section 217(b). If the instrument filed with the Secretary shows that any such tenancy is held in unequal interests, a majority or even split for the purpose of subsection (c) shall be a majority or even split in interest.

Section 2.09 List of Stockholders. The Secretary shall prepare and make, at least ten (10) days before every meeting of Stockholders, a complete list of the Stockholders entitled to vote at said meeting, arranged in alphabetical order, showing the address of each Stockholder and the number of shares registered in the name of each Stockholder. Such list shall be open to the examination of any Stockholder, for any purpose germane to the meeting, during ordinary business hours, for a period of at least ten (10) days prior to the meeting, either at a place within the city where the meeting is to be held, which place shall be specified in the notice of the meeting, or, if not specified, at the place where the meeting is to be held. The list shall be produced and kept at the time and place of meeting during the whole time thereof and may be inspected by any Stockholder who is present.

Section 2.10 Action Without Meeting.

(a) Unless otherwise provided in the Certificate of Incorporation, any action required by statute to be taken at any annual or special meeting of the Stockholders, or any action which may be taken at any annual or special meeting of the Stockholders, may be taken without a meeting, without prior notice and without a vote, if a consent in writing, setting forth the action so taken, shall be signed by the holders of outstanding stock having not less than the minimum number of votes that would be necessary to authorize or take such action at a meeting at which all shares entitled to vote thereon were present and voted.

(b) Every written consent shall bear the date of signature of each Stockholder who signs the consent, and no written consent shall be effective to take the corporate action referred to therein unless, within sixty (60) days of the earliest dated consent delivered to the Corporation in the manner herein required, written consents signed by a sufficient number of Stockholders to take action are delivered to the Corporation by delivery to its registered office in the State of Delaware, its principal place of business or an officer or agent of the Corporation having custody of the book in which proceedings of meetings of Stockholders are recorded. Delivery made to a Corporation's registered office shall be by hand or by certified or registered mail, return receipt requested.

(c) Prompt notice of the taking of the corporate action without a meeting by less than unanimous written consent shall be given to those Stockholders who have not consented in writing. If the action which is consented to is such as would have required the filing of a certificate under any section of the General Corporation Law of the State of Delaware if such action had been voted on by Stockholders at a meeting thereof, then the certificate filed under such section shall state, in lieu of any statement required by such section concerning any vote of Stockholders, that written notice and written consent have been given as provided in Section 228 of the General Corporation Law of Delaware. Notwithstanding the foregoing, no such action by written consent may be taken following the closing of the initial public offering pursuant to an effective registration statement under the Securities Act of 1933, as amended (the "1933 Act"), covering the offer and sale of Common Stock of the Corporation (the "Initial Public Offering").

Section 2.11 Organization.

(a) At every meeting of Stockholders, the Chairman of the Board of Directors, or, if a Chairman has not been appointed or is absent, the President and Chief Executive Officer, or, if the President and Chief Executive Officer is absent, a chairman of the meeting chosen by a majority in

interest of the Stockholders entitled to vote, present in person or by proxy, shall act as chairman. The Secretary, or, in his absence, an Assistant Secretary directed to do so by the President and Chief Executive Officer, shall act as secretary of the meeting.

(b) The Board of Directors of the Corporation shall be entitled to make such rules or regulations for the conduct of meetings of Stockholders as it shall deem necessary, appropriate or convenient. Subject to such rules and regulations of the Board of Directors, if any, the chairman of the meeting shall have the right and authority to prescribe such rules, regulations and procedures and to do all such acts as, in the judgment of such chairman, are necessary, appropriate or convenient for the proper conduct of the meeting, including, without limitation, establishing an agenda or order of business for the meeting, rules and procedures for maintaining order at the meeting and the safety of those present, limitations on participation in such meeting to Stockholders of record of the Corporation and their duly authorized and constituted proxies and such other persons as the chairman shall permit, restrictions on entry to the meeting after the time fixed for the commencement thereof, limitations on the time allotted to questions or comments by participants and regulation of the opening and closing of the polls for balloting on matters which are to be voted on by ballot. Unless and to the extent determined by the Board of Directors or the chairman of the meeting, meetings of Stockholders shall not be required to be held in accordance with rules of parliamentary procedure.

ARTICLE III DIRECTORS

Section 3.01 Number and Term of Office. The Board of Directors of the Corporation shall consist of one or more members, the number thereof to be determined from time to time by resolution of the Board of Directors unless otherwise provided in the Certificate of Incorporation. Directors need not be Stockholders unless so required by the Certificate of Incorporation. If for any cause, the directors shall not have been elected at an annual meeting, they may be elected as soon thereafter as convenient at a special meeting of the Stockholders called for that purpose in the manner provided in these Bylaws. No person that is subject to any statutory disqualification (as defined in Section 3(a)(39) of the 1934 Act) may be a director of the Corporation.

Section 3.02 Powers. The powers of the Corporation shall be exercised, its business conducted and its property controlled by the Board of Directors, except as may be otherwise provided by statute or by the Certificate of Incorporation. The Board of Directors shall have the power to interpret these By-Laws and any interpretation made by it shall be final and conclusive.

Section 3.03 Vacancies. Unless otherwise provided in the Certificate of Incorporation, any vacancies on the Board of Directors resulting from death, resignation, disqualification, removal or other causes and any newly created directorships resulting from any increase in the number of directors, shall unless the Board of Directors determines by resolution that any such vacancies or newly created directorships shall be filled by Stockholders, be filled only by the affirmative vote of a majority of the directors then in office, even though less than a quorum of the Board of Directors. Any director elected in accordance with the preceding sentence shall hold office for the remainder of the full term of the director for which the vacancy was created or occurred and until such director's successor shall have been elected and qualified. A vacancy in the Board of Directors shall be deemed to exist under this Bylaw in the case of the death, removal or resignation of any director.

Section 3.04 Resignation. Any director may resign at any time by delivering his written resignation to the Secretary, such resignation to specify whether it will be effective at a particular time, upon receipt by the Secretary or at the pleasure of the Board of Directors. If no such specification is made, it shall be deemed effective at the pleasure of the Board of Directors. When one or more directors shall resign from the Board of Directors, effective at a future date, a majority of the directors then in office, including those who have so resigned, shall have the power to fill such vacancy or vacancies, the vote thereon to take effect when such resignation or resignations shall become effective, and each Director so chosen shall hold office for the unexpired portion of the term of the Director whose place shall be vacated and until his successor shall have been duly elected and qualified.

Section 3.05 Removal. Subject to the rights of the holders of any series of Common Stock, the Board of Directors or any individual director may be removed from office at any time (i) with cause by the affirmative vote of at least sixty-six and two-thirds percent (66 2/3%) of the voting power of all the then-outstanding shares of voting stock of the Corporation, entitled to vote at an election of directors (the "Voting Stock") or (ii) without cause by the affirmative vote of the holders of at least sixty-six and two-thirds percent (66 2/3%) of the voting power of all the then-outstanding shares of the Voting Stock.

Section 3.06 Meetings.

(a) **Annual Meetings.** The annual meeting of the Board of Directors shall be held immediately before or after the annual meeting of Stockholders and at the place where such meeting is held. No notice of an annual meeting of the Board of Directors shall be necessary and such meeting shall be held for the purpose of electing officers and transacting such other business as may lawfully come before it.

(b) **Regular Meetings.** Unless otherwise specified by the Certificate of Incorporation, regular meetings of the Board of Directors shall be held at any place within or without the State of Delaware which has been designated by resolution of the Board of Directors or the written consent of all directors.

(c) **Special Meetings.** Unless otherwise specified by the Certificate of Incorporation, special meetings of the Board of Directors may be held at any time and place within or without the State of Delaware whenever called by the Chairman of the Board, the President and Chief Executive Officer or any two of the directors.

(d) **Telephone Meetings.** Any member of the Board of Directors, or of any committee thereof, may participate in a meeting by means of conference telephone or similar communications equipment by means of which all persons participating in the meeting can hear each other, and participation in a meeting by such means shall constitute presence in person at such meeting.

(e) **Notice of Meetings.** Notice of the time and place of all special meetings of the Board of Directors shall be orally or in writing, by telephone, facsimile, telegraph or telex, during normal business hours, at least twenty-four (24) hours before the date and time of the meeting, or sent in writing to each director by first class mail, charges prepaid, at least three (3) days before the date of the meeting. Notice of any meeting may be waived in writing at any time before or after the meeting

and will be waived by any director by attendance thereat, except when the director attends the meeting for the express purpose of objecting, at the beginning of the meeting, to the transaction of any business because the meeting is not lawfully called or convened.

(f) **Waiver of Notice.** The transaction of all business at any meeting of the Board of Directors, or any committee thereof, however called or noticed, or wherever held, shall be as valid as though had at a meeting duly held after regular call and notice, if a quorum be present and if, either before or after the meeting, each of the directors not present shall sign a written waiver of notice. All such waivers shall be filed with the corporate records or made a part of the minutes of the meeting.

Section 3.07 Quorum and Voting.

(a) Unless the Certificate of Incorporation requires a greater number and except with respect to indemnification questions arising under Section 10.01 hereof, for which a quorum shall be one third of the exact number of directors fixed from time to time in accordance with the Certificate of Incorporation, a quorum of the Board of Directors shall consist of a majority of the exact number of directors fixed from time to time by the Board of Directors in accordance with the Certificate of Incorporation; provided, however, at any meeting whether a quorum be present or otherwise, a majority of the directors present may adjourn from time to time until the time fixed for the next regular meeting of the Board of Directors, without notice other than by announcement at the meeting.

(b) At each meeting of the Board of Directors at which a quorum is present, all questions and business shall be determined by the affirmative vote of a majority of the directors present, unless a different vote be required by law, the Certificate of Incorporation or these Bylaws.

Section 3.08 Action Without Meeting. Unless otherwise restricted by the Certificate of Incorporation or these Bylaws, any action required or permitted to be taken at any meeting of the Board of Directors or of any committee thereof may be taken without a meeting, if all members of the Board of Directors or committee, as the case may be, consent thereto in writing, and such writing or writings are filed with the minutes of proceedings of the Board of Directors or committee.

Section 3.09 Fees and Compensation. Directors shall be entitled to such compensation for their services as may be approved by the Board of Directors, including, if so approved, by resolution of the Board of Directors, a fixed sum and expenses of attendance, if any, for attendance at each regular or special meeting of the Board of Directors and at any meeting of a committee of the Board of Directors. Nothing herein contained shall be construed to preclude any director from serving the Corporation in any other capacity as an officer, agent, employee, or otherwise and receiving compensation therefor.

Section 3.10 Committees.

(a) **Executive Committee.** The Board of Directors may by resolution passed by a majority of the whole Board of Directors appoint an Executive Committee to consist of one (1) or more members of the Board of Directors. The Executive Committee, to the extent permitted by law and provided in the resolution of the Board of Directors shall have and may exercise all the powers and authority of the Board of Directors in the management of the business and affairs of the Corporation, including without limitation the power or authority to declare a dividend, to authorize

the issuance of stock and to adopt a certificate of ownership and merger, and may authorize the seal of the Corporation to be affixed to all papers which may require it; but no such committee shall have the power or authority in reference to amending the Certificate of Incorporation (except that a committee may, to the extent authorized in the resolution or resolutions providing for the issuance of shares of stock adopted by the Board of Directors fix the designations and any of the preferences or rights of such shares relating to dividends, redemption, dissolution, any distribution of assets of the Corporation or the conversion into, or the exchange of such shares for, shares of any other class or classes or any other series of the same or any other class or classes of stock of the Corporation or fix the number of shares of any series of stock or authorize the increase or decrease of the shares of any series), adopting an agreement of merger or consolidation, recommending to the Stockholders the sale, lease or exchange of all or substantially all of the Corporation's property and assets, recommending to the Stockholders a dissolution of the Corporation or a revocation of a dissolution, or amending the Bylaws of the Corporation.

(b) **Other Committees.** The Board of Directors may, by resolution passed by a majority of the whole Board of Directors, from time to time appoint such other committees as may be permitted by law. Such other committees appointed by the Board of Directors shall consist of one (1) or more members of the Board of Directors and shall have such powers and perform such duties as may be prescribed by the resolution or resolutions creating such committees, but in no event shall such committee have the powers denied to the Executive Committee in these Bylaws.

(c) **Term.** Each member of a committee of the Board of Directors shall serve a term on the committee coexistent with such member's term on the Board of Directors. The Board of Directors, subject to the provisions of subsections (a) or (b) of this Bylaw may at any time increase or decrease the number of members of a committee or terminate the existence of a committee. The membership of a committee member shall terminate on the date of his death or voluntary resignation from the committee or from the Board of Directors. The Board of Directors may at any time for any reason remove any individual committee member and the Board of Directors may fill any committee vacancy created by death, resignation, removal or increase in the number of members of the committee. The Board of Directors may designate one or more directors as alternate members of any committee, who may replace any absent or disqualified member at any meeting of the committee, and, in addition, in the absence or disqualification of any member of a committee, the member or members thereof present at any meeting and not disqualified from voting, whether or not he or they constitute a quorum, may unanimously appoint another member of the Board of Directors to act at the meeting in the place of any such absent or disqualified member.

(d) **Meetings.** Unless the Board of Directors shall otherwise provide, regular meetings of the Executive Committee or any other committee appointed pursuant to this Section 3.10 shall be held at such times and places as are determined by the Board of Directors, or by any such committee, and when notice thereof has been given to each member of such committee, no further notice of such regular meetings need be given thereafter. Special meetings of any such committee may be held at any place which has been determined from time to time by such committee, and may be called by any director who is a member of such committee, upon written notice to the members of such committee of the time and place of such special meeting given in the manner provided for the giving of written notice to members of the Board of Directors of the time and place of special meetings of the Board of Directors. Notice of any special meeting of any committee may be waived in writing at any time before or after the meeting and will be waived by any director by attendance thereat, except

when the director attends such special meeting for the express purpose of objecting, at the beginning of the meeting, to the transaction of any business because the meeting is not lawfully called or convened. A majority of the authorized number of members of any such committee shall constitute a quorum for the transaction of business, and the act of a majority of those present at any meeting at which a quorum is present shall be the act of such committee.

Section 3.11 Organization. At every meeting of the directors, the Chairman of the Board of Directors, or, if a Chairman has not been appointed or is absent, the President and Chief Executive Officer, or if the President and Chief Executive Officer is absent, the most senior Vice President, or, in the absence of any such officer, a chairman of the meeting chosen by a majority of the directors present, shall preside over the meeting. The Secretary, or in his absence, an Assistant Secretary directed to do so by the President and Chief Executive Officer, shall act as secretary of the meeting.

ARTICLE IV OFFICERS

Section 4.01 Officers Designated. The officers of the Corporation shall include, if and when designated by the Board of Directors, the Chairman of the Board of Directors, the President and Chief Executive Officer, one or more Vice Presidents, the Secretary, the Chief Financial Officer, the Treasurer, the Controller, all of whom shall be elected at the annual organizational meeting of the Board of Directors. The Board of Directors may also appoint one or more Assistant Secretaries, Assistant Treasurers, Assistant Controllers and such other officers and agents with such powers and duties as it shall deem necessary. The Board of Directors may assign such additional titles to one or more of the officers as it shall deem appropriate. Any one person may hold any number of offices of the Corporation at any one time unless specifically prohibited therefrom by law. The salaries and other compensation of the officers of the Corporation shall be fixed by or in the manner designated by the Board of Directors.

Section 4.02 Tenure and Duties of Officers.

(a) **General.** All officers shall hold office at the pleasure of the Board of Directors and until their successors shall have been duly elected and qualified, unless sooner removed. Any officer elected or appointed by the Board of Directors may be removed at any time by the Board of Directors. If the office of any officer becomes vacant for any reason, the vacancy may be filled by the Board of Directors. No person that is subject to any statutory disqualification (as defined in Section 3(a)(39) of the 1934 Act) may be an officer of the Corporation.

(b) **Duties of Chairman of the Board of Directors.** The Chairman of the Board of Directors, when present, shall preside at all meetings of the Stockholders and the Board of Directors. The Chairman of the Board of Directors shall perform other duties commonly incident to his office and shall also perform such other duties and have such other powers as the Board of Directors shall designate from time to time.

(c) **Duties of President and Chief Executive Officer.** The President and Chief Executive Officer shall preside at all meetings of the Stockholders and at all meetings of the Board of Directors, unless the Chairman of the Board of Directors has been appointed and is present. Unless some other officer has been elected Chief Executive Officer of the Corporation, the President

and Chief Executive Officer shall be the chief executive officer of the Corporation and shall, subject to the control of the Board of Directors, have general supervision, direction and control of the business and officers of the Corporation. The President and Chief Executive Officer shall perform other duties commonly incident to his office and shall also perform such other duties and have such other powers as the Board of Directors shall designate from time to time. In the absence or disability of the President and Chief Executive Officer, or if there is no President and Chief Executive Officer, the Vice President who has served as such for the longest duration or another Vice President designated by the Board of Directors shall serve as the chief executive officer of the Corporation and shall have the powers and duties prescribed in this paragraph (c).

(d) **Duties of Vice Presidents.** The Vice Presidents shall perform duties commonly incident to their office and shall also perform such other duties and have such other powers as the Board of Directors or the President and Chief Executive Officer shall designate from time to time.

(e) **Duties of Secretary.** The Secretary shall attend all meetings of the Stockholders and of the Board of Directors and shall record all acts and proceedings thereof in the minute book of the Corporation. The Secretary shall give notice in conformity with these Bylaws of all meetings of the Stockholders and of all meetings of the Board of Directors and any committee thereof requiring notice. The Secretary shall perform all other duties given him in these Bylaws and other duties commonly incident to his office and shall also perform such other duties and have such other powers as the Board of Directors shall designate from time to time. The President and Chief Executive Officer may direct any Assistant Secretary to assume and perform the duties of the Secretary in the absence or disability of the Secretary, and each Assistant Secretary shall perform other duties commonly incident to his office and shall also perform such other duties and have such other powers as the Board of Directors or the President and Chief Executive Officer shall designate from time to time.

(f) **Duties of Chief Financial Officer.** The Chief Financial Officer shall keep or cause to be kept the books of account of the Corporation in a thorough and proper manner and shall render statements of the financial affairs of the Corporation in such form and as often as required by the Board of Directors or the President and Chief Executive Officer. The Chief Financial Officer, subject to the order of the Board of Directors, shall have the custody of all funds and securities of the Corporation. The Chief Financial Officer shall perform other duties commonly incident to his office and shall also perform such other duties and have such other powers as the Board of Directors or the President and Chief Executive Officer shall designate from time to time. The President and Chief Executive Officer may direct the Treasurer or any Assistant Treasurer, or the Controller or any Assistant Controller to assume and perform the duties of the Chief Financial Officer in the absence or disability of the Chief Financial Officer, and each Treasurer and Assistant Treasurer and each Controller and Assistant Controller shall perform other duties commonly incident to his office and shall also perform such other duties and have such other powers as the Board of Directors or the President and Chief Executive Officer shall designate from time to time.

Section 4.03 Delegation of Authority. The Board of Directors may from time to time delegate the powers or duties of any officer to any other officer or agent, notwithstanding any provision hereof.

Section 4.04 Resignations. Any officer may resign at any time by giving written notice to the Board of Directors or to the President and Chief Executive Officer or to the Secretary. Any such resignation shall be effective when received by the person or persons to whom such notice is given, unless a later time is specified therein, in which event the resignation shall become effective at such later time. Unless otherwise specified in such notice, the acceptance of any such resignation shall not be necessary to make it effective. Any resignation shall be without prejudice to the rights, if any, of the Corporation under any contract with the resigning officer.

Section 4.05 Removal. Any officer may be removed from office at any time, either with or without cause, by the affirmative vote of a majority of the directors in office at the time, or by the unanimous written consent of the directors in office at the time, or by any committee or superior officers upon whom such power of removal may have been conferred by the Board of Directors.

ARTICLE V EXECUTION OF CORPORATE INSTRUMENTS AND VOTING OF SECURITIES OWNED BY THE CORPORATION

Section 5.01 Execution of Corporate Instruments. The Board of Directors may, in its discretion, determine the method and designate the signatory officer or officers, or other person or persons, to execute on behalf of the Corporation any corporate instrument or document, or to sign on behalf of the Corporation the corporate name without limitation, or to enter into contracts on behalf of the Corporation, except where otherwise provided by law or these Bylaws, and such execution or signature shall be binding upon the Corporation.

Unless otherwise specifically determined by the Board of Directors or otherwise required by law, promissory notes, deeds of trust, mortgages and other evidences of indebtedness of the Corporation, and other corporate instruments or documents requiring the corporate seal, and certificates of shares of stock owned by the Corporation, shall be executed, signed or endorsed by the Chairman of the Board of Directors, or the President and Chief Executive Officer or any Vice President, and by the Secretary or Treasurer or any Assistant Secretary or Assistant Treasurer. All other instruments and documents requiring the corporate signature, but not requiring the corporate seal, may be executed as aforesaid or in such other manner as may be directed by the Board of Directors.

All checks and drafts drawn on banks or other depositories on funds to the credit of the Corporation or in special accounts of the Corporation shall be signed by such person or persons as the Board of Directors shall authorize so to do.

Unless authorized or ratified by the Board of Directors or within the agency power of an officer, no officer, agent or employee shall have any power or authority to bind the Corporation by any contract or engagement or to pledge its credit or to render it liable for any purpose or for any amount.

Section 5.02 Voting of Securities Owned by the Corporation.

(a) Unless otherwise instructed by the Board of Directors, and subject to Section 5.02(b) below, the Chief Executive Officer of the Corporation shall have the power and authority on behalf of the Corporation to attend and to vote at any meeting of stockholders, partners or equity holders of

any corporation, partnership or any other entity (including BATS Exchange, Inc. and BATS Y-Exchange, Inc.) in which the Corporation may hold stock, partnership or other equity interests, as the case may be, and may exercise on behalf of the Corporation any and all of the rights and powers incident to the ownership of such stock, partnership or other equity interest at such meeting, and shall have the power and authority to execute and deliver proxies, waivers and consents on behalf of the Corporation in connection with the exercise by the Corporation of the rights and powers incident to the ownership of such stock, partnership or other equity interest. The Board of Directors may from time to time confer like powers upon any other person or persons.

(b) At any meeting of the stockholders of BATS Exchange, Inc. held for the purpose of electing directors and members of the Member Nominating Committee of BATS Exchange, Inc. (as set forth in the By-Laws of BATS Exchange, Inc., the "Member Nominating Committee"), or in the event written consents are solicited or otherwise sought from the stockholders of BATS Exchange, Inc. with respect thereto, the Corporation shall cause all outstanding shares of BATS Exchange, Inc. owned by the Corporation and entitled to vote at such election to be voted in favor of only those BATS Exchange, Inc. member representative directors and nominees for the Member Nominating Committee nominated in accordance with the By-Laws of BATS Exchange, Inc. and, with respect to any such written consents, shall cause to be validly executed only such written consents electing only such directors and members of the Member Nominating Committee.

(c) At any meeting of the stockholders of BATS Y-Exchange, Inc. held for the purpose of electing directors and members of the Member Nominating Committee of BATS Y-Exchange, Inc. (as set forth in the By-Laws of BATS Y-Exchange, Inc., the "Member Nominating Committee"), or in the event written consents are solicited or otherwise sought from the stockholders of BATS Y-Exchange, Inc. with respect thereto, the Corporation shall cause all outstanding shares of BATS Y-Exchange, Inc. owned by the Corporation and entitled to vote at such election to be voted in favor of only those BATS Y-Exchange, Inc. member representative directors and nominees for the Member Nominating Committee nominated in accordance with the By-Laws of BATS Y-Exchange, Inc. and, with respect to any such written consents, shall cause to be validly executed only such written consents electing only such directors and members of the Member Nominating Committee.

ARTICLE VI SHARES OF STOCK

Section 6.01 Form and Execution of Certificates. Certificates for the shares of stock of the Corporation shall be in such form as is consistent with the Certificate of Incorporation and applicable law. Every holder of stock in the Corporation shall be entitled to have a certificate signed by or in the name of the Corporation by the Chairman of the Board of Directors, or the President or Chief Executive Officer or any Vice President and by the Treasurer or Assistant Treasurer or the Secretary or Assistant Secretary, certifying the number of shares owned by him in the Corporation. Any or all of the signatures on the certificate may be facsimiles. In case any officer, transfer agent, or registrar who has signed or whose facsimile signature has been placed upon a certificate shall have ceased to be such officer, transfer agent, or registrar before such certificate is issued, it may be issued with the same effect as if he were such officer, transfer agent, or registrar at the date of issue. Each certificate shall state upon the face or back thereof, in full or in summary, all of the powers, designations, preferences, and rights, and the limitations or restrictions of the shares authorized to be issued or shall, except as otherwise required by law, set forth on the face or back a statement that the

Corporation will furnish without charge to each Stockholder who so requests the powers, designations, preferences and relative, participating, optional, or other special rights of each class of stock or series thereof and the qualifications, limitations or restrictions of such preferences and/or rights. Within a reasonable time after the issuance or transfer of uncertificated stock, the Corporation shall send to the registered owner thereof a written notice containing the information required to be set forth or stated on certificates pursuant to this section or otherwise required by law or with respect to this section a statement that the Corporation will furnish without charge to each Stockholder who so requests the powers, designations, preferences and relative participating, optional or other special rights of each class of stock or series thereof and the qualifications, limitations or restrictions of such preferences and/or rights. Except as otherwise expressly provided by law, the rights and obligations of the holders of certificates representing stock of the same class and series shall be identical.

Section 6.02 Lost Certificates. A new certificate or certificates shall be issued in place of any certificate or certificates theretofore issued by the Corporation alleged to have been lost, stolen, or destroyed, upon the making of an affidavit of that fact by the person claiming the certificate of stock to be lost, stolen, or destroyed. The Corporation may require, as a condition precedent to the issuance of a new certificate or certificates, the owner of such lost, stolen, or destroyed certificate or certificates, or his legal representative, to advertise the same in such manner as it shall require or to give the Corporation a surety bond in such form and amount as it may direct as indemnity against any claim that may be made against the Corporation with respect to the certificate alleged to have been lost, stolen, or destroyed.

Section 6.03 Transfers.

(a) Transfers of record of shares of stock of the Corporation shall be made only upon its books by the holders thereof, in person or by attorney duly authorized, and upon the surrender of a properly endorsed certificate or certificates for a like number of shares.

(b) The Corporation shall have power to enter into and perform any agreement with any number of Stockholders of any one or more classes of stock of the Corporation to restrict the transfer of shares of stock of the Corporation of any one or more classes owned by such Stockholders in any manner not prohibited by the General Corporation Law of Delaware.

(c) The Corporation shall have the right by appropriate action to impose restrictions upon the transfer of any shares of its stock, or any interest therein, from time to time, so long as such restrictions are consistent with the provisions of the Certificate of Incorporation.

Section 6.04 Fixing Record Dates.

(a) In order that the Corporation may determine the Stockholders entitled to notice of or to vote at any meeting of Stockholders or any adjournment thereof, the Board of Directors may fix, in advance, a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted by the Board of Directors, and which record date shall not be more than sixty (60) nor less than ten (10) days before the date of such meeting. If no record date is fixed by the Board of Directors, the record date for determining Stockholders entitled to notice of or to vote at a meeting of Stockholders shall be at the close of business on the day next preceding the day

on which notice is given, or if notice is waived, at the close of business on the day next preceding the day on which the meeting is held. A determination of Stockholders of record entitled to notice of or to vote at a meeting of Stockholders shall apply to any adjournment of the meeting; provided, however, that the Board of Directors may fix a new record date for the adjourned meeting.

(b) Prior to the Initial Public Offering, in order that the Corporation may determine the Stockholders entitled to consent to corporate action in writing without a meeting, the Board of Directors may fix a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted by the Board of Directors, and which date shall not be more than 10 days after the date upon which the resolution fixing the record date is adopted by the Board of Directors. Any Stockholder of record seeking to have the Stockholders authorize or take corporate action by written consent shall, by written notice to the Secretary, request the Board of Directors to fix a record date. The Board of Directors shall promptly, but in all events within 10 days after the date on which such a request is received, adopt a resolution fixing the record date. If no record date has been fixed by the Board of Directors within 10 days of the date on which such a request is received, the record date for determining Stockholders entitled to consent to corporate action in writing without a meeting, when no prior action by the Board of Directors is required by applicable law, shall be the first date on which a signed written consent setting forth the action taken or proposed to be taken is delivered to the Corporation by delivery to its registered office in the State of Delaware, its principal place of business or an officer or agent of the Corporation having custody of the book in which proceedings of meetings of Stockholders are recorded. Delivery made to the Corporation's registered office shall be by hand or by certified or registered mail, return receipt requested. If no record date has been fixed by the Board of Directors and prior action by the Board of Directors is required by law, the record date for determining Stockholders entitled to consent to corporate action in writing without a meeting shall be at the close of business on the day on which the Board of Directors adopts the resolution taking such prior action.

(c) In order that the Corporation may determine the Stockholders entitled to receive payment of any dividend or other distribution or allotment of any rights or the Stockholders entitled to exercise any rights in respect of any change, conversion or exchange of stock, or for the purpose of any other lawful action, the Board of Directors may fix, in advance, a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted, and which record date shall be not more than sixty (60) days prior to such action. If no record date is fixed, the record date for determining Stockholders for any such purpose shall be at the close of business on the day on which the Board of Directors adopts the resolution relating thereto.

Section 6.05 Registered Stockholders. The Corporation shall be entitled to recognize the exclusive right of a person registered on its books as the owner of shares to receive dividends, and to vote as such owner, and shall not be bound to recognize any equitable or other claim to or interest in such share or shares on the part of any other person whether or not it shall have express or other notice thereof, except as otherwise provided by the laws of Delaware.

ARTICLE VII OTHER SECURITIES OF THE CORPORATION

All bonds, debentures and other corporate securities of the Corporation, other than stock certificates (covered in Section 6.01), may be signed by the Chairman of the Board of Directors, the

President or Chief Executive Officer or any Vice President, or such other person as may be authorized by the Board of Directors, and the corporate seal impressed thereon or a facsimile of such seal imprinted thereon and attested by the signature of the Secretary or an Assistant Secretary, or the Chief Financial Officer or Treasurer or an Assistant Treasurer; provided, however, that where any such bond, debenture or other corporate security shall be authenticated by the manual signature, or where permissible facsimile signature, of a trustee under an indenture pursuant to which such bond, debenture or other corporate security shall be issued, the signatures of the persons signing and attesting the corporate seal on such bond, debenture or other corporate security may be the imprinted facsimile of the signatures of such persons. Interest coupons appertaining to any such bond, debenture or other corporate security, authenticated by a trustee as aforesaid, shall be signed by the Treasurer or an Assistant Treasurer of the Corporation or such other person as may be authorized by the Board of Directors, or bear imprinted thereon the facsimile signature of such person. In case any officer who shall have signed or attested any bond, debenture or other corporate security, or whose facsimile signature shall appear thereon or on any such interest coupon, shall have ceased to be such officer before the bond, debenture or other corporate security so signed or attested shall have been delivered, such bond, debenture or other corporate security nevertheless may be adopted by the Corporation and issued and delivered as though the person who signed the same or whose facsimile signature shall have been used thereon had not ceased to be such officer of the Corporation.

ARTICLE VIII DIVIDENDS

Section 8.01 Declaration of Dividends. Dividends upon the capital stock of the Corporation, subject to the provisions of the Certificate of Incorporation, if any, may be declared by the Board of Directors pursuant to law at any regular or special meeting. Dividends may be paid in cash, in property, or in shares of the capital stock, subject to the provisions of the Certificate of Incorporation.

Section 8.02 Dividend Reserve. Before payment of any dividend, there may be set aside out of any funds of the Corporation available for dividends such sum or sums as the Board of Directors from time to time, in their absolute discretion, think proper as a reserve or reserves to meet contingencies, or for equalizing dividends, or for repairing or maintaining any property of the Corporation, or for such other purpose as the Board of Directors shall think conducive to the interests of the Corporation, and the Board of Directors may modify or abolish any such reserve in the manner in which it was created.

ARTICLE IX FISCAL YEAR

The fiscal year of the Corporation shall be the calendar year.

ARTICLE X INDEMNIFICATION

Section 10.01 Indemnification of Directors, Officers, Employees And Other Agents. The Corporation shall indemnify its directors and executive officers to the fullest extent not prohibited by the Delaware General Corporation Law; provided, however, that the Corporation may limit the

extent of such indemnification by individual contracts with its directors and executive officers; and, provided, further, that the Corporation shall not be required to indemnify any director or executive officer in connection with any proceeding (or part thereof) initiated by such person or any proceeding by such person against the Corporation or its directors, officers, employees or other agents unless (i) such indemnification is expressly required to be made by law, (ii) the proceeding was authorized by the Board of Directors of the Corporation or (iii) such indemnification is provided by the Corporation, in its sole discretion, pursuant to the powers vested in the Corporation under the Delaware General Corporation Law.

(a) **Other Officers, Employees and Other Agents.** The Corporation shall have the power to indemnify its other officers, employees and other agents as set forth in the Delaware General Corporation Law.

(b) **Expenses.** The Corporation shall advance to any person who was or is a party or is threatened to be made a party to any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative or investigative, by reason of the fact that he is or was a director or executive officer, of the Corporation, or is or was serving at the request of the Corporation as a director or executive officer of another Corporation, partnership, joint venture, trust or other enterprise, prior to the final disposition of the proceeding, promptly following request therefor, all expenses incurred by any director or executive officer in connection with such proceeding upon receipt of an undertaking by or on behalf of such person to repay said amounts if it should be determined ultimately that such person is not entitled to be indemnified under this Bylaw or otherwise.

Notwithstanding the foregoing, unless otherwise determined pursuant to paragraph (e) of this Bylaw, no advance shall be made by the Corporation to an executive officer of the Corporation (except by reason of the fact that such executive officer is or was a director of the Corporation in which event this paragraph shall not apply) in any action, suit or proceeding, whether civil, criminal, administrative or investigative, if a determination is reasonably and promptly made (i) by the Board of Directors by a majority vote of a quorum consisting of directors who were not parties to the proceeding, or (ii) if such quorum is not obtainable, or, even if obtainable, a quorum of disinterested directors so directs, by independent legal counsel in a written opinion, that the facts known to the decision-making party at the time such determination is made demonstrate clearly and convincingly that such person acted in bad faith or in a manner that such person did not believe to be in or not opposed to the best interests of the Corporation.

(c) **Enforcement.** Without the necessity of entering into an express contract, all rights to indemnification and advances to directors and executive officers under this Bylaw shall be deemed to be contractual rights and be effective to the same extent and as if provided for in a contract between the Corporation and the director or executive officer. Any right to indemnification or advances granted by this Bylaw to a director or executive officer shall be enforceable by or on behalf of the person holding such right in the forum in which the proceeding is or was pending or, if such forum is not available or a determination is made that such forum is not convenient, in any court of competent jurisdiction if (i) the claim for indemnification or advances is denied, in whole or in part, or (ii) no disposition of such claim is made within ninety (90) days of request therefor. The claimant in such enforcement action, if successful in whole or in part, shall be entitled to be paid also the expense of prosecuting his claim. The Corporation shall be entitled to raise as a defense to any such

action that the claimant has not met the standards of conduct that make it permissible under the Delaware General Corporation Law for the Corporation to indemnify the claimant for the amount claimed. Neither the failure of the Corporation (including its Board of Directors, independent legal counsel or its Stockholders) to have made a determination prior to the commencement of such action that indemnification of the claimant is proper in the circumstances because he has met the applicable standard of conduct set forth in the Delaware General Corporation Law, nor an actual determination by the Corporation (including its Board of Directors, independent legal counsel or its Stockholders) that the claimant has not met such applicable standard of conduct, shall be a defense to the action or create a presumption that claimant has not met the applicable standard of conduct.

(d) **Non Exclusivity of Rights.** To the fullest extent permitted by the Corporation's Certificate of Incorporation and the Delaware General Corporation Law, the rights conferred on any person by this Bylaw shall not be exclusive of any other right which such person may have or hereafter acquire under any statute, provision of the Certificate of Incorporation, Bylaws, agreement, vote of Stockholders or disinterested directors or otherwise, both as to action in his official capacity and as to action in another capacity while holding office. The Corporation is specifically authorized to enter into individual contracts with any or all of its directors, officers, employees or agents respecting indemnification and advances, to the fullest extent permitted by the Delaware General Corporation Law and the Corporation's Certificate of Incorporation.

(e) **Survival of Rights.** The rights conferred on any person by this Bylaw shall continue as to a person who has ceased to be a director or executive officer and shall inure to the benefit of the heirs, executors and administrators of such a person.

(f) **Insurance.** The Corporation, upon approval by the Board of Directors, may purchase insurance on behalf of any person required or permitted to be indemnified pursuant to this Bylaw.

(g) **Amendments.** Any repeal or modification of this Bylaw shall only be prospective and shall not affect the rights under this Bylaw in effect at the time of the alleged occurrence of any action or omission to act that is the cause of any proceeding against any agent of the Corporation.

(h) **Saving Clause.** If this Bylaw or any portion hereof shall be invalidated on any ground by any court of competent jurisdiction, then the Corporation shall nevertheless indemnify each director and executive officer to the fullest extent permitted by any applicable portion of this Bylaw that shall not have been invalidated, or by any other applicable law.

(i) **Certain Definitions.** For the purposes of this Bylaw, the following definitions shall apply:

(1) The term "proceeding" shall be broadly construed and shall include, without limitation, the investigation, preparation, prosecution, defense, settlement and appeal of any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative, arbitral or investigative.

(2) The term "expenses" shall be broadly construed and shall include, without limitation, court costs, attorneys' fees, witness fees, fines, amounts paid in settlement or judgment and any other costs and expenses of any nature or kind incurred in connection with any proceeding, including expenses of establishing a right to indemnification under this Bylaw or any applicable law.

(3) The term the "Corporation" shall include, in addition to the resulting Corporation, any constituent Corporation (including any constituent of a constituent) absorbed in a consolidation or merger which, if its separate existence had continued, would have had power and authority to indemnify its directors, officers, and employees or agents, so that any person who is or was a director, officer, employee or agent of such constituent Corporation, or is or was serving at the request of such constituent Corporation as a director, officer, employee or agent of another Corporation, partnership, limited liability company, joint venture, trust or other enterprise, shall stand in the same position under the provisions of this Bylaw with respect to the resulting or surviving Corporation as he would have with respect to such constituent Corporation if its separate existence had continued.

(4) References to a "director," "officer," "employee," or "agent" of the Corporation shall include, without limitation, situations where such person is serving at the request of the Corporation as a director, officer, employee, trustee or agent of another Corporation, partnership, joint venture, trust or other enterprise.

Section 10.02 Corporation Not Liable. The Corporation shall not be liable for any loss or damage sustained by any current or former member of BATS Exchange, Inc. or BATS Y-Exchange, Inc. growing out of the use or enjoyment by such current or former member of the facilities afforded by the Corporation or its subsidiaries, including, without limitation, BATS Exchange, Inc. and BATS Y-Exchange, Inc.

ARTICLE XI NOTICES

Section 11.01 Notices.

(a) **Notice to Stockholders.** Whenever, under any provisions of these Bylaws, notice is required to be given to any Stockholder, it shall be given in writing, timely and duly deposited in the United States mail, postage prepaid, and addressed to his last known post office address as shown by the stock record of the Corporation or its transfer agent.

(b) **Notice to Directors.** Any notice required to be given to any director may be given by the method stated in subsection (a), or by facsimile, telex or telegram, except that such notice other than one which is delivered personally shall be sent to such address as such director shall have filed in writing with the Secretary, or, in the absence of such filing, to the last known post office address of such director.

(c) **Affidavit of Mailing.** An affidavit of mailing, executed by a duly authorized and competent employee of the Corporation or its transfer agent appointed with respect to the class of stock affected, specifying the name and address or the names and addresses of the Stockholder or Stockholders, or director or directors, to whom any such notice or notices was or were given, and the time and method of giving the same, shall in the absence of fraud, be prima facie evidence of the facts therein contained.

(d) **Time Notices Deemed Given.** All notices given by mail, as above provided, shall be deemed to have been given as at the time of mailing, and all notices given by facsimile, telex or telegram shall be deemed to have been given as of the sending time recorded at time of transmission.

(e) **Methods of Notice.** It shall not be necessary that the same method of giving notice be employed in respect of all directors, but one permissible method may be employed in respect of any one or more, and any other permissible method or methods may be employed in respect of any other or others.

(f) **Failure to Receive Notice.** The period or limitation of time within which any Stockholder may exercise any option or right, or enjoy any privilege or benefit, or be required to act, or within which any director may exercise any power or right, or enjoy any privilege, pursuant to any notice sent him in the manner above provided, shall not be affected or extended in any manner by the failure of such Stockholder or such director to receive such notice.

(g) **Notice to Person with Whom Communication Is Unlawful.** Whenever notice is required to be given, under any provision of law or of the Certificate of Incorporation or Bylaws of the Corporation, to any person with whom communication is unlawful, the giving of such notice to such person shall not be required and there shall be no duty to apply to any governmental authority or agency for a license or permit to give such notice to such person. Any action or meeting which shall be taken or held without notice to any such person with whom communication is unlawful shall have the same force and effect as if such notice had been duly given. In the event that the action taken by the Corporation is such as to require the filing of a certificate under any provision of the Delaware General Corporation Law, the certificate shall state, if such is the fact and if notice is required, that notice was given to all persons entitled to receive notice except such persons with whom communication is unlawful.

(h) **Notice to Person with Undeliverable Address.** Whenever notice is required to be given, under any provision of law or the Certificate of Incorporation or Bylaws of the Corporation, to any Stockholder to whom (i) notice of two consecutive annual meetings, and all notices of meetings or of the taking of action by written consent without a meeting to such person during the period between such two consecutive annual meetings, or (ii) all, and at least two, payments (if sent by first class mail) of dividends or interest on securities during a twelve-month period, have been mailed addressed to such person at his address as shown on the records of the Corporation and have been returned undeliverable, the giving of such notice to such person shall not be required. Any action or meeting which shall be taken or held without notice to such person shall have the same force and effect as if such notice had been duly given. If any such person shall deliver to the Corporation a written notice setting forth his then current address, the requirement that notice be given to such person shall be reinstated. In the event that the action taken by the Corporation is such as to require the filing of a certificate under any provision of the Delaware General Corporation Law, the certificate need not state that notice was not given to persons to whom notice was not required to be given pursuant to this paragraph.

ARTICLE XII AMENDMENTS

Subject to paragraph (h) of Section 10.01 of the Bylaws, or as set forth in the Certificate of Incorporation of the Corporation, the Bylaws of the Corporation may be amended or repealed, or new Bylaws of the Corporation may be adopted, by action taken by the stockholders of the Corporation adopted by the Stockholders of seventy percent (70%) of the shares entitled to vote. For so long as the Corporation shall control, directly or indirectly, either one or both of BATS Exchange,

Inc. and BATS Y-Exchange, Inc., before any amendment to or repeal of any provision of the Bylaws of the Corporation shall be effective, those changes shall be submitted to the Board of Directors of any such exchange and if the same must be filed with or filed with and approved by the Securities and Exchange Commission (the "Commission") before the changes may be effective, under Section 19 of the 1934 Act and the rules promulgated under the 1934 Act by the Commission or otherwise, then the proposed changes to the Bylaws of the Corporation shall not be effective until filed with or filed with and approved by the Commission, as the case may be.

ARTICLE XIII LOANS TO OFFICERS

The Corporation may lend money to, or guarantee any obligation of, or otherwise assist any officer or other employee of the Corporation or of its subsidiaries, including any officer or employee who is a Director of the Corporation or its subsidiaries, whenever, in the judgment of the Board of Directors, such loan, guarantee or other assistance may reasonably be expected to benefit the Corporation. Such loan may be with or without interest and may be unsecured, or secured in such manner as the Board of Directors shall approve, including, without limitation, a pledge of shares of stock of the Corporation. Nothing in these Bylaws shall be deemed to deny, limit or restrict the powers of guaranty or warranty of the Corporation at common law or under any statute.

ARTICLE XIV SRO FUNCTIONS OF BATS EXCHANGE, INC. AND BATS Y-EXCHANGE, INC.

Section 14.01 Non-Interference. For so long as the Corporation shall, directly or indirectly, control either one or both of BATS Exchange, Inc. and BATS Y-Exchange, Inc. (for purposes of this Article XIV, both entities generically referred to as the "Exchange"), the directors, officers and employees of the Corporation shall give due regard to the preservation of the independence of the self-regulatory function of the Exchange and to its obligations to investors and the general public and shall not take actions which would interfere with the effectuation of decisions by the Board of Directors of the Exchange relating to its regulatory functions (including disciplinary matters) or which would interfere with the Exchange's ability to carry out its responsibilities under the 1934 Act. No present or past stockholder, employee, beneficiary, agent, customer, creditor, regulatory authority (or member thereof) or other person or entity shall have any rights against the Corporation or any director, officer, employee or agent of the Corporation under this Section 14.01.

Section 14.02 Confidentiality. All books and records of the Exchange reflecting confidential information pertaining to the self-regulatory function of the Exchange (including but not limited to disciplinary matters, trading data, trading practices and audit information) that shall come into the possession of the Corporation, and the information contained in those books and records, shall be retained in confidence by the Corporation and the members of the Board of Directors, officers, employees and agents of the Corporation, and shall not be used for any non-regulatory purposes. Notwithstanding the foregoing sentence, nothing in these By-Laws shall be interpreted so as to limit or impede the rights of the Commission or the Exchange to access and examine such confidential information pursuant to the federal securities laws and the rules and regulations thereunder, or to limit or impede the ability of any officers, directors, employees or agents of the Corporation to disclose such confidential information to the Commission or the Exchange.

Section 14.03 Books and Records, etc. All books and records of the Corporation shall be maintained at a location within the United States. To the extent they are related to the operation or administration of the Exchange, the books, records, premises, officers, directors, agents, and employees of the Corporation shall be deemed to be the books, records, premises, officers, directors, agents and employees of the Exchange for the purposes of, and subject to oversight pursuant to, the 1934 Act. For so long as the Corporation shall control, directly or indirectly, the Exchange, the Corporation's books and records shall be subject at all times to inspection and copying by the Commission and the Exchange, provided that such books and records are related to the operation or administration of the Exchange.

Section 14.04 Compliance with Securities Laws; Cooperation with the Securities and Exchange Commission. The Corporation shall comply with the federal securities laws and the rules and regulations promulgated thereunder and shall cooperate with the Commission and the Exchange pursuant to and to the extent of their respective regulatory authority. The officers, directors, employees and agents of the Corporation, by virtue of their acceptance of such position, shall comply with the federal securities laws and the rules and regulations promulgated thereunder and shall be deemed to agree to cooperate with the Commission and the Exchange in respect of the Commission's oversight responsibilities regarding the Exchange and the self-regulatory functions and responsibilities of the Exchange, and the Corporation shall take reasonable steps necessary to cause its officers, directors, employees and agents to so cooperate. No present or past stockholder, employee, beneficiary, agent, customer, creditor, regulatory authority (or member thereof) or other person or entity shall have any rights against the Corporation or any director, officer, employee or agent of the Corporation under this Section 14.04.

Section 14.05 Consent to Jurisdiction. The Corporation and its officers, directors, employees and agents by virtue of their acceptance of such positions, shall be deemed to irrevocably submit to the jurisdiction of the United States federal courts, the Commission, and the Exchange, for the purposes of any suit, action or proceeding pursuant to the United States federal securities laws, and the rules or regulations thereunder, arising out of, or relating to, the activities of the Exchange, and by virtue of their acceptance of any such position, shall be deemed to waive, and agree not to assert by way of motion, as a defense or otherwise in any such suit, action or proceeding, any claims that it or they are not personally subject to the jurisdiction of the United States federal courts, the Commission or the Exchange, that the suit, action or proceeding is an inconvenient forum or that the venue of the suit, action or proceeding is improper, or that the subject matter of that suit, action or proceeding may not be enforced in or by such courts or agency. The Corporation and its officers, directors, employees and agents also agree that they will maintain an agent, in the United States, for the service of process of a claim arising out of, or relating to, the activities of the Exchange.

Section 14.06 Consent to Application. The Corporation shall take reasonable steps necessary to cause its officers, directors and employees, prior to accepting a position as an officer, director or employee, as applicable, of the Corporation to consent in writing to the applicability to them of this Article XIV, as applicable, with respect to their activities related to the Exchange.

EXHIBIT A

SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT

THIS SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT (this "Agreement") is made and entered into effective as of the 21st day of December, 2012, by and among BATS Global Markets, Inc., a Delaware corporation (the "Company"), and all stockholders of the Company signatory hereto or who hereafter become a party to this Agreement (the "Stockholders").

WHEREAS, the current Stockholders entered into the Investor Rights Agreement dated as of January 1, 2008, as amended (the "Prior Agreement");

WHEREAS, on November 14, 2012 the Board of Directors of the Company (the "Board") adopted the BATS Global Markets, Inc. 2012 Amended and Restated Equity Incentive Plan (as may be amended from time to time, the "2012 Equity Plan") pursuant to which the Company is authorized to grant shares of Restricted Stock (as defined below) to select employees, officers, directors and consultants of the Company and its Affiliates; and

WHEREAS, to give effect to and implement the adoption of the 2012 Equity Plan and the issuance of shares of Restricted Stock (as defined below) thereunder, the Board wishes to amend and restate the Prior Agreement.

NOW, THEREFORE, in consideration of the premises and the mutual covenants and agreements set forth herein, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged by each of the parties, the parties hereto hereby agree as follows:

Section 1. General Provisions.

1.1. Definitions. As used herein, the following terms shall have the following respective meanings:

"2012 Equity Plan" shall have the meaning ascribed thereto in the recitals.

"Affiliate" of a Person means any Person that controls, is controlled by or is under common control with such other Person, including but not limited to, in the case of any Person that is an entity and not a natural person, any officer, director, stockholder or other owner (if holding equity in such entity having more than 1% of such entity's combined voting power or equity value), partner, member, trustee or holder of a similar role, provided that Lime Brokerage Holdings LLC, Mark Gorton, and John Martello shall be considered Affiliates of each other for purposes of this Agreement.

"Board" shall have the meaning ascribed thereto in the recitals.

"Charter" means the Company's Certificate of Incorporation, as may be amended from time to time.

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“Commission” means the Securities and Exchange Commission or any other federal agency at the time administering the Securities Act.

“Common Stock” means the Company’s common stock, \$0.01 par value per share.

“Common Holder” means a Stockholder owning less than 5% of the outstanding Common Stock on a Fully Diluted Basis.

“Derivative Securities” shall mean any securities or rights convertible into, or exercisable or exchangeable for, Common Stock, including options and warrants.

“Encumbrance” means any charge, claim, mortgage, servitude, easement, right of way, community or other marital property interest, covenant, equitable interest, license, lease or other possessory interest, lien, option, pledge, security interest, preference, priority, right of first refusal or similar restriction.

“Exchange Act” means the Securities Exchange Act of 1934, as amended, and the rules and regulations promulgated thereunder.

“Founder” means, together with its Affiliates, each of the following Stockholders: (i) Citigroup Financial Products, Inc.; (ii) Credit Suisse First Boston Next Fund, Inc.; (iii) DB Investment Partners, Inc.; (iv) GETCO Strategic Investments, LLC; (v) Instinet Holdings Incorporated; (vi) LabMorgan Investment Corporation; (vii) Lehman Brothers Holdings Inc.; (viii) Lime Brokerage Holdings LLC; (ix) ML IBK Positions, Inc.; (x) Strategic Investments I, Inc.; (xi) Tradebot Ventures Fund 1, LLC; and (xii) WEDBUSH, Inc., provided that such Stockholder, together with its Affiliates, continues to own 1% or more of the outstanding Common Stock on a Fully Diluted Basis.

“Founder Director” shall have the meaning ascribed thereto in Section 4.1(b)(i).

“Fully Diluted Basis” shall be calculated on the basis of all outstanding shares of Common Stock, including shares of Restricted Stock, and assuming full conversion and exercise of all Derivative Securities; provided, however, that shares of Restricted Stock shall not be taken into account in calculating a “Fully Diluted Basis” for purposes of Section 3 hereof.

“Investor” means a Founder or a Non-Founder, as applicable.

“Instrument of Adherence” shall have the meaning ascribed thereto in Section 2.1.

“New Issuance” shall mean, collectively, equity securities of the Company, whether or not currently authorized, as well as rights, options, or warrants to purchase such equity securities, or securities of any type whatsoever that are, or may become, convertible or exchangeable into or exercisable for such equity securities.

“Non-Founder” means, together with its Affiliates, a Stockholder (other than a Founder) initially owning 5% or more of the outstanding Common Stock on a Fully Diluted Basis,

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provided that the Stockholder, together with its Affiliates, continues to own 3% or more of the outstanding Common Stock on a Fully Diluted Basis.

“Non-Founder Director” shall have the meaning ascribed thereto in Section 4.1(b)(ii).

“Offer Notice” shall have the meaning ascribed thereto in Section 5.1.

“Observer” shall have the meaning ascribed thereto in Section 4.2(c).

“Option Plans” shall have the meaning ascribed thereto in Section 7.2.

“Person” shall mean any individual, partnership, corporation, limited liability company, group, trust, foundation or other legal entity.

“Qualified Public Offering” shall mean an offering to the public of Common Stock at a per share price of not less than \$12 (as adjusted for stock splits, reverse stock splits, stock dividends and similar events from and after the date of this Agreement) and gross proceeds of not less than \$50,000,000.

The terms “register,” “registered” and “registration” shall refer to a registration effected by preparing and filing a registration statement in compliance with the Securities Act and applicable rules and regulations thereunder, and the declaration or ordering of the effectiveness of such registration statement, or, as the context may require, under the Exchange Act or applicable state securities laws.

“Registrable Securities” shall mean (i) shares of Common Stock owned or hereinafter acquired by the Stockholders, (ii) any shares of Common Stock issued or issuable upon conversion of any capital stock of the Company acquired by the Stockholders after the date hereof, and (iii) any shares of capital stock of the Company issued or issuable with respect to the securities referred to in clauses (i) or (ii) by way of a stock dividend or stock split or in connection with a combination of shares, recapitalization, merger, consolidation, or other reorganization; excluding in all cases, however, any Registrable Securities sold by a Person in a registration in which the rights under Section 6 hereof are not assigned or any shares for which registration rights have terminated pursuant to Section 6.13 hereof; provided, however, that Restricted Stock shall not be considered Registrable Securities for purposes of this Agreement.

“Registration Expenses” shall mean the expenses so described in Section 6.8.

“Restricted Stock” shall mean shares of Common Stock that are granted pursuant to the 2012 Equity Plan or any successor or replacement thereto and that are subject to a substantial risk of forfeiture and transfer restrictions or are otherwise substantially nonvested.

“Securities Act” means the Securities Act of 1933, as amended, or any successor federal statute, and the rules and regulations of the Commission thereunder, all as the same shall be in effect from time to time.

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“Stock” shall mean (a) the presently issued and outstanding shares of Common Stock and any Derivative Securities (which Derivative Securities shall be deemed to be that number of outstanding shares of Common Stock for which they are exercisable), (b) any additional shares of capital stock of the Company hereafter issued and outstanding and (c) any shares of capital stock of the Company into which such shares may be converted or for which they may be exchanged or exercised.

“Transfer” shall have meaning ascribed thereto in Section 2.1.

Section 2. Restrictions on Transfer.

2.1. Non-Complying Transfers Prohibited. No Stockholder shall sell, assign, transfer, exchange, devise, pledge, hypothecate, encumber or otherwise alienate or dispose of (each, a “Transfer”) all or any Stock now owned by such Stockholder or owned by him, her or it during the term of this Agreement, or any right or interest therein, whether voluntarily or involuntarily, by operation of law, court order, foreclosure, marital property division or otherwise, except in compliance with applicable federal and state securities laws and this Agreement. In addition to any other legal or equitable remedies the Company or such other Stockholders may have, the Company and each of such other Stockholders may enforce his, her or its rights under this Agreement by action(s) for specific performance, to the extent permitted by law, or may obtain a temporary and/or permanent injunction restraining any such Transfer (no bond or other security shall be required in connection with such action). The Company may also refuse to recognize any purported transferee as a Stockholder and may continue to treat the Stockholder as a Stockholder for all purposes, including without limitation for purposes of dividend and voting rights, until all applicable provisions of this Agreement have been complied with. The remedies provided herein are cumulative and not exclusive of any other remedies provided herein or by law. Each transferee of any Stock who or which is not already a Stockholder, in addition to complying with the terms and conditions for any Transfer of Stock, shall as a condition precedent to the effectiveness of such Transfer execute and deliver an instrument of adherence hereto in a form acceptable to the Company (an “Instrument of Adherence”), thereby becoming a party hereto and a Stockholder hereunder, an Instrument of Adherence in the forms of Exhibit I and II hereto being forms acceptable to the Company and, (x) with respect to a Transfer from an Investor, such party shall be deemed an Investor for all purposes hereunder, and (y) with respect to a Transfer from a Common Holder, such party shall be deemed a Common Holder for all purposes hereunder. All Transfers permitted or contemplated by this Agreement shall be further limited by and subject to the limitations on transfer set forth in the Charter.

2.2. Rights of First Refusal on Voluntary Transfers.

(a) Offer of Stock to the Company and the Investors. If at any time any Stockholder (the “Selling Stockholder”) desires to Transfer all or any portion of his, her or its Common Stock pursuant to a bona fide offer from a third party (the “Proposed Transferee”), the Selling Stockholder shall, within five (5) business days after the Proposed Transferee has delivered such offer to the Selling Stockholder, submit a written notice to the Company and the other Stockholders which notice shall contain an offer (the “Offer”) to the Company and the

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Investors to Transfer the Stock proposed to be Transferred (the “Offered Shares”) on terms and conditions, including price, not less favorable to the Company and the Investors than those on which the Selling Stockholder proposes to Transfer such Offered Shares to the Proposed Transferee. The Offer shall disclose the identity of the Proposed Transferee, the number of Offered Shares, the total number of shares of Stock owned by the Selling Stockholder, the terms and conditions, including price, of the proposed Transfer, and any other material facts relating to the proposed Transfer. The Offer shall further state that each of the Company and the Investors may acquire, in accordance with the provisions of this Section 2.2, all or any portion of the Offered Shares, for the price, including deferred payment terms (without having to comply with any other, non-monetary terms), set forth therein; provided that the rights of the Company and the Investors to acquire the Offered Shares shall be conditioned upon the Company’s and/or the Investors acquiring all of the Offered Shares, in accordance with the provisions of this Section 2.2, for the price and upon the other terms and conditions, including deferred payment, if applicable, set forth in the Offer.

(b) Right of First Refusal of the Company. If the Company (or any assignee of the Company) desires, or determines not, to acquire all or any portion of the Offered Shares, the Company (or its assignee) shall communicate in writing such determination relating to the Offered Shares to the Selling Stockholder and to the other Stockholders within twenty (20) days after the date of receipt of the Offer (the “Company Election”), which communication shall state the number of Offered Shares that the Company (or its assignee) desires to purchase, if applicable.

(c) Right of First Refusal of the Investors. If the Company (or its assignee) does not elect to purchase all or any portion of the Offered Shares, the Investors shall have the right to purchase up to that number of remaining Offered Shares. Each Investor desiring to purchase any remaining Offered Shares shall deliver written notice to the Selling Stockholder, the other Stockholders and the Company within ten (10) days of the date of receipt of the Company Election, which notice shall state the number of remaining Offered Shares such Investor desires to purchase. In the event the Investors indicated that they desire to purchase in excess of the remaining Offered Shares after the Company or its assignee has elected to acquire or declined to acquire the Offered Shares, then the amount of Offered Shares to be acquired by each Investor shall be allocated among such Investors based upon the percentage of the Common Stock held by each such Investor to the Common Stock held by all Investors who have elected to exercise their right to acquire the Offered Shares under this Section 2.2(c).

(d) Agreement to Purchase and Sell; Closing. In the event that the Company (or its assignee) and/or the Investors (together, the “Purchasers”) elect to purchase, in the aggregate, all of the Offered Shares, then the written notice by the Company (or its assignee) pursuant to Section 2.2(b) and, if there are any remaining Offered Shares, by the Investors pursuant to Section 2.2(c), shall, when taken in conjunction with the Offer, each be deemed to constitute valid, legally binding and enforceable agreements for the sale by the Selling Stockholder to each of the Purchasers of the Offered Shares. Such sales shall be made at the offices of the Company not more than sixty (60) days following the date of receipt of the Offer by the Company and the other Stockholders (the “First Refusal Closing Date”), or such other date or place agreed to by the Selling Stockholder and the Purchasers. Such sales shall be

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effected by the Selling Stockholder's delivery to the Purchasers of stock assignment(s) duly endorsed for Transfer of ownership of, and all certificates representing, the Offered Shares, free and clear of any Encumbrances, to the Purchasers against payment to the Selling Stockholder of the purchase price therefor by the Purchasers; provided that the Purchasers shall not be required to meet any non-monetary terms of the Offer, including, without limitation, delivery of other securities in exchange for the Offered Shares, but instead, shall be required to deliver to the Selling Stockholder cash in an amount equal to the fair market value of such securities, as determined by the Board in good faith.

(e) Transfer to Proposed Transferee. Subject to Section 3, but notwithstanding anything to the contrary in this Section 2.2, if the Company and the Investors do not elect to purchase all of the Offered Shares within the time periods required by Section 2.2(b) and 2.2(c), or if the closing of any such accepted offer does not occur by the First Refusal Closing Date, the Selling Stockholder shall not be required to Transfer any Offered Shares to the Company or the Investors, the rights given under this Section 2.2 to the Company and the Investors shall be without further effect and the Selling Stockholder shall be free to Transfer the Offered Shares to the Proposed Transferee at any time within ninety (90) days after the date of receipt of the Offer by the Company and the other Stockholders; provided that any such Transfer shall be at not less than the price and upon other terms and conditions, if any, not more favorable to the Proposed Transferee than those specified in the Offer. Any Offered Shares not Transferred within such period of ninety (90) days shall thereafter again become subject to the requirements of a prior offer pursuant to this Section 2.2.

(f) Permitted Transferees. The provisions of Section 2.1, this Section 2.2 and Section 3 shall not apply to (i) Transfers by any Stockholder to any member of such Stockholder's family or to any trust for the benefit of such Stockholder or any family member of such Stockholder; (ii) if the Stockholder is an individual, (X) Transfers by the Stockholder to his, her or its guardian or conservator; (Y) Transfers by the Stockholder in the event of his or her death, to his or her executor(s) or administrator(s) or to trustee(s) under his or her will, or otherwise by will or the laws of descent and distribution; and (Z) Transfers by the Stockholder to a corporation or limited liability company, 100% of the securities of which are solely owned by such Stockholder; (iii) if the Stockholder is a corporation, partnership, or limited liability company, Transfers by such Stockholder to its Affiliates, stockholders, partners or members, or to any other Person or entity that controls, is controlled by or is under common control with (as defined in the Securities Act) such Stockholder; or (iv) the Company's repurchase of capital stock of the Company from an employee, director or consultant pursuant to the terms of any stock restriction agreement or stock purchase agreement between the holder of such capital stock and the Company (collectively, "Permitted Transferees"); provided that, in any such event, the Stock so Transferred in the hands of each such Permitted Transferee shall remain subject to this Agreement. Upon such execution, Permitted Transferee shall become a Stockholder, and the Company shall take all such action required to effectuate such transfer to a Permitted Transferee and such transfer shall be deemed effective regardless of whether any such action has been taken by the Company. No Transfer of Stock to a Permitted Transferee shall be effective if the purpose of such Transfer shall have been to circumvent the provisions of this Agreement. As used in this Section 2.2(f), the word "family," with respect to a Person, shall include any spouse,

lineal ancestor or descendant (whether natural or adopted), brother or sister of such Person and any spouse of any such lineal ancestor or descendant, brother or sister.

(g) Restricted Stock. Notwithstanding anything to the contrary contained herein, shares of Restricted Stock shall not be subject to Transfer under this Section 2.2 and shall not be included in Offered Shares; provided, however, that shares of Restricted Stock may be subject to Transfer pursuant to Sections 2.2(f)(i) and 2.2(f)(ii) so long as the Restricted Stock remains subject to a substantial risk of forfeiture in the hands of a Permitted Transferee as if, and to the extent that, the Restricted Stock would be subject to a substantial risk of forfeiture if it had remained in the hands of the Stockholder.

Section 3. Participation in Sales.

(a) Take-Along Right. In the event that a Stockholder (the “Offeree”) receives a bona fide offer from a third party or parties other than the Company, any other Stockholder, or a Permitted Transferee (the “Third-Party Buyer”) to purchase Stock owned by the Offeree (the “Take-Along Shares”), for a specified price payable in cash or otherwise and on specified terms and conditions (the “Take-Along Offer”), and the Offeree proposes to sell or otherwise transfer the Take-Along Shares to the Third-Party Buyer pursuant to the Take-Along Offer, the Offeree shall not effect such sale or transfer unless, in the event the Company and the other Stockholders have not purchased all such Take-Along Shares pursuant to Section 2.2, each other Stockholder is first given the right to sell to the Third-Party Buyer, at the same price per share and on the same terms and conditions as stated in the Take-Along Offer or as otherwise agreed by the Offeree and the other Stockholders with the Third Party Buyer, up to the number of shares of Stock equal to the Take-Along Shares multiplied by a fraction, the numerator of which shall be the aggregate number of shares of Stock owned by such other Stockholder calculated on a Fully Diluted Basis and the denominator of which shall be the aggregate number of shares of Stock outstanding on a Fully Diluted Basis. Each Stockholder with a right to participate in a Take Along Offer is hereinafter referred to as a “Right Holder.”

(b) Notices of Offer and Intent to Participate. If a Right Holder wishes to participate in any sale pursuant to Section 3(a), it shall notify the Offeree in writing of such intention and the number of shares of Stock it wishes to sell pursuant to this Section 3(b) within the period of ten (10) days referred to in Section 2.2(c) above. If the Offeree does not receive such notice from the Right Holder within such period, the Offeree shall be free to consummate the proposed transaction without any obligation to include such Right Holder’s Stock in such transaction.

(c) Sale of Take-Along Shares. The Offeree and any Right Holder that has provided timely notice in accordance with Section 3(b) above, shall sell to the Third-Party Buyer all, or at the option of the Third-Party Buyer, any part of the Stock proposed to be sold by them at not less than the price and upon other terms and conditions, if any, not more favorable to the Third-Party Buyer than those stated in the Offer; provided, however, that any purchase of less than all of such Stock by the Third-Party Buyer shall be made from the Offeree and such Right Holders pro rata based upon the relative amount of the Stock that each of the Offeree and each Right Holder are entitled to sell pursuant to Section 3(a).

(d) Restricted Stock. Notwithstanding anything to the contrary contained herein, a Stockholder who only holds shares of Restricted Stock shall not be eligible to participate in any sales as described in this Section 3.

Section 4. Board of Directors.

4.1. Election of Directors. Each Stockholder shall take or cause to be taken such actions as may be required from time to time to establish and maintain:

(a) The number of persons comprising the Board shall be not more than thirteen (13), unless increased by resolution of the Board;

(b) The election to the Board of:

(i) for each Founder, together with its Affiliates, owning 3% or more of the outstanding Common Stock on a Fully Diluted Basis, one (1) individual to be designated by such Founder and its Affiliates (in each case, for so long as the Founder remains a Founder) (the "Founder Directors");

(ii) for each Non-Founder, together with its Affiliates, owning 10% or more of the outstanding Common Stock on a Fully Diluted Basis, one (1) individual to be designated by such Non-Founder and its Affiliates (in each case, for so long as the Non-Founder remain a Non-Founder and continues to own 7% or more of the outstanding Common Stock on a Fully Diluted Basis) (the "Non-Founder Directors"); and

(iii) that number of individuals designated by the Stockholders necessary to fill any vacancies on the Board.

4.2. Appointment of Directors; Removal of Directors; Filling of Vacancies; Observers.

(a) A Stockholder having the right to designate a director pursuant to Section 4.1(b) shall designate a Person to serve on the Board within ninety (90) days of becoming a Founder or Non-Founder, as applicable, by providing written notice to the Company. If a Stockholder fails to designate a Person to serve on the Board within this 90-day period, such Stockholder permanently forfeits the right to appoint a Person to serve on the Board, unless, solely in the case of a Founder, the Stockholder subsequently meets the ownership requirements of a Non-Founder set forth in Section 4.1(b)(ii), in which case (i) such Stockholder shall be re-classified by the Board as a Non-Founder, (ii) this Agreement shall be deemed amended as such without any further action by the Board or Stockholders, and (iii) the Non-Founder shall be entitled to designate a Person to serve on the Board within ninety (90) days of becoming a Non-Founder pursuant to this Section 4.2(a). Notwithstanding the foregoing, any Stockholder who has designated a Person to serve on the Board prior to the date of this Agreement shall not be required to re-designate such Person to the Board upon the execution of this Agreement. If, however, a Stockholder seeks to replace its existing Founder Director or Non-Founder Director,

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as applicable, in conjunction with the execution of this Agreement, such Stockholder must make such designation in accordance with this Section 4.2(a).

(b) Each Stockholder shall take all action necessary to remove forthwith any director when (and only when) such removal is requested for any reason, with or without cause, by the Person(s) that designated such director for election. In the case of the death, resignation or removal as herein provided of a director, each Stockholder shall vote all Stock owned by him, her or it to elect another individual designated by the same Person(s) that designated the deceased, resigning or removed director if, at the time such vacancy occurs, such Person(s) shall have the right to designate a director pursuant to Section 4.1. If a director is removed in accordance with this Section 4.2(b), the Person(s) that designated such director shall designate a replacement director to serve on the Board within sixty (60) days of such removal by providing written notice to the Company. If a Stockholder fails to designate a replacement director to serve on the Board within this 60-day period, such Stockholder permanently forfeits the right to appoint a Person to serve on the Board, unless, solely in the case of a Founder, the Stockholder subsequently meets the ownership requirements of a Non-Founder set forth in Section 4.1(b)(ii), in which case (i) such Stockholder shall be re-classified by the Board as a Non-Founder, (ii) this Agreement shall be deemed amended as such without any further action by the Board or Stockholders, (iii) and the Non-Founder shall be entitled to designate a Person to serve on the Board in accordance with Section 4.2(a).

(c) Notwithstanding anything to the contrary in this Agreement, each Founder and Non-Founder will have the right to have one representative present during all meetings of the Board and any committee thereof (the "Observer"). The Observer will have the right to be present (either in person or by teleconference or video conference) and address the Board or any committee thereof at all meetings the Board or any committee thereof, and receive copies of all materials and correspondence delivered to the members of the Board or any committee thereof. For purposes of clarity, the Observer is not entitled to vote at any meeting of the Board or any committee thereof as a member of the Board or such committee. Each Founder and Non-Founder will cause its Observer to agree to abide by and be subject to the obligations imposed upon directors of the Company pursuant to Article XIV of the Company's bylaws.

4.3. Limitation on Certain Actions by the Company. Without the prior affirmative vote of the holders of at least 70% of the then outstanding shares of Common Stock, the Company shall not:

(a) adopt or effect any plan of sale, merger, consolidation, dissolution, reorganization or recapitalization of the Company;

(b) offer to sell, offer to license, offer to pledge, offer to lease, offer to assign or offer to otherwise dispose, or sell, license, pledge, lease, assign or otherwise dispose, of all or substantially all of the assets of the Company;

(c) issue, sell, deliver or grant any right to purchase any Derivative Securities (except in accordance with Section 5.2(ii)) or any shares of capital stock, or any interest therein, of the Company, other than as contemplated by this Agreement; or

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(d) amend or restate the Company's certificate of incorporation or bylaws.

4.4. Grant of Proxy. Should the provisions of this Agreement be construed to constitute the granting of proxies, such proxies shall be deemed coupled with an interest and are irrevocable for the term of this Agreement.

4.5. Specific Enforcement. Each party hereto agrees that its obligations under this Section 4 are necessary and reasonable in order to protect the other parties to this Agreement, and each party expressly agrees and understands that monetary damages would inadequately compensate an injured party for the breach of this Section 4 by any party, that this Section 4 shall be specifically enforceable, and that, in addition to any other remedies that may be available at law, in equity or otherwise, any breach or threatened breach of this Section 4 shall be the proper subject of a temporary or permanent injunction or restraining order, without the necessity of proving actual damages. Further, each party hereto waives any claim or defense that there is an adequate remedy at law for such breach or threatened breach.

Section 5. Percentage Maintenance.

5.1. Notice of New Issuance. Subject to the terms and conditions of this Section 5 and applicable securities laws, if, at any time after the date hereof, the Company proposes to offer or sell or offers or sells any New Issuances, the Company shall first offer such New Issuances to each Stockholder; provided, however, such Stockholder shall have no right to purchase any such New Issuances if such Stockholder cannot demonstrate to the Company's reasonable satisfaction that such Stockholder is at the time of the proposed issuance of such New Securities an "accredited investor" as such term is defined in Regulation D under the Securities Act. Each Stockholder shall be entitled to apportion the right of first offer hereby granted to it among itself and its Affiliates in such proportions as it deems appropriate.

(a) The Company shall give notice (the "Offer Notice") to each Stockholder, stating (i) its bona fide intention to offer such New Issuances, (ii) the number of such New Issuances to be offered, and (iii) the price and terms, if any, upon which it proposes to offer such New Issuances.

(b) By notification to the Company within twenty (20) days after the Offer Notice is given, each Stockholder may elect to purchase or otherwise acquire, at the price and on the terms specified in the Offer Notice, up to that portion of such New Issuances in the form of Common Stock and, if applicable, shares of Restricted Stock which equal the proportions that the Common Stock and shares of Restricted Stock issued and held by such Stockholder bear to the total Common Stock of the Company then outstanding (on a Fully Diluted Basis). At the expiration of such twenty (20) day period, the Company shall promptly notify each Stockholder that elects to purchase or acquire all the shares available to it (each, a "Fully Exercising Stockholder") of any other Stockholder's failure to do likewise (each Stockholder who does not elect to purchase or acquire all available shares, a "Non-Electing Stockholder"). During the ten (10) day period commencing after the Company has given such notice, each Fully Exercising Stockholder may, by giving notice to the Company, elect to

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purchase or acquire, in addition to the number of shares specified above, in the form of Common Stock and, if applicable, shares of Restricted Stock up to that portion of the New Issuances not subscribed for by the Non-Electing Stockholders equal to the proportions that the Common Stock and shares of Restricted Stock issued and held by such Fully Exercising Stockholder bear to the Common Stock issued and held by all Fully Exercising Stockholders who wish to purchase such unsubscribed shares. The closing of any sale pursuant to this Section 5.1(b) shall occur within sixty (60) days of the date that the Offer Notice is given.

(c) If all New Issuances referred to in the Offer Notice are not elected to be purchased or acquired as provided in Section 5.1(b), the Company may, during the ninety (90) day period following the expiration of the periods provided in Section 5.1(b), offer and sell the remaining unsubscribed portion of such New Issuances to any Person or Persons at a price not less than, and upon terms no more favorable to the offeree than, those specified in the Offer Notice. If the Company does not enter into an agreement for the sale of the New Issuances within such period, or if such agreement is not consummated within thirty (30) days of the execution thereof, the right provided hereunder shall be deemed to be revived and such New Issuances shall not be offered unless first reoffered to the Stockholders in accordance with this Section 5.1.

(d) Any shares of Restricted Stock purchased or acquired pursuant to this Section 5.1 shall be governed by the 2012 Equity Plan and applicable award agreements thereunder and shall vest at the same time and in the same proportions as the shares of Restricted Stock held by such Stockholder as of the date of the New Issuance.¹

5.2. Exempt Issuances. The obligation to provide an Offer Notice and the right of first offer in this Section 5 shall not be applicable in the following instances: (i) a dividend or distribution payable pro rata to all holders of Common Stock; (ii) pursuant to the grant or exercise of options to purchase shares of Common Stock or the grant or vesting of shares of Restricted Stock (subject to ratable adjustment in the event of any stock dividend, stock split, combination, reorganization, recapitalization, reclassification, or other similar event affecting such shares) issued to employees, officers, directors or consultants of the Company or any subsidiary thereof pursuant to the Option Plans (as hereinafter defined) or the 2012 Equity Plan, as applicable; (iii) in connection with any acquisition (by merger or otherwise) by the Company or any subsidiary of the Company of all or substantially all of the assets or equity interests of any other entity; provided that, the issuance of such securities does not exceed one percent (1%) of the then total number of shares of outstanding Common Stock on a Fully Diluted Basis ; (iv) in connection with joint ventures, strategic alliances, corporate partnerings, equipment lease financings or bank credit arrangements entered into for non-equity financing purposes provided

¹ For example: If on June 1, 2012 (the date of a New Issuance), a Stockholder has an award of 150 shares of Restricted Stock which vests in equal annual installments of 33% each on January 1 of each of 2013 through 2015 and has a second award of 400 shares of Restricted Stock which vests in equal annual installments of 25% each on June 1 of each of 2013 through 2016, then the shares of Restricted Stock purchased or acquired as a result of the New Issuance shall vest as follows: 9.1% of the shares of Restricted Stock shall vest on January 1 of each of 2013 through 2015 and 18.2% of the shares of Restricted Stock shall vest on June 1 of each of 2013 through 2016.

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that, the issuance of such securities does not exceed one percent (1%) of the then total number of shares of outstanding Common Stock on a Fully Diluted Basis; or (v) pursuant to a Qualified Public Offering covering the offer and sale of Common Stock.

5.3. Rights of New Purchasers. Any purchaser in a New Issuance who is not currently a Stockholder shall be required, as a condition to the purchase, to execute an Instrument of Adherence. Upon such execution of an Instrument of Adherence, such purchaser shall become a Stockholder. In the event that any Stockholder, whether through participation in a New Issuance or a transfer of previously issued Stock, becomes the owner of more than 5% of the issued and outstanding Stock (on a Fully Diluted Basis), then such Stockholder shall be deemed to be, and to have all the rights and obligations hereunder of, an "Investor" for purposes of this Agreement (provided, however, that any Stockholder which, when together with its Affiliates, owns more than 5% of the Issued and outstanding Stock (on a Fully Diluted Basis) shall, together as a group, be considered an "Investor"), and the parties hereto agree to take all commercially reasonable action as is necessary to amend this agreement to provide such rights to such Stockholder.

Section 6. Registration Rights.

6.1. Restrictive Legend. Each certificate representing Stock shall, except as otherwise provided in this Section 6, be stamped or otherwise imprinted with a legend substantially in the following form (in addition to any legend required under applicable state securities laws):

THE SECURITIES REPRESENTED BY THIS CERTIFICATE HAVE NOT BEEN REGISTERED UNDER THE SECURITIES ACT OF 1933, AS AMENDED, OR ANY OTHER SECURITIES LAWS. THESE SECURITIES HAVE BEEN ACQUIRED FOR INVESTMENT AND NOT WITH A VIEW TO DISTRIBUTION OR RESALE. SUCH SECURITIES MAY NOT BE OFFERED FOR SALE, SOLD, DELIVERED AFTER SALE, TRANSFERRED, PLEDGED OR HYPOTHECATED IN THE ABSENCE OF AN EFFECTIVE REGISTRATION STATEMENT COVERING SUCH SECURITIES UNDER THE SECURITIES ACT OF 1933, AS AMENDED, AND ANY OTHER APPLICABLE SECURITIES LAWS, UNLESS THE HOLDER SHALL HAVE OBTAINED AN OPINION OF COUNSEL REASONABLY SATISFACTORY TO THE COMPANY THAT SUCH REGISTRATION IS NOT REQUIRED.

THE SALE, TRANSFER, ASSIGNMENT, PLEDGE OR ENCUMBRANCE OF THE SECURITIES REPRESENTED BY THIS CERTIFICATE ARE SUBJECT TO THE TERMS AND CONDITIONS OF AN INVESTOR RIGHTS AGREEMENT, AS AMENDED, AMONG BATS GLOBAL MARKETS, INC. AND CERTAIN HOLDERS OF THE OUTSTANDING CAPITAL STOCK OF SUCH COMPANY. COPIES OF SUCH AGREEMENT MAY BE OBTAINED AT NO COST BY WRITTEN REQUEST MADE BY THE HOLDER OF RECORD OF THIS CERTIFICATE TO THE SECRETARY OF SUCH COMPANY.

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Upon request of a holder of such a certificate, the Company shall remove the foregoing legend from the certificate or issue to such holder a new certificate therefor free of any transfer legend, if there is an effective registration statement covering the securities represented by such certificate or, with such request, the Company shall have received either the opinion referred to in Section 6.3(i) below or the “no-action” letter referred to in Section 6.3(ii) below.

6.2. Restricted Stock. In addition, Restricted Stock shall also bear the following legend:

“BY ITS ACQUISITION HEREOF, THE HOLDER AGREES TO BE BOUND BY THE PROVISIONS OF THE RESTRICTED STOCK AWARD AGREEMENT DATED AS OF [], BY AND BETWEEN THE COMPANY AND THE HOLDER, INCLUDING PROVISIONS GOVERNING FORFEITURE.”

On or following the vesting of any Restricted Stock, upon the request of the holder and the return of the original certificate(s) (if certificates representing the Restricted Stock were issued), the Company shall deliver to the holder a certificate evidencing the number of shares of such Restricted Stock without the legend described in Section 6.2; provided, however, that such newly issued certificate shall comply with Section 6.1.

6.3. Notice of Proposed Transfer. Prior to any proposed sale, pledge, hypothecation or other transfer of any Registrable Securities (other than under the circumstances described in Section 6.4 or 6.5 or to an Affiliate), the holder thereof shall give written notice to the Company of its intention to effect such sale, pledge, hypothecation or other transfer. Each such notice shall describe the manner of the proposed sale, pledge, hypothecation or other transfer and, if requested by the Company, shall be accompanied by either (i) an opinion of counsel reasonably satisfactory to the Company to the effect that the proposed sale, pledge, hypothecation or other transfer may be effected without registration under the Securities Act, or (ii) a “no action” letter from the Commission to the effect that the distribution of such securities without registration will not result in a recommendation by the staff of the Commission that action be taken with respect thereto, whereupon the holder of such stock shall be entitled to transfer such stock in accordance with the terms of its notice; provided, however, that no such opinion of counsel shall be required for a distribution to one or more partners (in the case of a transferor that is a partnership), stockholders (in the case of a transferor that is a corporation) or members (in the case of a transferor that is a limited liability company) of the transferor, in each case in respect of the beneficial interest of such partner, stockholder or member. Each certificate for Registrable Securities transferred as above provided shall bear the appropriate restrictive legend set forth in Section 6.1, except that such certificate shall not bear such legend if (i) such transfer is in accordance with the provisions of Rule 144 (or any other rule permitting public sale without registration under the Securities Act) or (ii) the opinion of counsel or “no-action” letter referred to above is to the further effect that the transferee and any subsequent transferee (other than an Affiliate of the Company) would be entitled to transfer such securities in a public sale without registration under the Securities Act. Notwithstanding any other provision hereof, the restrictions provided for in this Section 6.3 shall not apply to securities which are not required to bear the legend prescribed by Section 6.1 in accordance with the provisions of that Section.

6.4. Required Registration.

(a) At any time after the date that is six (6) months after the closing of the Company's first underwritten public offering of its Common Stock under the Securities Act ("IPO"), any Investor may request that the Company register for sale under the Securities Act all or any portion of the shares of Registrable Securities held by such requesting holder or holders for sale in the manner specified in such notice; provided, however, that the anticipated gross proceeds of any offering and registration pursuant to this Section 6.4 shall be at least \$10,000,000.

(b) Following receipt of any notice under this Section 6.4, the Company shall immediately notify all holders of Registrable Securities from whom notice has not been received and such holders shall then be entitled within thirty (30) days after receipt of such notice from the Company to request the Company to include in the requested registration all or any portion of their shares of Registrable Securities. The Company shall use its best efforts to register under the Securities Act, for public sale in accordance with the method of disposition specified in the notice from requesting holders described in paragraph (a) above, the number of shares of Registrable Securities specified in such notice (and in all notices received by the Company from other holders within thirty (30) days after the receipt of such notice by such holders). The Company shall be obligated to register the Registrable Securities pursuant to this Section 6.4 on two (2) occasions only, and not more than once in any consecutive twelve (12) month period. Notwithstanding anything to the contrary contained herein, the Company shall not be required to effect a registration pursuant to this Section 6.4 during the period commencing sixty (60) days prior to the estimated filing date of, and ending on the date which is one hundred twenty (120) days after the effective date of a registration statement filed by the Company covering an underwritten public offering of the Common Stock under the Securities Act; provided that, the Company is actively employing in good faith reasonable efforts to cause such registration statement to become effective and such estimate of the filing date is made in good faith.

(c) If the holder intends to distribute the Registrable Securities covered by its request by means of an underwriting, it shall so advise the Company as a part of their request made pursuant to this Section 6.4 and the Company shall include such information in the written notice referred to in paragraph (b) above. The right of any holder to registration pursuant to this Section 6.4 shall be conditioned upon such holder's agreeing to participate in such underwriting and to permit inclusion of such holder's Registrable Securities in the underwriting. If such method of disposition is an underwritten public offering, the holder shall designate the managing underwriter of such offering, which underwriter shall be reasonably acceptable to the Company. A holder may elect to include in such underwriting all or a part of the Registrable Securities it holds, subject to the limitations required by the managing underwriter as provided for in Section 6.4(d) below.

(d) Without the prior written consent of the Investors, the Company will not include in any registration under this Section 6.4 any securities other than (a) Registrable Securities, (b) shares of stock pursuant to Section 6.5 hereof, and (c) securities to be registered for offering and sale on behalf of the Company. If the managing underwriter(s) advise the

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Company in writing that in their opinion the number of shares of Registrable Securities and, if permitted hereunder, other securities in such offering, exceeds the number of shares of Registrable Securities and other securities, if any, which can be sold in an orderly manner in such offering within a price range acceptable to the Investor, the Company will include in such registration, prior to the inclusion of any securities which are not shares of Registrable Securities, the number of shares of Registrable Securities requested to be included that in the opinion of such underwriters can be sold in an orderly manner within the price range of such offering, subject to the following order of priority: (A) first, the securities requested to be included therein by the Investors, pro rata among the Investors on the basis of the number of shares of stock requested to be included in such registration; and (B) second, any other securities requested to be included in such registration by other Stockholders of the Company, pro rata among such stockholders on the basis of the number of shares of Stock requested to be included in such registration; and (C) third, the securities to be registered on behalf of the Company.

6.5. Incidental Registration. If the Company at any time (other than with respect to its IPO) proposes to register any of its securities under the Securities Act for sale to the public, whether for its own account or for the account of other security holders or both (except with respect to registration statements on Forms S-4, S-8 or any successor to such forms or another form not available for registering the Registrable Securities for sale to the public), each such time it will promptly give written notice to all holders of the Registrable Securities of its intention to do so after the initial filing but before effectiveness of the registration statement relating thereto. Upon the written request of any such holder, received by the Company within ten (10) days after the giving of any such notice by the Company, to register any or all of its Registrable Securities, the Company will use its best efforts to cause the Registrable Securities as to which registration shall have been so requested to be included in the securities to be covered by the registration statement proposed to be filed by the Company, all to the extent required to permit the sale or other disposition by the holder (in accordance with its written request) of such Registrable Securities so registered. If the registration of which the Company gives notice is for a registered public offering involving an underwriting, the Company shall so advise the holders of Registrable Securities as a part of the written notice given pursuant to this Section 6.5. In such event the right of any holder of Registrable Securities to registration pursuant to this Section 6.5 shall be conditioned upon such holder's participation in such underwriting to the extent provided herein. All holders of Registrable Securities proposing to distribute their securities through such underwriting shall enter into an underwriting agreement in customary form with the underwriter or underwriters selected for underwriting by the Company. Notwithstanding any other provision of this Section 6.5, if the underwriter determines that marketing factors require a limitation on the number of shares to be underwritten, the Company shall include in such registration (i) first, the securities the Company proposes to sell, (ii) second, the Registrable Securities requested to be included in by the Investors, allocated pro rata among the Investors based on the number of shares owned by each such Investor, (iii) the Registrable Securities requested to be included in such registration by all other holders of Registrable Securities, allocated pro rata among the holders of such Registrable Securities on the basis of the number of shares owned by such holder, and (iv) fourth, other securities requested to be included in such registration. Notwithstanding the foregoing provisions, the Company may withdraw any registration statement referred to in this Section 6.5 without thereby incurring any liability to the holders of Registrable Securities. If any holder of Registrable Securities disapproves of the

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terms of any such underwriting, it may elect to withdraw therefrom by written notice to the Company and the underwriters of the offering. Any Registrable Securities or other securities excluded or withdrawn from such underwriting shall be withdrawn from such registration.

6.6. Registration on Form S-3.

(a) If at any time (i) the holders of the Registrable Securities constituting at least twenty percent (20%) of the total Registrable Securities then outstanding request that the Company file a registration statement on Form S-3 or any successor form thereto for a public offering of all or any portion of the shares of Registrable Securities held by such requesting holder or holders, the reasonably anticipated aggregate price to the public of which would exceed \$5,000,000 and (ii) the Company is a registrant entitled to use Form S-3 or any successor form thereto to register such shares, then the Company shall use its best efforts to register the offer and resale of the number of shares of Registrable Securities specified in such notice under the Securities Act on Form S-3 or any successor form thereto, for public sale in accordance with the method of disposition specified in such notice. Whenever the Company is required by this Section 6.6 to use its best efforts to effect the registration of Registrable Securities, each of the applicable procedures and requirements of Sections 6.3 and 6.4, including, but not limited to, the requirement that the Company notify all holders of Registrable Securities from whom notice has not been received and provide them with the opportunity to participate in the offering (provided, however, that holders shall have no more than fifteen (15) days to reply to the Company's notice in order to participate in the offering), shall apply to such registration.

(b) The Company shall use its best efforts to qualify for registration on Form S-3 or any successor form or forms and to that end the Company shall register (whether or not required by law to do so) the Common Stock under the Exchange Act in accordance with the provisions of that Act following the effective date of the first registration of any securities of the Company on Form S-1 or any comparable or successor form.

6.7. Registration Procedures. If and whenever the Company is required by the provisions of Section 6.4, 6.5 or 6.6 to use its best efforts to effect the registration of any Registrable Securities under the Securities Act, the Company will, as expeditiously as possible:

(a) Prepare and file with the Commission a registration statement with respect to such securities including executing an undertaking to file post-effective amendments and use its best efforts to cause such registration statement to become and remain effective for the period of the distribution contemplated thereby;

(b) Prepare and file with the Commission such amendments and supplements to such registration statement and the prospectus used in connection therewith as may be necessary to keep such registration statement effective for the period specified herein and comply with the provisions of the Securities Act with respect to the disposition of all Registrable Securities covered by such registration statement in accordance with the sellers' intended method of disposition set forth in such registration statement for such period;

(c) Furnish to each seller of Registrable Securities and to each underwriter such number of copies of the registration statement and each such amendment and

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supplement thereto (in each case including all exhibits) and the prospectus included therein (including each preliminary prospectus) as such persons reasonably may request in order to facilitate the public sale or other disposition of the Registrable Securities covered by such registration statement;

(d) Use its commercially reasonable best efforts to register or qualify the Registrable Securities covered by such registration statement under the securities or “blue sky” laws of such jurisdictions as the sellers of Registrable Securities or, in the case of an underwritten public offering, the managing underwriter reasonably shall request; provided, however, that the Company shall not for any such purpose be required to qualify generally to transact business as a foreign corporation in any jurisdiction where it is not so qualified or to consent to general service of process in any such jurisdiction, unless the Company is already subject to service in such jurisdiction;

(e) Use its commercially reasonable best efforts to list the Registrable Securities covered by such registration statement with any securities exchange on which the Common Stock of the Company is then listed;

(f) Immediately notify each seller of Registrable Securities and each underwriter under such registration statement, at any time when a prospectus relating thereto is required to be delivered under the Securities Act, of the happening of any event of which the Company has knowledge as a result of which the prospectus contained in such registration statement, as then in effect, includes an untrue statement of a material fact or omits to state a material fact required to be stated therein, or necessary to make the statements therein not misleading in the light of the circumstances then existing, and promptly prepare and furnish to such seller a reasonable number of copies of a prospectus supplemented or amended so that, as thereafter delivered to the purchasers of such Registrable Securities, such prospectus shall not include an untrue statement of a material fact or omit to state a material fact required to be stated therein or necessary to make the statements therein not misleading in the light of the circumstances then existing and all holders hereby agree that they shall not use any such prospectus or registration statement once so notified;

(g) If the offering is underwritten and at the request of any seller of Registrable Securities, use its commercially reasonable best efforts to furnish on the date that Registrable Securities are delivered to the underwriters for sale pursuant to such registration (i) an opinion dated such date of counsel representing the Company for the purposes of such registration, addressed to the underwriters to such effect as reasonably may be requested by counsel for the underwriters, and delivers copies of such opinion to the sellers of Registrable Securities and (ii) a letter dated such date from the independent public accountants retained by the Company addressed to the underwriters stating that they are independent public accountants within the meaning of the Securities Act and that, in the opinion of such accountants, the financial statements of the Company included in the registration statement or the prospectus, or any amendment or supplement thereof, comply as to form in all material respects with the applicable accounting requirements of the Securities Act, and such letter shall additionally cover such other financial matters (including information as to the period ending no more than five (5)

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business days prior to the date of such letter) with respect to such registration as such underwriters reasonably may request;

(h) Upon reasonable notice and at reasonable times during normal business hours, provide each seller of Registrable Securities, any underwriter participating in any distribution pursuant to such registration statement, and any attorney, accountant or other agent retained by such seller or underwriter, reasonable access to all financial and other records, pertinent corporate documents and properties of the Company, as such parties may reasonably request, and cause the Company's officers, directors and employees to supply all information reasonably requested by any such seller, underwriter, attorney, accountant or agent in connection with such registration statement;

(i) Cooperate with the selling holders of Registrable Securities and the managing underwriter, if any, to facilitate the timely preparation and delivery of certificates representing Registrable Securities to be sold, such certificates to be in such denominations and registered in such names as such holders or the managing underwriter may request at least two business days prior to any sale of Registrable Securities;

(j) Permit any holder of Registrable Securities which holder, in the sole and exclusive judgment, exercised in good faith, of such holder, might be deemed to be a controlling person of the Company, to participate in good faith in the preparation of such registration or comparable statement and to require the insertion therein of material, furnished to the Company in writing, which in the reasonable judgment of such holder and its counsel should be included; and

(k) Cooperate with the holders requesting registration pursuant to this Section 6, the underwriters participating in the offering and their counsel in any due diligence investigation reasonably requested by the holders or the underwriters in connection therewith, and participate, to the extent reasonably requested by the managing underwriter for the offering or the holders, in efforts to sell the Registrable Securities under the offering (including without limitation, participating in "roadshow" meetings with prospective investors) that would be customary for underwritten primary offerings of a comparable amount of equity securities by the Company.

In connection with each registration pursuant to this Section 6, the holders of Registrable Securities will timely furnish to the Company in writing such information requested by the Company with respect to themselves and the proposed distribution by them as shall be deemed necessary in order to assure compliance with federal and applicable state securities laws and such Sellers shall provide the Company with appropriate representations with respect to the accuracy of such information and shall, in connection with any underwritten offering, become party to an underwriting agreement in connection therewith in form and substance reasonably acceptable to the underwriters and the Company.

6.8. Expenses.

(a) All expenses incurred by the Company in complying with Sections 6.4, 6.5 and 6.6, including, without limitation, all registration and filing fees, printing expenses,

fees and disbursements of counsel and independent public accountants for the Company, fees and expenses (including counsel fees) incurred in connection with complying with state securities or “blue sky” laws, fees of the National Association of Securities Dealers, Inc., transfer taxes, reasonable fees and disbursements of counsel to Sellers of Registrable Securities and fees of transfer agents and registrars, costs of any insurance which might be obtained by the Company with respect to the offering by the Company, excluding any Selling Expenses, are called “Registration Expenses.” All underwriting discounts and selling commissions applicable to the sale of Registrable Securities are called “Selling Expenses.”

(b) The Company will pay all Registration Expenses in connection with each registration statement under Section 6.4, 6.5 or 6.6. All Selling Expenses in connection with each registration statement under Section 6.4, 6.5 or 6.6 shall be borne by the participating sellers in proportion to the number of shares registered by each, or by such participating sellers other than the Company (except to the extent the Company shall be a seller) as they may agree.

6.9. Indemnification and Contribution.

(a) In the event of a registration of any of the Registrable Securities under the Securities Act pursuant to Section 6.4, 6.5 or 6.6, the Company will indemnify, defend and hold harmless each holder of Registrable Securities, its officers, directors, members and partners, each underwriter of such Registrable Securities thereunder and each other person, if any, who controls such holder or underwriter within the meaning of the Securities Act, against any losses, claims, damages or liabilities, joint or several, to which such holder, officer, director, member, partner, underwriter or controlling person may become subject under the Securities Act or otherwise, insofar as such losses, claims, damages or liabilities (or actions in respect thereof) arise out of or are based upon (i) any untrue statement or alleged untrue statement of any material fact contained in any prospectus, offering circular or other document incident to such registration (including any related notification, registration statement under which such Registrable Securities were registered under the Securities Act pursuant to Section 6.4, 6.5 or 6.6, any preliminary prospectus or final prospectus contained therein, or any amendment or supplement thereof) or (ii) any blue sky application or other document executed by the Company specifically for that purpose or based upon written information furnished by the Company filed in any state or other jurisdiction in order to qualify any or all of the Registrable Securities under the securities laws thereof (any such application, document or information herein called a “Blue Sky Application”) and will reimburse each such seller, and such officer, director, member and partner, each such underwriter and each such controlling person for any legal or other expenses reasonably incurred by them in connection with investigating or defending any such loss, claim, damage, liability or action, promptly after being so incurred; provided, however, that the Company will not be liable in any such case if and to the extent that any such loss, claim, damage or liability arises out of or is based upon an untrue statement or alleged untrue statement or omission or alleged omission so made in conformity with written information furnished by any such holder, any such underwriter or any such controlling person in writing specifically for use in such registration statement or prospectus.

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(b) In the event of a registration of any of the Registrable Securities under the Securities Act pursuant to Section 6.4, 6.5 or 6.6, each seller of such Registrable Securities thereunder, severally and not jointly, will indemnify, defend and hold harmless the Company, each person, if any, who controls the Company within the meaning of the Securities Act, each officer of the Company who signs the registration statement, each director of the Company, each other seller of Registrable Securities, each underwriter and each person who controls any underwriter within the meaning of the Securities Act, against all losses, claims, damages or liabilities, joint or several, to which the Company or such officer, director, other seller, underwriter or controlling person may become subject under the Securities Act or otherwise, insofar as such losses, claims, damages or liabilities (or actions in respect thereof) arise out of or are based upon any untrue statement or alleged untrue statement of any material fact contained in any prospectus offering circular or other document incident to such registration (including any related notification, registration statement under which such Registrable Securities were registered under the Securities Act pursuant to Section 6.4, 6.5 or 6.6, any preliminary prospectus or final prospectus contained therein, or any amendment or supplement thereof), or any Blue Sky Application or arise out of or are based upon the omission or alleged omission to state therein a material fact required to be stated therein or necessary to make the statements therein not misleading, and will reimburse the Company and each such officer, director, other seller, underwriter and controlling person for any legal or other expenses reasonably incurred by them in connection with investigating or defending any such loss, claim, damage, liability or action, promptly after being so incurred, provided, however, that such seller will be liable hereunder in any such case if and only to the extent that any such loss, claim, damage or liability arises out of or is based upon an untrue statement or alleged untrue statement or omission or alleged omission made in reliance upon and in conformity with information pertaining to such seller, as such, furnished in writing to the Company by such seller specifically for use in such registration statement or prospectus. The liability of each seller hereunder shall be limited to the net proceeds received by such seller from the sale of such Registrable Securities. Not in limitation of the foregoing, it is understood and agreed that the indemnification obligations of any seller hereunder pursuant to any underwriting agreement entered into in connection herewith shall be limited to the obligations contained in this subparagraph (b).

(c) Promptly after receipt by an indemnified party hereunder of notice of the commencement of any action, such indemnified party shall, if a claim in respect thereof is to be made against the indemnifying party hereunder, notify the indemnifying party in writing thereof, but the omission so to notify the indemnifying party shall not relieve it from any liability which it may have to such indemnified party other than under this Section 6.9 and shall only relieve it from any liability which it may have to such indemnified party under this Section 6.9 if and to the extent the indemnifying party is prejudiced by such omission. In case any such action shall be brought against any indemnified party and it shall notify the indemnifying party of the commencement thereof, the indemnifying party shall be entitled to participate in and, to the extent it shall wish, to assume and undertake the defense thereof with counsel reasonably satisfactory to such indemnified party, and, after notice from the indemnifying party to such indemnified party of its election so to assume and undertake the defense thereof, the indemnifying party shall not be liable to such indemnified party under this Section 6.9 for any legal expenses subsequently incurred by such indemnified party in connection with the defense

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thereof other than reasonable costs of investigation and of liaison with counsel so selected; provided, however, that, if the defendants in any such action include both the indemnified party and the indemnifying party and the indemnified party shall have reasonably concluded, based on a written opinion of counsel, that there may be reasonable defenses available to it which are different from or additional to those available to the indemnifying party or that the interests of the indemnified party reasonably may be deemed to conflict with the interests of the indemnifying party, the indemnified party shall have the right to select one separate counsel and to assume such legal defenses and otherwise to participate in the defense of such action, with the reasonable expenses and fees of such separate counsel and other expenses related to such participation to be reimbursed by the indemnifying party as incurred. No indemnifying party, in the defense of any such claim or action, shall, except with the consent of each indemnified party, consent to entry of any judgment or enter into any settlement which does not include as an unconditional term thereof the giving by the claimant or plaintiff to such indemnified party of a release from all liability in respect to such claim or action; provided that no such consent shall be required for any settlement which provides a full release for such indemnified party and solely for the payment of money. Each indemnified party shall furnish such information regarding itself or the claim in question as an indemnifying party may reasonably request in writing and as shall be reasonably required in connection with defense of such claim and litigation resulting therefrom.

(d) In order to provide for just and equitable contribution to joint liability under the Securities Act in any case in which either (i) any holder of Registrable Securities exercising rights under this Agreement, or any controlling person of any such holder, makes a claim for indemnification pursuant to this Section 6.9 but it is judicially determined (by the entry of a final judgment or decree by a court of competent jurisdiction and the expiration of time to appeal or the denial of the last right of appeal) that such indemnification may not be enforced in such case notwithstanding the fact that this Section 6.9 provides for indemnification in such case, or (ii) contribution under the Securities Act may be required on the part of any such selling holder or any such controlling person in circumstances for which indemnification is provided under this Section 6.9; then, and in each such case, the Company and such holder will contribute to the aggregate losses, claims, damages or liabilities to which they may be subject (after contribution from others) in such proportion so that such holder is responsible for the portion represented by the percentage that the public offering price of its Registrable Securities offered by the registration statement bears to the public offering price of all securities offered by such registration statement, and the Company is responsible for the remaining portion; provided, however, that, in any such case, (A) no such holder of Registrable Securities will be required to contribute any amount in excess of the net proceeds received from the sale of all such Registrable Securities offered by it pursuant to such registration statement and (B) no person or entity guilty of fraudulent misrepresentation (within the meaning of Section 11(f) of the Securities Act) will be entitled to contribution from any person or entity who was not guilty of such fraudulent misrepresentation.

(e) The indemnities and obligations provided in this Section 6.9 shall survive the transfer of any Registrable Securities by such holder.

SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT

6.10. Changes in Common Stock or Preferred Shares. If, and as often as, there is any change in the Common Stock by way of a stock split, stock dividend, combination or reclassification, or through a merger, consolidation, reorganization or recapitalization, or by any other means, appropriate adjustment shall be made in the provisions hereof so that the rights and privileges granted hereby shall continue with respect to the Common Stock as so changed.

6.11. Rule 144 Reporting. With a view to making available the benefits of certain rules and regulations of the Commission which may at any time permit the sale of the Registrable Securities to the public without registration, except as provided in paragraph (c) below, at all times after ninety (90) days after any registration statement covering a public offering of securities of the Company under the Securities Act shall have become effective, the Company agrees to:

(a) Make and keep public information available, as those terms are understood and defined in Rule 144 under the Securities Act (or any successor rule);

(b) Use its best efforts to file with the Commission in a timely manner all reports and other documents required of the Company under the Securities Act and the Exchange Act; and

(c) Furnish to each holder of Registrable Securities forthwith upon request a written statement by the Company as to its compliance with the reporting requirements of such Rule 144 (or any successor rule) and, at any time after it has become subject to such reporting requirements, of the Securities Act and the Exchange Act, a copy of the most recent annual or quarterly report of the Company, and such other reports and documents so filed by the Company as such holder may reasonably request in availing itself of any rule or regulation of the Commission allowing such holder to sell any Registrable Securities without registration.

6.12. "Market Stand-Off" Agreement. Each Stockholder agrees, if requested by the Company and an underwriter of Common Stock (or other securities) of the Company, (i) not to lend, offer, pledge, sell, contract to sell, sell any option or contract to purchase, purchase any option or contract to sell, grant any option, right or warrant to purchase, or otherwise transfer or dispose of, directly or indirectly, any shares of Common Stock or any securities convertible into or exercisable or exchangeable for Common Stock (whether such shares or any such securities are then owned by such holder or are thereafter acquired), or (ii) not to enter into any swap or other arrangement that transfers to another, in whole or in part, any of the economic consequences of ownership of the Common Stock, whether any such transaction described in clause (i) or (ii) above is to be settled by delivery of Common Stock or such other securities, in cash or otherwise, whether in privately negotiated or open market transactions, during the one hundred eighty (180) day period following the effective date of a registration statement of the Company filed under the Securities Act, provided that:

(a) Such agreement only applies to the Company's first underwritten public offering of its Common Stock under the Securities Act; and

(b) Only so long as all holders of Registrable Securities, all officers and directors of the Company, all persons including shares in such offering and all holders of one

SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT

percent (1%) or more of the outstanding shares of all classes of capital stock of the Company are bound by similar agreements.

The Company may impose stop-transfer instructions with respect to the shares (or securities) subject to the foregoing restriction until the end of said one hundred eighty (180) day period.

6.13. Miscellaneous.

(a) The rights granted to the Investors under this Section 6 with respect to Registrable Securities may be transferred to any Permitted Transferee of any Investor; provided that (i) such transferee agrees in writing to be bound by the provisions of this Agreement and (ii) at the time of transfer the Company is given written notice of the name and address of the transferee and the number and type of Shares being transferred.

(b) The rights granted to the Investors under this Section 6 shall terminate on the earlier of: (i) the fourth anniversary of a Qualified Public Offering; or (ii) the date when all Registrable Securities may be sold to the public in accordance with Rule 144 under the Securities Act by a person that is not an "affiliate" (as defined in Rule 144 under the Securities Act) of the Company where no conditions of Rule 144 are then applicable (other than the holding period requirement in paragraph (d)(1)(ii) of Rule 144 so long as such holding period requirement is satisfied at such time of determination).

(c) The Company shall not grant any other registration rights without the consent of the Investors.

Section 7. Covenants of the Company.

7.1. Financial Reports and Litigation Information.

(a) Financial Reports. The Company will maintain proper books of account and records in accordance with generally accepted accounting principles applied on a consistent basis. The Company will deliver the following to the Investors:

(i) Within forty five (45) days after the end of each month in each fiscal year (other than the last month in each fiscal year), a consolidated balance sheet of the Company and the statements of income and cash flows unaudited but prepared in accordance with generally accepted accounting principles, such balance sheet to be as of the end of such month and such statements of income and cash flows to be for such month and for the period from beginning of the fiscal year to the end of such month; provided that quarterly financial statements may be substituted for monthly financial statements if the Board unanimously consents to such substitution;

(ii) Within one hundred thirty-five (135) days after the end of each fiscal year of the Company, a balance sheet of the Company as of the end of such fiscal year and the related consolidated statements of income and cash flows for the fiscal year then ended, prepared in accordance with generally accepted accounting principles and reviewed by a

SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT

firm of independent public accountants of recognized national or regional standing selected by the Board; and

(iii) On or before the first day of each fiscal year, the Company shall furnish to each Investor an annual budget (including projected monthly consolidated and consolidating income statements, balance sheets and statements of cash flow) for such fiscal year.

(b) Termination of Provisions. The obligations of the Company under this Section 7.1 shall terminate at such time as the Common Stock is registered under Section 12 of the Exchange Act.

7.2. Employee Equity Plans. The Company has reserved (a) an aggregate of 2,195,417 shares of Common Stock for issuance to eligible participants pursuant to the Company's Amended and Restated 2008 Stock Option Plan (including, for the avoidance of doubt, any predecessor plans) and the 2009 Stock Option Plan (collectively, the "Option Plans") and (b) an aggregate of 525,000 shares of Common Stock for issuance to eligible participants pursuant to the Company's 2012 Equity Plan.

7.3. D&O Insurance. The Company shall use its commercially reasonable efforts to maintain directors and officers liability insurance in an amount acceptable to the Board.

7.4. Indemnification. The Company shall at all times provide for indemnification of the members of the Board to the full extent permitted by law.

7.5. Termination of Covenants. The covenants set forth in this Section 7 shall be of no further force or effect upon the closing of the Qualified Public Offering.

Section 8. Representations and Warranties.

8.1. Representations and Warranties of Corporate Stockholders. Each Stockholder that is a corporation hereby represents and warrants to the Company and to each other Stockholder as follows:

(a) Organization and Authority. Such Stockholder is a corporation duly organized, validly existing and in good standing under the laws of the jurisdiction in which it is incorporated. Such Stockholder has the corporate power and authority to enter into this Agreement and to consummate the transactions contemplated hereby.

(b) Corporate Action. Such Stockholder has taken all corporate action necessary for it to enter into this Agreement and to consummate the transactions contemplated hereby.

(c) Absence of Violation. Neither the execution and delivery of this Agreement nor the consummation of the transactions contemplated hereby will constitute a violation of, or default under, or conflict with, or require any consent under any term or provision of the certificate of incorporation or by-laws of such Stockholder or any contract,

SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT

commitment, indenture, lease or other agreement to which such Stockholder is a party or by which such Stockholder or any of its assets is bound.

(d) Binding Obligation. This Agreement has been duly and validly executed and delivered by such Stockholder, and assuming the due and valid execution and delivery of this Agreement by all other parties hereto, constitutes a valid and binding obligation of such Stockholder, enforceable in accordance with its terms, except to the extent that such enforceability may be limited by bankruptcy, insolvency and similar laws affecting the rights and remedies of creditors generally, and by general principles of equity and public policy.

8.2. Representations and Warranties of Individual Stockholders. Each Stockholder who is an individual hereby represents and warrants to the Company and to each other Stockholder as follows:

(a) Absence of Violation. Neither the execution and delivery of this Agreement nor the consummation of the transactions contemplated hereby will constitute a violation of, or default under, or conflict with, or require any consent under any term or provision of any contract, commitment, indenture, lease or other agreement to which such Stockholder is a party or by which such Stockholder or any of his or her assets is bound.

(b) Binding Obligation. This Agreement has been duly and validly executed and delivered by such Stockholder, and assuming the due and valid execution and delivery of this Agreement by all other parties hereto, constitutes a valid and binding obligation of such Stockholder, enforceable in accordance with its terms, except to the extent that such enforceability may be limited by bankruptcy, insolvency and similar laws affecting the rights and remedies of creditors generally, and by general principals of equity and public policy.

8.3. Representations and Warranties of Other Stockholders. Each Stockholder that is a trust, partnership, foundation, limited liability company or similar entity hereby represents and warrants to the Company and to each other Stockholder as follows:

(a) Absence of Violation. Neither the execution and delivery of this Agreement nor the consummation of the transactions contemplated hereby will constitute a violation of, or default under, or conflict with, or require any consent under any term or provision of any contract, commitment, indenture, lease or other agreement to which such Stockholder is a party or by which such Stockholder or any of his assets is bound.

(b) Binding Obligation. This Agreement has been duly and validly executed and delivered by such Stockholder, and assuming the due and valid execution and delivery of this Agreement by all other parties hereto, constitutes a valid and binding obligation of such Stockholder, enforceable in accordance with its terms, except to the extent that such enforceability may be limited by bankruptcy, insolvency and similar laws affecting the rights and remedies of creditors generally, and by general principals of equity and public policy.

(c) Authority. The partner, member or manager of such Stockholder executing this Agreement has the power and authority to enter into this Agreement and such

SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT

partner and Stockholder each have the power and authority to consummate the transactions on behalf of such Stockholder contemplated hereby.

8.4. Representations and Warranties of the Company. The Company hereby represents and warrants to each Stockholder as follows:

(a) Organization and Authority. The Company is a corporation duly organized, validly existing and in good standing under the laws of the jurisdiction in which it is incorporated. The Company has the corporate power and authority to enter into this Agreement and to consummate the transactions contemplated hereby.

(b) Corporate Action. The Company has taken all corporate action necessary for it to enter into this Agreement and to consummate the transactions contemplated hereby.

(c) Absence of Violation. Neither the execution and delivery of this Agreement nor the consummation of the transactions contemplated hereby will constitute a violation of, or default under, or conflict with, or require any consent under any term or provision of the certificate of incorporation or by-laws of the Company or any contract, commitment, indenture, lease or other agreement to which the Company is a party or by which it or any of its assets is bound.

(d) Binding Obligation. This Agreement has been duly and validly executed and delivered by the Company, and assuming the due and valid execution and delivery of this Agreement by all other parties hereto, constitutes a valid and binding obligation of the Company, enforceable in accordance with its terms, except to the extent that such enforceability may be limited by bankruptcy, insolvency and similar laws affecting the rights and remedies of creditors generally, and by general principles of equity and public policy.

Section 9. Additional Shares of Stock; Etc. In the event additional shares of Stock are issued by the Company to a Stockholder at any time during the term of this Agreement, either directly or upon the exercise or exchange of securities of the Company exercisable for or exchangeable into shares of Stock, the Company shall cause, and the Stockholders agree that, such additional shares of Stock, as a condition to such issuance, to become subject to the terms and provisions of this Agreement.

Section 10. Duration of Agreement; Compliance. The rights and obligations of each Stockholder under this Agreement shall terminate as to such Stockholder, to the extent not terminated earlier pursuant to another provision of this Agreement, upon the earlier to occur of (a) the tenth anniversary of the date hereof and (b) a Qualified Public Offering. Provided, however, that, notwithstanding the foregoing, the provisions of Section 6 shall survive and shall terminate in accordance with Section 6.14(b).

Section 11. Severability; Governing Law. If any provision of this Agreement shall be determined to be illegal and unenforceable by any court of law, the remaining provisions shall be

SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT

severable and enforceable in accordance with their terms. This Agreement shall be governed by and construed and enforced in accordance with the laws of the State of Delaware, without regard to principles of conflicts of laws.

Section 12. Successors and Assigns. This Agreement shall bind and inure to the benefit of the parties and their respective successors and assigns, transferees, legal representatives and heirs.

Section 13. Notices. All notices, requests, consents and other communications hereunder to any party shall be deemed to be sufficient if contained in a written instrument delivered in person or by telecopy or sent by nationally-recognized overnight courier or first class registered or certified mail, return receipt requested, postage prepaid, addressed to such party at the address set forth below with respect to the Company or at such other address as may hereafter be designated in writing by such party to the other parties:

if to the Company, to:

BATS Global Markets, Inc.
8050 Marshall Dr., Suite 120
Lenexa, KS 66214
Telecopy: 913-815-7119
Attention: Eric Swanson, General Counsel

with a copy to:

Davis Polk & Wardwell LLP
450 Lexington Avenue
New York, NY 10017
Fax: 212-701-5135
Attention: Deanna Kirkpatrick, Esq.

if to any Stockholder, at such Stockholder's address set forth on the books and records of the Company.

All such notices, requests, consents and other communications shall be deemed to have been delivered (a) in the case of personal delivery or delivery by telecopy, on the date of such delivery, (b) in the case of dispatch by nationally-recognized overnight courier, on the next business day following such dispatch and (c) in the case of mailing, on the third business day after the posting thereof.

Section 14. Modifications and Amendments. This Agreement may not be amended, modified or discharged orally, nor may any waivers or consents be given orally hereunder, and every such amendment, modification, waiver and consent shall be in writing and, except as otherwise provided in this Agreement, shall be signed by the Person against which enforcement thereof is sought. This Agreement may be amended or any waiver of any term or condition

SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT

hereof consented to with the written consent of the Company and holders of at least a majority of the outstanding shares of Registrable Securities; provided, however, that, (i) this Section 14 and Section 4.1(b)(ii) may only be amended with the written consent of the Company and holders of at least a majority of the outstanding shares of Common Stock, (ii) this Section 14 and Sections 2 through and including 7 may only be amended with the written consent of the Company and Investors holding a majority of aggregate number of shares of Stock owned by all the Investors, and (iii) any amendment to any provision of this Agreement that materially adversely affects the rights of any Investor shall not be effective against such Investor unless and until consented to in writing by such Investor. Any amendment, termination or waiver effected in accordance with this Section 14 shall be binding on all parties hereto, regardless of whether such party has consented thereto.

Section 15. Headings. The headings of the sections of this Agreement have been inserted for convenience of reference only and shall not be deemed to be a part of this Agreement.

Section 16. Jurisdiction and Service of Process. Any legal dispute with respect to this Agreement shall be brought in the federal or state courts located in Wilmington, Delaware. By execution and delivery of this Agreement, each of the parties hereto accepts for itself and in respect of its property, generally and unconditionally, the jurisdiction of the aforesaid courts and acknowledges and agrees that venue therein is proper and not inconvenient. Each of the parties hereto irrevocably consents to the service of process of any of the aforementioned courts in any such action or proceeding by the mailing of copies thereof by certified mail, postage prepaid, to the party at its address provided pursuant to determined in accordance with Section 13 hereof.

Section 17. Enforcement. Each of the parties hereto acknowledges and agrees that the rights acquired by each party hereunder are unique and that irreparable damage would occur in the event that any of the provisions of this Agreement to be performed by the other parties were not performed in accordance with their specific terms or were otherwise breached. Accordingly, in addition to any other remedy to which the parties hereto are entitled at law or in equity or pursuant hereto, each party hereto shall be entitled to an injunction or injunctions to prevent breaches of this Agreement by any other party and to enforce specifically the terms and provisions hereof in any federal or state court to which the parties have agreed hereunder to submit to jurisdiction.

Section 18. No Waiver of Rights, Powers and Remedies. No failure or delay by a party hereto in exercising any right, power or remedy under this Agreement, and no course of dealing among the parties hereto, shall operate as a waiver of any such right, power or remedy of the party. No single or partial exercise of any right, power or remedy under this Agreement by a party hereto, nor any abandonment or discontinuance of steps to enforce any such right, power or remedy, shall preclude such party from any other or further exercise thereof or the exercise of any other right, power or remedy hereunder. The election of any remedy by a party hereto shall not constitute a waiver of the right of such party to pursue other available remedies. No notice to or demand on a party not expressly required under this Agreement shall entitle the party

SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT

receiving such notice or demand to any other or further notice or demand in similar or other circumstances or constitute a waiver of the rights of the party giving such notice or demand to any other or further action in any circumstances without such notice or demand.

Section 19. Survival of Representations and Warranties. All representations and warranties made by the parties hereto in this Agreement shall survive (i) the execution and delivery hereof, and (ii) any investigations made by or on behalf of the parties, and shall remain in full force and effect following the execution and delivery of this Agreement. No claim shall be made by a party for any alleged misrepresentation or breach of warranty by any other party unless notice for such claim shall have been given to such other party in accordance with the notice provision hereof prior to the expiration of the survival period specified above with respect to such representation or warranty. All covenants of any party hereto shall survive the execution and delivery hereof for the period of time specified within such covenant, and if no period of time is therein specified, until this Agreement is terminated in accordance herewith.

Section 20. Nouns and Pronouns. Whenever the context may require, any pronouns used herein shall include the corresponding masculine, feminine or neuter forms, and the singular form of names and pronouns shall include the plural and vice versa.

Section 21. Entire Agreement. This Agreement and the other writings referred to herein or delivered pursuant hereto contain the entire agreement among the parties hereto with respect to the subject matter hereof and supersede all prior and contemporaneous agreements and understandings with respect thereto.

Section 22. Counterparts. This Agreement may be executed in any number of counterparts, and each such counterpart hereof shall be deemed to be an original instrument, but all such counterparts together shall constitute but one agreement.

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SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT

As adopted by the Board of Directors of BATS Global Markets, Inc. on November 14, 2012.

As adopted by the Investors and the holders of the shares of Registrable Securities of BATS Global Markets, Inc. on December 21, 2012.

SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT

WRITTEN CONSENT
OF BOARD OF DIRECTORS

Investor Rights Agreement

RESOLVED, that, upon the recommendation of the Nominating and Corporate Governance Committee of the Board, the Second Amended and Restated Investor Rights Agreement, substantially in the form of Exhibit D attached hereto (the “**Investor Rights Agreement**”), is hereby approved and adopted, subject to stockholder approval in accordance with the terms of the Investor Rights Agreement.

General

RESOLVED, that the appropriate officers of the Company are, and each of them hereby is, authorized and directed to take or cause to be taken all such further actions, and to execute and deliver or cause to be delivered all such further instruments and documents in the name and on behalf of the Company and to incur all such fees and expenses, all as in their judgment is deemed necessary or advisable in order to carry into effect each of the foregoing resolutions and that the actions of any officer of the Company authorized by the foregoing resolutions or which would have been authorized by the foregoing resolutions except that such actions were taken prior to the adoption of such resolution be, and they hereby are, ratified, confirmed, approved and adopted as actions of the Company.

SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT

WRITTEN CONSENT OF
INVESTORS AND HOLDERS OF REGISTRABLE SECURITIES

[see attached]

SECOND AMENDED AND RESTATED INVESTOR RIGHTS AGREEMENT

EXHIBIT I

FORM OF

INSTRUMENT OF ADHERENCE

The undersigned, _____, in order to become the owner or holder of _____ shares of common stock, par value \$0.01 per share, of BATS Global Markets, Inc., a Delaware corporation (the "Company"), hereby agrees to become a party to that certain Second Amended and Restated Investor Rights Agreement dated as of December 21, 2012, as amended (the "Investor Rights Agreement"), among the Company and the other parties thereto, and to be bound by all provisions thereof. The undersigned agrees to become a Stockholder (as defined in the Investor Rights Agreement) under the terms of the Investor Rights Agreement. The shares of common stock shall be deemed Stock (as defined in the Investor Rights Agreement) and the undersigned shall be deemed a Stockholder for all purposes thereunder. This Instrument of Adherence shall take effect and shall become a part of said Investor Rights Agreement immediately upon execution by the undersigned hereto and acceptance thereof by the Company.

Executed as a contract under seal as of the date set forth below:

[SIGNATURE BLOCKS FOR BATS GLOBAL MARKETS AND STOCKHOLDER]

EXHIBIT II

FORM OF

INSTRUMENT OF ADHERENCE

(To be entered into in connection with the grant of Restricted Stock)

The undersigned, _____, in order to become the owner or holder of _____ shares of common stock, par value \$0.01 per share, of BATS Global Markets, Inc., a Delaware corporation (the "Company"), hereby agrees to become a party to that certain Second Amended and Restated Investor Rights Agreement dated as of December 21, 2012, as amended (the "Investor Rights Agreement"), among the Company and the other parties thereto, and to be bound by all provisions thereof. The undersigned agrees to become a Stockholder (as defined in the Investor Rights Agreement) under the terms of the Investor Rights Agreement and the shares of common stock shall be deemed Stock (as defined in the Investor Rights Agreement). This Instrument of Adherence shall take effect and shall become a part of said Investor Rights Agreement immediately upon execution by the undersigned hereto and acceptance thereof by the Company and the grant of shares pursuant to the undersigned's Restricted Stock Award Agreement dated as of [] (the "Restricted Stock Agreement").

To the extent that all shares of common stock described herein are forfeited prior to becoming fully vested (as such vesting schedule is described in the Restricted Stock Agreement), this Instrument of Adherence shall be null and void.

Executed as a contract under seal as of the date set forth below:

[SIGNATURE BLOCKS FOR BATS GLOBAL MARKETS AND STOCKHOLDER]



**CERTIFICATE OF INCORPORATION
ON CHANGE OF NAME**

Company No. 1651728

The Registrar of Companies for England and Wales hereby certifies that

INSTINET CHI-X LIMITED

having by special resolution changed its name, is now incorporated
under the name of

CHI-X EUROPE LIMITED

Given at Companies House, London, the 20th July 2007



THE OFFICIAL SEAL OF THE
REGISTRAR OF COMPANIES



Companies House
— for the record —

THE COMPANIES ACTS 1985 TO 2006

PRIVATE COMPANY LIMITED BY SHARES

ARTICLES OF ASSOCIATION

- of -

CHI-X EUROPE LIMITED



Macfarlanes LLP
20 Cursitor Street
London EC4A 1LT

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ARTICLES OF ASSOCIATION

- of -

CHI-X EUROPE LIMITED

(adopted by written resolution passed on

2012)

1 The Company's articles of association

1.1 The Company's articles of association (the "articles") comprise:

1.1.1 the model articles of association for private companies contained in Schedule 1 to The Companies (Model Articles) Regulations 2008 ("**Model Articles**") as in force at the date of adoption of these Articles, subject as expressly excluded or modified by (or to the extent inconsistent with) the following articles; and

1.1.2 the following articles ("**these Articles**");

to the exclusion of all previous articles, including any regulations formerly known as Table A and any provisions incorporated from the Company's memorandum of association.

1.2 In these Articles, reference to a numbered Model Article is to the article with that number in the Model Articles and reference to a numbered Article is to the article with that number in these Articles.

2 Definitions and interpretation

2.1 In these Articles, terms defined in Model Article 1 have the same meanings when used in these Articles (except where the context otherwise requires) and the following words and expressions have the following meanings:

Act: the Companies Act 2006;

Conflict Situation: a situation in which a director has, or can have, a direct or indirect interest that conflicts, or may possibly conflict, with the interests of the Company, including in relation to the exploitation of any property, information or opportunity and regardless of whether the Company could take advantage of the property, information or opportunity itself, but excluding a situation which could not reasonably be regarded as likely to give rise to a conflict of interest;

Controlling Shareholder: the holder or holders, for the time being of more than one half in nominal value of the issued ordinary share capital of the Company (including, for the avoidance of doubt, any holder of the whole of the issued ordinary share capital of the Company); and

member: a shareholder.

2.2 Except as expressly provided otherwise in these Articles, or where expressly defined in Model Article 1, words or expressions contained in the Model Articles and in these Articles bear the same meaning as in the Act. The last paragraph of Model Article 1 (beginning "Unless the context otherwise requires") shall not apply.

2.3 In the Model Articles and in these Articles, except in Article 1.1 or as expressly provided otherwise in these Articles, any reference to any statute, statutory provision or subordinate legislation ("**Legislation**") includes a reference to that Legislation as from time to time amended or re-enacted (whether with or without modification).

2.4 For the purposes of the articles, "**clear days**" in relation to a period of notice excludes the day on which the notice is treated as given and the day of the meeting or other matter for which the notice is given and Model Article 41(5) shall apply as if the following words were deleted: "(that is, excluding the date of the adjourned meeting and the day on which the notice is given)-".

3 Company name

The name of the Company may be changed by:

3.1 special resolution of the members; or

3.2 otherwise in accordance with the Act.

4 Unanimous decisions of directors

4.1 Model Article 8(2) shall apply as if the words "copies of which have been signed by each eligible director" were deleted and replaced with the words "of which each eligible director has signed one or more copies".

4.2 References in Model Article 8 to eligible directors mean directors who would have been entitled to vote on the matter had it been proposed as a resolution at a directors' meeting excluding, in respect of the authorisation of a Conflict Situation, the director subject to that Conflict Situation. Model Article 8(3) shall not apply.

5 Quorum for directors' meetings

5.1 The quorum for directors' meetings may be fixed from time to time by a decision of the directors but, except as set out in Articles 5.2 and 5.3, it must never be less than two, and unless otherwise fixed it is two. Model Article 11(2) shall not apply.

5.2 At any time when there is only one director in office, the quorum for directors' meetings will be that one director (without prejudice to the powers of the sole director to take decisions without a meeting, as provided in Model Article 7(2)).

6 Chairman

The directors participating at a meeting of directors may appoint one of their number to act as Chairman. The Chairman shall not have a casting vote. Model Articles 12 and 13 shall not apply.

7 Conflicts of interest - Directors' authorisation, voting and counting in the quorum

7.1 If a Conflict Situation arises, the directors may authorise it for the purposes of section 175(4)(b) of the Act by a resolution of the directors made in accordance with that section and these Articles. At the time of the authorisation, or at any time afterwards, the directors may impose any limitations or conditions or grant the authority subject to such terms which (in each case) they consider appropriate and reasonable in all the circumstances. Any authorisation may be revoked or varied at any time at the discretion of the directors.

7.2 For the purposes of any directors' meeting (or part of a meeting) at which it is proposed to authorise a Conflict Situation in respect of one or more directors, if there is only one director in office other than the director or directors subject to the Conflict Situation, the quorum for such meeting (or part of a meeting) shall be that one director.

7.3 Except as otherwise specified in these Articles or the Companies Acts, and subject to any limitations, conditions or terms attaching to any authorisation given by the directors for the purposes of section 175(4)(b) of the Act, a director may vote on, and be counted in the quorum in relation to, any resolution relating to a matter in which:

7.3.1 he is in a Conflict Situation; and

7.3.2 he has, or can have a conflict of interest arising in relation to an existing or a proposed transaction or arrangement with the Company.

7.4 Model Article 14 shall not apply.

8 **Appointing and removing directors**

The Controlling Shareholder shall have the right at any time and from time to time to appoint one or more persons to be a director or directors of the Company. Any such appointment shall be effected by notice in writing to the Company, or to a meeting of its directors, including a meeting which until such appointment would not be quorate, by the Controlling Shareholder and the Controlling Shareholder may in like manner at any time and from time to time remove from office any director (whether or not appointed by it pursuant to this Article).

9 **Termination of director's appointment**

In addition to the circumstances set out in Model Article 18, a person also ceases to be a director if he is removed from office pursuant to Article 8.

10 **Directors' remuneration and other benefits**

10.1 A director may undertake any services for the Company that the directors decide.

10.2 A director is entitled to such remuneration as the directors decide:

10.2.1 for his services to the Company as director; and

10.2.2 for any other services which he undertakes for the Company.

10.3 Subject to the articles, a director's remuneration may:

10.3.1 take any form; and

10.3.2 include any arrangements in connection with the payment of a pension, allowance or gratuity, or any death, sickness or disability benefits, to or in respect of that director.

10.4 Unless the directors decide otherwise, no director is accountable to the Company for any remuneration or other benefit which he receives as a director or other officer or employee of, or for services provided to, any of the Company's subsidiary undertakings or of any parent undertaking of the Company from time to time or of any other body corporate in which the Company or any such parent undertaking is interested, including subsidiary undertakings of the parent undertaking of the Company.

10.5 Model Article 19 shall not apply.

11 Share capital

- 11.1 The share capital of the Company at the date of adoption of these Articles comprises ordinary shares of £1 each
- 11.2 No shares in the capital of the Company shall be issued with rights as regards voting, or the payment of dividends, or the return of capital which rank in priority to the ordinary shares in the Company, or which carry any right of redemption at the option of the holder. Model Article 22 shall not apply.

12 Payment for shares

- 12.1 No share shall be issued other than for a subscription price decided by the directors (subject to the Act).
- 12.2 If so decided by the directors, the subscription price need not be paid in full at the time of issue of a share, but any amount not paid at the time of issue shall be paid:
- 12.2.1 subject as the directors may decide prior to issue, on demand by the directors;
or
- 12.2.2 on demand by a liquidator of the Company.
- 12.3 The Company may, if so decided by the directors, make arrangements on the issue of shares for a difference between shareholders in the amounts and times of payment of calls on their shares.
- 12.4 Model Article 21 shall not apply.

13 Joint holders of shares

- 13.1 Where two or more persons are registered as the holders of any share, they shall be deemed to hold the share as joint tenants with benefit of survivorship except that:
- 13.1.1 the maximum number of persons who may be registered as joint holders of any share is four; and
- 13.1.2 the joint holders of any share shall be liable, severally as well as jointly, in respect of all payments which are to be made in respect of such share.
- 13.2 Any one of joint holders may give valid receipts or waivers in respect of any dividend, bonus, return of capital or other money payable in respect of a share on behalf of all the joint holders and Model Article 35 shall apply subject to this Article.
- 13.3 Only the person whose name stands first in the register as one of the joint holders of any share shall be entitled to delivery of the certificate relating to such share (if that share is held in certificated form), or to receive documents and information from the Company in respect of that share. Any document or information given or made available to such person shall be deemed to be given or made available to all the joint holders.
- 13.4 Any one of the joint holders of any share for the time being conferring a right to vote may vote in respect of the share, or may appoint a proxy or representative to vote in respect of the share, as if he were the sole holder, provided that:
- 13.4.1 if, at a meeting, more than one of the joint holders, or their proxy or representative, seeks to vote in respect of the share, only the vote cast by the holder (or the proxy or representative of the holder) whose name stands first among them in the register in respect of that share shall be counted; and

13.4.2 on a written resolution, agreement may be signified by any of the joint holders and, once given, such agreement shall have effect notwithstanding any objection by any other joint holder.

13.5 Anything to be agreed, specified or done by a holder of a share may, in the case of a share held by more than one holder, be validly agreed, specified or done by any one of the joint holders of such share, subject as expressly provided in the articles.

14 Issue of new shares

14.1 The Company has the power to allot and issue shares in the capital of the Company and to grant rights to subscribe for, or to convert any security into, shares in the capital of the Company pursuant to those rights.

14.2 At any time when there is a single Controlling Shareholder, the directors may only exercise the power of the Company to allot shares or to grant rights to subscribe for, or to convert any security into, shares in favour of that Controlling Shareholder or some other person expressly approved by the Controlling Shareholder in writing. The powers of the directors pursuant to section 550 of the Act shall be limited accordingly.

14.3 The provisions of sections 561 and 562 of the Act shall not apply to the Company.

15 Transfer of shares

15.1 The directors shall register any transfer of shares made with the express written consent of the Controlling Shareholder.

15.2 Subject to Article 15.1, the directors may, in their absolute discretion, refuse to register the transfer of any share, and if they do so, the instrument of transfer must be returned to the transferee with the notice of refusal unless they suspect that the proposed transfer may be fraudulent. Model Article 26(5) shall not apply.

16 Procedure for declaring dividends

16.1 Except as otherwise provided by the rights attached to any shares from time to time, all dividends shall be paid to the holders of shares in proportion to the numbers of shares on which the dividend is paid held by them respectively.

16.2 Model Article 30(4) shall apply as if the words "the terms on which shares are issued" were deleted and replaced with the words "the rights attached to shares".

17 No interest on distributions

Model Article 32(a) shall apply as if the words "the terms on which the share was issued" were deleted and replaced with the words "the rights attached to the share".

18 Attendance and quorum at general meetings

18.1 Model Article 37(4) shall apply with the word "persons" substituted for the word "members".

18.2 Section 318 of the Act shall apply to determine the quorum required at a general meeting of the Company.

18.3 For the avoidance of doubt, if a quorum ceases to be present at a general meeting, no further business shall be transacted whilst the quorum is not present, but without prejudice to business transacted whilst the quorum was present or once the quorum returns.

19 **Voting rights**

19.1 On any resolution, whether at a meeting, on a poll or by written resolution, each member shall be entitled to one vote for every share held by him (subject as provided in the articles in respect of joint holders).

20 **Communications**

20.1 Subject as expressly provided in the articles, the company communications provisions (as defined in the Act) shall apply to any document or information authorised or required to be sent or supplied by the Company to any member or director or other person, or by any member or director or other person to the Company or by any member or director or other person to any other member or director or other person in each case for the purposes of the articles as they do to documents or information authorised or required to be sent or supplied by or to a company pursuant to the Companies Acts, subject as follows.

20.1.1 the provisions of section 1168 of the Act (Hard copy and electronic form and related expressions) shall apply as if the words "and the articles" were inserted after the words "the Companies Acts" in sections 1168(1) and 1168(7); and

20.1.2 section 1147 of the Act (Deemed delivery of documents and information) shall apply as if:

20.1.2.1 in section 1147(2) the words "or by airmail (whether in hard copy or electronic form) to an address outside the United Kingdom" were inserted after the words "in the United Kingdom" and the words "48 hours after its was posted" were replaced with the words "on the second working day after the date of posting where sent from the United Kingdom to an address in the United Kingdom by first class pre-paid inland post and on the fourth working day after the date of posting where sent by airmail";

20.1.2.2 in section 1147(3) the words "48 hours after it was sent" were deleted and replaced with the words "when sent, notwithstanding that the Company may be aware of the failure in delivery of such document or information."; and

20.1.2.3 section 1147(5) were replaced with the following:
"Where the document or information is sent or supplied by hand (whether in hard copy or electronic form) and the Company is able to show that it was properly addressed and sent at the cost of the Company, it is deemed to have been received by the intended recipient when delivered to the relevant address."; and

20.1.3 proof that a document or information sent by electronic means was sent in accordance with guidance issued by the Institute of Chartered Secretaries and Administrators shall be conclusive evidence that the document or information was properly addressed as required by section 1147(3) of the Act and that the document or information was sent or supplied.

20.2 Notice of a meeting of directors may be given to a director orally, or in any manner in which he has indicated he is willing to receive such notice.

20.3 Model Article 48 shall not apply.

21 **Company seals**

Model Article 49(4)(b) shall not apply.

22 **Indemnities, insurance and funding of defence proceedings**

22.1 This Article 23 shall have effect, and any indemnity provided by or pursuant to it shall apply, only to the extent permitted by, and subject to the restrictions of, the Act. It does not allow for or provide (to any extent) an indemnity which is more extensive than is permitted by the Act and any such indemnity is limited accordingly. This Article 23 is also without prejudice to any indemnity to which any person may otherwise be entitled.

22.2 The Company may indemnify every person who is a director or other officer (other than an auditor) of the Company out of the assets of the Company from and against any loss, liability or expense incurred by him or them in relation to the Company.

22.3 The Company may indemnify any person who is a director of a company that is a trustee of an occupational pension scheme (as defined in section 235(6) of the Act) out of the assets of the Company from and against any loss, liability or expense incurred by him or them in connection with such company's activities as trustee of the scheme.

22.4 The directors may purchase and maintain insurance at the expense of the Company for the benefit of any person who is or was at any time a director or other officer of the Company or of any associated company (as defined in section 256 of the Act) of the Company or a trustee of any pension fund or employee benefits trust for the benefit of any employee of the Company or of any associated company.

22.5 The directors may, subject to the provisions of the Act, exercise the powers conferred on them by sections 205 and 206 of the Act to:

22.5.1 provide funds to meet expenditure incurred or to be incurred in defending any proceedings, investigation or action referred to in those sections or in connection with an application for relief referred to in section 205; or

22.5.2 take any action to enable such expenditure not to be incurred.

22.6 Model Articles 52 and 53 shall not apply.

23 **Limited liability**

The liability of the members of the Company is limited to the amount for the time being (if any) unpaid of the shares held by them.

The Companies Acts 1985 and 1989

PRIVATE COMPANY LIMITED BY SHARES

Memorandum of Association

(as amended by resolution in writing passed on 17 December 2007)

- of -

CHI-X EUROPE LIMITED

- 1 The name of the company is "CHI-X EUROPE LIMITED"*.
- 2 The registered office of the Company will be in England and Wales.
- 3** The objects for which the Company is established are:
 - 3.1 (a) To carry on the business of a Broker Dealer as a Limited Corporate Member of The Stock Exchange and as ancillary thereto to do all or any of the things and matters hereinafter specified.
 - (b) To supply services, information and assistance to providers or users of information and order-processing networks useful in or in connection with the Company's business.
 - (c) To carry on any other trade or business which may be capable of being conveniently carried on in connection with the objects specified in sub-clause (a) hereof or calculated directly or indirectly to enhance the value of or render profitable any of the Company's property or rights.
 - (d) To act as the holding and co-ordinating company of the group of companies of which the Company may from time to time be the holding company.
- 3.2 To form, promote, subsidise and assist companies, syndicates or other bodies of all kinds and to issue, place, underwrite or guarantee the subscription of, subscribe for, acquire or sell any shares, stocks, bonds, options, debentures, debenture stock or other capital or securities or obligations of any such companies, syndicates or other bodies, or to pay commission to and remunerate any person or company for services rendered in issuing, placing, underwriting, guaranteeing, subscribing, acquiring or selling as aforesaid.
- 3.3 To enter into, carry on and participate in financial transactions and operations of all kinds and to take any steps which may be considered expedient for carrying into effect such transactions and operations.
- 3.4 To invest or deal with any of the monies of the Company not immediately required for its operations in such manner with or without security and whether at home or abroad as the Company may think fit.

* Incorporated as de Zoete & Bevan (Financial Futures) Limited on 15 July 1982. Name changed to Thamesway Investment Services Limited on 8 September 1987, to Instinet Investment Services Limited on 1 January 1985, to Instinet Chi-X Limited on 21 March 2006 and to Chi-X Europe Limited on 20 July 2007.

** Clause 3 adopted by written resolution passed on 15 May 2006.

- 3.5 To enter into partnership or into any arrangement for sharing profits, union of interests, co-operation, reciprocal concessions or otherwise with any person, firm, company or other body of any kind for the purpose of carrying on business from which the Company would or might derive any benefit whether direct or indirect.
- 3.6 To purchase or otherwise acquire and undertake all or any part of the business, property, liabilities and transactions of any person, firm, company or other body of any kind, and to establish or promote or join in the establishment or promotion of any other company whose objects shall include the objects of the Company or the promotion of which shall be calculated to advance its interests and to acquire and hold any shares, securities or obligations of any such company.
- 3.7 To purchase or otherwise acquire any patents, *brevets d'invention*, licences, concessions, copyrights, trade marks, designs, rights of agency or distributorship and the like, conferring any exclusive or non-exclusive or limited right, or any secret or other information as to any state of affairs, individual, firm, company or other body, or invention, process development or the like which may seem to the Company capable of being used for any of the purposes of the Company, or the acquisition of which may seem calculated directly or indirectly to benefit the Company, to use, exercise, develop, grant licences in respect of or otherwise turn to account any of the same and with a view to the working and development of the same to carry on any business whatsoever which the Company may think calculated directly or indirectly to achieve these objects and to apply for, registered or by other means protect, prolong and renew whether in the United Kingdom or elsewhere any of the same.
- 3.8 To purchase, take on lease or in exchange, hire or otherwise acquire and hold for any estate or interest and manage any lands, buildings, servitudes, easements, rights, privileges, concessions, machinery, plant, stock-in-trade and any heritable or moveable real or personal property of any kind.
- 3.9 To develop, work, improve, manage, lease, mortgage, charge, pledge, turn to account or otherwise deal with all or any part of the property of the Company, to surrender or accept surrender of any lease or tenancy or rights, and to sell the property, business or undertaking of the Company, or any part thereof, for such consideration as the Company may think fit, and in particular for cash or shares, debentures or securities of any other company.
- 3.10 To construct, erect, maintain, alter, replace or remove any buildings, works, offices, erections, plant, machinery, tools, or equipment as may seem desirable for any of the businesses or in the interests of the Company, and to manufacture, buy, sell and generally deal in any plant, tools, machinery, goods or things of any description which may be conveniently dealt with in connection with any of the Company's objects.
- 3.11 To manage and conduct the affairs of any companies, firms and persons carrying on business of any kind whatsoever, and in any part of the world.
- 3.12 To borrow or raise money in such manner as the Company shall think fit and in particular by the issue (whether at par or at a premium or discount and for such consideration as the Company may think fit) of bonds, debentures or debenture stock (payable to bearer or otherwise), mortgages or charges, perpetual or otherwise, and, if the Company thinks fit, charged upon all or any of the Company's property (both present and future) and undertaking including its uncalled capital and further, if so thought fit, convertible into any stock or shares of the Company or any other company, and collaterally or further to secure any obligations of the Company by a trust deed or other assurance.
- 3.13 To guarantee or otherwise support or secure, either with or without the Company receiving any consideration or advantage and whether by personal covenant or by mortgaging or charging all or part of the undertaking, property, assets and rights present and future and uncalled capital of the Company or by both such methods or by any other means whatsoever, the liabilities and obligations of and the payment of any monies whatsoever by any person, firm or company whatsoever including but not limited to any company which is for the time being the holding company or a subsidiary (both as

defined by section 736 of the Companies Act 1985) of the Company or of the Company's holding company or is controlled by the same person or persons as control the Company or is otherwise associated with the Company in its business.

- 3.14 To grant indemnities of every description and to undertake obligations of every description.
- 3.15 To make, draw, accept, indorse and negotiate bills of exchange or other negotiable instruments and to receive money on deposit or loan.
- 3.16 To pay all or any expenses incurred in connection with the formation and promotion and incorporation of the Company and to pay commission to and remunerate any person or company for services rendered in underwriting or placing, or assisting to underwrite or place, any of the shares in the Company's capital or any debentures or other security of the Company, or in or about the formation or promotion of the Company or the conduct of its business.
- 3.17 To pay for any property or rights acquired by the Company or to remunerate any person, firm or company rendering services to the Company either in cash or in kind or fully paid-up shares with or without preferred or deferred rights in respect of dividend or repayment of capital or otherwise, or by any securities which the Company has power to issue, or partly in one mode and partly in another and generally on such terms as may be determined but so that any shares shall be issued only if they are fully paid or credited as fully paid on or before allotment.
- 3.18 To accept payment for any property or rights sold or otherwise disposed of or dealt with by the Company, either in cash, by instalments or otherwise, or in fully paid-up shares of any company or corporation, with or without deferred or preferred rights in respect of dividend or repayment of capital or otherwise, or in debentures or mortgage debentures or debenture stock, mortgages or other securities or any company or corporation, or partly in one mode and partly in another, and generally on such terms as the Company may determine.
- 3.19 To make loans or give credit on such terms as may seem expedient with or without security to such persons, firms, companies, syndicates or other bodies of all kinds and in such cases (and in the case of loans either of cash or of other assets) as the Company may think fit.
- 3.20 To distribute among the members in specie any property of the Company or any proceeds of sale, disposal or realisation of any property of the Company but so that no distribution amounting to a reduction of capital be made except with the sanction (if any) for the time being required by law.
- 3.21 To amalgamate with any other company whose objects are or include objects similar to those of the Company and on any terms whatsoever.
- 3.22 To procure the Company to be registered or recognised in any country or place abroad.
- 3.23 To obtain any order or Act of Parliament or of any authority or agency existing from time to time by virtue of statutory powers in this country or in any other State for enabling the Company to carry any of its objects into effect, or for effecting any modifications of the Company's constitution, or for any other purpose which may seem expedient, and to oppose any proceeding or application which may seem calculated, directly or indirectly, to prejudice the Company's interests.
- 3.24 To enter into any arrangements with any government or with any authority or agency existing from time to time by virtue of statutory powers, as may seem conducive to the attainment of the Company's objects or any of them, and to obtain from any such government or authority any charters, decrees, rights, privileges or concessions which the Company may think desirable and to carry out, exercise and comply with any such charters, orders, rights, privileges and concessions.
- 3.25 To appoint any person or persons, firm or firms, company or companies to be the attorney or agent of the Company and to act as agents, managers, secretaries, contractors or in similar capacity.

- 3.26 To establish and maintain or procure the establishment and maintenance of contributory or non-contributory pension or superannuation funds for the benefit of the persons referred to below, to grant emoluments, pensions, allowances, donations, gratuities and bonuses to such persons and to make payments for or towards insurance on the life or lives of such persons; to establish, subsidise, subscribe to or otherwise support any institution, association, society, club, other establishment or fund, the support of which may, in the opinion of the Company, be calculated directly or indirectly to benefit the Company or any such persons, or which may be connected with any place where the Company carries on business; to institute and maintain any profit-sharing scheme calculated to advance the interests of the Company or such persons; the said persons are any persons who are or were at any time in the employment or service of the Company or its predecessor in business or of any company which is or has been the holding company or a subsidiary (both as defined by section 736 Companies Act 1985) of the Company or of the Company's holding company or who are or were at any time directors or officers of the Company or of such other company as aforesaid, and the spouses, widows, widowers, families or dependents of any such persons.
- 3.27 To subscribe or guarantee money for or organise or assist any charitable, benevolent, public, general, political or useful object or for any exhibition or for any persons which or who may be considered likely directly or indirectly to further the objects of the Company or the interests of its shareholders.
- 3.28 To take, make, execute, enter into, commence, carry on, prosecute or defend all steps, contracts, agreements, negotiations, legal and other proceedings, compromises, arrangements and schemes, and to do all other acts, matters and things which shall at any time appear conducive to or expedient for the advantage or protection of the Company.
- 3.29 To do all or any of the above things in any part of the world and either as principals, agents, contractors, trustees, or otherwise, and either alone or in conjunction with others.
- 3.30 To do all such acts or things as are incidental or conducive to the attainment of the above objects or any of them.

It is hereby declared that:

- (a) the word "company" in this clause, except where used in reference to the Company, shall be deemed to include any partnership or other body of persons, whether incorporated or not incorporated, and whether domiciled in the United Kingdom or elsewhere, and whether now existing or hereafter to be formed; and
- (b) the objects set forth in each sub-clause of this Clause shall not be restrictively construed but the widest interpretation shall be given thereto and they shall not, except where the context expressly so requires, be in any way limited or restricted by application of the *ejusdem generis* rule or by reference to or inference from any other object or objects set forth in such sub-clause or from the terms of any other sub-clause or by the name of the Company; none of such sub-clauses or the object or objects therein specified or the powers thereby conferred shall be deemed subsidiary or ancillary to the objects or powers mentioned in any other sub-clause, but the Company shall have full power to exercise all or any of the objects conferred by and provided in each of the said sub-clauses as if each sub-clause contained the objects of a separate company.
- 4 The liability of the members is limited.
- 5 The share capital of the Company is £43,697,442 divided into 11,697,442 Class A Shares, 30,000,000 Class B Shares and 2,000,000 Class C Shares of £1 each. ***

*** Authorised share capital increased by written resolution passed on 17 December 2007.

We, the several persons whose name and addresses are subscribed, are desirous of being formed into a Company in pursuance of this Memorandum of Association and we respectively agree to take the number of shares in the capital of the Company set opposite our respective names.

| NAMES, ADDRESSES AND DESCRIPTIONS OF SUBSCRIBERS | No. of Shares taken by each Subscriber |
|---|---|
| P. F. J. RENDELL 25, FINSBURY CIRCUS LONDON, EC2M 7EE. STOCKBROKER | ONE |
| D.C.CULHANE 25, FINSBURY CIRCUS LONDON, EC2M 7EE. STOCKBROKER | ONE |

DATED this 25th day of May 1982

WITNESS to the above Signatures:-

George Herbert Davis,
25, Finsbury Circus,
London, EC2M 7EE.

Stockbroker

Delaware

PAGE 1

The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF INCORPORATION OF "BATS Y-EXCHANGE, INC.", FILED IN THIS OFFICE ON THE THIRTIETH DAY OF JULY, A.D. 2009, AT 5:51 O'CLOCK P.M.

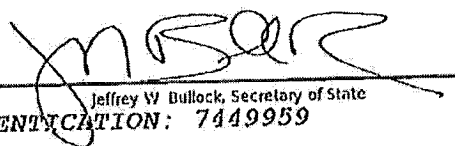
A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.



4715533 8100

090742517

You may verify this certificate online
at corp.delaware.gov/authvox.shtml


Jeffrey W. Bullock, Secretary of State
AUTHENTICATION: 7449959

DATE: 07-31-09

State of Delaware
Secretary of State
Division of Corporations
Delivered 06:06 PM 07/30/2009
FILED 05:51 PM 07/30/2009
SRV 090742517 - 4715533 FILE

CERTIFICATE OF INCORPORATION
OF
BATS Y-EXCHANGE, INC.

First. The name of the corporation is BATS Y-Exchange, Inc.

Second. The initial registered office of the corporation in the State of Delaware is 1209 Orange Street, Wilmington, County of New Castle, Delaware 19801, and the name of its initial registered agent at that address is The Corporation Trust Company.

Third. The nature of the business or purposes to be conducted or promoted is to engage in any lawful act or activity for which corporations may be organized under the General Corporation Law of Delaware.

Fourth. The total number of shares of stock which the corporation shall have authority to issue is One Thousand (1,000), \$0.01 par value per share. All such stock shall be classified as Common Stock.

Fifth. The name and mailing address of the incorporator is:

| <u>Name</u> | <u>Mailing Address</u> |
|---------------|--|
| Joe Ratterman | 8050 Marshall Drive Suite 120 Lenexa, Kansas 66214 |

I, THE UNDERSIGNED, being the incorporator hereinbefore named, for the purpose of forming a corporation pursuant to the General Corporation Law of the State of Delaware, do make this Certificate, hereby declaring and certifying that this is my act and deed and the facts herein stated are true, and accordingly have hereunto set my hand this 30th day of July, 2009.

INCORPORATOR:

/s/ Joe Ratterman
Joe Ratterman

**AMENDED AND RESTATED
BY-LAWS OF BATS Y-EXCHANGE, INC.
(a Delaware corporation)**

ARTICLE I

Definitions

When used in these By-Laws, unless the context otherwise requires, the terms set forth below shall have the following meanings:

- (a) “Act” means the Securities Exchange Act of 1934, as amended.
- (b) An “affiliate” of, or person “affiliated” with a specific person, is a person that directly, or indirectly through one or more intermediaries, controls or is controlled by, or is under common control with, the person specified.
- (c) “Board” or “Board of Directors” means the Board of Directors of the Company.
- (d) “broker” shall have the same meaning as in Section 3(a)(4) of the Act.
- (e) “Commission” means the Securities and Exchange Commission.
- (f) “Company” means BATS Y-Exchange, Inc., a Delaware corporation.
- (g) “day” means calendar day.
- (h) “dealer” shall have the same meaning as in Section 3(a)(5) of the Act.
- (i) “Director” means the persons elected or appointed to the Board of Directors from time to time in accordance with the Certificate of Incorporation and these By-Laws.
- (j) “Exchange” means the national securities exchange operated by the Company.
- (k) “Exchange Member” means any registered broker or dealer that has been admitted to membership in the national securities exchange operated by the Company. An Exchange Member is not a stockholder of the Company by reason of being an Exchange Member. An Exchange Member will have the status of a “member” of the Exchange as that term is defined in Section 3(a)(3) of the Act.
- (l) “Executive Representative” means the person identified to the Company by an Exchange Member as the individual authorized to represent, vote, and act on behalf of the Exchange Member. An Exchange Member may change its Executive Representative or appoint a substitute for its Executive Representative upon giving notice thereof to the Secretary of the Company via electronic process or such other process as

the Company may prescribe. An Executive Representative of an Exchange Member or a substitute shall be a member of senior management of the Exchange Member.

(m) "Independent Director" means a Director who has no material relationship with the Company or any affiliate of the Company, or any Exchange Member or any affiliate of any such Exchange Member; *provided*, however, that an individual who otherwise qualifies as an Independent Director shall not be disqualified from serving in such capacity solely because such Director is a Director of the Company or its stockholder.

(n) "Independent member" means a member of any committee who has no material relationship with the Company or any affiliate of the Company, or any Exchange Member or any affiliate of any such Exchange Member, other than as a committee member. The term Independent member may but is not required to refer to an Independent Director who serves on a committee.

(o) "Industry Director" means a Director who (i) is or has served in the prior three years as an officer, director, or employee of a broker or dealer, excluding an outside director or a director not engaged in the day-to-day management of a broker or dealer; (ii) is an officer, director (excluding an outside director), or employee of an entity that owns more than ten percent of the equity of a broker or dealer, and the broker or dealer accounts for more than five percent of the gross revenues received by the consolidated entity; (iii) owns more than five percent of the equity securities of any broker or dealer, whose investments in brokers or dealers exceed ten percent of his or her net worth, or whose ownership interest otherwise permits him or her to be engaged in the day-to-day management of a broker or dealer; (iv) provides professional services to brokers or dealers, and such services constitute 20 percent or more of the professional revenues received by the Director or 20 percent or more of the gross revenues received by the Director's firm or partnership; (v) provides professional services to a director, officer, or employee of a broker, dealer, or corporation that owns 50 percent or more of the voting stock of a broker or dealer, and such services relate to the director's, officer's, or employee's professional capacity and constitute 20 percent or more of the professional revenues received by the Director or member or 20 percent or more of the gross revenues received by the Director's or member's firm or partnership; or (vi) has a consulting or employment relationship with or provides professional services to the Company or any affiliate thereof or has had any such relationship or provided any such services at any time within the prior three years.

(p) "Industry member" means a member of any committee or hearing panel who (i) is or has served in the prior three years as an officer, director, or employee of a broker or dealer, excluding an outside director or a director not engaged in the day-to-day management of a broker or dealer; (ii) is an officer, director (excluding an outside director), or employee of an entity that owns more than ten percent of the equity of a broker or dealer, and the broker or dealer accounts for more than five percent of the gross revenues received by the consolidated entity; (iii) owns more than five percent of the equity securities of any broker or dealer, whose investments in brokers or dealers exceed ten percent of his or her net worth, or whose ownership interest otherwise permits him or

her to be engaged in the day-to-day management of a broker or dealer; (iv) provides professional services to brokers or dealers, and such services constitute 20 percent or more of the professional revenues received by the Director or 20 percent or more of the gross revenues received by the Director's firm or partnership; (v) provides professional services to a director, officer, or employee of a broker, dealer, or corporation that owns 50 percent or more of the voting stock of a broker or dealer, and such services relate to the director's, officer's, or employee's professional capacity and constitute 20 percent or more of the professional revenues received by the Director or member or 20 percent or more of the gross revenues received by the Director's or member's firm or partnership; or (vi) has a consulting or employment relationship with or provides professional services to the Company or any affiliate thereof or has had any such relationship or provided any such services at any time within the prior three years.

(q) "List of Candidates" means the list of nominees for Member Representative Director positions as nominated by the Member Nominating Committee and amended by petitions filed by Exchange Members. The List of Candidates is submitted to Exchange Members for the final selection of nominees to be elected by stockholders to serve as Member Representative Directors.

(r) "Member Nominating Committee" means the Member Nominating Committee elected pursuant to these By-Laws.

(s) "Member Representative Director" means a Director who has been appointed as such to the initial Board of Directors pursuant to Article III, Section 4(g) of these By-Laws, or elected by stockholders after having been nominated by the Member Nominating Committee or by an Exchange Member pursuant to these By-Laws and confirmed as the nominee of Exchange Members after majority vote of Exchange Members, if applicable. A Member Representative Director must be an officer, director, employee, or agent of an Exchange Member that is not a Stockholder Exchange Member.

(t) "Member Representative member" means a member of any committee or hearing panel who is an officer, director, employee or agent of an Exchange Member that is not a Stockholder Exchange Member.

(u) "Nominating Committee" means the Nominating Committee elected pursuant to these By-Laws.

(v) "Non-Industry Director" means a Director who is (i) an Independent Director; or (ii) any other individual who would not be an Industry Director.

(w) "Non-Industry member" means a member of any committee who is (i) an Independent member; or (ii) any other individual who would not be an Industry member.

(x) "person" shall mean a natural person, partnership, corporation, limited liability company, entity, government, or political subdivision, agency or instrumentality of a government.

(y) “person associated with an Exchange Member” or “associated person of an Exchange Member” means any partner, officer, or director of an Exchange member (or person occupying a similar status or performing similar functions), any person directly or indirectly controlling, controlled by, or under common control with such Exchange member, or any employee of such Exchange member, except that any person associated with an Exchange member whose functions are solely clerical or ministerial shall not be included in the meaning of such term for purposes of these By-Laws.

(z) “Record Date” means a date at least thirty-five (35) days before the date announced as the date for the annual meeting of stockholders and set as the last date on which Exchange Members may petition to add to the List of Candidates and used to determine whether Exchange Members are entitled to vote on the final List of Candidates.

(aa) “registered broker or dealer” means any registered broker or dealer, as defined in Section 3(a)(48) of the Act, that is registered with the Commission under the Act.

(bb) “Rules” or “Exchange Rules” shall have the same meaning as set forth in Section 3(a)(27) of the Act.

(cc) “stockholder” means any person who maintains a direct ownership interest in the Company. The sole stockholder of the Company shall be BATS Global Markets, Inc.

(dd) “Stockholder Exchange Member” means an Exchange Member that also maintains, directly or indirectly, an ownership interest in the Company.

(ee) “statutory disqualification” shall have the same meaning as in Section 3(a)(39) of the Act.

ARTICLE II

Office and Agent

Section 1. Principal Business Office

The principal business office of the Company shall be located at 8050 Marshall Dr., Suite 120, Lenexa, KS 66214, or such other location as may hereafter be determined by the Board of Directors. The Company may have such other office or offices as the Board of Directors may from time to time designate or as the purposes of the Company may require from time to time.

Section 2. Registered Office

The address of the registered office of the Company in the State of Delaware is c/o The Corporation Trust Company, Corporation Trust Center, 1209 Orange Street, Wilmington, County of New Castle, Delaware 19801.

Section 3. Registered Agent

The name and address of the registered agent of the Company for service of process on the Company in the State of Delaware is The Corporation Trust Company, Corporation Trust Center, 1209 Orange Street, Wilmington, County of New Castle, Delaware 19801.

ARTICLE III

Board of Directors

Section 1. Powers

(a) The business and affairs of the Company shall be managed by its Board, except to the extent that the authority, powers and duties of such management shall be delegated to a committee or committees of the Board pursuant to these By-Laws or the Rules. The Board of Directors shall have the power to do any and all acts necessary, convenient or incidental to or for the furtherance of the purposes described herein, including all powers, statutory or otherwise. To the fullest extent permitted by applicable law and these By-Laws the Board may delegate any of its powers to a committee appointed pursuant to Article V or to any officer, employee or agent of the Company.

(b) The Board shall have the power to adopt, amend or repeal the Rules in accordance with Article X, Section 1.

(c) The Board may adopt such rules, regulations, and requirements for the conduct of the business and management of the Company, not inconsistent with law, the Certificate of Incorporation or these By-Laws, as the Board may deem proper. A Director shall, in the performance of such Director's duties, be fully protected, to the fullest extent permitted by law, in relying in good faith upon the books of account or reports made to the Company by any of its officers, by an independent certified public accountant, by an appraiser selected with reasonable care by the Board or any committee of the Board or by any agent of the Company, or in relying in good faith upon other records of the Company.

(d) In connection with managing the business and affairs of the Company, the Board shall consider applicable requirements for registration as a national securities exchange under Section 6(b) of the Act, including, without limitation, the requirements that (a) the Rules shall be designed to protect investors and the public interest and (b) the Exchange shall be so organized and have the capacity to carry out the purposes of the Act and to enforce compliance by its "members," as that term is defined in Section 3 of the Act (such statutory members being referred to in these By-Laws as "Exchange Members") and persons associated with Exchange Members, with the provisions of the Act, the rules and regulations under the Act, and the Rules of the Exchange.

(e) In light of the unique nature of the Company and its operations and in light of the Company's status as a self-regulatory organization, the Board, when evaluating any proposal, shall, to the fullest extent permitted by applicable law, take into account all

factors that the Board deems relevant, including, without limitation, to the extent deemed relevant: (i) the potential impact thereof on the integrity, continuity and stability of the national securities exchange operated by the Company and the other operations of the Company, on the ability to prevent fraudulent and manipulative acts and practices and on investors and the public, and (ii) whether such would promote just and equitable principles of trade, foster cooperation and coordination with persons engaged in regulating, clearing, settling, processing information with respect to and facilitating transactions in securities or assist in the removal of impediments to or perfection of the mechanisms for a free and open market and a national market system.

Section 2. Composition of the Board

(a) The number of Directors of the Company shall be ten (10).

(b) At all times the Board of Directors shall consist of one (1) Director who is the Chief Executive Officer of the Company and sufficient numbers of Non-Industry (including Independent), Industry and Member Representative Directors to meet the following composition requirements:

(i) the number of Non-Industry Directors, including at least one Independent Director, shall equal or exceed the sum of the number of Industry Directors and Member Representative Directors elected pursuant to Article III, Section 4; and

(ii) the number of Member Representative Directors shall be at least twenty (20) percent of the Board.

(c) The Secretary shall collect from each nominee for Director such information as is reasonably necessary to serve as the basis for a determination of the nominee's classification as a Member Representative, Non-Industry, or Independent Director, if applicable, and the Secretary shall certify to the Nominating Committee or the Member Nominating Committee each nominee's classification, if applicable. Directors shall update the information submitted under this subsection at least annually and upon request of the Secretary, and shall report immediately to the Secretary any change in such information.

(d) A Director may not be subject to a statutory disqualification.

Section 3. Terms of Office; Classes

(a) The Board term of the Chief Executive Officer shall expire when such individual ceases to be Chief Executive Officer of the Company.

(b) Each of the Non-Industry and Industry Directors (including Member Representative Directors) shall be divided into three (3) classes, designated Class I, Class II and Class III, which shall be as nearly equal in number and classification as the total number of such Directors then serving on the Board permits. Directors other than the Chief Executive Officer shall serve staggered three-year terms, with the term of office of

one class expiring each year. A Director may serve for any number of terms, consecutive or otherwise. In order to commence such staggered three-year terms, Directors in Class I shall hold office until the second annual election of the Board of Directors, Directors in Class II shall initially hold office until the third annual election of the Board of Directors, and Directors in Class III shall initially hold office until the fourth annual election of the Board of Directors. Commencing with the second annual election of the Board of Directors, the term of office for each class of Directors elected at such time shall be three years from the date of their election. Notwithstanding the foregoing, in the case of any new Director as contemplated by Article III, Section 2(a), such Director shall be added to a class, as determined by the Board at the time of such Director's initial election or appointment, and shall have an initial term expiring at the same time as the term of the class to which such Director has been added.

Section 4. Nomination and Election

(a) The Nominating Committee each year shall nominate Directors for each Director position standing for election at the annual meeting of stockholders that year. For positions requiring persons who qualify as Member Representative Directors, the Nominating Committee shall nominate only those persons whose names have been approved and submitted by the Member Nominating Committee, and approved by, if applicable, Exchange Members pursuant to the procedures set forth below in this Section 4.

(b) The Member Nominating Committee shall consult with the Nominating Committee, the Chairman and Chief Executive Officer, and shall solicit comments from Exchange Members for the purpose of approving and submitting names of candidates for election to the position of Member Representative Director. A Member Representative Director must be an officer, director, employee, or agent of an Exchange Member that is not a Stockholder Exchange Member.

(c) Not later than sixty (60) days prior to the date announced as the date for the annual meeting of stockholders, the Member Nominating Committee shall report to the Nominating Committee and the Secretary the initial nominees for Member Representative Director positions on the Board that have been approved and submitted by the Member Nominating Committee. The Secretary shall promptly notify Exchange Members of those initial nominees. Exchange Members may identify other candidates ("Petition Candidates" for purposes of this Section 4) for the Member Representative Director positions by delivering to the Secretary, at least thirty-five (35) days before the date announced as the date for the annual meeting of stockholders (the "Record Date" for purposes of this Section 4), a written petition, which shall designate the candidate by name and office and shall be signed by Executive Representatives of ten percent (10%) or more of the Exchange Members. An Exchange Member may endorse as many candidates as there are Member Representative Director positions to be filled. No Exchange Member, together with its affiliates, may account for more than fifty percent (50%) of the signatures endorsing a particular candidate, and any signatures of such Exchange Member, together with its affiliates, in excess of the fifty percent (50%) limitation shall be disregarded.

(d) Each petition for a Petition Candidate must include a completed questionnaire used to gather information concerning Member Representative Director candidates and must be filed with the Company (the Company shall provide the form of questionnaire upon the request of any Exchange Member).

(e) If no valid petitions from Exchange Members are received by the Record Date, the initial nominees approved and submitted by the Member Nominating Committee shall be nominated as Member Representative Directors by the Nominating Committee. If one or more valid petitions from Exchange Members are received by the Record Date, the Secretary shall include such additional nominees, along with the initial nominees nominated by the Member Nominating Committee, on a list of nominees (the "List of Candidates"). Upon completion, the List of Candidates shall be sent by the Secretary to all Exchange Members that were Exchange Members on the Record Date, by any means, including electronic transmission, to confirm the nominees for the Member Representative Director positions. The List of Candidates shall be accompanied by a notice regarding the time and date of an election to be held at least twenty (20) days prior to the annual stockholders' meeting to confirm the Exchange Members' selections of nominees for Member Representative Directors.

(f) With respect to the election held to determine the final nomination of Member Representative Directors, each Exchange Member shall have the right to cast one (1) vote for each available Member Representative Director nomination; provided, however, that any such vote must be cast for a person on the List of Candidates and that no Exchange Member, together with its affiliates, may account for more than twenty percent (20%) of the votes cast for a candidate, and any votes cast by such Exchange Member, together with its affiliates, in excess of such twenty percent (20%) limitation shall be disregarded. The votes shall be cast by written ballot, electronic transmission or any other means as set forth in a notice to the Exchange Members sent by the Company prior to such election. Only votes received prior to 4:00 p.m. Central Time on the date of the election shall count for the nomination of a Member Representative Director. The persons on the List of Candidates who receive the most votes shall be selected as the nominees for the Member Representative Director positions to be elected by stockholders.

(g) The initial Directors of the Board of Directors shall be appointed by the stockholder and shall serve until the first annual meeting of stockholders.

Section 5. Chairman of the Board

The Chief Executive Officer shall be the Chairman of the Board ("Chairman"). The Chairman shall preside at all meetings of the Board at which the Chairman is present; provided, however, that he or she shall not participate in executive sessions of the Board. The Chairman shall exercise such other powers and perform such other duties as may be assigned to the Chairman from time to time by the Board. The Board of Directors shall designate a Lead Director from among the Board's Independent Directors to preside over executive sessions of the Board. The Board shall publicly disclose the

identity of the Lead Director and the means by which interested parties may communicate with the Lead Director.

Section 6. Vacancies

Whenever any Director position becomes vacant prior to the election of a successor at the end of such Director's term, whether because of death, disability, disqualification, removal, or resignation, the Nominating Committee shall nominate, and stockholders shall elect, a person satisfying the classification (Industry, Non-Industry, or Independent Director), if applicable, for the directorship as provided in Article III, Section 2(b) to fill such vacancy; *provided*, however, that if the remaining term of office of a Member Representative Director at the time of such Director's termination is not more than six months, during the period of vacancy the Board shall not be deemed to be in violation of Article III, Section 2(b) by virtue of such vacancy.

Section 7. Removal and Resignation

(a) Except as hereinafter provided, any Director may be removed or expelled with or without cause by majority vote of stockholders, and may be removed by the Board of Directors in the manner provided by Article III, Section 7(b) below; provided, however, that any Member Representative Director may only be removed for cause, which shall include, without limitation, such Director being subject to a statutory disqualification.

(b) A Director shall be removed immediately upon a determination by the Board, by a majority vote of the remaining Directors, (a) that the Director no longer satisfies the classification for which the Director was elected; and (b) that the Director's continued service as such would violate the compositional requirements of the Board set forth in Article III, Section 2(b).

(c) Any Director may resign at any time either upon notice of resignation to the Chairman of the Board, the President or the Secretary. Any such resignation shall take effect at the time specified therein or, if the time is not specified, upon receipt thereof, and the acceptance of such resignation, unless required by the terms thereof, shall not be necessary to make such resignation effective.

Section 8. Place of Meetings; Mode

Any meeting of the Board may be held at such place, within or without the State of Delaware, as shall be designated in the notice of such meeting, but if no such designation is made, then the meeting will be held at the principal business office of the Company. Members of the Board or any committee of the Board may participate in a meeting of the Board or committee by conference telephone or other communications equipment by means of which all persons participating in the meeting can hear each other, and such participation in a meeting shall constitute presence in person at the meeting.

Section 9. Regular Meetings

Regular meetings of the Board may be held, with or without notice, at such time or place as may from time to time be specified in a resolution adopted by the Board.

Section 10. Special Meetings

(a) Special meetings of the Board may be called on a minimum of two (2) days notice to each Director by the Chairman or the President, and shall be called by the Secretary upon the written request of three (3) Directors then in office.

(b) The person or persons calling a special meeting of the Board shall fix the time and place at which the meeting shall be held, and such time and place shall be specified in the notice of such meeting. Notice of any special meeting shall be given to each Director at his or her business address or such other address as he or she may have advised the Secretary to use for such purpose. If delivered, notice shall be deemed to be given when delivered to such address or to the Director to be notified. If mailed, such notice shall be deemed to be given five (5) business days after deposit in the United States mail, postage prepaid, of a letter addressed to the appropriate location. Notice may also be given by telephone, electronic transmission or other means not specified in this section, and in each such case shall be deemed to be given when actually received by the Director to be notified.

Section 11. Exchange Member Meetings

The Company shall not be required to hold meetings of the Exchange Members.

Section 12. Voting, Quorum and Action by the Board

Each Director shall be entitled to one (1) vote. At all meetings of the Board, the presence of a majority of the number of Directors then in office shall constitute a quorum for the transaction of business. If a quorum shall not be present at any meeting of the Board, the Directors present at such meeting may adjourn the meeting from time to time, without notice other than announcement at the meeting, until a quorum shall be present. The act of a majority of the Directors present at any meeting at which there is a quorum shall be the act of the Board except as may be otherwise specifically provided by statute, the Certificate of Incorporation, or these By-Laws.

Section 13. Presumption of Assent

A Director of the Company who is present at a duly convened meeting of the Board or of a committee of the Board at which action on any corporate matter is taken shall be conclusively presumed to have assented to the action taken unless his or her dissent or election to abstain shall be entered in the minutes of the meeting or unless he or she shall file his or her written dissent or election to abstain to such action with the person acting as the secretary of the meeting before the adjournment of the meeting or shall forward such dissent or election to abstain by registered or certified mail to the

Secretary of the Company immediately after the adjournment of the meeting. Such right to dissent or abstain shall not apply to a Director who voted in favor of such action.

Section 14. Action in Lieu of Meeting

Unless otherwise restricted by statute, the Certificate of Incorporation or these By-Laws, any action required or permitted to be taken at any meeting of the Board or any committee thereof may be taken without a meeting if all members of the Board or committee, as the case may be, consent thereto in writing or by electronic transmission, and such writing(s) or electronic transmission(s) are filed with the minutes of proceedings of the Board or the committee.

Section 15. Waiver of Notice

(a) Whenever notice is required to be given by law, the Certificate of Incorporation or these By-Laws, a waiver thereof by the person or persons entitled to such notice, whether before or after the time stated therein, shall be deemed equivalent to notice. Neither the business to be transacted at, nor the purpose of, any regular or special meeting of the Board, or members of a committee, need be specified in any waiver of notice.

(b) Attendance of a person at a meeting shall constitute a waiver of notice of such meeting, except when the person attends a meeting for the express purpose of objecting, at the beginning of the meeting, to the transaction of any business because the meeting is not lawfully called or convened.

Section 16. Compensation of Board and Committee Members

The Board may provide for reasonable compensation of the Chairman, the Directors and the members of committees. The Board may also provide for reimbursement of reasonable expenses incurred by such persons in connection with the business of the Company.

Section 17. Interpretation of By-Laws

The Board shall have the power to interpret these By-Laws and any interpretation made by it shall be final and conclusive.

Section 18. Conflicts of Interest; Contracts and Transactions Involving Directors

(a) A Director or a member of any committee may not participate in the consideration or decision of any matter relating to a particular Exchange Member, company, or individual if such Director or committee member has a material interest in, or a professional, business, or personal relationship with, that Exchange Member, company, or individual, or if such participation shall create an appearance of impropriety. In any such case, the Director or committee member shall recuse himself or herself or shall be disqualified. If a member of the Board or any committee is recused from

consideration of a matter, any decision on the matter shall be by a vote of a majority of the remaining members of the Board or applicable committee.

(b) No contract or transaction between the Company and one or more of its Directors or officers, or between the Company and any other corporation, partnership, association, or other organization in which one or more of its Directors or officers are directors or officers, or have a financial interest, shall be void or voidable solely for this reason if: (i) the material facts pertaining to such Director's or officer's relationship or interest and the contract or transaction are disclosed or are known to the Board or the committee, and the Board or committee in good faith authorizes the contract or transaction by the affirmative vote of a majority of the disinterested Directors, even though the disinterested Directors be less than a quorum; or (ii) the material facts are disclosed or become known to the Board or committee after the contract or transaction is entered into, and the Board or committee in good faith ratifies the contract or transaction by the affirmative vote of a majority of the disinterested Directors, even though the disinterested Directors be less than a quorum.

ARTICLE IV STOCKHOLDERS

Section 1. Annual Meeting; Election of Directors and Other Matters

(a) The annual meeting of the stockholders shall be held at such place and time as determined by the Board for the purpose of electing Directors and members of the Nominating Committee and Member Nominating Committee, and for conducting such other business as may properly come before the meeting. Written notice of the annual meeting stating the place, date and hour of the meeting shall be given to each stockholder entitled to vote at such meeting not less than ten (10) nor more than sixty (60) days before the date of the meeting.

(b) The first annual meeting of the stockholders shall be held prior to the Company's commencement of operations as an Exchange.

Section 2. Special Meetings

Special meetings of the stockholders, for any purpose or purposes, may be called by the Chairman, the Board or the President, and shall be called by the Secretary at the request in writing of stockholders owning not less than a majority of the then issued and outstanding capital stock of the Company entitled to vote. Written notice of a special meeting stating the place, date and hour of the meeting and the purpose or purposes for which the meeting is called, shall be given to each stockholder entitled to vote at such meeting not less than ten (10) nor more than sixty (60) days before the date of the meeting. Business transacted at any special meeting of stockholders shall be limited to the purpose(s) stated in the notice of the meeting.

Section 3. List of Stockholders

The Secretary of the Company, or such other person designated by the Secretary or the Board, shall have charge of the stock ledger of the Company and shall prepare and make, at least ten (10) days before every meeting of stockholders, a complete list of the stockholders entitled to vote at the meeting, arranged in alphabetical order, and showing the address of each stockholder and the number of shares registered in the name of each stockholder. Such list shall be open to the examination of any stockholder, for any purpose germane to the meeting, during ordinary business hours, for a period of at least ten (10) days prior to the meeting, either at a place within the city where the meeting is to be held, which place shall be specified in the notice of the meeting, or, if not so specified, at the place where the meeting is to be held. The list shall also be produced and kept at the time and place of the meeting during the whole time of the meeting, and may be inspected by any stockholder who is present.

Section 4. Quorum and Vote Required for Action

(a) The holders of a majority of the capital stock issued and outstanding and entitled to vote thereat, present in person or represented by proxy, shall constitute a quorum at all meetings of the stockholders for the transaction of business except as otherwise provided by statute, the Certificate of Incorporation or these By-Laws. If, however, such quorum shall not be present or represented at any meeting of the stockholders, the stockholders entitled to vote thereat, present in person or represented by proxy, shall have power to adjourn the meeting from time to time, without notice other than announcement at the meeting, until a quorum shall be present or represented. At such adjourned meeting at which a quorum shall be present or represented, any business may be transacted which might have been transacted at the meeting as originally notified. If the adjournment is for more than thirty (30) days, or if after the adjournment a new record date is fixed for the adjourned meeting, a notice of the adjourned meeting shall be given to each stockholder of record entitled to vote at the meeting.

(b) When a quorum is present at any meeting, the vote of the holders of a majority of the capital stock having voting power present in person or represented by proxy shall decide any question brought before such meeting, unless the question is one upon which by express provision of statute or of the Certificate of Incorporation, a different vote is required, in which case such express provision shall govern and control the decision of such question.

Section 5. Voting of Shares; Proxies

Unless otherwise provided in the Certificate of Incorporation or these By-Laws, each stockholder of the Company shall at every meeting of the stockholders be entitled to one (1) vote in person or by proxy for each share of the capital stock having voting power held by such stockholder, but no proxy shall be voted on after three (3) years from its date, unless the proxy provides for a longer period. Any such proxy shall be in writing and shall be filed with the Secretary of the Company before or at the time of the meeting.

Section 6. Action in Lieu of Meeting

As set forth in the Certificate of Incorporation of the Company, any action upon which a vote of stockholders is required or permitted, may be taken without a meeting, without prior notice and without a vote, if a consent in writing, setting forth the action so taken, shall be signed by the holders of outstanding capital stock having not less than the minimum number of votes that would be necessary to authorize or take such action at a meeting at which all shares entitled to vote thereon were present and voted and shall be delivered to the Company in the manner required by law, provided that the matter to be acted upon by such written consent previously has been directed by the Board to be submitted to the stockholders for their action by written consent. Prompt notice of the taking of the corporate action without a meeting by less than unanimous written consent shall be given to those stockholders who have not so consented in writing.

Section 7. Assignment

The stockholder may not transfer or assign, in whole or in part, its ownership interest(s) in the Company.

ARTICLE V

Committees of the Board

Section 1. Number of Committees

The committees of the Board shall consist of a Compensation Committee, an Audit Committee, a Regulatory Oversight Committee, an Appeals Committee, and such other committees as may be from time to time established by the Board. Committees shall have such authority as is vested in them by these By-Laws or the Rules, or as is delegated to them by the Board. All committees are subject to the control and supervision of the Board.

Section 2. Appointment and Removal; Vacancies; Term

(a) The Chairman, with the approval of the Board, shall appoint, consistent with these By-Laws, the members of all committees of the Board, and the Chairman may, at any time, with or without cause, remove any member of a committee so appointed, with the approval of the Board. Each committee shall be comprised of at least three (3) people and may include persons who are not members of the Board; provided, however, that such committee members who are not also members of the Board shall only participate in committee actions to the extent permitted by law. In appointing members to committees of the Board, the Chairman is responsible for determining that any such committee meets the composition requirements set forth in this Article V.

(b) Upon request of the Secretary, each prospective committee member who is not a Director shall provide to the Secretary such information as is reasonably necessary to serve as the basis for a determination of the prospective committee member's classification as an Industry, Non-Industry, or Independent member. The

Secretary shall certify to the Board each prospective committee member's classification. Such committee members shall update the information submitted under this subsection at least annually and upon request of the Secretary, and shall report immediately to the Secretary any change in such information.

(c) The term of office of a committee member shall terminate immediately upon a determination by the Board, by a majority vote of the Directors, (i) that the committee member no longer satisfies the classification for which the committee member was selected; and (ii) that the committee member's continued service as such would violate the compositional requirements of such committee set forth in this Article V.

(d) Any vacancy occurring in a committee shall be filled by the Chairman for the remainder of the term, with the approval of the Board.

(e) Except as otherwise provided by the By-Laws, members of a committee shall hold office for a one-year period.

Section 3. Powers and Duties of Committees

To the extent provided in the resolution of the Board, any committee that consists solely of one or more Directors shall have and may exercise all the powers and authority of the Board in the management of the business and affairs of the Company.

Section 4. Conduct of Proceedings

Except as otherwise provided in these By-Laws or by the Board, each committee may adopt its own rules of procedure and may meet at stated times or on such notice as such committee may determine. Each committee shall keep regular minutes of its meetings and report the same to the Board when required.

Section 5. Voting, Quorum and Action by Committees

Each committee member shall be entitled to one (1) vote. Unless otherwise required by the By-Laws, the presence of a majority of the number of committee members serving on a committee shall constitute a quorum for the transaction of business of such committee. If a quorum shall not be present at any meeting of a committee, the committee members present at such meeting may adjourn the meeting from time to time, without notice other than announcement at the meeting, until a quorum shall be present. The act of a majority of the committee members present at any meeting at which there is a quorum shall be the act of such committee except as may be otherwise specifically provided by statute or these By-Laws.

Section 6. Specified Committees

(a) The Chairman, with the approval of the Board, shall appoint a Compensation Committee. The Compensation Committee shall consider and recommend compensation policies, programs, and practices for officers and other employees of the

Company. Each voting member of the Compensation Committee shall be a Non-Industry Director.

(b) The Chairman, with the approval of the Board, shall appoint an Audit Committee consisting of Directors. A majority of the Audit Committee members shall be Non-Industry Directors. A Non-Industry Director shall serve as Chairman of the Audit Committee. The Audit Committee shall perform the following primary functions, as well as such other functions as may be specified in the charter of the Audit Committee: (A) provide oversight over the Company's financial reporting process and the financial information that is provided to stockholders and others; (B) provide oversight over the systems of internal controls established by management and the Board and the Company's legal and compliance process; (C) select, evaluate and, where appropriate, replace the Company's independent auditors (or nominate the independent auditors to be proposed for ratification by stockholders); and (D) direct and oversee all the activities of the Company's internal audit function, including but not limited to management's responsiveness to internal audit recommendations. The Audit Committee shall have exclusive authority to: (A) hire or terminate the head of the Company's Internal Audit Department; (B) determine the compensation of the head of the Internal Audit Department; and (C) determine the budget for the Internal Audit Department. The Internal Audit Department and its head shall report directly to the Audit Committee. The Audit Committee may, in its discretion, direct that the Internal Audit Department also report to senior management of the Company on matters the Audit Committee deems appropriate and may request that senior management of the Company perform such operational oversight as necessary and proper, consistent with preservation of the independence of the internal audit function.

(c) The Chairman, with the approval of the Board, shall appoint a Regulatory Oversight Committee. The Regulatory Oversight Committee shall oversee the adequacy and effectiveness of Exchange's regulatory and self-regulatory organization responsibilities, assess Exchange's regulatory performance, and assist the Board and committees of the Board in reviewing the regulatory plan and the overall effectiveness of Exchange's regulatory functions. Each member of the Regulatory Oversight Committee shall be a Non-Industry Director.

(d) The Chairman, with the approval of the Board, shall appoint an Appeals Committee. The Appeals Committee shall preside over all appeals related to disciplinary and adverse action determinations in accordance with the Exchange Rules. The Appeals Committee shall consist of one Independent Director, one Industry Director, and one Member Representative Director. If the Independent Director recuses himself or herself from an appeal, due to a conflict of interest or otherwise, such Independent Director may be replaced by a Non-Industry Director for purposes of the applicable appeal if there is no other Independent Director able to serve as the replacement.

(e) The Chairman, with the approval of the Board, may appoint an Executive Committee, which shall, to the fullest extent permitted by Delaware law and other applicable law, have and be permitted to exercise all the powers and authority of the Board in the management of the business and affairs of the Company between meetings

of the Board. The number of Non-Industry Directors on the Executive Committee shall equal or exceed the number of Industry Directors on the Executive Committee. The percentage of Independent Directors on the Executive Committee shall be at least as great as the percentage of Independent Directors on the whole Board, and the percentage of Member Representative Directors on the Executive Committee shall be at least as great as the percentage of Member Representative Directors on the whole Board.

(f) The Chairman, with the approval of the Board, may appoint a Finance Committee. The Finance Committee shall advise the Board with respect to the oversight of the financial operations and conditions of the Company, including recommendations for Company's annual operating and capital budgets.

ARTICLE VI

Nominating Committees

Section 1. Election of Nominating Committee and Member Nominating Committee

The Nominating Committee and the Member Nominating Committee shall each be elected on an annual basis by vote of stockholders. The stockholder shall appoint the initial Nominating Committee and Member Nominating Committee consistent with the compositional requirements of this Article VI. In each subsequent year, each of the Nominating Committee and Member Nominating Committee, after completion of its respective duties for nominating Directors for election to the Board for that year, shall nominate candidates to serve on the succeeding year's Nominating Committee or Member Nominating Committee, as applicable, such candidates to be voted on by stockholders at the annual meeting of stockholders. Additional candidates for the Member Nominating Committee may be nominated and elected pursuant to the same process as provided for in Article III, Section 4.

Section 2. Nominating Committee

The Nominating Committee shall nominate candidates for election to the Board at the annual stockholder meeting and all other vacant or new Director positions on the Board. The Nominating Committee, in making such nominations, is responsible for ensuring that candidates meet the compositional requirements of Article III, Section 2(b). The number of Non-Industry members on the Nominating Committee shall equal or exceed the number of Industry members on the Nominating Committee. A Nominating Committee member may simultaneously serve on the Nominating Committee and the Board, unless the Nominating Committee is nominating Director candidates for the Director's class, as explained in Article III, Section 3. Notwithstanding the preceding sentence, a Director may serve on the Nominating Committee in his or her final year of service on the Board. Following that year, that member may not stand for election to the Board until such time as he or she is no longer a member of the Nominating Committee.

Section 3. Member Nominating Committee

The Member Nominating Committee shall nominate candidates for each Member Representative Director position on the Board that is to be elected by Exchange Members or stockholders under the terms of these By-Laws. Each member of the Member Nominating Committee shall be a Member Representative member.

ARTICLE VII

Officers, Agents and Employees

Section 1. General

The officers of the Company shall include a Chief Executive Officer, a President, a Chief Regulatory Officer, a Secretary, a Treasurer, and such other officers as in the Board's opinion are desirable for the conduct of the business of the Company. Any two or more offices may be held by the same person, except that the offices of the President and Secretary may not be held by the same person.

Section 2. Appointment and Tenure

Each officer of the Company shall be appointed by the Board on an annual basis, and shall hold office until his or her successor is appointed and qualified or until his or her earlier death, disability, disqualification, removal, or resignation. An officer may serve for any number of terms, consecutive or otherwise.

Section 3. Resignation and Removal of Officers; Vacancies

(a) Any officer may resign at any time upon notice of resignation to the Chairman and Chief Executive Officer, the President, or the Secretary. Any such resignation shall take effect upon receipt of such notice or at any later time specified therein, or if the time is not specified, upon receipt thereof, and the acceptance of such resignation, unless required by the terms thereof, shall not be necessary to make such resignation effective.

(b) Any officer of the Company may be removed, with or without cause, by the Board. Such removal shall be without prejudice to the contractual rights of the affected officer, if any, with the Company.

(c) Vacancies in any office of the Company may be filled for the unexpired term by the Board.

Section 4. Compensation

The Compensation of the Chief Executive Officer shall be fixed by the Compensation Committee. The salaries of all other officers and agents of the Company shall be fixed by the Chief Executive Officer, in consultation with the Compensation Committee.

Section 5. Powers and Duties; Delegation

Each of the officers of the Company shall, unless otherwise ordered by the Board, have such powers and duties as customarily pertain to the respective office, and such further powers and duties as from time to time may be conferred by the Board, or by an officer delegated such authority by the Board. The Board may delegate the duties and powers of any officer of the Company to any other officer or to any Director for a specified period of time and for any reason that the Board may deem sufficient.

Section 6. Chief Executive Officer

The Chief Executive Officer shall be the Chairman of the Board and shall preside at all meetings of the Board at which the Chief Executive Officer is present; provided, however, that he or she shall not participate in executive sessions of the Board. The Chief Executive Officer shall be the chief executive officer of the Company, shall have general supervision over the business and affairs of the Company, and shall serve at the pleasure of the Board. The Chief Executive Officer shall have all powers and duties usually incident to the office of the Chief Executive Officer, except as specifically limited by a resolution of the Board. The Chief Executive Officer shall exercise such other powers and perform such other duties as may be assigned to the Chief Executive Officer from time to time by the Board.

Section 7. President

The President shall, in the absence of the Chairman and Chief Executive Officer, preside at all meetings of the Board at which the President is present. The President shall have general supervision over the operations of the Company. The President shall have all powers and duties usually incident to the office of the President, except as specifically limited by a resolution of the Board. The President shall exercise such other powers and perform such other duties as may be assigned to the President from time to time by the Board.

Section 8. Vice President

The Board shall appoint one or more Vice Presidents. In the absence or disability of the President or if the office of President becomes vacant, the Vice Presidents in the order determined by the Board, or if no such determination has been made, in the order of their seniority, shall perform the duties and exercise the powers of the President, subject to the right of the Board at any time to extend or restrict such powers and duties or to assign them to others. Any Vice President may have such additional designations in such Vice President's title as the Board may determine. The Vice Presidents shall generally assist the President in such manner as the President shall direct. Each Vice President shall exercise such other powers and perform such other duties as may be assigned to such Vice President from time to time by the Board, the Chief Executive Officer or the President. The term "Vice President" used in this Section shall include the positions of Executive Vice President, Senior Vice President, and Vice President.

Section 9. Chief Regulatory Officer

An officer of the Company with the position of Executive Vice President or Senior Vice President shall be designated as the Chief Regulatory Officer of the Company. The Chief Regulatory Officer shall have general supervision of the regulatory operations of the Company, including responsibility for overseeing the Company's surveillance, examination, and enforcement functions and for administering any regulatory services agreements with another self-regulatory organization to which the Company is a party. The Chief Regulatory Officer shall meet with the Regulatory Oversight Committee of the Company in executive session at regularly scheduled meetings of such committee, and at any time upon request of the Chief Regulatory Officer or any member of the Regulatory Oversight Committee. The Chief Regulatory Officer may, but is not required to, also serve as the General Counsel of the Company.

Section 10. Secretary

The Secretary shall act as Secretary of all meetings of the Board at which the Secretary is present, shall record all the proceedings of all such meetings in a book to be kept for that purpose, shall have supervision over the giving and service of notices of the Company, and shall have supervision over the care and custody of the books and records of the Company. The Secretary shall be empowered to affix the Company's seal, if any, to documents, the execution of which on behalf of the Company under its seal is duly authorized, and when so affixed, may attest the same. The Secretary shall have all powers and duties usually incident to the office of Secretary, except as specifically limited by a resolution of the Board. The Secretary shall exercise such other powers and perform such other duties as may be assigned to the Secretary from time to time by the Board, the Chief Executive Officer or the President.

Section 11. Assistant Secretary

In the absence of the Secretary or in the event of the Secretary's inability or refusal to act, any Assistant Secretary, approved by the Board, shall exercise all powers and perform all duties of the Secretary. An Assistant Secretary shall also exercise such other powers and perform such other duties as may be assigned to such Assistant Secretary from time to time by the Board or the Secretary.

Section 12. Treasurer

The Treasurer shall have general supervision over the care and custody of the funds and over the receipts and disbursements of the Company and shall cause the funds of the Company to be deposited in the name of the Company in such banks or other depositories as the Board may designate. The Treasurer shall have supervision over the care and safekeeping of the securities of the Company. The Treasurer shall have all powers and duties usually incident to the office of Treasurer except as specifically limited by a resolution of the Board. The Treasurer shall exercise such other powers and perform such other duties as may be assigned to the Treasurer from time to time by the Board, the Chief Executive Officer or the President.

Section 13. Assistant Treasurer

In the absence of the Treasurer or in the event of the Treasurer's inability or refusal to act, any Assistant Treasurer, approved by the Board, shall exercise all powers and perform all duties of the Treasurer. An Assistant Treasurer shall also exercise such other powers and perform such other duties as may be assigned to such Assistant Treasurer from time to time by the Board or the Treasurer.

ARTICLE VIII

Indemnification

Section 1. Indemnification of Directors, Officers, Employees And Other Agents.

The Company shall indemnify its directors and executive officers to the fullest extent not prohibited by the Delaware General Corporation Law; provided, however, that the Company may limit the extent of such indemnification by individual contracts with its directors and executive officers; and, provided, further, that the Company shall not be required to indemnify any director or executive officer in connection with any proceeding (or part thereof) initiated by such person or any proceeding by such person against the Company or its directors, officers, employees or other agents unless (i) such indemnification is expressly required to be made by law, (ii) the proceeding was authorized by the Board of Directors of the Company or (iii) such indemnification is provided by the Company, in its sole discretion, pursuant to the powers vested in the Company under the Delaware General Corporation Law.

(a) *Other Officers, Employees and Other Agents.* The Company shall have the power to indemnify its other officers, employees and other agents as set forth in the Delaware General Corporation Law.

(b) *Expenses.* The Company shall advance to any person who was or is a party or is threatened to be made a party to any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative or investigative, by reason of the fact that he is or was a director or executive officer, of the Company, or is or was serving at the request of the Company as a director or executive officer of another corporation, partnership, joint venture, trust or other enterprise, prior to the final disposition of the proceeding, promptly following request therefor, all expenses incurred by any director or executive officer in connection with such proceeding upon receipt of an undertaking by or on behalf of such person to repay said amounts if it should be determined ultimately that such person is not entitled to be indemnified under this Article VIII or otherwise.

Notwithstanding the foregoing, unless otherwise determined pursuant to paragraph (e) of this Article VIII, Section 1, no advance shall be made by the Company to an executive officer of the Company (except by reason of the fact that such executive officer is or was a director of the Company in which event this paragraph shall not apply) in any action, suit or proceeding, whether civil, criminal, administrative or investigative, if a determination is reasonably and promptly made (i) by the Board of Directors by a

majority vote of a quorum consisting of directors who were not parties to the proceeding, or (ii) if such quorum is not obtainable, or, even if obtainable, a quorum of disinterested directors so directs, by independent legal counsel in a written opinion, that the facts known to the decision-making party at the time such determination is made demonstrate clearly and convincingly that such person acted in bad faith or in a manner that such person did not believe to be in or not opposed to the best interests of the Company.

(c) *Enforcement.* Without the necessity of entering into an express contract, all rights to indemnification and advances to directors and executive officers under this Article VIII shall be deemed to be contractual rights and be effective to the same extent and as if provided for in a contract between the Company and the director or executive officer. Any right to indemnification or advances granted by this Article VIII to a director or executive officer shall be enforceable by or on behalf of the person holding such right in the forum in which the proceeding is or was pending or, if such forum is not available or a determination is made that such forum is not convenient, in any court of competent jurisdiction if (i) the claim for indemnification or advances is denied, in whole or in part, or (ii) no disposition of such claim is made within ninety (90) days of request therefor. The claimant in such enforcement action, if successful in whole or in part, shall be entitled to be paid also the expense of prosecuting his claim. The Company shall be entitled to raise as a defense to any such action that the claimant has not met the standards of conduct that make it permissible under the Delaware General Corporation Law for the Company to indemnify the claimant for the amount claimed. Neither the failure of the Company (including its Board of Directors, independent legal counsel or its Stockholders) to have made a determination prior to the commencement of such action that indemnification of the claimant is proper in the circumstances because he has met the applicable standard of conduct set forth in the Delaware General Corporation Law, nor an actual determination by the Company (including its Board of Directors, independent legal counsel or its Stockholders) that the claimant has not met such applicable standard of conduct, shall be a defense to the action or create a presumption that claimant has not met the applicable standard of conduct.

(d) *Non Exclusivity of Rights.* To the fullest extent permitted by the Company's Certificate of Incorporation and the Delaware General Corporation Law, the rights conferred on any person by this Article VIII shall not be exclusive of any other right which such person may have or hereafter acquire under any statute, provision of the Certificate of Incorporation, By-Laws, agreement, vote of Stockholders or disinterested directors or otherwise, both as to action in his official capacity and as to action in another capacity while holding office. The Company is specifically authorized to enter into individual contracts with any or all of its directors, officers, employees or agents respecting indemnification and advances, to the fullest extent permitted by the Delaware General Corporation Law and the Company's Certificate of Incorporation.

(e) *Survival of Rights.* The rights conferred on any person by this Article VIII shall continue as to a person who has ceased to be a director or executive officer and shall inure to the benefit of the heirs, executors and administrators of such a person.

(f) *Insurance.* The Company, upon approval by the Board of Directors, may purchase insurance on behalf of any person required or permitted to be indemnified pursuant to this Article VIII.

(g) *Amendments.* Any repeal or modification of this Article VIII shall only be prospective and shall not affect the rights under this Article VIII in effect at the time of the alleged occurrence of any action or omission to act that is the cause of any proceeding against any agent of the Company.

(h) *Saving Clause.* If this Article VIII or any portion hereof shall be invalidated on any ground by any court of competent jurisdiction, then the Company shall nevertheless indemnify each director and executive officer to the fullest extent permitted by any applicable portion of this Article VIII that shall not have been invalidated, or by any other applicable law.

(i) *Certain Definitions.* For the purposes of this Article VIII, the following definitions shall apply:

- (i) The term "proceeding" shall be broadly construed and shall include, without limitation, the investigation, preparation, prosecution, defense, settlement and appeal of any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative, arbitral or investigative.
- (ii) The term "expenses" shall be broadly construed and shall include, without limitation, court costs, attorneys' fees, witness fees, fines, amounts paid in settlement or judgment and any other costs and expenses of any nature or kind incurred in connection with any proceeding, including expenses of establishing a right to indemnification under this Article VIII or any applicable law.
- (iii) The term the "Company" shall include, in addition to the resulting corporation, any constituent corporation (including any constituent of a constituent) absorbed in a consolidation or merger which, if its separate existence had continued, would have had power and authority to indemnify its directors, officers, and employees or agents, so that any person who is or was a director, officer, employee or agent of such constituent corporation, or is or was serving at the request of such constituent corporation as a director, officer, employee or agent of another corporation, partnership, limited liability company, joint venture, trust or other enterprise, shall stand in the same position under the provisions of this Article VIII with respect to the resulting or surviving corporation as he would have with respect to such constituent corporation if its separate existence had continued.
- (iv) References to a "director," "officer," "employee," or "agent" of the Company shall include, without limitation, situations where such

person is serving at the request of the Company as a director, officer, employee, trustee or agent of another corporation, partnership, joint venture, trust or other enterprise.

Section 2. Exchange Not Liable

Except as provided in the Exchange Rules, the Company shall not be liable for any loss or damage sustained by any current or former Exchange Member growing out of the use or enjoyment by such Exchange Member of the facilities afforded by the Company (or any predecessor or successor thereof) or its subsidiaries.

ARTICLE IX

Amendments; Emergency By-Laws

Section 1. By Stockholders or Board

These By-Laws may be altered, amended, or repealed, or new By-Laws may be adopted, (i) by the written consent of the stockholders of the Company, or (ii) at any regular or special meeting of the Board by a resolution adopted by the Board.

Section 2. Emergency By-Laws

The Board may adopt emergency By-Laws subject to repeal or change by action of the stockholders of the Company which shall, notwithstanding any different provision of law, the Certificate of Incorporation, or these By-Laws, be operative during any emergency resulting from any nuclear or atomic disaster, an attack on the United States or on a locality in which the Company conducts its business or customarily holds meetings of the Board, any catastrophe, or other emergency condition, as a result of which a quorum of the Board or a committee thereof cannot readily be convened for action. Such emergency By-Laws may make any provision that may be practicable and necessary under the circumstances of the emergency.

Section 3. Authority to Take Action Under Extraordinary Market Conditions

The Board, or such person or persons as may be designated by the Board, in the event of extraordinary market conditions, shall have the authority to take any action regarding:

(a) the trading in or operation of the national securities exchange operated by the Company or any other organized securities markets that may be operated by the Company, the operation of any automated system owned or operated by the Company, and the participation in any such system or any or all persons or the trading therein of any or all securities; and

(b) the operation of any or all offices or systems of Exchange Members, if, in the opinion of the Board or the person or persons hereby designated, such action is

necessary or appropriate for the protection of investors or the public interest or for the orderly operation of the marketplace or the system.

ARTICLE X

Exchange Authorities

Section 1. Rules

(a) The Board, acting in accordance with the terms of these By-Laws and the Rules, shall be vested with all powers necessary for the government of the Company as an "exchange" within the meaning of the Act. To promote and enforce just and equitable principles of trade and business, to maintain high standards of commercial honor and integrity among Exchange Members, to collaborate with governmental and other agencies in the promotion of fair practices and the elimination of fraud, and in general to carry out the purposes of the Company and of the Act, the Board is hereby authorized to adopt such rules and such amendments thereto as it may, from time to time, deem necessary or appropriate. If any such rules or amendments thereto are approved by the Commission or otherwise become effective as provided in the Act, they shall become operative Exchange Rules as of the date of Commission approval or effectiveness under the Act unless a later operative date is declared by the Company. The Board is hereby authorized, subject to the provisions of these By-Laws and the Act, to administer, enforce, interpret, issue exemptions from, suspend, or cancel any Rules adopted hereunder.

Section 2. Disciplinary Proceedings

(a) The Board is authorized to establish procedures relating to disciplinary proceedings involving Exchange Members and their associated persons.

(b) The Board is authorized to impose appropriate sanctions applicable to Exchange Members, including censure, fine, suspension, or expulsion from membership, suspension or bar from being associated with all Exchange Members, limitation of activities, functions, and operations of an Exchange Member, or any other fitting sanction, and to impose appropriate sanctions applicable to persons associated with Exchange Members, including censure, fine, suspension, or barring a person associated with an Exchange Member from being associated with all Exchange Members, limitation of activities, functions, and operations of a person associated with an Exchange Member, or any other fitting sanction, for:

- (i) a breach by an Exchange Member or a person associated with an Exchange Member of any covenant with the Company or its stockholders;
- (ii) violation by an Exchange Member or a person associated with an Exchange Member of any of the terms, conditions, covenants, and provisions of the By-Laws, the Rules, or the federal securities laws, including the rules and regulations adopted thereunder;

(iii) failure by an Exchange Member or person associated with an Exchange Member to: (A) submit a dispute for arbitration as may be required by the Rules; (B) appear or produce any document in the Exchange Member's or person's possession or control as directed pursuant to the Rules; (C) comply with an award of arbitrators properly rendered, where a timely motion to vacate or modify such award has not been made pursuant to applicable law or where such a motion has been denied; or (D) comply with a written and executed settlement agreement obtained in connection with an arbitration or mediation submitted for disposition; or

(iv) failure by an Exchange Member or person associated with an Exchange Member to adhere to any ruling, order, direction, or decision of or to pay any sanction, fine, or costs imposed by the Board or any entity to which the Board has delegated its powers.

Section 3. Membership Qualifications

(a) The Board shall have authority to adopt rules and regulations applicable to Exchange Members, applicants seeking to become Exchange Members, and persons associated with applicants or Exchange Members, establishing specified and appropriate standards with respect to the training, experience, competence, financial responsibility, operational capability, and such other qualifications as the Board finds necessary or desirable.

(b) The Board may from time to time make such changes in such rules, regulations, and standards as it deems necessary or appropriate.

(c) Uniform standards for regulatory and other access issues, such as admission to membership and conditions to becoming an Exchange market maker, shall be promulgated and applied on a consistent basis, and the Company shall institute safeguards to ensure fair and evenhanded access to all of its services and facilities.

Section 4. Fees, Dues, Assessments, and Other Charges

The Board shall have authority to fix and levy the amount of fees, dues, assessments, and other charges to be paid by Exchange Members and issuers and any other persons using any facility or system that the Company operates or controls; provided, however, that such fees, dues, assessments, and other charges shall be equitably allocated among Exchange Members and issuers and any other persons using any facility or system that the Company operates or controls. Any revenues received by the Company from fees derived from its regulatory function or regulatory penalties will not be used for non-regulatory purposes or distributed to the shareholder, but rather, shall be applied to fund the legal and regulatory operations of the Company (including surveillance and enforcement activities), or, as the case may be, shall be used to pay restitution and disgorgement of funds intended for customers.

ARTICLE XI

Miscellaneous Provisions

Section 1. Operational Date of Exchange

The Company has been formed in anticipation of its registration by the United States Securities and Exchange Commission as a national securities exchange. During the period between incorporation and the first date on which the Company commences operating a national securities exchange (the "Operational Date"):

(a) references in the Agreement and By-Laws to "the national securities exchange operated by the Company" shall be construed as references to "the national securities exchange to be operated by the Company"; and

(b) the Board of Directors of the Company may appoint members of the committees to be established under the By-Laws, but shall not be required to appoint all such committee members until the date immediately prior to the Operational Date.

Section 2. Fiscal Year

The fiscal year of the Company shall be as determined from time to time by the Board.

Section 3. Participation in Board and Committee Meetings

All meetings of the Board (and any committees of the Company) pertaining to the self-regulatory function of the Company (including disciplinary matters) shall be closed to all persons other than members of the Board and officers, staff, counsel or other advisors whose participation is necessary or appropriate to the proper discharge of such regulatory functions and any representatives of the Commission. In no event shall members of the Board of Directors of BATS Global Markets, Inc. who are not also members of the Board, or any officers, staff, counsel or advisors of BATS Global Markets, Inc. who are not also officers, staff, counsel or advisors of the Company (or any committees of the Company), be allowed to participate in any meetings of the Board (or any committee of the Company) pertaining to the self-regulatory function of the Company (including disciplinary matters).

Section 4. Books and Records; Confidentiality of Information and Records Relating to SRO Function

The books and records of the Company shall be maintained at a location within the United States. All books and records of the Company reflecting confidential information pertaining to the self-regulatory function of the Company (including but not limited to disciplinary matters, trading data, trading practices, and audit information) shall be retained in confidence by the Company and its personnel and will not be used by the Company for any non-regulatory purposes and shall not be made available to any person (including, without limitation, any Exchange Member) other than to personnel of

the Commission, and those personnel of the Company, members of committees of the Company, members of the Board, hearing officers and other agents of the Company to the extent necessary or appropriate to properly discharge the self-regulatory responsibilities of the Company.

Section 5. Dividends

Subject to any provisions of any applicable statute, other provisions of these By-Laws, or the Certificate of Incorporation, dividends may be declared upon the capital stock of the Company by, and in the absolute discretion of, the Board; and any such dividends may be paid in cash, property or shares of stock of the Company, as determined by the Board, and shall be declared and paid on such dates and in such amounts as are determined by the Board.

Section 6. Reserves

Before payment of any dividends, there may be set aside out of any funds of the Company available for dividends such sum or sums as the Board from time to time, in its absolute discretion, determines to be proper as a reserve or reserves to meet contingencies, or for equalizing dividends, or for repairing or maintaining any property of the Company, or for such other purpose as the Board shall determine to be conducive to the interests of the Company, and the Board may modify or abolish any such reserve in the manner in which it was created.

Section 7. Execution of Instruments, Contracts, etc.

(a) All checks, drafts, bills of exchange, notes, or other obligations or orders for the payment of money shall be signed in the name of the Company by such officer or officers or person or persons as the Board, or a duly authorized committee thereof, may from time to time designate. Except as otherwise provided by law, the Board, any committee given specific authority in the premises by the Board, or any committee given authority to exercise generally the powers of the Board during intervals between meetings of the Board may authorize any officer, employee, or agent, in the name of and on behalf of the Company, to enter into or execute and deliver deeds, bonds, mortgages, contracts, and other obligations or instruments, and such authority may be general or confined to specific instances.

(b) All applications, written instruments, and papers required by any department of the United States government or by any state, county, municipal, or other governmental authority may be executed in the name of the Company by any officer of the Company, or, to the extent designated for such purpose from time to time by the Board, by an employee or agent of the Company. Such designation may contain the power to substitute, in the discretion of the person named, one or more other persons.

Section 8. Power to Vote Stock

Unless otherwise instructed by the Board, the Chief Executive Officer of the Company shall have the power and authority on behalf of the Company to attend and to

vote at any meeting of stockholders, partners or equity holders of any corporation, partnership or any other entity in which the Company may hold stock, partnership or other equity interests, as the case may be, and may exercise on behalf of the Company any and all of the rights and powers incident to the ownership of such stock, partnership or other equity interest at such meeting, and shall have the power and authority to execute and deliver proxies, waivers and consents on behalf of the Company in connection with the exercise by the Company of the rights and powers incident to the ownership of such stock, partnership or other equity interest. The Board and the Chief Executive Officer may from time to time confer like powers upon any other person or persons.

Section 9. Severability

If any provision of these By-Laws, or the application of any provision of these By-Laws to any person or circumstances, is held invalid, the remainder of these By-Laws and the application of such provision to other persons or circumstances shall not be affected.

Delaware

PAGE 1

The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF INCORPORATION OF "OMICRON HOLDINGS CORP.", FILED IN THIS OFFICE ON THE SEVENTH DAY OF FEBRUARY, A.D. 2011, AT 4:47 O'CLOCK P.M.

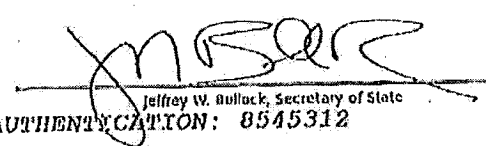
A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.

4937045 8100

110125500

You may verify this certificate online
at corp.delaware.gov/authvox.shtml




Jeffrey W. Bullock, Secretary of State
AUTHENTICATION: 8545312

DATE: 02-07-11

CERTIFICATE OF INCORPORATION
 OF
 OMICRON HOLDINGS CORP.

FIRST: The name of the corporation is Omicron Holdings Corp. (the "Corporation").

SECOND: The address of its registered office in the State of Delaware is Corporation Trust Center, 1209 Orange Street, City of Wilmington, County of New Castle, Delaware 19801. The name of its registered agent at such address is The Corporation Trust Company.

THIRD: The purpose of the Corporation is to engage in any lawful act or activity for which corporations may be organized under the General Corporation Law of the State of Delaware as the same exists or may hereafter be amended ("Delaware Law").

FOURTH: (1) The total number of shares of stock which the Corporation shall have authority to issue is 2,000, consisting of 1,000 shares of Common Stock, par value \$0.01 per share (the "Common Stock"), and 1,000 shares of Preferred Stock, par value \$0.01 per share (the "Preferred Stock").

(2) The Board of Directors is hereby empowered to authorize by resolution or resolutions from time to time the issuance of one or more classes or series of Preferred Stock and to fix the designations, powers, preferences and relative, participating, optional or other rights, if any, and the qualifications, limitations or restrictions thereof, if any, with respect to each such class or series of Preferred Stock and the number of shares constituting each such class or series, and to increase or decrease the number of shares of any such class or series to the extent permitted by Delaware Law.

FIFTH: The name and mailing address of the incorporator are:

| <u>Name</u> | <u>Mailing Address</u> |
|-----------------|---|
| Malik M. Khalil | Davis Polk & Wardwell 450 Lexington Avenue New York, New York 10017 |

SIXTH: The Board of Directors shall have the power to adopt, amend or repeal the bylaws of the Corporation.

SEVENTH: Election of directors need not be by written ballot unless the bylaws of the Corporation so provide.

EIGHTH: The Corporation expressly elects not to be governed by Section 203 of Delaware Law.

NINTH: (1) A director of the Corporation shall not be liable to the Corporation or its stockholders for monetary damages for breach of fiduciary duty as a director to the fullest extent permitted by Delaware Law.

(2)(a) Each person (and the heirs, executors or administrators of such person) who was or is a party or is threatened to be made a party to, or is involved in any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative or investigative, by reason of the fact that such person is or was a director or officer of the Corporation or is or was serving at the request of the Corporation as a director or officer of another corporation, partnership, joint venture, trust or other enterprise, shall be indemnified and held harmless by the Corporation to the fullest extent permitted by Delaware Law. The right to indemnification conferred in this ARTICLE NINTH shall also include the right to be paid by the Corporation the expenses incurred in connection with any such proceeding in advance of its final disposition to the fullest extent authorized by Delaware Law. The right to indemnification conferred in this ARTICLE NINTH shall be a contract right.

(b) The Corporation may, by action of its Board of Directors, provide indemnification to such of the employees and agents of the Corporation to such extent and to such effect as the Board of Directors shall determine to be appropriate and authorized by Delaware Law.

(3) The Corporation shall have power to purchase and maintain insurance on behalf of any person who is or was a director, officer, employee or agent of the Corporation, or is or was serving at the request of the Corporation as a director, officer, employee or agent of another corporation, partnership, joint venture, trust or other enterprise against any expense, liability or loss incurred by such person in any such capacity or arising out of such person's status as such, whether or not the Corporation would have the power to indemnify such person against such liability under Delaware Law.

(4) The rights and authority conferred in this ARTICLE NINTH shall not be exclusive of any other right which any person may otherwise have or hereafter acquire.

(5) Neither the amendment nor repeal of this ARTICLE NINTH, nor the adoption of any provision of this Certificate of Incorporation or the bylaws of the Corporation, nor, to the fullest extent permitted by Delaware Law, any modification of law, shall adversely affect any right or protection of any person

granted pursuant hereto existing at, or arising out of or related to any event, act or omission that occurred prior to, the time of such amendment, repeal, adoption or modification (regardless of when any proceeding (or part thereof) relating to such event, act or omission arises or is first threatened, commenced or completed).

TENTH: The Corporation reserves the right to amend this Certificate of Incorporation in any manner permitted by Delaware Law and all rights and powers conferred herein on stockholders, directors and officers, if any, are subject to this reserved power.

IN WITNESS WHEREOF, the undersigned has executed this Certificate
of Incorporation this 7th day of February, 2011.


Malik M. Khalil
Incorporator

BYLAWS
OF
OMICRON HOLDINGS CORP.

ARTICLE 1
OFFICES

Section 1.01. *Registered Office.* The registered office of the Corporation shall be in the City of Wilmington, County of New Castle, State of Delaware.

Section 1.02. *Other Offices.* The Corporation may also have offices at such other places both within and without the State of Delaware as the Board of Directors may from time to time determine or the business of the Corporation may require.

Section 1.03. *Books.* The books of the Corporation may be kept within or without the State of Delaware as the Board of Directors may from time to time determine or the business of the Corporation may require.

ARTICLE 2
MEETINGS OF STOCKHOLDERS

Section 2.01. *Time and Place of Meetings.* All meetings of stockholders shall be held at such place, either within or without the State of Delaware, on such date and at such time as may be determined from time to time by the Board of Directors (or the Chairman in the absence of a designation by the Board of Directors).

Section 2.02. *Annual Meetings.* Unless directors are elected by written consent in lieu of an annual meeting as permitted by the General Corporation Law of the State of Delaware as the same exists or may hereafter be amended ("Delaware Law"), an annual meeting of stockholders, commencing with the year 2012, shall be held for the election of directors and to transact such other business as may properly be brought before the meeting. Stockholders may, unless the certificate of incorporation otherwise provides, act by written consent to elect directors; *provided, however*, that if such consent is less than unanimous, such action by written consent may be in lieu of holding an annual meeting only if all of the directorships to which directors could be elected at an annual meeting held at the effective time of such action are vacant and are filled by such action.

Section 2.03. *Special Meetings.* Special meetings of stockholders may be called by the Board of Directors or the Chairman of the Board and shall be called by the Secretary at the request in writing of holders of record of a majority of the outstanding capital stock of the Corporation entitled to vote. Such request shall state the purpose or purposes of the proposed meeting.

Section 2.04. *Notice of Meetings and Adjourned Meetings; Waivers of Notice.* (a) Whenever stockholders are required or permitted to take any action at a meeting, a written notice of the meeting shall be given which shall state the place, if any, date and hour of the meeting, the means of remote communications, if any, by which stockholders and proxy holders may be deemed to be present in person and vote at such meeting, and, in the case of a special meeting, the purpose or purposes for which the meeting is called. Unless otherwise provided by Delaware Law, such notice shall be given not less than 10 nor more than 60 days before the date of the meeting to each stockholder of record entitled to vote at such meeting. Unless these bylaws otherwise require, when a meeting is adjourned to another time or place (whether or not a quorum is present), notice need not be given of the adjourned meeting if the time, place, if any, and the means of remote communications, if any, by which stockholders and proxy holders may be deemed to be present in person and vote at such meeting, are announced at the meeting at which the adjournment is taken. At the adjourned meeting, the Corporation may transact any business which might have been transacted at the original meeting. If the adjournment is for more than 30 days, or after the adjournment a new record date is fixed for the adjourned meeting, a notice of the adjourned meeting shall be given to each stockholder of record entitled to vote at the meeting.

(b) A written waiver of any such notice signed by the person entitled thereto, or a waiver by electronic transmission by the person entitled to notice, whether before or after the time stated therein, shall be deemed equivalent to notice. Attendance of a person at a meeting shall constitute a waiver of notice of such meeting, except when the person attends the meeting for the express purpose of objecting, at the beginning of the meeting, to the transaction of any business because the meeting is not lawfully called or convened. Business transacted at any special meeting of stockholders shall be limited to the purposes stated in the notice.

Section 2.05. *Quorum.* Unless otherwise provided under the certificate of incorporation or these bylaws and subject to Delaware Law, the presence, in person or by proxy, of the holders of a majority of the outstanding capital stock of the Corporation entitled to vote at a meeting of stockholders shall constitute a quorum for the transaction of business. If, however, such quorum shall not be present or represented at any meeting of the stockholders, a majority in voting interest of the stockholders present in person or represented by proxy may adjourn the meeting, without notice other than announcement at the meeting, until a

quorum shall be present or represented. At such adjourned meeting at which a quorum shall be present or represented any business may be transacted which might have been transacted at the meeting as originally notified.

Section 2.06. *Voting.* (a) Unless otherwise provided in the certificate of incorporation and subject to Delaware Law, each stockholder shall be entitled to one vote for each outstanding share of capital stock of the Corporation held by such stockholder. Any share of capital stock of the Corporation held by the Corporation shall have no voting rights. Except as otherwise provided by law, the Certificate of Incorporation or these By-Laws, in all matters other than the election of directors, the affirmative vote of the majority of the shares of capital stock of the Corporation present in person or represented by proxy at the meeting and entitled to vote on the subject matter shall be the act of the stockholders.

(b) Each stockholder entitled to vote at a meeting of stockholders or to express consent or dissent to a corporate action in writing without a meeting may authorize another person or persons to act for such stockholder by proxy, appointed by an instrument in writing, subscribed by such stockholder or by his attorney thereunto authorized, or by proxy sent by cable, telegram or by any means of electronic communication permitted by law, which results in a writing from such stockholder or by his attorney, and delivered to the secretary of the meeting. No proxy shall be voted after three (3) years from its date, unless said proxy provides for a longer period.

(c) In determining the number of votes cast for or against a proposal or nominee, shares abstaining from voting on a matter will not be treated as a vote cast.

Section 2.07. *Action by Consent.* (a) Unless otherwise provided in the certificate of incorporation and subject to the proviso in Section 2.02, any action required to be taken at any annual or special meeting of stockholders, or any action which may be taken at any annual or special meeting of stockholders, may be taken without a meeting, without prior notice and without a vote, if a consent or consents in writing, setting forth the action so taken, shall be signed by the holders of outstanding capital stock having not less than the minimum number of votes that would be necessary to authorize or take such action at a meeting at which all shares entitled to vote thereon were present and voted and shall be delivered to the Corporation by delivery to its registered office in Delaware, its principal place of business, or an officer or agent of the Corporation having custody of the book in which proceedings of meetings of stockholders are recorded. Delivery made to the Corporation's registered office shall be by hand or by certified or registered mail, return receipt requested. Prompt notice of the taking of the corporate action without a meeting by less than unanimous written consent shall be given to those stockholders who have not consented in writing and who, if the action had been taken at a meeting, would have been entitled to

notice of the meeting if the record date for such meeting had been the date that written consents signed by a sufficient number of stockholders to take the action were delivered to the Corporation as provided in Section 2.07(b).

(b) Every written consent shall bear the date of signature of each stockholder who signs the consent, and no written consent shall be effective to take the corporate action referred to therein unless, within 60 days of the earliest dated consent delivered in the manner required by this section and Delaware Law to the Corporation, written consents signed by a sufficient number of holders to take action are delivered to the Corporation by delivery to its registered office in Delaware, its principal place of business or an officer or agent of the Corporation having custody of the book in which proceedings of meetings of stockholders are recorded. Delivery made to the Corporation's registered office shall be by hand or by certified or registered mail, return receipt requested.

Section 2.08. *Organization.* At each meeting of stockholders, the Chairman of the Board, if one shall have been elected, or in the Chairman's absence or if one shall not have been elected, the director designated by the vote of the majority of the directors present at such meeting, shall act as chairman of the meeting. The Secretary (or in the Secretary's absence or inability to act, the person whom the chairman of the meeting shall appoint secretary of the meeting) shall act as secretary of the meeting and keep the minutes thereof.

Section 2.09. *Order of Business.* The order of business at all meetings of stockholders shall be as determined by the chairman of the meeting.

ARTICLE 3 DIRECTORS

Section 3.01. *General Powers.* Except as otherwise provided in Delaware Law or the certificate of incorporation, the business and affairs of the Corporation shall be managed by or under the direction of the Board of Directors.

Section 3.02. *Number, Election and Term Of Office.* (a) The number of directors which shall constitute the whole Board shall be fixed from time to time by resolution of the Board of Directors but shall not be less than two or more than nine. The directors shall be elected at the annual meeting of the stockholders by written ballot, except as provided in Section 2.02 and Section 3.12 herein, and each director so elected shall hold office until such director's successor is elected and qualified or until such director's earlier death, resignation or removal. Directors need not be stockholders.

(b) Subject to the rights of the holders of any series of preferred stock to elect additional directors under specific circumstances, directors shall be elected

by a plurality of the votes of the shares of capital stock of the Corporation present in person or represented by proxy at the meeting and entitled to vote on the election of directors.

Section 3.03. *Quorum and Manner of Acting.* Unless the certificate of incorporation or these bylaws require a greater number, a majority of the total number of directors shall constitute a quorum for the transaction of business, and the affirmative vote of a majority of the directors present at a meeting at which a quorum is present shall be the act of the Board of Directors. When a meeting is adjourned to another time or place (whether or not a quorum is present), notice need not be given of the adjourned meeting if the time and place thereof are announced at the meeting at which the adjournment is taken. At the adjourned meeting, the Board of Directors may transact any business which might have been transacted at the original meeting. If a quorum shall not be present at any meeting of the Board of Directors the directors present thereat shall adjourn the meeting, from time to time, without notice other than announcement at the meeting, until a quorum shall be present.

Section 3.04. *Time and Place of Meetings.* The Board of Directors shall hold its meetings at such place, either within or without the State of Delaware, and at such time as may be determined from time to time by the Board of Directors (or the Chairman in the absence of a determination by the Board of Directors).

Section 3.05. *Annual Meeting.* The Board of Directors shall meet for the purpose of organization, the election of officers and the transaction of other business, as soon as practicable after each annual meeting of stockholders, on the same day and at the same place where such annual meeting shall be held. Notice of such meeting need not be given. In the event such annual meeting is not so held, the annual meeting of the Board of Directors may be held at such place either within or without the State of Delaware, on such date and at such time as shall be specified in a notice thereof given as hereinafter provided in Section 3.07 herein or in a waiver of notice thereof signed by any director who chooses to waive the requirement of notice.

Section 3.06. *Regular Meetings.* After the place and time of regular meetings of the Board of Directors shall have been determined and notice thereof shall have been once given to each member of the Board of Directors, regular meetings may be held without further notice being given.

Section 3.07. *Special Meetings.* Special meetings of the Board of Directors may be called by the Chairman of the Board or the President and shall be called by the Chairman of the Board, President or Secretary on the written request of two directors. Notice of special meetings of the Board of Directors

shall be given to each director at least three days before the date of the meeting in such manner as is determined by the Board of Directors.

Section 3.08. *Committees.* The Board of Directors may designate one or more committees, each committee to consist of one or more of the directors of the Corporation. The Board may designate one or more directors as alternate members of any committee, who may replace any absent or disqualified member at any meeting of the committee. In the absence or disqualification of a member of a committee, the member or members present at any meeting and not disqualified from voting, whether or not such member or members constitute a quorum, may unanimously appoint another member of the Board of Directors to act at the meeting in the place of any such absent or disqualified member. Any such committee, to the extent provided in the resolution of the Board of Directors, shall have and may exercise all the powers and authority of the Board of Directors in the management of the business and affairs of the Corporation, and may authorize the seal of the Corporation to be affixed to all papers which may require it; but no such committee shall have the power or authority in reference to the following matter: (a) approving or adopting, or recommending to the stockholders, any action or matter expressly required by Delaware Law to be submitted to the stockholders for approval or (b) adopting, amending or repealing any bylaw of the Corporation. Each committee shall keep regular minutes of its meetings and report the same to the Board of Directors when required.

Section 3.09. *Action by Consent.* Unless otherwise restricted by the certificate of incorporation or these bylaws, any action required or permitted to be taken at any meeting of the Board of Directors or of any committee thereof may be taken without a meeting, if all members of the Board or committee, as the case may be, consent thereto in writing or by electronic transmission, and the writing or writings or electronic transmission or transmissions, are filed with the minutes of proceedings of the Board or committee. Such filing shall be in paper form if the minutes are maintained in paper form and shall be in electronic form if the minutes are maintained in electronic form.

Section 3.10. *Telephonic Meetings.* Unless otherwise restricted by the certificate of incorporation or these bylaws, members of the Board of Directors, or any committee designated by the Board of Directors, may participate in a meeting of the Board of Directors, or such committee, as the case may be, by means of conference telephone or other communications equipment by means of which all persons participating in the meeting can hear each other, and such participation in a meeting shall constitute presence in person at the meeting.

Section 3.11. *Resignation.* Any director may resign at any time by giving notice in writing or by electronic transmission to the Board of Directors or to the Secretary of the Corporation. The resignation of any director shall take effect upon receipt of notice thereof or at such later time as shall be specified in such

notice; and unless otherwise specified therein, the acceptance of such resignation shall not be necessary to make it effective.

Section 3.12. *Vacancies.* Unless otherwise provided in the certificate of incorporation, vacancies and newly created directorships resulting from any increase in the authorized number of directors elected by all the stockholders having the right to vote as a single class may be filled by a majority of the directors then in office, although less than a quorum, or by a sole remaining director. Whenever the holders of any class or classes of stock or series thereof are entitled to elect one or more directors by the certificate of incorporation, vacancies and newly created directorships of such class or classes or series may be filled by a majority of directors elected by such class or classes or series thereof then in office, or by a sole remaining director so elected. Each director so chosen shall hold office until his or her successor is elected and qualified, or until his or her earlier death, resignation or removal. If there are no directors in office, then an election of directors may be held in accordance with Delaware Law. Unless otherwise provided in the certificate of incorporation, when one or more directors shall resign from the Board, effective at a future date, a majority of the directors then in office shall have the power to fill such vacancy or vacancies, the vote thereon to take effect when such resignation or resignations shall become effective, and each director so chosen shall hold office as provided in the filling of other vacancies.

Section 3.13. *Removal.* Any director or the entire Board of Directors may be removed, with or without cause, at any time by the affirmative vote of the holders of a majority of the outstanding capital stock of the Corporation then entitled to vote at any election of directors and the vacancies thus created may be filled in accordance with Section 3.12 herein.

Section 3.14. *Compensation.* Unless otherwise restricted by the certificate of incorporation or these bylaws, the Board of Directors shall have authority to fix the compensation of directors, including fees and reimbursement of expenses.

ARTICLE 4 OFFICERS

Section 4.01. *Principal Officers.* The principal officers of the Corporation shall be a President, one or more Vice Presidents, a Treasurer and a Secretary who shall have the duty, among other things, to record the proceedings of the meetings of stockholders and directors in a book kept for that purpose. The Corporation may also have such other principal officers, including one or more Controllers, as the Board may in its discretion appoint. One person may hold the offices and perform the duties of any two or more of said offices, except that no

one person shall hold the offices and perform the duties of President and Secretary.

Section 4.02. *Election, Term of Office and Remuneration.* The principal officers of the Corporation shall be elected annually by the Board of Directors at the annual meeting thereof. Each such officer shall hold office until his or her successor is elected and qualified, or until his or her earlier death, resignation or removal. The remuneration of all officers of the Corporation shall be fixed by the Board of Directors. Any vacancy in any office shall be filled in such manner as the Board of Directors shall determine.

Section 4.03. *Subordinate Officers.* In addition to the principal officers enumerated in Section 4.01 herein, the Corporation may have one or more Assistant Treasurers, Assistant Secretaries and Assistant Controllers and such other subordinate officers, agents and employees as the Board of Directors may deem necessary, each of whom shall hold office for such period as the Board of Directors may from time to time determine. The Board of Directors may delegate to any principal officer the power to appoint and to remove any such subordinate officers, agents or employees.

Section 4.04. *Removal.* Except as otherwise permitted with respect to subordinate officers, any officer may be removed, with or without cause, at any time, by resolution adopted by the Board of Directors.

Section 4.05. *Resignations.* Any officer may resign at any time by giving written notice to the Board of Directors (or to a principal officer if the Board of Directors has delegated to such principal officer the power to appoint and to remove such officer). The resignation of any officer shall take effect upon receipt of notice thereof or at such later time as shall be specified in such notice; and unless otherwise specified therein, the acceptance of such resignation shall not be necessary to make it effective.

Section 4.06. *Powers and Duties.* The officers of the Corporation shall have such powers and perform such duties incident to each of their respective offices and such other duties as may from time to time be conferred upon or assigned to them by the Board of Directors.

ARTICLE 5 CAPITAL STOCK

Section 5.01. *Certificates For Stock; Uncertificated Shares.* The shares of the Corporation shall be represented by certificates, provided that the Board of Directors of the Corporation may provide by resolution or resolutions that some or all of any or all classes or series of its stock shall be uncertificated shares. Any

such resolution shall not apply to shares represented by a certificate until such certificate is surrendered to the Corporation. Except as otherwise provided by law, the rights and obligations of the holders of uncertificated shares and the rights and obligations of the holders of shares represented by certificates of the same class and series shall be identical. Every holder of stock represented by certificates shall be entitled to have a certificate signed by, or in the name of the Corporation by the Chairman or Vice Chairman of the Board of Directors, or the President or Vice President, and by the Treasurer or an assistant Treasurer, or the Secretary or an assistant Secretary of such Corporation representing the number of shares registered in certificate form. Any or all of the signatures on the certificate may be a facsimile. In case any officer, transfer agent or registrar who has signed or whose facsimile signature has been placed upon a certificate shall have ceased to be such officer, transfer agent or registrar before such certificate is issued, it may be issued by the Corporation with the same effect as if such person were such officer, transfer agent or registrar at the date of issue. A Corporation shall not have power to issue a certificate in bearer form.

Section 5.02. *Transfer Of Shares.* Shares of the stock of the Corporation may be transferred on the record of stockholders of the Corporation by the holder thereof or by such holder's duly authorized attorney upon surrender of a certificate therefor properly endorsed or upon receipt of proper transfer instructions from the registered holder of uncertificated shares or by such holder's duly authorized attorney and upon compliance with appropriate procedures for transferring shares in uncertificated form, unless waived by the Corporation.

Section 5.03. *Authority for Additional Rules Regarding Transfer.* The Board of Directors shall have the power and authority to make all such rules and regulations as they may deem expedient concerning the issue, transfer and registration of certificated or uncertificated shares of the stock of the Corporation, as well as for the issuance of new certificates in lieu of those which may be lost or destroyed, and may require of any stockholder requesting replacement of lost or destroyed certificates, bond in such amount and in such form as they may deem expedient to indemnify the Corporation, and/or the transfer agents, and/or the registrars of its stock against any claims arising in connection therewith.

ARTICLE 6 GENERAL PROVISIONS

Section 6.01. *Fixing the Record Date.* (a) In order that the Corporation may determine the stockholders entitled to notice of or to vote at any meeting of stockholders or any adjournment thereof, the Board of Directors may fix a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted by the Board of Directors, and which record date shall not be more than 60 nor less than 10 days before the date of such meeting.

If no record date is fixed by the Board of Directors, the record date for determining stockholders entitled to notice of or to vote at a meeting of stockholders shall be at the close of business on the day next preceding the day on which notice is given, or, if notice is waived, at the close of business on the day next preceding the day on which the meeting is held. A determination of stockholders of record entitled to notice of or to vote at a meeting of stockholders shall apply to any adjournment of the meeting; *provided* that the Board of Directors may fix a new record date for the adjourned meeting.

(b) In order that the Corporation may determine the stockholders entitled to consent to corporate action in writing without a meeting, the Board of Directors may fix a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted by the Board of Directors, and which date shall not be more than 10 days after the date upon which the resolution fixing the record date is adopted by the Board of Directors. If no record date has been fixed by the Board of Directors, the record date for determining stockholders entitled to consent to corporate action in writing without a meeting, when no prior action by the Board of Directors is required by Delaware Law, shall be the first date on which a signed written consent setting forth the action taken or proposed to be taken is delivered to the Corporation by delivery to its registered office in Delaware, its principal place of business, or an officer or agent of the Corporation having custody of the book in which proceedings of meetings of stockholders are recorded. Delivery made to the Corporation's registered office shall be by hand or by certified or registered mail, return receipt requested. If no record date has been fixed by the Board of Directors and prior action by the Board of Directors is required by Delaware Law, the record date for determining stockholders entitled to consent to corporate action in writing without a meeting shall be at the close of business on the day on which the Board of Directors adopts the resolution taking such prior action.

(c) In order that the Corporation may determine the stockholders entitled to receive payment of any dividend or other distribution or allotment of any rights or the stockholders entitled to exercise any rights in respect of any change, conversion or exchange of stock, or for the purpose of any other lawful action, the Board of Directors may fix a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted, and which record date shall be not more than 60 days prior to such action. If no record date is fixed, the record date for determining stockholders for any such purpose shall be at the close of business on the day on which the Board of Directors adopts the resolution relating thereto.

Section 6.02. *Dividends.* Subject to limitations contained in Delaware Law and the certificate of incorporation, the Board of Directors may declare and pay dividends upon the shares of capital stock of the Corporation, which

dividends may be paid either in cash, in property or in shares of the capital stock of the Corporation.

Section 6.03. *Year.* The fiscal year of the Corporation shall commence on January 1 and end on December 31 of each year.

Section 6.04. *Corporate Seal.* The corporate seal shall have inscribed thereon the name of the Corporation, the year of its organization and the words "Corporate Seal, Delaware". The seal may be used by causing it or a facsimile thereof to be impressed, affixed or otherwise reproduced.

Section 6.05. *Voting of Stock Owned by the Corporation.* The Board of Directors may authorize any person, on behalf of the Corporation, to attend, vote at and grant proxies to be used at any meeting of stockholders of any corporation (except this Corporation) in which the Corporation may hold stock.

Section 6.06. *Amendments.* These bylaws or any of them, may be altered, amended or repealed, or new bylaws may be made, by the stockholders entitled to vote thereon at any annual or special meeting thereof or by the Board of Directors.

Delaware

PAGE 1

The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF INCORPORATION OF "OMICRON INTERMEDIATE HOLDINGS CORP.", FILED IN THIS OFFICE ON THE SEVENTH DAY OF FEBRUARY, A.D. 2011, AT 12:51 O'CLOCK P.M.

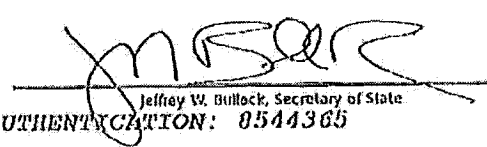
A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.

4936931 0100

110122768

You may verify this certificate online
at corp.delaware.gov/authver.shtml




Jeffrey W. Bullock, Secretary of State
AUTHENTICATION: 0544365

DATE: 02-07-11

CERTIFICATE OF INCORPORATION

OF

OMICRON INTERMEDIATE HOLDINGS CORP.

FIRST: The name of the corporation is Omicron Intermediate Holdings Corp. (the "Corporation").

SECOND: The address of its registered office in the State of Delaware is Corporation Trust Center, 1209 Orange Street, City of Wilmington, County of New Castle, Delaware 19801. The name of its registered agent at such address is The Corporation Trust Company.

THIRD: The purpose of the Corporation is to engage in any lawful act or activity for which corporations may be organized under the General Corporation Law of the State of Delaware as the same exists or may hereafter be amended ("Delaware Law").

FOURTH: The total number of shares of stock which the Corporation shall have authority to issue is 1,000, and the par value of each such share is \$0.01, amounting in the aggregate to \$10.00.

FIFTH: The name and mailing address of the incorporator are:

| <u>Name</u> | <u>Mailing Address</u> |
|-----------------|---|
| Malik M. Khalil | Davis Polk & Wardwell 450 Lexington Avenue New York, New York 10017 |

SIXTH: The Board of Directors shall have the power to adopt, amend or repeal the bylaws of the Corporation.

SEVENTH: Election of directors need not be by written ballot unless the bylaws of the Corporation so provide.

EIGHTH: The Corporation expressly elects not to be governed by Section 203 of Delaware Law.

NINTH: (1) A director of the Corporation shall not be liable to the Corporation or its stockholders for monetary damages for breach of fiduciary duty as a director to the fullest extent permitted by Delaware Law.

(2)(a) Each person (and the heirs, executors or administrators of such person) who was or is a party to or is threatened to be made a party to, or is involved

in any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative or investigative, by reason of the fact that such person is or was a director or officer of the Corporation or is or was serving at the request of the Corporation as a director or officer of another corporation, partnership, joint venture, trust or other enterprise, shall be indemnified and held harmless by the Corporation to the fullest extent permitted by Delaware Law. The right to indemnification conferred in this ARTICLE NINTH shall also include the right to be paid by the Corporation the expenses incurred in connection with any such proceeding in advance of its final disposition to the fullest extent authorized by Delaware Law. The right to indemnification conferred in this ARTICLE NINTH shall be a contract right.

(b) The Corporation may, by action of its Board of Directors, provide indemnification to such of the employees and agents of the Corporation to such extent and to such effect as the Board of Directors shall determine to be appropriate and authorized by Delaware Law.


(3) The Corporation shall have power to purchase and maintain insurance on behalf of any person who is or was a director, officer, employee or agent of the Corporation, or is or was serving at the request of the Corporation as a director, officer, employee or agent of another corporation, partnership, joint venture, trust or other enterprise against any expense, liability or loss incurred by such person in any such capacity or arising out of such person's status as such, whether or not the Corporation would have the power to indemnify such person against such liability under Delaware Law.

(4) The rights and authority conferred in this ARTICLE NINTH shall not be exclusive of any other right which any person may otherwise have or hereafter acquire.

(5) Neither the amendment nor repeal of this ARTICLE NINTH, nor the adoption of any provision of this Certificate of Incorporation or the bylaws of the Corporation, nor, to the fullest extent permitted by Delaware Law, any modification of law, shall adversely affect any right or protection of any person granted pursuant hereto existing at, or arising out of or related to any event, act or omission that occurred prior to, the time of such amendment, repeal, adoption or modification (regardless of when any proceeding (or part thereof) relating to such event, act or omission arises or is first threatened, commenced or completed).

TENTH: The Corporation reserves the right to amend this Certificate of Incorporation in any manner permitted by Delaware Law and all rights and powers conferred herein on stockholders, directors and officers, if any, are subject to this reserved power.

IN WITNESS WHEREOF, the undersigned has executed this Certificate
of Incorporation this 7th day of February, 2011.



Malik M. Khalil
Incorporator

BYLAWS
OF
OMICRON INTERMEDIATE HOLDINGS CORP.

ARTICLE 1
OFFICES

Section 1.01. *Registered Office.* The registered office of the Corporation shall be in the City of Wilmington, County of New Castle, State of Delaware.

Section 1.02. *Other Offices.* The Corporation may also have offices at such other places both within and without the State of Delaware as the Board of Directors may from time to time determine or the business of the Corporation may require.

Section 1.03. *Books.* The books of the Corporation may be kept within or without the State of Delaware as the Board of Directors may from time to time determine or the business of the Corporation may require.

ARTICLE 2
MEETINGS OF STOCKHOLDERS

Section 2.01. *Time and Place of Meetings.* All meetings of stockholders shall be held at such place, either within or without the State of Delaware, on such date and at such time as may be determined from time to time by the Board of Directors (or the Chairman in the absence of a designation by the Board of Directors).

Section 2.02. *Annual Meetings.* Unless directors are elected by written consent in lieu of an annual meeting as permitted by the General Corporation Law of the State of Delaware as the same exists or may hereafter be amended ("Delaware Law"), an annual meeting of stockholders, commencing with the year 2012, shall be held for the election of directors and to transact such other business as may properly be brought before the meeting. Stockholders may, unless the certificate of incorporation otherwise provides, act by written consent to elect directors; *provided, however*, that if such consent is less than unanimous, such action by written consent may be in lieu of holding an annual meeting only if all of the directorships to which directors could be elected at an annual meeting held at the effective time of such action are vacant and are filled by such action.

Section 2.03. *Special Meetings.* Special meetings of stockholders may be called by the Board of Directors or the Chairman of the Board and shall be called by the Secretary at the request in writing of holders of record of a majority of the outstanding capital stock of the Corporation entitled to vote. Such request shall state the purpose or purposes of the proposed meeting.

Section 2.04. *Notice of Meetings and Adjourned Meetings; Waivers of Notice.* (a) Whenever stockholders are required or permitted to take any action at a meeting, a written notice of the meeting shall be given which shall state the place, if any, date and hour of the meeting, the means of remote communications, if any, by which stockholders and proxy holders may be deemed to be present in person and vote at such meeting, and, in the case of a special meeting, the purpose or purposes for which the meeting is called. Unless otherwise provided by Delaware Law, such notice shall be given not less than 10 nor more than 60 days before the date of the meeting to each stockholder of record entitled to vote at such meeting. Unless these bylaws otherwise require, when a meeting is adjourned to another time or place (whether or not a quorum is present), notice need not be given of the adjourned meeting if the time, place, if any, and the means of remote communications, if any, by which stockholders and proxy holders may be deemed to be present in person and vote at such meeting, are announced at the meeting at which the adjournment is taken. At the adjourned meeting, the Corporation may transact any business which might have been transacted at the original meeting. If the adjournment is for more than 30 days, or after the adjournment a new record date is fixed for the adjourned meeting, a notice of the adjourned meeting shall be given to each stockholder of record entitled to vote at the meeting.

(b) A written waiver of any such notice signed by the person entitled thereto, or a waiver by electronic transmission by the person entitled to notice, whether before or after the time stated therein, shall be deemed equivalent to notice. Attendance of a person at a meeting shall constitute a waiver of notice of such meeting, except when the person attends the meeting for the express purpose of objecting, at the beginning of the meeting, to the transaction of any business because the meeting is not lawfully called or convened. Business transacted at any special meeting of stockholders shall be limited to the purposes stated in the notice.

Section 2.05. *Quorum.* Unless otherwise provided under the certificate of incorporation or these bylaws and subject to Delaware Law, the presence, in person or by proxy, of the holders of a majority of the outstanding capital stock of the Corporation entitled to vote at a meeting of stockholders shall constitute a quorum for the transaction of business. If, however, such quorum shall not be present or represented at any meeting of the stockholders, a majority in voting interest of the stockholders present in person or represented by proxy may adjourn the meeting, without notice other than announcement at the meeting, until a quorum shall be present or represented. At such adjourned meeting at which a

quorum shall be present or represented any business may be transacted which might have been transacted at the meeting as originally notified.

Section 2.06. *Voting.* (a) Unless otherwise provided in the certificate of incorporation and subject to Delaware Law, each stockholder shall be entitled to one vote for each outstanding share of capital stock of the Corporation held by such stockholder. Any share of capital stock of the Corporation held by the Corporation shall have no voting rights. Except as otherwise provided by law, the Certificate of Incorporation or these By-Laws, in all matters other than the election of directors, the affirmative vote of the majority of the shares of capital stock of the Corporation present in person or represented by proxy at the meeting and entitled to vote on the subject matter shall be the act of the stockholders.

(b) Each stockholder entitled to vote at a meeting of stockholders or to express consent or dissent to a corporate action in writing without a meeting may authorize another person or persons to act for such stockholder by proxy, appointed by an instrument in writing, subscribed by such stockholder or by his attorney thereunto authorized, or by proxy sent by cable, telegram or by any means of electronic communication permitted by law, which results in a writing from such stockholder or by his attorney, and delivered to the secretary of the meeting. No proxy shall be voted after three (3) years from its date, unless said proxy provides for a longer period.

(c) In determining the number of votes cast for or against a proposal or nominee, shares abstaining from voting on a matter will not be treated as a vote cast.

Section 2.07. *Action by Consent.* (a) Unless otherwise provided in the certificate of incorporation and subject to the proviso in Section 2.02, any action required to be taken at any annual or special meeting of stockholders, or any action which may be taken at any annual or special meeting of stockholders, may be taken without a meeting, without prior notice and without a vote, if a consent or consents in writing, setting forth the action so taken, shall be signed by the holders of outstanding capital stock having not less than the minimum number of votes that would be necessary to authorize or take such action at a meeting at which all shares entitled to vote thereon were present and voted and shall be delivered to the Corporation by delivery to its registered office in Delaware, its principal place of business, or an officer or agent of the Corporation having custody of the book in which proceedings of meetings of stockholders are recorded. Delivery made to the Corporation's registered office shall be by hand or by certified or registered mail, return receipt requested. Prompt notice of the taking of the corporate action without a meeting by less than unanimous written consent shall be given to those stockholders who have not consented in writing and who, if the action had been taken at a meeting, would have been entitled to notice of the meeting if the record date for such meeting had been the date that written consents signed by a sufficient number of stockholders to take the action were delivered to the Corporation as provided in Section 2.07(b).

(b) Every written consent shall bear the date of signature of each stockholder who signs the consent, and no written consent shall be effective to take the corporate action referred to therein unless, within 60 days of the earliest dated consent delivered in the manner required by this section and Delaware Law to the Corporation, written consents signed by a sufficient number of holders to take action are delivered to the Corporation by delivery to its registered office in Delaware, its principal place of business or an officer or agent of the Corporation having custody of the book in which proceedings of meetings of stockholders are recorded. Delivery made to the Corporation's registered office shall be by hand or by certified or registered mail, return receipt requested.

Section 2.08. *Organization.* At each meeting of stockholders, the Chairman of the Board, if one shall have been elected, or in the Chairman's absence or if one shall not have been elected, the director designated by the vote of the majority of the directors present at such meeting, shall act as chairman of the meeting. The Secretary (or in the Secretary's absence or inability to act, the person whom the chairman of the meeting shall appoint secretary of the meeting) shall act as secretary of the meeting and keep the minutes thereof.

Section 2.09. *Order of Business.* The order of business at all meetings of stockholders shall be as determined by the chairman of the meeting.

ARTICLE 3 DIRECTORS

Section 3.01. *General Powers.* Except as otherwise provided in Delaware Law or the certificate of incorporation, the business and affairs of the Corporation shall be managed by or under the direction of the Board of Directors.

Section 3.02. *Number, Election and Term Of Office.* (a) The number of directors which shall constitute the whole Board shall be fixed from time to time by resolution of the Board of Directors but shall not be less than two or more than nine. The directors shall be elected at the annual meeting of the stockholders by written ballot, except as provided in Section 2.02 and Section 3.12 herein, and each director so elected shall hold office until such director's successor is elected and qualified or until such director's earlier death, resignation or removal. Directors need not be stockholders.

(b) Subject to the rights of the holders of any series of preferred stock to elect additional directors under specific circumstances, directors shall be elected by a plurality of the votes of the shares of capital stock of the Corporation present in person or represented by proxy at the meeting and entitled to vote on the election of directors.

Section 3.03. *Quorum and Manner of Acting.* Unless the certificate of incorporation or these bylaws require a greater number, a majority of the total

number of directors shall constitute a quorum for the transaction of business, and the affirmative vote of a majority of the directors present at a meeting at which a quorum is present shall be the act of the Board of Directors. When a meeting is adjourned to another time or place (whether or not a quorum is present), notice need not be given of the adjourned meeting if the time and place thereof are announced at the meeting at which the adjournment is taken. At the adjourned meeting, the Board of Directors may transact any business which might have been transacted at the original meeting. If a quorum shall not be present at any meeting of the Board of Directors the directors present thereat shall adjourn the meeting, from time to time, without notice other than announcement at the meeting, until a quorum shall be present.

Section 3.04. *Time and Place of Meetings.* The Board of Directors shall hold its meetings at such place, either within or without the State of Delaware, and at such time as may be determined from time to time by the Board of Directors (or the Chairman in the absence of a determination by the Board of Directors).

Section 3.05. *Annual Meeting.* The Board of Directors shall meet for the purpose of organization, the election of officers and the transaction of other business, as soon as practicable after each annual meeting of stockholders, on the same day and at the same place where such annual meeting shall be held. Notice of such meeting need not be given. In the event such annual meeting is not so held, the annual meeting of the Board of Directors may be held at such place either within or without the State of Delaware, on such date and at such time as shall be specified in a notice thereof given as hereinafter provided in Section 3.07 herein or in a waiver of notice thereof signed by any director who chooses to waive the requirement of notice.

Section 3.06. *Regular Meetings.* After the place and time of regular meetings of the Board of Directors shall have been determined and notice thereof shall have been once given to each member of the Board of Directors, regular meetings may be held without further notice being given.

Section 3.07. *Special Meetings.* Special meetings of the Board of Directors may be called by the Chairman of the Board or the President and shall be called by the Chairman of the Board, President or Secretary on the written request of two directors. Notice of special meetings of the Board of Directors shall be given to each director at least three days before the date of the meeting in such manner as is determined by the Board of Directors.

Section 3.08. *Committees.* The Board of Directors may designate one or more committees, each committee to consist of one or more of the directors of the Corporation. The Board may designate one or more directors as alternate members of any committee, who may replace any absent or disqualified member at any meeting of the committee. In the absence or disqualification of a member of a committee, the member or members present at any meeting and not

disqualified from voting, whether or not such member or members constitute a quorum, may unanimously appoint another member of the Board of Directors to act at the meeting in the place of any such absent or disqualified member. Any such committee, to the extent provided in the resolution of the Board of Directors, shall have and may exercise all the powers and authority of the Board of Directors in the management of the business and affairs of the Corporation, and may authorize the seal of the Corporation to be affixed to all papers which may require it; but no such committee shall have the power or authority in reference to the following matter: (a) approving or adopting, or recommending to the stockholders, any action or matter expressly required by Delaware Law to be submitted to the stockholders for approval or (b) adopting, amending or repealing any bylaw of the Corporation. Each committee shall keep regular minutes of its meetings and report the same to the Board of Directors when required.

Section 3.09. *Action by Consent.* Unless otherwise restricted by the certificate of incorporation or these bylaws, any action required or permitted to be taken at any meeting of the Board of Directors or of any committee thereof may be taken without a meeting, if all members of the Board or committee, as the case may be, consent thereto in writing or by electronic transmission, and the writing or writings or electronic transmission or transmissions, are filed with the minutes of proceedings of the Board or committee. Such filing shall be in paper form if the minutes are maintained in paper form and shall be in electronic form if the minutes are maintained in electronic form.

Section 3.10. *Telephonic Meetings.* Unless otherwise restricted by the certificate of incorporation or these bylaws, members of the Board of Directors, or any committee designated by the Board of Directors, may participate in a meeting of the Board of Directors, or such committee, as the case may be, by means of conference telephone or other communications equipment by means of which all persons participating in the meeting can hear each other, and such participation in a meeting shall constitute presence in person at the meeting.

Section 3.11. *Resignation.* Any director may resign at any time by giving notice in writing or by electronic transmission to the Board of Directors or to the Secretary of the Corporation. The resignation of any director shall take effect upon receipt of notice thereof or at such later time as shall be specified in such notice; and unless otherwise specified therein, the acceptance of such resignation shall not be necessary to make it effective.

Section 3.12. *Vacancies.* Unless otherwise provided in the certificate of incorporation, vacancies and newly created directorships resulting from any increase in the authorized number of directors elected by all the stockholders having the right to vote as a single class may be filled by a majority of the directors then in office, although less than a quorum, or by a sole remaining director. Whenever the holders of any class or classes of stock or series thereof are entitled to elect one or more directors by the certificate of incorporation, vacancies and newly created directorships of such class or classes or series may

be filled by a majority of directors elected by such class or classes or series thereof then in office, or by a sole remaining director so elected. Each director so chosen shall hold office until his or her successor is elected and qualified, or until his or her earlier death, resignation or removal. If there are no directors in office, then an election of directors may be held in accordance with Delaware Law. Unless otherwise provided in the certificate of incorporation, when one or more directors shall resign from the Board, effective at a future date, a majority of the directors then in office shall have the power to fill such vacancy or vacancies, the vote thereon to take effect when such resignation or resignations shall become effective, and each director so chosen shall hold office as provided in the filling of other vacancies.

Section 3.13. *Removal.* Any director or the entire Board of Directors may be removed, with or without cause, at any time by the affirmative vote of the holders of a majority of the outstanding capital stock of the Corporation then entitled to vote at any election of directors and the vacancies thus created may be filled in accordance with Section 3.12 herein.

Section 3.14. *Compensation.* Unless otherwise restricted by the certificate of incorporation or these bylaws, the Board of Directors shall have authority to fix the compensation of directors, including fees and reimbursement of expenses.

ARTICLE 4 OFFICERS

Section 4.01. *Principal Officers.* The principal officers of the Corporation shall be a President, one or more Vice Presidents, a Treasurer and a Secretary who shall have the duty, among other things, to record the proceedings of the meetings of stockholders and directors in a book kept for that purpose. The Corporation may also have such other principal officers, including one or more Controllers, as the Board may in its discretion appoint. One person may hold the offices and perform the duties of any two or more of said offices, except that no one person shall hold the offices and perform the duties of President and Secretary.

Section 4.02. *Election, Term of Office and Remuneration.* The principal officers of the Corporation shall be elected annually by the Board of Directors at the annual meeting thereof. Each such officer shall hold office until his or her successor is elected and qualified, or until his or her earlier death, resignation or removal. The remuneration of all officers of the Corporation shall be fixed by the Board of Directors. Any vacancy in any office shall be filled in such manner as the Board of Directors shall determine.

Section 4.03. *Subordinate Officers.* In addition to the principal officers enumerated in Section 4.01 herein, the Corporation may have one or more

Assistant Treasurers, Assistant Secretaries and Assistant Controllers and such other subordinate officers, agents and employees as the Board of Directors may deem necessary, each of whom shall hold office for such period as the Board of Directors may from time to time determine. The Board of Directors may delegate to any principal officer the power to appoint and to remove any such subordinate officers, agents or employees.

Section 4.04. *Removal.* Except as otherwise permitted with respect to subordinate officers, any officer may be removed, with or without cause, at any time, by resolution adopted by the Board of Directors.

Section 4.05. *Resignations.* Any officer may resign at any time by giving written notice to the Board of Directors (or to a principal officer if the Board of Directors has delegated to such principal officer the power to appoint and to remove such officer). The resignation of any officer shall take effect upon receipt of notice thereof or at such later time as shall be specified in such notice; and unless otherwise specified therein, the acceptance of such resignation shall not be necessary to make it effective.

Section 4.06. *Powers and Duties.* The officers of the Corporation shall have such powers and perform such duties incident to each of their respective offices and such other duties as may from time to time be conferred upon or assigned to them by the Board of Directors.

ARTICLE 5 CAPITAL STOCK

Section 5.01. *Certificates For Stock; Uncertificated Shares.* The shares of the Corporation shall be represented by certificates, provided that the Board of Directors of the Corporation may provide by resolution or resolutions that some or all of any or all classes or series of its stock shall be uncertificated shares. Any such resolution shall not apply to shares represented by a certificate until such certificate is surrendered to the Corporation. Except as otherwise provided by law, the rights and obligations of the holders of uncertificated shares and the rights and obligations of the holders of shares represented by certificates of the same class and series shall be identical. Every holder of stock represented by certificates shall be entitled to have a certificate signed by, or in the name of the Corporation by the Chairman or Vice Chairman of the Board of Directors, or the President or Vice President, and by the Treasurer or an assistant Treasurer, or the Secretary or an assistant Secretary of such Corporation representing the number of shares registered in certificate form. Any or all of the signatures on the certificate may be a facsimile. In case any officer, transfer agent or registrar who has signed or whose facsimile signature has been placed upon a certificate shall have ceased to be such officer, transfer agent or registrar before such certificate is issued, it may be issued by the Corporation with the same effect as if such person

were such officer, transfer agent or registrar at the date of issue. A Corporation shall not have power to issue a certificate in bearer form.

Section 5.02. *Transfer Of Shares.* Shares of the stock of the Corporation may be transferred on the record of stockholders of the Corporation by the holder thereof or by such holder's duly authorized attorney upon surrender of a certificate therefor properly endorsed or upon receipt of proper transfer instructions from the registered holder of uncertificated shares or by such holder's duly authorized attorney and upon compliance with appropriate procedures for transferring shares in uncertificated form, unless waived by the Corporation.

Section 5.03. *Authority for Additional Rules Regarding Transfer.* The Board of Directors shall have the power and authority to make all such rules and regulations as they may deem expedient concerning the issue, transfer and registration of certificated or uncertificated shares of the stock of the Corporation, as well as for the issuance of new certificates in lieu of those which may be lost or destroyed, and may require of any stockholder requesting replacement of lost or destroyed certificates, bond in such amount and in such form as they may deem expedient to indemnify the Corporation, and/or the transfer agents, and/or the registrars of its stock against any claims arising in connection therewith.

ARTICLE 6 GENERAL PROVISIONS

Section 6.01. *Fixing the Record Date.* (a) In order that the Corporation may determine the stockholders entitled to notice of or to vote at any meeting of stockholders or any adjournment thereof, the Board of Directors may fix a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted by the Board of Directors, and which record date shall not be more than 60 nor less than 10 days before the date of such meeting. If no record date is fixed by the Board of Directors, the record date for determining stockholders entitled to notice of or to vote at a meeting of stockholders shall be at the close of business on the day next preceding the day on which notice is given, or, if notice is waived, at the close of business on the day next preceding the day on which the meeting is held. A determination of stockholders of record entitled to notice of or to vote at a meeting of stockholders shall apply to any adjournment of the meeting; *provided* that the Board of Directors may fix a new record date for the adjourned meeting.

(b) In order that the Corporation may determine the stockholders entitled to consent to corporate action in writing without a meeting, the Board of Directors may fix a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted by the Board of Directors, and which date shall not be more than 10 days after the date upon which the resolution fixing the record date is adopted by the Board of Directors. If no record date has been fixed by the Board of Directors, the record date for

determining stockholders entitled to consent to corporate action in writing without a meeting, when no prior action by the Board of Directors is required by Delaware Law, shall be the first date on which a signed written consent setting forth the action taken or proposed to be taken is delivered to the Corporation by delivery to its registered office in Delaware, its principal place of business, or an officer or agent of the Corporation having custody of the book in which proceedings of meetings of stockholders are recorded. Delivery made to the Corporation's registered office shall be by hand or by certified or registered mail, return receipt requested. If no record date has been fixed by the Board of Directors and prior action by the Board of Directors is required by Delaware Law, the record date for determining stockholders entitled to consent to corporate action in writing without a meeting shall be at the close of business on the day on which the Board of Directors adopts the resolution taking such prior action.

(c) In order that the Corporation may determine the stockholders entitled to receive payment of any dividend or other distribution or allotment of any rights or the stockholders entitled to exercise any rights in respect of any change, conversion or exchange of stock, or for the purpose of any other lawful action, the Board of Directors may fix a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted, and which record date shall be not more than 60 days prior to such action. If no record date is fixed, the record date for determining stockholders for any such purpose shall be at the close of business on the day on which the Board of Directors adopts the resolution relating thereto.

Section 6.02. *Dividends.* Subject to limitations contained in Delaware Law and the certificate of incorporation, the Board of Directors may declare and pay dividends upon the shares of capital stock of the Corporation, which dividends may be paid either in cash, in property or in shares of the capital stock of the Corporation.

Section 6.03. *Year.* The fiscal year of the Corporation shall commence on January 1 and end on December 31 of each year.

Section 6.04. *Corporate Seal.* The corporate seal shall have inscribed thereon the name of the Corporation, the year of its organization and the words "Corporate Seal, Delaware". The seal may be used by causing it or a facsimile thereof to be impressed, affixed or otherwise reproduced.

Section 6.05. *Voting of Stock Owned by the Corporation.* The Board of Directors may authorize any person, on behalf of the Corporation, to attend, vote at and grant proxies to be used at any meeting of stockholders of any corporation (except this Corporation) in which the Corporation may hold stock.

Section 6.06. *Amendments.* These bylaws or any of them, may be altered, amended or repealed, or new bylaws may be made, by the stockholders entitled to

vote thereon at any annual or special meeting thereof or by the Board of Directors.

Delaware

PAGE 1

The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF INCORPORATION OF "OMICRON ACQUISITION CORP.", FILED IN THIS OFFICE ON THE SEVENTH DAY OF FEBRUARY, A.D. 2011, AT 12:48 O'CLOCK P.M.

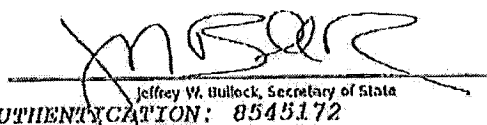
A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.

4936927 8100

110122754

You may verify this certificate online
at corp.delaware.gov/authvar.shtml




Jeffrey W. Bullock, Secretary of State
AUTHENTICATION: 8545172

DATE: 02-07-11

CERTIFICATE OF INCORPORATION

OF

OMICRON ACQUISITION CORP.

FIRST: The name of the corporation is Omicron Acquisition Corp. (the "Corporation").

SECOND: The address of its registered office in the State of Delaware is Corporation Trust Center, 1209 Orange Street, City of Wilmington, County of New Castle, Delaware 19801. The name of its registered agent at such address is The Corporation Trust Company.

THIRD: The purpose of the Corporation is to engage in any lawful act or activity for which corporations may be organized under the General Corporation Law of the State of Delaware as the same exists or may hereafter be amended ("Delaware Law").

FOURTH: The total number of shares of stock which the Corporation shall have authority to issue is 1,000, and the par value of each such share is \$0.01, amounting in the aggregate to \$10.00.

FIFTH: The name and mailing address of the incorporator are:

| <u>Name</u> | <u>Mailing Address</u> |
|-----------------|---|
| Malik M. Khalil | Davis Polk & Wardwell 450 Lexington Avenue New York, New York 10017 |

SIXTH: The Board of Directors shall have the power to adopt, amend or repeal the bylaws of the Corporation.

SEVENTH: Election of directors need not be by written ballot unless the bylaws of the Corporation so provide.

EIGHTH: The Corporation expressly elects not to be governed by Section 203 of Delaware Law.

NINTH: (1) A director of the Corporation shall not be liable to the Corporation or its stockholders for monetary damages for breach of fiduciary duty as a director to the fullest extent permitted by Delaware Law.

(2)(a) Each person (and the heirs, executors or administrators of such person) who was or is a party or is threatened to be made a party to, or is involved

In any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative or investigative, by reason of the fact that such person is or was a director or officer of the Corporation or is or was serving at the request of the Corporation as a director or officer of another corporation, partnership, joint venture, trust or other enterprise, shall be indemnified and held harmless by the Corporation to the fullest extent permitted by Delaware Law. The right to indemnification conferred in this ARTICLE NINTH shall also include the right to be paid by the Corporation the expenses incurred in connection with any such proceeding in advance of its final disposition to the fullest extent authorized by Delaware Law. The right to indemnification conferred in this ARTICLE NINTH shall be a contract right.

(b) The Corporation may, by action of its Board of Directors, provide indemnification to such of the employees and agents of the Corporation to such extent and to such effect as the Board of Directors shall determine to be appropriate and authorized by Delaware Law.


(3) The Corporation shall have power to purchase and maintain insurance on behalf of any person who is or was a director, officer, employee or agent of the Corporation, or is or was serving at the request of the Corporation as a director, officer, employee or agent of another corporation, partnership, joint venture, trust or other enterprise against any expense, liability or loss incurred by such person in any such capacity or arising out of such person's status as such, whether or not the Corporation would have the power to indemnify such person against such liability under Delaware Law.

(4) The rights and authority conferred in this ARTICLE NINTH shall not be exclusive of any other right which any person may otherwise have or hereafter acquire.

(5) Neither the amendment nor repeal of this ARTICLE NINTH, nor the adoption of any provision of this Certificate of Incorporation or the bylaws of the Corporation, nor, to the fullest extent permitted by Delaware Law, any modification of law, shall adversely affect any right or protection of any person granted pursuant hereto existing at, or arising out of or related to any event, act or omission that occurred prior to, the time of such amendment, repeal, adoption or modification (regardless of when any proceeding (or part thereof) relating to such event, act or omission arises or is first threatened, commenced or completed).

TENTH: The Corporation reserves the right to amend this Certificate of Incorporation in any manner permitted by Delaware Law and all rights and powers conferred herein on stockholders, directors and officers, if any, are subject to this reserved power.

IN WITNESS WHEREOF, the undersigned has executed this Certificate of Incorporation this 7th day of February, 2011.


Malik M. Khalil
Incorporator

BYLAWS
OF
OMICRON ACQUISITION CORP.

ARTICLE 1
OFFICES

Section 1.01. *Registered Office.* The registered office of the Corporation shall be in the City of Wilmington, County of New Castle, State of Delaware.

Section 1.02. *Other Offices.* The Corporation may also have offices at such other places both within and without the State of Delaware as the Board of Directors may from time to time determine or the business of the Corporation may require.

Section 1.03. *Books.* The books of the Corporation may be kept within or without the State of Delaware as the Board of Directors may from time to time determine or the business of the Corporation may require.

ARTICLE 2
MEETINGS OF STOCKHOLDERS

Section 2.01. *Time and Place of Meetings.* All meetings of stockholders shall be held at such place, either within or without the State of Delaware, on such date and at such time as may be determined from time to time by the Board of Directors (or the Chairman in the absence of a designation by the Board of Directors).

Section 2.02. *Annual Meetings.* Unless directors are elected by written consent in lieu of an annual meeting as permitted by the General Corporation Law of the State of Delaware as the same exists or may hereafter be amended ("Delaware Law"), an annual meeting of stockholders, commencing with the year 2012, shall be held for the election of directors and to transact such other business as may properly be brought before the meeting. Stockholders may, unless the certificate of incorporation otherwise provides, act by written consent to elect directors; *provided, however*, that if such consent is less than unanimous, such action by written consent may be in lieu of holding an annual meeting only if all of the directorships to which directors could be elected at an annual meeting held at the effective time of such action are vacant and are filled by such action.

Section 2.03. *Special Meetings.* Special meetings of stockholders may be called by the Board of Directors or the Chairman of the Board and shall be called by the Secretary at the request in writing of holders of record of a majority of the outstanding capital stock of the Corporation entitled to vote. Such request shall state the purpose or purposes of the proposed meeting.

Section 2.04. *Notice of Meetings and Adjourned Meetings; Waivers of Notice.* (a) Whenever stockholders are required or permitted to take any action at a meeting, a written notice of the meeting shall be given which shall state the place, if any, date and hour of the meeting, the means of remote communications, if any, by which stockholders and proxy holders may be deemed to be present in person and vote at such meeting, and, in the case of a special meeting, the purpose or purposes for which the meeting is called. Unless otherwise provided by Delaware Law, such notice shall be given not less than 10 nor more than 60 days before the date of the meeting to each stockholder of record entitled to vote at such meeting. Unless these bylaws otherwise require, when a meeting is adjourned to another time or place (whether or not a quorum is present), notice need not be given of the adjourned meeting if the time, place, if any, and the means of remote communications, if any, by which stockholders and proxy holders may be deemed to be present in person and vote at such meeting, are announced at the meeting at which the adjournment is taken. At the adjourned meeting, the Corporation may transact any business which might have been transacted at the original meeting. If the adjournment is for more than 30 days, or after the adjournment a new record date is fixed for the adjourned meeting, a notice of the adjourned meeting shall be given to each stockholder of record entitled to vote at the meeting.

(b) A written waiver of any such notice signed by the person entitled thereto, or a waiver by electronic transmission by the person entitled to notice, whether before or after the time stated therein, shall be deemed equivalent to notice. Attendance of a person at a meeting shall constitute a waiver of notice of such meeting, except when the person attends the meeting for the express purpose of objecting, at the beginning of the meeting, to the transaction of any business because the meeting is not lawfully called or convened. Business transacted at any special meeting of stockholders shall be limited to the purposes stated in the notice.

Section 2.05. *Quorum.* Unless otherwise provided under the certificate of incorporation or these bylaws and subject to Delaware Law, the presence, in person or by proxy, of the holders of a majority of the outstanding capital stock of the Corporation entitled to vote at a meeting of stockholders shall constitute a quorum for the transaction of business. If, however, such quorum shall not be present or represented at any meeting of the stockholders, a majority in voting interest of the stockholders present in person or represented by proxy may adjourn the meeting, without notice other than announcement at the meeting, until a quorum shall be present or represented. At such adjourned meeting at which a

quorum shall be present or represented any business may be transacted which might have been transacted at the meeting as originally notified.

Section 2.06. *Voting.* (a) Unless otherwise provided in the certificate of incorporation and subject to Delaware Law, each stockholder shall be entitled to one vote for each outstanding share of capital stock of the Corporation held by such stockholder. Any share of capital stock of the Corporation held by the Corporation shall have no voting rights. Except as otherwise provided by law, the Certificate of Incorporation or these By-Laws, in all matters other than the election of directors, the affirmative vote of the majority of the shares of capital stock of the Corporation present in person or represented by proxy at the meeting and entitled to vote on the subject matter shall be the act of the stockholders.

(b) Each stockholder entitled to vote at a meeting of stockholders or to express consent or dissent to a corporate action in writing without a meeting may authorize another person or persons to act for such stockholder by proxy, appointed by an instrument in writing, subscribed by such stockholder or by his attorney thereunto authorized, or by proxy sent by cable, telegram or by any means of electronic communication permitted by law, which results in a writing from such stockholder or by his attorney, and delivered to the secretary of the meeting. No proxy shall be voted after three (3) years from its date, unless said proxy provides for a longer period.

(c) In determining the number of votes cast for or against a proposal or nominee, shares abstaining from voting on a matter will not be treated as a vote cast.

Section 2.07. *Action by Consent.* (a) Unless otherwise provided in the certificate of incorporation and subject to the proviso in Section 2.02, any action required to be taken at any annual or special meeting of stockholders, or any action which may be taken at any annual or special meeting of stockholders, may be taken without a meeting, without prior notice and without a vote, if a consent or consents in writing, setting forth the action so taken, shall be signed by the holders of outstanding capital stock having not less than the minimum number of votes that would be necessary to authorize or take such action at a meeting at which all shares entitled to vote thereon were present and voted and shall be delivered to the Corporation by delivery to its registered office in Delaware, its principal place of business, or an officer or agent of the Corporation having custody of the book in which proceedings of meetings of stockholders are recorded. Delivery made to the Corporation's registered office shall be by hand or by certified or registered mail, return receipt requested. Prompt notice of the taking of the corporate action without a meeting by less than unanimous written consent shall be given to those stockholders who have not consented in writing and who, if the action had been taken at a meeting, would have been entitled to notice of the meeting if the record date for such meeting had been the date that written consents signed by a sufficient number of stockholders to take the action were delivered to the Corporation as provided in Section 2.07(b).

(b) Every written consent shall bear the date of signature of each stockholder who signs the consent, and no written consent shall be effective to take the corporate action referred to therein unless, within 60 days of the earliest dated consent delivered in the manner required by this section and Delaware Law to the Corporation, written consents signed by a sufficient number of holders to take action are delivered to the Corporation by delivery to its registered office in Delaware, its principal place of business or an officer or agent of the Corporation having custody of the book in which proceedings of meetings of stockholders are recorded. Delivery made to the Corporation's registered office shall be by hand or by certified or registered mail, return receipt requested.

Section 2.08. *Organization.* At each meeting of stockholders, the Chairman of the Board, if one shall have been elected, or in the Chairman's absence or if one shall not have been elected, the director designated by the vote of the majority of the directors present at such meeting, shall act as chairman of the meeting. The Secretary (or in the Secretary's absence or inability to act, the person whom the chairman of the meeting shall appoint secretary of the meeting) shall act as secretary of the meeting and keep the minutes thereof.

Section 2.09. *Order of Business.* The order of business at all meetings of stockholders shall be as determined by the chairman of the meeting.

ARTICLE 3 DIRECTORS

Section 3.01. *General Powers.* Except as otherwise provided in Delaware Law or the certificate of incorporation, the business and affairs of the Corporation shall be managed by or under the direction of the Board of Directors.

Section 3.02. *Number, Election and Term Of Office.* (a) The number of directors which shall constitute the whole Board shall be fixed from time to time by resolution of the Board of Directors but shall not be less than two or more than nine. The directors shall be elected at the annual meeting of the stockholders by written ballot, except as provided in Section 2.02 and Section 3.12 herein, and each director so elected shall hold office until such director's successor is elected and qualified or until such director's earlier death, resignation or removal. Directors need not be stockholders.

(b) Subject to the rights of the holders of any series of preferred stock to elect additional directors under specific circumstances, directors shall be elected by a plurality of the votes of the shares of capital stock of the Corporation present in person or represented by proxy at the meeting and entitled to vote on the election of directors.

Section 3.03. *Quorum and Manner of Acting.* Unless the certificate of incorporation or these bylaws require a greater number, a majority of the total

number of directors shall constitute a quorum for the transaction of business, and the affirmative vote of a majority of the directors present at a meeting at which a quorum is present shall be the act of the Board of Directors. When a meeting is adjourned to another time or place (whether or not a quorum is present), notice need not be given of the adjourned meeting if the time and place thereof are announced at the meeting at which the adjournment is taken. At the adjourned meeting, the Board of Directors may transact any business which might have been transacted at the original meeting. If a quorum shall not be present at any meeting of the Board of Directors the directors present thereat shall adjourn the meeting, from time to time, without notice other than announcement at the meeting, until a quorum shall be present.

Section 3.04. *Time and Place of Meetings.* The Board of Directors shall hold its meetings at such place, either within or without the State of Delaware, and at such time as may be determined from time to time by the Board of Directors (or the Chairman in the absence of a determination by the Board of Directors).

Section 3.05. *Annual Meeting.* The Board of Directors shall meet for the purpose of organization, the election of officers and the transaction of other business, as soon as practicable after each annual meeting of stockholders, on the same day and at the same place where such annual meeting shall be held. Notice of such meeting need not be given. In the event such annual meeting is not so held, the annual meeting of the Board of Directors may be held at such place either within or without the State of Delaware, on such date and at such time as shall be specified in a notice thereof given as hereinafter provided in Section 3.07 herein or in a waiver of notice thereof signed by any director who chooses to waive the requirement of notice.

Section 3.06. *Regular Meetings.* After the place and time of regular meetings of the Board of Directors shall have been determined and notice thereof shall have been once given to each member of the Board of Directors, regular meetings may be held without further notice being given.

Section 3.07. *Special Meetings.* Special meetings of the Board of Directors may be called by the Chairman of the Board or the President and shall be called by the Chairman of the Board, President or Secretary on the written request of two directors. Notice of special meetings of the Board of Directors shall be given to each director at least three days before the date of the meeting in such manner as is determined by the Board of Directors.

Section 3.08. *Committees.* The Board of Directors may designate one or more committees, each committee to consist of one or more of the directors of the Corporation. The Board may designate one or more directors as alternate members of any committee, who may replace any absent or disqualified member at any meeting of the committee. In the absence or disqualification of a member of a committee, the member or members present at any meeting and not

disqualified from voting, whether or not such member or members constitute a quorum, may unanimously appoint another member of the Board of Directors to act at the meeting in the place of any such absent or disqualified member. Any such committee, to the extent provided in the resolution of the Board of Directors, shall have and may exercise all the powers and authority of the Board of Directors in the management of the business and affairs of the Corporation, and may authorize the seal of the Corporation to be affixed to all papers which may require it; but no such committee shall have the power or authority in reference to the following matter: (a) approving or adopting, or recommending to the stockholders, any action or matter expressly required by Delaware Law to be submitted to the stockholders for approval or (b) adopting, amending or repealing any bylaw of the Corporation. Each committee shall keep regular minutes of its meetings and report the same to the Board of Directors when required.

Section 3.09. *Action by Consent.* Unless otherwise restricted by the certificate of incorporation or these bylaws, any action required or permitted to be taken at any meeting of the Board of Directors or of any committee thereof may be taken without a meeting, if all members of the Board or committee, as the case may be, consent thereto in writing or by electronic transmission, and the writing or writings or electronic transmission or transmissions, are filed with the minutes of proceedings of the Board or committee. Such filing shall be in paper form if the minutes are maintained in paper form and shall be in electronic form if the minutes are maintained in electronic form.

Section 3.10. *Telephonic Meetings.* Unless otherwise restricted by the certificate of incorporation or these bylaws, members of the Board of Directors, or any committee designated by the Board of Directors, may participate in a meeting of the Board of Directors, or such committee, as the case may be, by means of conference telephone or other communications equipment by means of which all persons participating in the meeting can hear each other, and such participation in a meeting shall constitute presence in person at the meeting.

Section 3.11. *Resignation.* Any director may resign at any time by giving notice in writing or by electronic transmission to the Board of Directors or to the Secretary of the Corporation. The resignation of any director shall take effect upon receipt of notice thereof or at such later time as shall be specified in such notice; and unless otherwise specified therein, the acceptance of such resignation shall not be necessary to make it effective.

Section 3.12. *Vacancies.* Unless otherwise provided in the certificate of incorporation, vacancies and newly created directorships resulting from any increase in the authorized number of directors elected by all the stockholders having the right to vote as a single class may be filled by a majority of the directors then in office, although less than a quorum, or by a sole remaining director. Whenever the holders of any class or classes of stock or series thereof are entitled to elect one or more directors by the certificate of incorporation, vacancies and newly created directorships of such class or classes or series may

be filled by a majority of directors elected by such class or classes or series thereof then in office, or by a sole remaining director so elected. Each director so chosen shall hold office until his or her successor is elected and qualified, or until his or her earlier death, resignation or removal. If there are no directors in office, then an election of directors may be held in accordance with Delaware Law. Unless otherwise provided in the certificate of incorporation, when one or more directors shall resign from the Board, effective at a future date, a majority of the directors then in office shall have the power to fill such vacancy or vacancies, the vote thereon to take effect when such resignation or resignations shall become effective, and each director so chosen shall hold office as provided in the filling of other vacancies.

Section 3.13. *Removal.* Any director or the entire Board of Directors may be removed, with or without cause, at any time by the affirmative vote of the holders of a majority of the outstanding capital stock of the Corporation then entitled to vote at any election of directors and the vacancies thus created may be filled in accordance with Section 3.12 herein.

Section 3.14. *Compensation.* Unless otherwise restricted by the certificate of incorporation or these bylaws, the Board of Directors shall have authority to fix the compensation of directors, including fees and reimbursement of expenses.

ARTICLE 4 OFFICERS

Section 4.01. *Principal Officers.* The principal officers of the Corporation shall be a President, one or more Vice Presidents, a Treasurer and a Secretary who shall have the duty, among other things, to record the proceedings of the meetings of stockholders and directors in a book kept for that purpose. The Corporation may also have such other principal officers, including one or more Controllers, as the Board may in its discretion appoint. One person may hold the offices and perform the duties of any two or more of said offices, except that no one person shall hold the offices and perform the duties of President and Secretary.

Section 4.02. *Election, Term of Office and Remuneration.* The principal officers of the Corporation shall be elected annually by the Board of Directors at the annual meeting thereof. Each such officer shall hold office until his or her successor is elected and qualified, or until his or her earlier death, resignation or removal. The remuneration of all officers of the Corporation shall be fixed by the Board of Directors. Any vacancy in any office shall be filled in such manner as the Board of Directors shall determine.

Section 4.03. *Subordinate Officers.* In addition to the principal officers enumerated in Section 4.01 herein, the Corporation may have one or more

Assistant Treasurers, Assistant Secretaries and Assistant Controllers and such other subordinate officers, agents and employees as the Board of Directors may deem necessary, each of whom shall hold office for such period as the Board of Directors may from time to time determine. The Board of Directors may delegate to any principal officer the power to appoint and to remove any such subordinate officers, agents or employees.

Section 4.04. *Removal.* Except as otherwise permitted with respect to subordinate officers, any officer may be removed, with or without cause, at any time, by resolution adopted by the Board of Directors.

Section 4.05. *Resignations.* Any officer may resign at any time by giving written notice to the Board of Directors (or to a principal officer if the Board of Directors has delegated to such principal officer the power to appoint and to remove such officer). The resignation of any officer shall take effect upon receipt of notice thereof or at such later time as shall be specified in such notice; and unless otherwise specified therein, the acceptance of such resignation shall not be necessary to make it effective.

Section 4.06. *Powers and Duties.* The officers of the Corporation shall have such powers and perform such duties incident to each of their respective offices and such other duties as may from time to time be conferred upon or assigned to them by the Board of Directors.

ARTICLE 5 CAPITAL STOCK

Section 5.01. *Certificates For Stock; Uncertificated Shares.* The shares of the Corporation shall be represented by certificates, provided that the Board of Directors of the Corporation may provide by resolution or resolutions that some or all of any or all classes or series of its stock shall be uncertificated shares. Any such resolution shall not apply to shares represented by a certificate until such certificate is surrendered to the Corporation. Except as otherwise provided by law, the rights and obligations of the holders of uncertificated shares and the rights and obligations of the holders of shares represented by certificates of the same class and series shall be identical. Every holder of stock represented by certificates shall be entitled to have a certificate signed by, or in the name of the Corporation by the Chairman or Vice Chairman of the Board of Directors, or the President or Vice President, and by the Treasurer or an assistant Treasurer, or the Secretary or an assistant Secretary of such Corporation representing the number of shares registered in certificate form. Any or all of the signatures on the certificate may be a facsimile. In case any officer, transfer agent or registrar who has signed or whose facsimile signature has been placed upon a certificate shall have ceased to be such officer, transfer agent or registrar before such certificate is issued, it may be issued by the Corporation with the same effect as if such person

were such officer, transfer agent or registrar at the date of issue. A Corporation shall not have power to issue a certificate in bearer form.

Section 5.02. *Transfer Of Shares.* Shares of the stock of the Corporation may be transferred on the record of stockholders of the Corporation by the holder thereof or by such holder's duly authorized attorney upon surrender of a certificate therefor properly endorsed or upon receipt of proper transfer instructions from the registered holder of uncertificated shares or by such holder's duly authorized attorney and upon compliance with appropriate procedures for transferring shares in uncertificated form, unless waived by the Corporation.

Section 5.03. *Authority for Additional Rules Regarding Transfer.* The Board of Directors shall have the power and authority to make all such rules and regulations as they may deem expedient concerning the issue, transfer and registration of certificated or uncertificated shares of the stock of the Corporation, as well as for the issuance of new certificates in lieu of those which may be lost or destroyed, and may require of any stockholder requesting replacement of lost or destroyed certificates, bond in such amount and in such form as they may deem expedient to indemnify the Corporation, and/or the transfer agents, and/or the registrars of its stock against any claims arising in connection therewith.

ARTICLE 6 GENERAL PROVISIONS

Section 6.01. *Fixing the Record Date.* (a) In order that the Corporation may determine the stockholders entitled to notice of or to vote at any meeting of stockholders or any adjournment thereof, the Board of Directors may fix a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted by the Board of Directors, and which record date shall not be more than 60 nor less than 10 days before the date of such meeting. If no record date is fixed by the Board of Directors, the record date for determining stockholders entitled to notice of or to vote at a meeting of stockholders shall be at the close of business on the day next preceding the day on which notice is given, or, if notice is waived, at the close of business on the day next preceding the day on which the meeting is held. A determination of stockholders of record entitled to notice of or to vote at a meeting of stockholders shall apply to any adjournment of the meeting; *provided* that the Board of Directors may fix a new record date for the adjourned meeting.

(b) In order that the Corporation may determine the stockholders entitled to consent to corporate action in writing without a meeting, the Board of Directors may fix a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted by the Board of Directors, and which date shall not be more than 10 days after the date upon which the resolution fixing the record date is adopted by the Board of Directors. If no record date has been fixed by the Board of Directors, the record date for

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(b) In order that the Corporation may determine the stockholders entitled to consent to corporate action in writing without a meeting, the Board of Directors may fix a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted by the Board of Directors, and which date shall not be more than 10 days after the date upon which the resolution fixing the record date is adopted by the Board of Directors. If no record date has been fixed by the Board of Directors, the record date for

determining stockholders entitled to consent to corporate action in writing without a meeting, when no prior action by the Board of Directors is required by Delaware Law, shall be the first date on which a signed written consent setting forth the action taken or proposed to be taken is delivered to the Corporation by delivery to its registered office in Delaware, its principal place of business, or an officer or agent of the Corporation having custody of the book in which proceedings of meetings of stockholders are recorded. Delivery made to the Corporation's registered office shall be by hand or by certified or registered mail, return receipt requested. If no record date has been fixed by the Board of Directors and prior action by the Board of Directors is required by Delaware Law, the record date for determining stockholders entitled to consent to corporate action in writing without a meeting shall be at the close of business on the day on which the Board of Directors adopts the resolution taking such prior action.

(c) In order that the Corporation may determine the stockholders entitled to receive payment of any dividend or other distribution or allotment of any rights or the stockholders entitled to exercise any rights in respect of any change, conversion or exchange of stock, or for the purpose of any other lawful action, the Board of Directors may fix a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted, and which record date shall be not more than 60 days prior to such action. If no record date is fixed, the record date for determining stockholders for any such purpose shall be at the close of business on the day on which the Board of Directors adopts the resolution relating thereto.

Section 6.02. *Dividends.* Subject to limitations contained in Delaware Law and the certificate of incorporation, the Board of Directors may declare and pay dividends upon the shares of capital stock of the Corporation, which dividends may be paid either in cash, in property or in shares of the capital stock of the Corporation.

Section 6.03. *Year.* The fiscal year of the Corporation shall commence on January 1 and end on December 31 of each year.

Section 6.04. *Corporate Seal.* The corporate seal shall have inscribed thereon the name of the Corporation, the year of its organization and the words "Corporate Seal, Delaware". The seal may be used by causing it or a facsimile thereof to be impressed, affixed or otherwise reproduced.

Section 6.05. *Voting of Stock Owned by the Corporation.* The Board of Directors may authorize any person, on behalf of the Corporation, to attend, vote at and grant proxies to be used at any meeting of stockholders of any corporation (except this Corporation) in which the Corporation may hold stock.

Section 6.06. *Amendments.* These bylaws or any of them, may be altered, amended or repealed, or new bylaws may be made, by the stockholders entitled to

vote thereon at any annual or special meeting thereof or by the Board of Directors.



CERTIFICATE OF INCORPORATION
OF A PRIVATE LIMITED COMPANY

Company No. 6547680

The Registrar of Companies for England and Wales hereby certifies that
BATS TRADING LIMITED

is this day incorporated under the Companies Act 1985 as a private
company and that the company is limited.

Given at Companies House, Cardiff, the 28th March 2008



Companies House
— for the record —

The above information was communicated in non-legible form and authenticated by the
Registrar of Companies under section 710A of the Companies Act 1985

The Companies Acts 1985 to 2006
Private Company Limited by Shares
Company Number: 6547680

MEMORANDUM AND ARTICLES OF ASSOCIATION

BATS Trading Limited

Incorporated the 28th March 2008

Speechly Bircham LLP
Solicitors
6 Andrew Street
London
EC4A 3LX
Tel: 020 7427 6400
Fax: 020 7427 6600

THE COMPANIES ACTS 1985 to 2006

PRIVATE COMPANY LIMITED BY SHARES

MEMORANDUM OF ASSOCIATION OF

BATS Trading Limited

1. The Company's name is "BATS Trading Limited".
2. The Company's registered office is to be situated in England and Wales.
- 3.1 The object of the Company is to carry on business as a general commercial company.

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3.2 Without prejudice to the generality of the object and the powers of the Company derived from section 3A of the Act the Company has power to do all or any of the following things:-

3.2.1 To purchase or by any other means acquire and take options over any property whatever; and any rights or privileges of any kind over or in respect of any property.

3.2.2 To apply for, register, purchase, or by other means acquire and protect, prolong and renew, whether in the United Kingdom or elsewhere, any trade marks, patents, copyrights, trade secrets, or other intellectual property rights, licences, secret processes, designs, protections and concessions and to disclaim, alter, modify, use and turn to account and to manufacture under or grant licences or privileges in respect of the same, and to expend money in experimenting upon, testing and improving any patents, inventions or rights which the Company may acquire or propose to acquire.

3.2.3 To acquire or undertake the whole or any part of the business, goodwill, and assets of any person, firm, or company carrying on or proposing to carry on any of the businesses which the Company is authorised to carry on and as part of the consideration for such acquisition to undertake all or any of the liabilities of such person, firm or company, or to acquire an interest in, amalgamate with, or enter into partnership or into any arrangement for sharing profits, or for co-operation, or for mutual assistance with any such person, firm or company, or for subsidising or otherwise assisting any such person, firm or company, and to give or accept, by way of consideration for any of the acts or things aforesaid or property acquired, any shares, debentures, debenture stock or securities that may be agreed upon, and to hold and retain, or sell, mortgage and deal with any shares, debentures, debenture stock or securities so received.

3.2.4 To improve, manage, construct, repair, develop, exchange, let on lease or otherwise, mortgage, charge, sell, dispose of, turn to account, grant licences, options, rights and privileges in respect of, or otherwise deal with all or any part of the property and rights of the Company.

3.2.5 To invest and deal with the moneys of the Company not immediately required in such manner as may from time to time be determined and to hold or otherwise deal with any investments made.

3.2.6 To lend and advance money or give credit on any terms and with or without security to any person, firm or company (including without prejudice to the generality of the foregoing any holding company, subsidiary or fellow subsidiary of, or any other company associated in any way with, the Company), to enter into guarantees, contracts of indemnity and suretyships of all kinds, to receive money on deposit or loan upon any terms, and to secure or guarantee in any manner and upon any terms the payment of any sum of money or the performance of any obligation by any person, firm or company (including without prejudice to the generality of the foregoing any such holding company, subsidiary, fellow subsidiary or associated company as aforesaid).

3.2.7 To borrow and raise money in any manner and to secure the repayment of any money borrowed, raised or owing by mortgage, charge, standard security, lien or other security upon the whole or any part of the Company's property or assets (whether present or future), including its uncalled capital, and also by a similar mortgage, charge, standard security, lien or security to secure and guarantee the performance by the Company of any obligation or liability it may undertake or which may become binding on it.

3.2.8 To draw, make, accept, endorse, discount, negotiate, execute and issue cheques, bills of exchange, promissory notes, bills of lading, warrants, debentures, and other negotiable or transferable instruments.

3.2.9 To apply for, promote, and obtain any Act of Parliament, order, or licence of the Department of Trade or other authority for enabling the Company to carry any of its objects into effect, or for effecting any modification of the Company's constitution, or for any other purpose which may seem calculated directly or indirectly to promote the Company's interests, and to oppose any proceedings or applications which may seem calculated directly or indirectly to prejudice the Company's interests.

3.2.10 To enter into any arrangements with any government or authority (supreme, municipal, local, or otherwise) that may seem conducive to the attainment of the Company's objects or any of them, and to obtain from any such government or authority any charters, decrees, rights, privileges or concessions which the Company may think desirable and to carry out, exercise, and comply with any such charters, decrees, rights, privileges, and concessions.

3.2.11 To subscribe for, take, purchase, or otherwise acquire, hold, sell, deal with and dispose of, place and underwrite shares, stocks, debentures, debenture stocks, bonds, obligations or securities issued or guaranteed by any other company constituted or carrying on business in any part of the world, and debentures, debenture stocks, bonds, obligations or securities issued or guaranteed by any government or authority, municipal, local or otherwise, in any part of the world.

3.2.12 To control, manage, finance, subsidise, co-ordinate or otherwise assist any company or companies in which the Company has a direct or indirect financial interest, to provide secretarial, administrative, technical, commercial and other services and facilities of all kinds for any such company or companies and to make payments by way of subvention or otherwise and any other arrangements which may seem desirable with respect to any business or operations of or generally with respect to any such company or companies.

3.2.13 To promote any other company for the purpose of acquiring the whole or any part of the business or property or undertaking or any of the liabilities of the Company, or of undertaking any business or operations which may appear likely to assist or benefit the Company or to enhance the value of any property or business of the Company, and to place or guarantee the placing of, underwrite, subscribe for, or otherwise acquire all or any part of the shares or securities of any such company as aforesaid.

3.2.14 To sell or otherwise dispose of the whole or any part of the business or property of the Company, either together or in portions, for such consideration as the Company may think fit, and in particular for shares, debentures, or securities of any company purchasing the same.

3.2.15 To act as agents or brokers and as trustees for any person, firm or company, and to undertake and perform sub-contracts.

3.2.16 To remunerate any person, firm or company rendering services to the Company either by cash payment or by the allotment of shares or other securities of the Company credited as paid up in full or in part or otherwise as may be thought expedient.

3.2.17 To distribute among the members of the Company in kind any property of the Company of whatever nature.

3.2.18 To pay all or any expenses incurred in connection with the promotion, formation and incorporation of the Company, or to contract with any person, firm or company to pay the same, and to pay commissions to brokers and others for underwriting, placing, selling, or guaranteeing the subscription of any shares or other securities of the Company.

3.2.19 To support and subscribe to any charitable or public object and to support and subscribe to any institution, society, or club which may be for the benefit of the Company or its directors or employees, or may be connected with any town or place where the Company carries on business; to give or award pensions, annuities, gratuities, and superannuation or other allowances or benefits or charitable aid and generally to provide advantages, facilities and services for any persons who are or have been directors of, or who are or have been employed by, or who are serving or have served the Company, or any company which is a subsidiary of the Company or the holding company of the Company or a fellow subsidiary of the Company or the predecessors in business of the Company or of any such subsidiary, holding or fellow subsidiary company and to the wives, widows, children and other relatives and dependants of such persons; to make payments towards insurance including insurance for any director, officer or auditor against any liability in respect of any negligence, default, breach of duty or breach of trust (so far as permitted by law); and to set up, establish, support and maintain superannuation and other funds or schemes (whether contributory or non-contributory) for the benefit of any of such persons and of their wives, widows, children and other relatives and dependants; and to set up, establish, support and maintain profit sharing or share purchase schemes for the benefit of any of the employees of the Company or of any such subsidiary, holding or fellow subsidiary company and to lend money to any such employees or to trustees on their behalf to enable any such schemes to be established or maintained.

3.2.20 Subject to and in accordance with the provisions of the Act (if and so far as such provisions shall be applicable) to give, directly or indirectly, financial assistance for the acquisition of shares or other securities of the Company or of any other company or for the reduction or discharge of any liability incurred in respect of such acquisition.

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3.2.21 To procure the Company to be registered or recognised in any part of the world.

3.2.22 To do all or any of the things or matters aforesaid in any part of the world and either as principals, agents, contractors or otherwise, and by or through agents, brokers, sub-contractors or otherwise and either alone or in conjunction with others.

3.2.23 To do all such other things as may be deemed incidental or conducive to the attainment of the Company's objects or any of them.

3.2.24 AND so that:-

3.2.24.1 None of the provisions set forth in any sub-clause of this clause shall be restrictively construed but the widest interpretation shall be given to each such provision, and none of such provisions shall, except where the context expressly so requires, be in any way limited or restricted by reference to or inference from any other provision set forth in such sub-clause, or by reference to or inference from the terms of any other sub-clause of this clause, or by reference to or inference from the name of the Company.

3.2.24.2 The word "company" in this clause, except where used in reference to the Company, shall be deemed to include any partnership or other body of persons, whether incorporated or unincorporated and whether domiciled in the United Kingdom or elsewhere.

3.2.24.3 In this clause the expression "the Act" means the Companies Act 1985, but so that any reference in this clause to any provision of the Act shall be deemed to include a reference to any statutory modification or re-enactment of that provision for the time being in force.

4. The liability of the members is limited.

5. The Company's share capital is £1,000,000 divided into 1,000,000 shares of £1 each.

I, the subscriber to this Memorandum of Association, wish to be formed into a Company pursuant to this Memorandum, and I agree to take the number of shares shown opposite my name.

| Name and address of subscriber | Number of shares taken by the subscriber |
|--|--|
| BATS Holdings, Inc The Corporation Trust Company 1209 Orange Street WILMINGTON 10001 Delaware USA | 1 |
| Total shares taken | One |

Dated 20th March 2000.

THE COMPANIES ACTS 1985 to 2006

PRIVATE COMPANY LIMITED BY SHARES

ARTICLES OF ASSOCIATION OF

BATS Trading Limited

1. PRELIMINARY

1.1 The regulations contained in Table A in the Schedule to the Companies (Tables A to F) Regulations 1985 (SI 1985 No. 805) as amended by The Companies (Tables A to F) (Amendment) Regulations 1985 (SI 1985 No. 1052), The Companies Act 1985 (Electronic Communications) Order 2000 (SI 2000 No. 3373), the Companies (Tables A to F) (Amendment) Regulations 2007 (SI 2007 No. 2541) and the Companies (Tables A to F) (Amendment) (No 2) Regulations 2007 (SI 2007 No. 2826) so far as it relates to private companies limited by shares (such Table being hereinafter called "Table A") shall apply to the Company save in so far as they are excluded or varied hereby and such regulations (save as so excluded or varied) and the Articles hereinafter contained shall be the Articles of Association of the Company.

1.2 In these Articles the expression "the Act" means the Companies Act 1985 and "the 2006 Act" means the Companies Act 2006, but so that any reference in these Articles to any provision of the Act or the 2006 Act shall be deemed to include a reference to any statutory modification or re-enactment of that provision for the time being in force.

2. ALLOTMENT OF SHARES

2.1 Shares which are comprised in the authorised share capital with which the Company is incorporated shall be under the control of the directors who may (subject to section 80 of the Act and to article 2.4 below) allot, grant options over or otherwise dispose of the same, to such persons, on such terms and in such manner as they think fit.

2.2 All shares which are not comprised in the authorised share capital with which the Company is incorporated and which the directors propose to issue shall first be offered to the members in proportion as nearly as may be to the number of the existing shares held by them respectively unless the Company in general meeting shall by special resolution otherwise direct. The offer shall be made by notice specifying the number of shares offered, and limiting a period (not being less than 14 days) within which the offer, if not accepted, will be deemed to be declined. After the expiration of that period, those shares so deemed to be declined shall be offered in the proportion aforesaid to the persons who have, within the said period, accepted all the shares offered to them; such further offer shall be made in like terms in the same manner and limited by a like period as the original offer. Any shares not accepted pursuant to such offer or further offer as aforesaid or not capable of being offered as aforesaid except by way of fractions and any shares released from the provisions of this article by any such special resolution as aforesaid shall be under the control of the directors, who may allot, grant options over or otherwise dispose of the same to such persons, on such terms, and in such manner as they think fit, provided that, in the case of shares not accepted as aforesaid, such shares shall not be disposed of on terms which are more favourable to the subscribers therefor than the terms on which they were offered to the members. The foregoing provisions of this article 2.2 shall have effect subject to section 80 of the Act.

2.3 In accordance with section 91(1) of the Act sections 89(1) and 90(1) to (6) (inclusive) of the Act shall not apply to the Company.

2.4 The directors are generally and unconditionally authorised for the purposes of section 80 of the Act to exercise any power of the Company to allot and grant rights to subscribe for or convert securities into shares of the Company up to the amount of the authorised share capital with which the Company is incorporated at any time or times during the period of five years from the date of incorporation and the directors may, after that period, allot any shares or grant any such rights under this authority in pursuance of an offer or agreement so to do made by the Company within that period. The authority hereby given may at any time (subject to the said section 80) be renewed, revoked or varied by ordinary resolution.

3. SHARES

3.1 The lien conferred by regulation 8 in Table A shall attach also to fully paid-up shares, and the Company shall also have a first and paramount lien on all shares, whether fully paid or not, standing registered in the name of any person indebted or under liability to the Company, whether he shall be the sole registered holder thereof or shall be one of two or more joint holders, for all moneys personally payable by him or his estate to the Company. Regulation 8 in Table A shall be modified accordingly.

3.2 The liability of any member in default in respect of a call shall be increased by the addition at the end of the first sentence of regulation 18 in Table A of the words "and all expenses that may have been incurred by the Company by reason of such non-payment".

4. GENERAL MEETINGS AND RESOLUTIONS

4.1 Every notice convening a general meeting shall comply with the provisions of section 325(1) of the 2006 Act as to giving information to members in regard to their right to appoint proxies; and notices of and other communications relating to any general meeting which any member is entitled to receive shall be sent to the directors and to the auditors for the time being of the Company.

4.2.1 No business shall be transacted at any general meeting unless a quorum is present. Subject to article 4.2.2 below, two persons entitled to vote upon the business to be transacted, each being a member or a proxy for a member or a duly authorised representative of a corporation, shall be a quorum.

4.2.2 If and for so long as the Company has only one member, that member present in person or by proxy or (if that member is a corporation) by a duly authorised representative shall be a quorum.

4.2.3 If a quorum is not present within half an hour from the time appointed for a general meeting the general meeting shall stand adjourned to the same day in the next week at the same time and place or to such other day and at such other time and place as the directors may determine; and if at the adjourned general meeting a quorum is not present within half an hour from the time appointed therefor such adjourned general meeting shall be dissolved.

4.2.4 Regulations 40 and 41 in Table A shall not apply to the Company.

4.3.1 If and for so long as the Company has only one member and that member takes any decision which is required to be taken in general meeting or by means of a written resolution, that decision shall be as valid and effectual as if agreed by the Company in general meeting, subject as provided in article 4.3.3 below.

4.3.2 Any decision taken by a sole member pursuant to article 4.3.1 above shall be recorded in writing and delivered by that member to the Company for entry in the Company's minute book.

4.3.3 Resolutions under section 160 of the 2006 Act for the removal of a director before the expiration of his period of office and under section 391 of the Act for the removal of an auditor before the expiration of his period of office shall only be considered by the Company in general meeting.

4.4 A member present at a meeting by proxy shall be entitled to speak at the meeting and shall be entitled to one vote on a show of hands. In any case where the same person is appointed proxy for more than one member he shall on a show of hands have as many votes as the number of members for whom he is proxy. A member present at a meeting by more than one proxy shall be entitled to speak at the meeting through each of the proxies but the proxies together shall be entitled to only one vote on a show of hands. In the event that the proxies do not reach agreement as to how their vote should be exercised on a show of hands, the voting power is treated as not exercised. Regulation 54 in Table A shall be modified accordingly.

4.5 Unless resolved by ordinary resolution that regulation 62 in Table A shall apply without modification, the appointment of a proxy and any authority under which the proxy is appointed or a copy of such authority certified notari ally or in some other way approved by the directors may be deposited or received at the place specified in regulation 62 in Table A up to the commencement of the meeting or (in any case where a poll is taken otherwise than at the meeting) of the taking of the poll or may be handed to the chairman of the meeting prior to the commencement of the business of the meeting.

5. APPOINTMENT OF DIRECTORS

5.1.1 Regulation 64 in Table A shall not apply to the Company.

6.1.2 The maximum number and minimum number respectively of the directors may be determined from time to time by ordinary resolution. Subject to and in default of any such determination there shall be no maximum number of directors and the minimum number of directors shall be one. Whenever the minimum number of directors is one, a sole director shall have authority to exercise all the powers and discretions by Table A and by those Articles expressed to be vested in the directors generally, and regulation 89 in Table A shall be modified accordingly.

5.2 Regulations 76 to 79 (Inclusive) in Table A shall not apply to the Company.

5.3 No person shall be appointed a director at any general meeting unless either:-

(a) he is recommended by the directors; or

(b) not less than 14 nor more than 35 clear days before the date appointed for the general meeting, notice signed by a member qualified to vote at the general meeting has been given to the Company of the intention to propose that person for appointment, together with notice signed by that person of his willingness to be appointed.

5.4.1 Subject to article 5.3 above, the Company may by ordinary resolution appoint any person who is willing to act to be a director, either to fill a vacancy or as an additional director.

5.4.2 The directors may appoint a person who is willing to act to be a director, either to fill a vacancy or as an additional director, provided that the appointment does not cause the number of directors to exceed any number determined in accordance with article 5.1.2 above as the maximum number of directors and for the time being in force.

5.5 In any case where as the result of death or deaths the Company has no members and no directors the personal representatives of the last member to have died shall have the right by notice in writing to appoint a person to be a director of the Company and such appointment shall be as effective as if made by the Company in general meeting pursuant to article 5.4.1 above. For the purpose of this article, where two or more members die in circumstances rendering it uncertain which of them survived the other or others, the members shall be deemed to have died in order of seniority, and accordingly the younger shall be deemed to have survived the older.

6. BORROWING POWERS

6.1 The directors may exercise all the powers of the Company to borrow money without limit as to amount and upon such terms and in such manner as they think fit, and subject (in the case of any security convertible into shares) to section 80 of the Act to grant any mortgage, charge or standard security over the undertaking, property and uncalled capital, or any part thereof, and to issue debentures, debenture stock, and other securities whether outright or as security for any debt, liability or obligation of the Company or of any third party.

7. ALTERNATE DIRECTORS

7.1 Unless otherwise determined by the Company in general meeting by ordinary resolution an alternate director shall not be entitled as such to receive any remuneration from the Company, save that he may be paid by the Company such part (if any) of the remuneration otherwise payable to his appointor as such appointor may by notice in writing to the Company from time to time direct, and the first sentence of regulation 68 in Table A shall be modified accordingly.

7.2 A director, or any such other person as is mentioned in regulation 65 in Table A, may act as an alternate director to represent more than one director, and an alternate director shall be entitled at any meeting of the directors or of any committee of the directors to one vote for every director whom he represents in addition to his own vote (if any) as a director, but he shall count as only one for the purpose of determining whether a quorum is present.

8. GRATUITIES AND PENSIONS

8.1.1 The directors may exercise the powers of the Company conferred by its Memorandum of Association in relation to the payment of pensions, gratuities and other benefits and shall be entitled to retain any benefits received by them or any of them by reason of the exercise of any such powers.

8.1.2 Regulation 87 in Table A shall not apply to the Company.

9. PROCEEDINGS OF DIRECTORS

9.1.1 A director may vote, at any meeting of the directors or of any committee of the directors, on any resolution, notwithstanding that it in any way concerns or relates to a matter in which he has, directly or indirectly, any kind of interest whatsoever, and if he shall vote on any such resolution his vote shall be counted; and in relation to any such resolution as aforesaid he shall (whether or not he shall vote on the same) be taken into account in calculating the quorum present at the meeting.

9.1.2 Each director shall comply with his obligations to disclose his interest in contracts under section 317 of the Act.

9.1.3 Regulations 84 to 87 (inclusive) in Table A shall not apply to the Company.

10. COMMUNICATION BY MEANS OF A WEBSITE

10.1 Subject to the provisions of the 2006 Act, a document or information may be sent or supplied by the Company to a person by being made available on a website.

11. THE SEAL

11.1 If the Company has a seal it shall only be used with the authority of the directors or of a committee of directors. The directors may determine who shall sign any instrument to which the seal is affixed and unless otherwise so determined it shall be signed by a director and by the secretary or second director. The obligation under regulation 6 in Table A relating to the sealing of share certificates shall apply only if the Company has a seal. Regulation 101 in Table A shall not apply to the Company.

11.2 The Company may exercise the powers conferred by section 39 of the Act with regard to having an official seal for use abroad, and such powers shall be vested in the directors.

12. PROTECTION FROM LIABILITY

12.1 For the purposes of this article a "Liability" is any liability incurred by a person in connection with any negligence, default, breach of duty or breach of trust by him in relation to the Company or otherwise in connection with his duties, powers or office and "Associated Company" shall bear the meaning referred to in section 256 of the 2006 Act. Subject to the provisions of the 2006 Act and without prejudice to any protection from liability which may otherwise apply:

(a) the directors shall have power to purchase and maintain for any director of the Company, any director of an Associated Company, any auditor of the Company and any officer of the Company (not being a director or auditor of the Company), insurance against any Liability; and

(b) every director or auditor of the Company and every officer of the Company (not being a director or auditor of the Company) shall be indemnified out of the assets of the Company against any loss or liability incurred by him in defending any proceedings in which judgment is given in his favour or in which he is acquitted or in connection with any application in which relief is granted to him by the court from any Liability.

12.2 Regulation 118 in Table A shall not apply to the Company.

13. TRANSFER OF SHARES

13.1 The directors may, in their absolute discretion and without assigning any reason therefor, decline to register the transfer of a share, whether or not it is a fully paid share, and the first sentence of regulation 24 in Table A shall not apply to the Company.

Name and address of subscriber

DATS Holdings, Inc
The Corporation Trust Company
1209 Orange Street
WILMINGTON 19801
Delaware
USA

Dated 20th March 2000.

The regulations of Table A to the Companies Act 1985 apply to the Company save in so far as they are excluded or varied by its Articles of Association.
 Table A as it relates to a private company limited by shares, as prescribed by the Companies (Tables A to F) (Amendment) Regulations 1985 (S.I. 1985 No. 809), amended by the Companies (Tables A to F) (Amendment) Regulations 1985 (S.I. 1985 No. 1052), The Companies Act 1985 (Electronic Communications) Order 2000 (S.I. 2000 No. 3373), the Companies (Tables A to F) (Amendment) Regulations 2007 (S.I. 2007 No 2641) and the Companies (Tables A to F) (Amendment) (No 2) Regulations 2007 (S.I. 2007 No 2828), is reprinted below.

Table A THE COMPANIES ACT 1985 Regulations for Management of a Company Limited by Shares

INTERPRETATION

- In these regulations—
 - the Act means the Companies Act 1985 including any statutory modification or amendment thereof for the time being in force and any provision of the Companies Act 2006 that amends or replaces any of the provisions of the Act;
 - the articles means the articles of association of the company, in the case of a company limited by shares, and the regulations for the management of the company, in the case of a company limited by guarantee or as to capital;
 - convention means any arrangement or understanding between two or more persons in relation to the affairs of the company which is not enforceable in law but which is intended to be enforceable in equity;
 - director includes a person who has been appointed to the office of director and includes a person who is to be appointed to that office and also includes a person who has held that office at any time during the life of the company;
 - executive director means a director who is not a non-executive director;
 - non-executive director means a director who is not an executive director;
 - secretary means any person appointed to the office of secretary of the company, whether or not that office is a statutory office;
 - share includes a share certificate for a share and also includes a scrip or warrant for a share;
 - the word "office" means the registered office of the company;
 - the word "office" also means the office of the company which is intended to be the office of the company.

SHARE CAPITAL

- Subject to the provisions of the Act and without prejudice to any other provisions relating to shares, the shares of the company may be of different classes.
- Subject to the provisions of the Act, there may be two or more series of shares of one class.
- The company may issue shares of any class as to which the provisions of the Act apply, but subject to any special provisions relating to such shares which may be contained in the articles or in any resolution of the company.
- Subject to the provisions of the Act, the company may, from time to time, increase its authorized share capital.

SHARE CERTIFICATES

- Every holder of a share, being a holder of any class of shares, shall be entitled to a share certificate for the shares of such class held by him, and such certificate shall be valid only if signed by a director or the secretary of the company, or by two or more of them, in the presence of the holder or his agent or attorney.
- Every certificate shall be issued to the holder of the shares to which it relates, and the certificate shall be valid only if signed by a director or the secretary of the company, or by two or more of them, in the presence of the holder or his agent or attorney.

- If a share certificate is altered, amended, lost or destroyed, a copy may be issued in lieu of the original, and the original shall be void, and the copy shall be treated as the original for all purposes, except as to the liability of the directors who issued the original.

- The company shall have a list of the names of the holders of shares of each class, and the list shall be kept up to date, and shall be open to the inspection of the holders of shares of each class.

- The company may, from time to time, cancel any share certificate which it has issued, and may issue in lieu of the cancelled certificate a new certificate, and the cancelled certificate shall be void.

- To give effect to the provisions of these regulations, the directors may, from time to time, make such arrangements as they may think fit for the issue and transfer of shares of the company.

- The directors may, from time to time, make such arrangements as they may think fit for the issue and transfer of shares of the company, and may, in particular, make such arrangements as they may think fit for the issue and transfer of shares of the company to such persons as they may think fit.

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dividend or other payment, shall be paid at the discretion of the directors of the company to the order of the person named in the instrument, and the directors may, if they think fit, vary the instrument in this behalf.

- A dividend payable in respect of a share may be paid to any person who is entitled to the dividend, whether or not he is the holder of the share, and the directors may, if they think fit, vary the instrument in this behalf.

- If a dividend payable in respect of a share is not claimed by the person entitled to the dividend, the directors may, if they think fit, vary the instrument in this behalf.

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ALTERATION OF SHARE CAPITAL

State of Delaware
Secretary of State
Division of Corporations
Delivered 01:59 PM 09/17/2012
FILED 01:59 PM 09/17/2012
SRV 121038520 - 5216542 FILE

CERTIFICATE OF INCORPORATION

OF

BATS FX, INC.

FIRST: The name of the corporation is BATS FX, Inc. (the "Corporation").

SECOND: The address of the registered office of the Corporation in the State of Delaware is Corporation Trust Center, 1209 Orange Street, City of Wilmington, County of New Castle, Delaware 19801. The name of the registered agent of the Corporation at such address is The Corporation Trust Company.

THIRD: The nature of the business or purposes to be conducted or promoted by the Corporation is to engage in any lawful act or activity for which corporations may be organized under the General Corporation Law of the State of Delaware ("Delaware Law") as the same exists or may hereafter be amended.

FOURTH: The total number of shares of stock which the Corporation shall have authority to issue is 1,000, and the par value of each such share is \$0.01, amounting in the aggregate to \$10.00.

FIFTH: The name and mailing address of the incorporator of the Corporation is:

| Name | Mailing Address |
|----------------|---|
| Greg Steinberg | BATS Exchange, Inc. 8050 Marshall Drive, Suite 120 Lenexa, Kansas 66214 |

SIXTH: The Board of Directors shall have the power to adopt, amend or repeal the bylaws of the Corporation.

SEVENTH: Election of directors need not be by written ballot unless the bylaws of the Corporation so provide.

EIGHTH: The Corporation expressly elects not to be governed by Section 203 of Delaware Law.

NINTH: (1) A director of the Corporation shall not be liable to the Corporation or its stockholders for monetary damages for breach of fiduciary duty as a director to the fullest extent permitted under Delaware Law.

(2)(a) Each person (and the heirs, executors or administrators of such person) who was or is a party or is threatened to be made a party to, or is involved in any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative or investigative, by reason of the fact that such person is or was a director or officer of the Corporation or is or was serving at the request of the Corporation as a director or officer of another corporation, partnership, joint venture, trust or other enterprise, shall be indemnified and held harmless by the Corporation to the fullest extent permitted by Delaware Law. The right to indemnification conferred in this ARTICLE NINTH shall also include the right to be paid by the Corporation the expenses incurred in connection with any such proceeding in advance of its final disposition to the fullest extent authorized by Delaware Law. The right to indemnification conferred in this ARTICLE NINTH shall be a contract right.

(b) The Corporation may, by action of its Board of Directors, provide indemnification to such of the employees and agents of the Corporation to such extent and to such effect as the Board of Directors shall determine to be appropriate and authorized by Delaware Law.

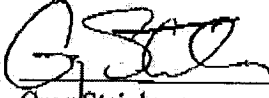
(3) The Corporation shall have the power to purchase and maintain insurance on behalf of any person who is or was a director, officer, employee or agent of the Corporation, or is or was serving at the request of the Corporation as a director, officer, employee or agent of another corporation, partnership, joint venture, trust or other enterprise against any expense, liability or loss incurred by such person in any such capacity or arising out of such person's status as such, whether or not the Corporation would have the power to indemnify such person against such liability under Delaware Law.

(4) The rights and authority conferred in this ARTICLE NINTH shall not be exclusive of any other right which any person may otherwise have or hereafter acquire.

(5) Neither the amendment nor repeal of this ARTICLE NINTH, nor the adoption of any provision of this Certificate of Incorporation or the bylaws of the Corporation, nor, to the fullest extent permitted by Delaware Law, any modification of law, shall adversely affect any right or protection of any person granted pursuant hereto existing at, or arising out of or related to any event, act or omission that occurred prior to, the time of such amendment, repeal, adoption or modification (regardless of when any proceeding (or part thereof) relating to such event, act or omission arises or is first threatened, commenced or completed).

TENTH: The Corporation reserves the right to amend this Certificate of Incorporation in any manner permitted under Delaware Law and all rights and powers conferred herein on stockholders, directors and officers, if any, are subject to this reserved power.

IN WITNESS WHEREOF, the undersigned has executed this Certificate of Incorporation on this 17th day of September, 2012.



Greg Steinberg
Incorporator

BYLAWS
OF
BATS FX, INC.
(a Delaware corporation)

ARTICLE I.

OFFICES

1.1. Principal and Business Offices. The corporation may have such principal and other business offices, either within or without the State of Delaware, as the Board of Directors may designate or as the business of the corporation may require from time to time.

1.2. Registered Office. The registered office of the corporation required by the Delaware General Corporation Law to be maintained in the State of Delaware may be, but need not be, identical with the principal office in the State of Delaware, and the address of the registered office may be changed from time to time by the Board of Directors or by the registered agent. The business office of the registered agent of the corporation shall be identical to such registered office.

ARTICLE II.

STOCKHOLDERS

2.1. Annual Meeting. The annual meeting of the stockholders for the purposes of electing directors and for the transaction of such other business as may come before the meeting shall be held at such date, time and place, if any, as shall be determined by the Board of Directors and stated in the notice of the meeting.

2.2. Special Meeting. Special meetings of the stockholders, for any purpose or purposes, unless otherwise prescribed by statute, may be called by the Board of Directors or the President or the Secretary or by the person, or in the manner, designated by the Board of Directors.

2.3. Place of Meeting. The Board of Directors may designate any place, either within or without the State of Delaware, as the place of meeting for any annual meeting or for any special meeting of stockholders called by the Board of Directors.

2.4. Notice of Meeting. Written notice stating the place, if any, day and hour of the meeting of stockholders, the means of remote communications, if any, by which stockholders and proxy holders may be deemed to be present in person and vote at such meeting, and, in case of a special meeting, the purpose or purposes for which the meeting is called, shall be delivered to each stockholder of record entitled to vote at such meeting not less than ten (10) days (unless a longer period is required by law or the articles of incorporation) not more than sixty (60) days before the date of the meeting.

2.5. Adjournment. Any meeting of stockholders may be adjourned to reconvene at any place designated by vote of a majority of the shares represented thereat. At the adjourned meeting, the corporation may transact any business which might have been transacted at the original meeting. No

notice of an adjournment need be given if the time, place, if any, and the means of remote communications, if any, by which stockholders and proxy holders may be deemed to be present in person and vote at such meeting are announced at the meeting at which an adjournment is taken, unless the adjournment is for more than thirty (30) days or a new record date is fixed for the adjourned meeting, in which case notice of the adjourned meeting shall be given to each stockholder. Unless a new record date for the adjourned meeting is fixed, the determination of stockholders of record entitled to notice or to vote at the meeting at which adjournment is taken shall apply to the adjourned meeting.

2.6. Fixing of Record Date. For the purpose of determining stockholders entitled to notice of or to vote at any meeting of stockholders or any adjournment thereof, or stockholders entitled to receive payment of any dividend, or in order to make a determination of stockholders for any other proper purpose, the Board of Directors may fix in advance a date as the record date for any such determination of stockholders, such date in any case to be not more than sixty (60) days, and, in case of a meeting of stockholders, not less than ten (10) days prior to the date on which the particular action requiring such determination of stockholders is to be taken. If no record date is fixed, the record date for determining:

(a) stockholders entitled to notice of or to vote at a meeting of stockholders shall be at the close of business on the day next preceding the day on which notice is given or, if notice is waived, at the close of business on the day next preceding the day on which the meeting is held;

(b) stockholders entitled to express consent to a corporate action in writing without meeting shall be the day on which the first written consent is expressed; or

(c) stockholders for any other purpose shall be the close of business on the day on which the Board of Directors adopts the resolution relating thereto.

2.7. Voting Records. The officer having charge of the stock transfer books for shares of the corporation shall, at least ten (10) days before each meeting of stockholders, make a complete record of the stockholders entitled to vote at such meeting, arranged in alphabetical order, with the address of and the number of shares held by each. Such record shall be produced and kept open to the examination of any stockholders, for any purpose germane to the meeting, during ordinary business hours, for a period of at least ten (10) days prior to the meeting, either at a place within the city where the meeting is to be held as specified in the notice of the meeting or at the place of the meeting. The record shall also be produced and kept at the time and place of the meeting during the whole time thereof, and may be inspected by any stockholders present. The original stock transfer books shall be the only evidence as to who are the stockholders entitled to examine such record or transfer books or to vote at any meeting of stockholders.

2.8. Quorum; Voting. Except as otherwise provided in the certificate of incorporation or these bylaws and subject to Delaware law, a majority of the shares entitled to vote, represented in person or by proxy, shall constitute a quorum at a meeting of stockholders, but in no event shall less than one-third of the shares entitled to vote constitute a quorum. Except as otherwise provided in the certificate of incorporation or these bylaws and subject to Delaware law, each stockholder shall be entitled to one vote for each outstanding share of capital stock of the corporation held by such stockholder. Any share of capital stock held by the corporation shall have no voting rights. Except as otherwise provided in the certificate of incorporation or these bylaws and subject to Delaware law, in all matters other than the election of directors, the affirmative vote of the majority of the shares represented at the meeting and entitled to vote on the subject matter shall be the act of the stockholders. Though less than a quorum of the outstanding shares are represented at a meeting, a majority of the shares represented at a meeting which initially had a quorum may adjourn the meeting from time to time without further notice.

2.9. Conduct of Meeting. The President or, in the President's absence, a Vice President in the order provided under Section 4.6 or, in their absence, any person chosen by the stockholders present, shall call the meeting of the stockholders to order and shall act as chairman of the meeting. The Secretary of the corporation shall act as secretary of all meetings of the stockholders, but, in the absence of the Secretary, the presiding officer may appoint any other person to act as secretary of the meeting.

2.10. Proxies. At all meetings of stockholders, a stockholder entitled to vote may vote in person, by proxy, appointed in writing by the stockholder, or by the stockholder's duly authorized attorney in fact. Such proxy shall be filed with the Secretary of the corporation before or at the time of the meeting. Unless otherwise provided in the proxy and supported by sufficient interest, a proxy may be revoked at any time before it is voted, either by written notice filed with the Secretary or the acting secretary, or by oral notice given by the stockholder to the presiding officer during the meeting. The presence of a stockholder who has filed a proxy shall not of itself constitute a revocation. No proxy shall be valid after three (3) years from the date of its execution, unless otherwise provided in the proxy. The Board of Directors shall have the power and authority to make rules establishing presumptions as to the validity and sufficiency of proxies.

2.11. Voting of Shares by Certain Holders.

(a) Other Corporations. Shares standing in the name of another corporation may be voted either in person or by proxy, by the president of such corporation or any other officer appointed by such president. A proxy executed by any principal officer of such other corporation or assistant thereto shall be conclusive evidence of the signer's authority to act, in the absence of express notice to this corporation, given in writing to the Secretary of this corporation, of the designation of some other person by the board of directors or the bylaws of such other corporation.

(b) Legal Representatives and Fiduciaries. Shares held by any administrator, executor, guardian, conservator, trustee in bankruptcy, receiver, or assignee for creditors may be voted by a duly executed proxy, without a transfer of such shares to his or her name. Shares standing in the name of a fiduciary may be voted by the fiduciary, either in person or by proxy. A proxy executed by a fiduciary, shall be conclusive evidence of the signer's authority to act, in the absence of express notice to this corporation, given in writing to the Secretary of this corporation, that such manner of voting is expressly prohibited or otherwise directed by the document creating the fiduciary relationship.

(c) Pledgees. A stockholder whose shares are pledged shall be entitled to vote such shares, unless in the transfer of the shares the pledgor has expressly authorized the pledgee to vote the shares and thereafter the pledgee, or his or her proxy, shall be entitled to vote the shares so transferred.

(d) Treasury Stock and Subsidiaries. Neither treasury shares, nor shares held by another corporation if a majority of the shares entitled to vote for the election of directors of such other corporation is held by this corporation, shall be voted at any meeting or counted in determining the total number of outstanding shares entitled to vote, but shares of its own issue held by its corporation in a fiduciary capacity, or held by such other corporation in a fiduciary capacity, may be voted and shall be counted in determining the total number of outstanding shares entitled to vote.

(e) Joint Holders. Shares of record in the names of two or more persons or shares to which two or more persons have the same fiduciary relationship, unless the Secretary of the corporation is given notice otherwise and furnished with a copy of the instrument creating the relationship, may be voted as follows: (i) if voted by an individual, the individual's vote binds all holders; or (ii) if voted by more than one holder, the majority vote binds all, unless the vote is evenly split in which case the shares

may be voted proportionately, or according to the ownership interest as shown in the instrument filed with the Secretary of the corporation.

2.12. Waiver of Notice by Stockholders. Whenever any notice is required to be given to any stockholder of the corporation under the certificate of incorporation or bylaws or any provision of the Delaware General Corporation Law, a waiver thereof in writing, signed at any time, whether before or after the time of meeting, by the stockholder entitled to such notice, shall be deemed equivalent to the giving of such notice. Attendance of a person at a meeting shall constitute a waiver of notice of such meeting, except where the person attends for the express purpose of objecting to the transaction of any business. Neither the business nor the purpose of any regular or special meeting of stockholders, directors or members of a committee of directors need be specified in the waiver.

2.13. Stockholders Consent Without Meeting. Any action required or permitted by the certificate of incorporation or bylaws or any provision of law to be taken at a meeting of the stockholders, may be taken without a meeting, prior notice or vote, if a consent in writing, setting forth the action so taken, shall be signed by the number of stockholders required to authorize such action at a meeting. If the action is authorized by less than unanimous consent, notice of the action shall be given to nonconsenting stockholders.

ARTICLE III.

BOARD OF DIRECTORS

3.1. General Powers; Number; Election. The business and affairs of the corporation shall be managed by its Board of Directors. The number of directors of the corporation shall be one (1) or such other specific number as may be designated from time to time by resolution of the Board of Directors. Subject to the rights of the holders of any series of preferred stock to elect additional directors under specific circumstances, directors shall be elected by a plurality of the votes of the shares of capital stock of the corporation present in person or represented by proxy at the meeting and entitled to vote on the election of directors.

3.2. Tenure and Qualifications. Each director shall hold office until the next annual meeting of stockholders and until his or her successor shall have been qualified and elected, or until his or her prior death, resignation or removal. Any director or the entire Board of Directors may be removed from office, with or without cause, at any time by affirmative vote of a majority of the outstanding shares entitled to vote for the election of such director, taken at a meeting of stockholders called for that purpose. A director may resign at any time by filing his or her written resignation with the Secretary of the corporation. Directors need not be residents of the State of Delaware or stockholders of the corporation.

3.3. Regular Meetings. A regular meeting of the Board of Directors shall be held without other notice than this bylaw immediately after the annual meeting of stockholders, and each adjourned session thereof. The place of such regular meeting shall be the same as the place of the meeting of stockholders which precedes it, or such other suitable place as may be announced at such meeting of stockholders. The Board of Directors may provide, by resolution, the time and place, either within or without the State of Delaware, for the holding of additional regular meetings without other notice than such resolution.

3.4. Special Meetings. Special meetings of the Board of Directors may be called by or at the request of the President, Secretary or Treasurer. The President or Secretary calling any special meeting of the Board of Directors may fix any place, either within or without the State of Delaware, as

the place for holding any special meeting of the Board of Directors called by them, and if no other place is fixed the place of the meeting shall be the registered office of the corporation in the State of Delaware.

3.5. Notice; Waiver. Notice of each meeting of the Board of Directors (unless otherwise provided in or pursuant to Section 3.3) shall be given to each director not less than twenty-four (24) hours prior to the meeting by giving oral, telephone or written notice to a director in person, or by facsimile, e-mail or other electronic means, or not less than three (3) days prior to a meeting by delivering or mailing notice to the business address or such other address as a director shall have designated in writing and filed with the Secretary. Whenever any notice is required to be given to any director of the corporation under the certificate of incorporation or bylaws or any provision of law, a waiver thereof in writing, signed at any time, whether before or after the time of meeting, by the director entitled to such notice, shall be deemed equivalent to the giving of such notice. The attendance of a director at a meeting shall constitute a waiver of notice of such meeting, except where a director attends a meeting and objects thereat to the transaction of any business because the meeting is not lawfully called or convened. Neither the business to be transacted at, nor the purpose of, any regular or special meeting of the Board of Directors need be specified in the notice or waiver of notice of such meeting.

3.6. Quorum. Except as otherwise provided by law or by the certificate of incorporation or these bylaws, a majority of the directors shall constitute a quorum for the transaction of business at any meeting of the Board of Directors, but in no event shall less than one-third of the directors constitute a quorum. A majority of the directors present (though less than such quorum) may adjourn the meeting from time to time without further notice.

3.7. Manner of Acting. The act of the majority of the directors present at a meeting at which a quorum is present shall be the act of the Board of Directors, unless the act of a greater number is required by law or by the certificate of incorporation or these bylaws.

3.8. Conduct of Meetings. The President, or, in the President's absence a Vice President in the order provided under Section 4.6, or, in their absence, any director chosen by the directors present, shall call meetings of the Board of Directors to order and shall act as chairman of the meeting. The Secretary of the corporation shall act as secretary of all meetings of the Board of Directors but in the absence of the Secretary, the presiding officer may appoint any Assistant Secretary or any director or other person present to act as secretary of the meeting.

3.9. Vacancies. Any vacancy occurring in the Board of Directors, including a vacancy created by an increase in the number of directors, may be filled until the next succeeding annual election by the affirmative vote of a majority of the directors then in office, though less than a quorum of the Board of Directors; provided, that in case of a vacancy created by the removal of a director by vote of the stockholders, the stockholders shall have the right to fill such vacancy at the same meeting or any adjournment thereof.

3.10. Compensation. The Board of Directors, by affirmative vote of a majority of the directors then in office, and irrespective of any personal interest of any of its members, may establish reasonable compensation of all directors for services to the corporation as directors, officers or otherwise, or may delegate such authority to an appropriate committee. The Board of Directors also shall have authority to provide for or delegate authority to an appropriate committee to provide for reasonable pensions, disability or death benefits, and other benefits or payments, to directors, officers and employees and to their estates, families, dependents or beneficiaries on account of prior services rendered by such directors, officers and employees to the corporation.

3.11. Presumption of Assent. A director of the corporation who is present at a meeting of the Board of Directors or a committee thereof of which the director is a member at which action on any corporate matter is taken unless the director's dissent shall be entered in the minutes of the meeting or unless the director shall file a written dissent to such action with the person acting as the secretary of the meeting before the adjournment thereof or shall forward such dissent by registered mail to the Secretary of the corporation immediately after the adjournment of the meeting. Such right to dissent shall not apply to a director who voted in favor of such action.

3.12. Committees. The Board of Directors by resolution adopted by the affirmative vote of a majority of the directors may designate one or more committees, each committee to consist of one or more directors elected by the Board of Directors, which to the extent provided in said resolution as initially adopted, and as thereafter supplemented or amended by further resolution adopted by a like vote, shall have and may exercise the powers of the Board of Directors in the management of the business and affairs of the corporation and may authorize the seal of the corporation to be affixed to all papers which may require it. Each such committee shall fix its own rules governing the conduct of its activities and shall make such reports to the Board of Directors of its activities as the Board of Directors may request.

3.13. Unanimous Consent Without Meeting. Any action required or permitted by the certificate of incorporation or bylaws or any provision of law to be taken at any meeting of the Board of Directors or any committee thereof may be taken without a meeting if all directors or members of such committee, as the case may be, consent thereto in writing or by electronic transmission setting forth the action so taken, and the writing or electronic transmissions are filed with the minutes of proceedings of the Board of Directors or committee in accordance with applicable law.

3.14. Telephonic Meetings. Members of the Board of Directors, or any committee designated by the Board, may participate in a meeting of such Board or committee by means of conference telephone or similar communications equipment by means of which all persons participating in the meeting can hear each other, and participation in a meeting pursuant to this bylaw shall constitute presence in person at such meeting.

ARTICLE IV.

OFFICERS

4.1. Number. The principal officers of the corporation shall be a President, or any number of Vice Presidents, and a Secretary, each of whom shall be elected by the Board of Directors. Such other officers and assistant officers as may be deemed necessary may be elected or appointed by the Board of Directors. Any number of offices may be held by the same person.

4.2. Election and Term of Office. The officers of the corporation to be elected by the Board of Directors shall be elected annually by the Board of Directors at the first meeting of the Board of Directors held after each annual meeting of the stockholders. If the election of officers shall not be held at such meeting, such election shall be held as soon thereafter as conveniently may be. Each officer shall hold office until his or her successor shall have been duly elected or until his or her prior death, resignation or removal. Any officer may resign at any time upon written notice to the corporation. Failure to elect officers shall not dissolve or otherwise affect the corporation.

4.3. Removal. Any officer or agent may be removed by the Board of Directors whenever in its judgment the best interests of the corporation will be served thereby, but such removal shall be without prejudice to the contract rights, if any, of the person so removed. Election or appointment shall not of itself create contract rights.

4.4. Vacancies. A vacancy in any principal office because of death, resignation, removal, disqualification or otherwise, shall be filled by the Board of Directors for the unexpired portion of the term.

4.5. President. The President shall be the principal executive officer of the corporation and, subject to the control of the Board of Directors, shall, in general, supervise and control all of the business and affairs of the corporations. The President shall, when present, preside at all meetings of the stockholders and of the Board of Directors. The President shall have authority, subject to such rules as may be prescribed by the Board of Directors, to appoint such agents and employees of the corporation as the President shall deem necessary, to prescribe their powers, duties and compensation, and to delegate authority to them. Such agents and employees shall hold office at the discretion of the President. The President shall have authority to sign, execute and acknowledge, on behalf of the corporation, all deeds, mortgages, bonds, stock certificates, contracts, leases, reports and all other documents or instruments, of every conceivable kind and character whatsoever, necessary or proper to be executed in the course of the corporation's regular business, or which shall be authorized by resolution of the Board of Directors; and, except as otherwise provided by law or the Board of Directors, the President may authorize any Vice President or other officer or agent of the corporation to sign, execute and acknowledge such documents or instruments in the President's place and stead. In general the President shall perform all duties incident to the office of President and such other duties as may be prescribed by the Board of Directors from time to time.

4.6. The Vice President. In the absence of the President or in the event of his or her death, inability or refusal to act, or in the event for any reason it shall be impracticable for the President to act personally, the Vice President, if one is elected, (or in the event there be more than one Vice President, the Vice Presidents in the order designated by the Board of Directors, or in the absence of any designation, then in the order of their election) shall perform the duties of the President, and when so acting, shall have all the powers of and be subject to all the restrictions upon the President. Any Vice President may sign, with the Secretary or Assistant Secretary, certificates for shares of the corporation; and shall perform such other duties and have such authority as from time to time may be delegated or assigned to him or her by the President or by the Board of Directors. The execution of any instrument of the corporation by any Vice President shall be conclusive evidence, as to third parties, of his or her authority to act in the stead of the President.

4.7. The Secretary. The Secretary shall: (a) keep the minutes of the meetings of the stockholders and of the Board of Directors in one or more books provided for the purpose; (b) attest instruments to be filed with the Secretary of State; (c) see that all notices are duly given in accordance with the provisions of these bylaws or as required by law; (d) be custodian of the corporate records and of the seal of the corporation and see that the seal of the corporation is affixed to all documents the execution of which on behalf of the corporation under its seal is duly authorized; (e) keep or arrange for the keeping of a register of the post office address of each stockholder which shall be furnished to the Secretary by such stockholder; (f) sign with the President, or a Vice President, certificates for shares of the corporation, the issuance of which shall have been authorized by resolution of the Board of Directors; (g) have general charge of the stock transfer books of the corporation; and (h) in general perform all duties incident to the office of Secretary and have such other duties and exercise such authority as from time to time may be delegated or assigned to him or her by the President or by the Board of Directors.

4.8. The Treasurer. The Treasurer shall: (a) have charge and custody of and be responsible for all funds and securities of the corporation; (b) receive and give receipts for moneys due and payable to the corporation from any source whatsoever, and deposit all such moneys in the name of the corporation in such banks, trust companies or other depositories as shall be selected in accordance with the provisions of Section 5.3; and (c) in general perform all of the duties incident to the office of

Treasurer and have such other duties and exercise such other authority as from time to time may be delegated or assigned to him or her by the President or by the Board of Directors. If required by the Board of Directors, the Treasurer shall give a bond for the faithful discharge of his or her duties in such sum and with such surety or sureties as the Board of Directors shall determine.

4.9. Assistant Secretaries and Assistant Treasurers. There shall be such number of Assistant Secretaries and Assistant Treasurers as the Board of Directors may from time to time authorize, if any. The Assistant Secretaries may sign with the President or a Vice President certificates for shares of the corporation the issuance of which shall have been authorized by a resolution of the Board of Directors. The Assistant Treasurers shall respectively, if required by the Board of Directors, give bonds for the faithful discharge of the duties in such sums and with such sureties as the Board of Directors shall determine. The Assistant Secretaries and Assistant Treasurers, in general, shall perform such duties and have such authority as shall from time to time be delegated or assigned to them by the Secretary or the Treasurer, respectively, or by the President or the Board of Directors.

4.10. Other Assistants and Acting Officers. The Board of Directors shall have the power to appoint any person to act as assistant to any officer, or as agent for the corporation in his or her stead, or to perform the duties of such officer whenever for any reason it is impracticable for such officer to act personally, and such assistant or acting officer or other agent so appointed by the Board of Directors shall have the power to perform all the duties of the office to which such person is so appointed to be an assistant, or as to which such person is so appointed to act, except as such power may be otherwise defined or restricted by the Board of Directors.

4.11. Salaries. The salaries of the principal officers shall be fixed from time to time by the Board of Directors or by a duly authorized committee thereof, and no officer shall be prevented from receiving such salary by reason of the fact that the officer is also a director of the corporation.

ARTICLE V.

CONTRACTS, LOAN, CHECKS AND DEPOSITS; SPECIAL CORPORATE ACTS

5.1. Contracts. The Board of Directors may authorize any officer or officers, agent or agents, to enter into any contract or execute or deliver any instrument in the name of an on behalf of the corporation, and such authorization may be general or confined to specific instances. In the absence of other designation, all deeds, mortgages and instruments of assignment or pledge made by the corporation shall be executed in the name of the corporation by the President or a Vice President and by the Secretary, an Assistant Secretary, the Treasurer or an Assistant Treasurer; the Secretary or an Assistant Secretary, when necessary or required, shall affix the corporate seal thereto; and when so executed no other party to such instrument or any third party shall be required to make any inquiry into the authority of the signing officer or officers.

5.2. Loans. No indebtedness for borrowed money shall be contracted on behalf of the corporation and no evidences of such indebtedness shall be issued in its name unless authorized by or under the authority of a resolution of the Board of Directors. Such authorization may be general or confined to specific instances.

5.3. Deposits. All funds of the corporation not otherwise employed shall be deposited from time to time to the credit of the corporation in such banks, trust companies or other depositories as may be selected by or under the authority of a resolution of the Board of Directors.

5.4. Voting of Securities Owned by this Corporation. Subject always to the specific directions of the Board of Directors, (a) any shares or other securities issued by any other corporation and owned or controlled by this corporation may be voted at any meeting of security holders of such other corporation by the President of this corporation if the President is present, or in the President's absence, by a Vice President of this corporation who may be present, and (b) whenever, in the judgment of the President, or in the President's absence, of a Vice President, it is desirable for this corporation to execute a proxy or written consent in respect to any shares or other securities issued by any other corporation and owned by this corporation, such proxy or consent shall be executed in the name of this corporation by the President or one of the Vice Presidents of this corporation, without necessity of any authorization by the Board of Directors affixation of corporate seal or countersignature or attestation by another officer. Any person or persons designated in the manner above stated as the proxy or proxies of this corporation shall have full right, power and authority to vote the shares or other securities issued by such other corporation and owned by its corporation the same as such shares or other securities might be voted by this corporation.

ARTICLE VI.

CERTIFICATES FOR SHARES AND THEIR TRANSFER

6.1. Certificates for Shares. Certificates representing shares of the corporation shall be in such form, consistent with law, as shall be determined by the Board of Directors. Such certificates shall be signed by the President or a Vice President and by the Secretary or an Assistant Secretary or Treasurer or Assistant Treasurer. All certificates for shares shall be consecutively numbered or otherwise identified. The name and address of the person to whom the shares represented thereby are issued, with the number of shares and date of issue, shall be entered on the stock transfer books of the corporation. All certificates surrendered to the corporation for transfer shall be canceled and no new certificate shall be issued until the former certificate for a like number of shares shall have been surrendered and canceled, except as provided in Section 6.6.

6.2. Facsimile Signatures and Seal. The seal of the corporation on any certificates for shares may be a facsimile. The signature of the President or Vice President and the Secretary or Assistant Secretary upon a certificate may be facsimiles if the certificate is manually signed on behalf of a transfer agent, or a registrar, other than the corporation itself or an employee of the corporation.

6.3. Signature by Former Officers. In case any officer, who has signed or whose facsimile signature has been placed upon any certificate for shares, shall have ceased to be such officer before such certificate is issued, it may be issued by the corporation with the same effect as if such person were such officer at the date of its issue.

6.4. Transfer of Shares. Prior to due presentment of a certificate for shares for registration of transfer, the corporation may treat the registered owner of such shares as the person exclusively entitled to vote, to receive notifications and otherwise to have and exercise all the rights and power of an owner. Where a certificate for shares is presented to the corporation with a request to register for transfer, the corporation shall not be liable to the owner or any other person suffering loss as a result of such registration of transfer if (a) there were on or with the certificate the necessary endorsements, and (b) the corporation had no duty to inquire into adverse claims or has discharged by such duty. The corporation may require reasonable assurance that said endorsements are genuine and effective and compliance with such other regulations as may be prescribed by or under the authority of the Board of Directors. Where a transfer of shares is made for collateral security, and not absolutely, it shall be so expressed in the entry of transfer if, when the shares are presented, both the transferor and the transferee so request.

6.5. Restrictions on Transfer. The face or reverse side of each certificate representing shares shall bear a conspicuous notation of any restriction imposed by the corporation upon the transfer of such shares. Otherwise the restriction is invalid except against those with actual knowledge of the restrictions.

6.6. Lost, Destroyed or Stolen Certificates. The Board of Directors may direct a new certificate or certificates to be issued in place of any certificate or certificates theretofore issued by the corporation alleged to have been lost, stolen or destroyed, upon the making of an affidavit of that fact by the person claiming the certificate of stock to be lost, stolen or destroyed. When authorizing such issue of a new certificate or certificates, the Board of Directors may, in its discretion and as a condition precedent to the issuance thereof, require the person requesting such new certificate or certificates, or his or her legal representative, to give the corporation a bond in such sum as it may direct as indemnity against any claim that may be made against the corporation with respect to the certificate alleged to have been lost, stolen or destroyed.

6.7. Consideration for Shares. The shares of the corporation may be issued for such consideration as shall be fixed from time to time by the Board of Directors, consistent with the laws of the State of Delaware.

6.8. Stock Regulations. The Board of Directors shall have the power and authority to make all such further rules and regulations not inconsistent with the statutes of the State of Delaware as it may deem expedient concerning the issue, transfer and registration of certificates representing shares of the corporation.

ARTICLE VII.

GENERAL PROVISIONS

7.1. Seal. The Board of Directors may, at their discretion, provide a corporate seal in an appropriate form.

7.2. Fiscal Year. The fiscal year of the corporation shall begin on the first day of January and end on the last day of December in each year.

7.3. Checks, Notes, Drafts, Etc. All checks, notes, drafts or other orders for the payment of money of the corporation shall be signed, endorsed or accepted in the name of the corporation by such officer, officers, person or persons as from time to time may be designated by the Board of Directors or by an officer or officers authorized by the Board of Directors to make such designation.

7.4. Dividends. Subject to applicable law and the certificate of incorporation, dividends upon the shares of capital stock of the corporation may be declared by the Board of Directors at any regular or special meeting of the Board of Directors. Dividends may be paid in cash, in property or in shares of the corporation's capital stock, unless otherwise provided by applicable law or the certificate of incorporation.

ARTICLE VIII.

AMENDMENTS

8.1. By Stockholders. These bylaws may be adopted, amended or repealed and new bylaws may be adopted by the stockholders entitled to vote at the stockholders' annual meeting without prior notice or any other meeting provided the amendment under consideration has been set forth in the notice of meeting, by affirmative vote of net less than a majority of the shares present or represented at any meeting at which a quorum is in attendance.

8.2. By Directors. These bylaws may be adopted, amended or repealed by the Board of Directors as provided in the certificate of incorporation by the affirmative vote of a majority of the number of directors present at any meeting at which a quorum is in attendance; but no bylaw adopted by the stockholders shall be amended or repealed by the Board of Directors if the bylaws so provide.

Exhibit D

Exhibit Request:

For each subsidiary or affiliate of the exchange, provide unconsolidated financial statements for the latest fiscal year. Such financial statements shall consist, at a minimum, of a balance sheet and an income statement with such footnotes and other disclosures as are necessary to avoid rendering the financial statements misleading. If any affiliate or subsidiary is required by another Commission rule to submit annual financial statements, a statement to that effect with a citation to the other Commission rule, may be provided in lieu of the financial statements required here.

Response:

1. BATS Y-Exchange, Inc., an affiliate of BATS Exchange, Inc., filed, at the same time as this filing, financial statements for the year ended December 31, 2012 with the Commission pursuant to Rule 6a-2(b)(1) under the Securities Exchange Act of 1934.
2. BATS Trading, Inc., an affiliate of BATS Exchange, Inc., filed financial statements for the year ended December 31, 2012 with the Commission pursuant to Rule 17a-5 under the Securities Exchange Act of 1934.
3. For the financial statements of BATS Global Markets, Inc., the parent of BATS Exchange, Inc., please refer to the attachment submitted as part of Exhibit I to this Form 1.
4. For the financial statements of BATS Trading Limited, an affiliate of BATS Exchange, Inc., please refer to the attachment submitted as part of Exhibit I to this Form 1.
5. For the financial statements of Omicron Acquisition Corp., an affiliate of BATS Exchange, Inc., please refer to the attachment submitted as part of Exhibit I to this Form 1.
6. For the financial statements of Omicron Holdings Corp., an affiliate of BATS Exchange, Inc., please refer to the attachment submitted as part of Exhibit I to this Form 1.
7. For the financial statements of Omicron Intermediate Holdings Corp., an affiliate of BATS Exchange, Inc., please refer to the attachment submitted as part of Exhibit I to this Form 1.
8. For the financial statements of Chi-X Europe Limited, an affiliate of BATS Exchange, Inc., please refer to the attachment submitted as part of Exhibit I to this Form 1.

9. For the financial statements of BATS FX, Inc., an affiliate of BATS Exchange, Inc., please refer to the attachment submitted as part of Exhibit I to this Form 1.

Exhibit I

Exhibit Request:

For the latest fiscal year of the applicant, audited financial statements which are prepared in accordance with, or in the case of a foreign applicant, reconciled with, United States generally accepted accounting principles, and are covered by a report prepared by an independent public accountant. If an applicant has no consolidated subsidiaries, it shall file audited financial statements under Exhibit I alone and need not file a separate unaudited financial statement for the applicant under Exhibit D.

Response:

Attached please find audited financial statements of BATS Global Markets, Inc. This information has been updated to provide consolidated and combined financial statements and supplementary information for December 31, 2012, 2011 and 2010. The financial statements of BATS Exchange, Inc., a wholly-owned subsidiary of BATS Global Markets, Inc., are included in the audit report.



BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES

Consolidated Financial Statements

December 31, 2012, 2011 and 2010

(With Independent Auditors' Report Thereon)

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES

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KPMG LLP
Suite 1000
1000 Walnut Street
Kansas City, MO 64106-2162

Independent Auditors' Report

The Board of Directors
BATS Global Markets, Inc.:

We have audited the accompanying consolidated statements of financial condition of BATS Global Markets, Inc. and subsidiaries as of December 31, 2012 and 2011, and the related consolidated statements of income, comprehensive income, changes in stockholders' equity, and cash flows for each of the years in the three-year period ended December 31, 2012. These consolidated financial statements are the responsibility of the Company's management. Our responsibility is to express an opinion on these consolidated financial statements based on our audits.

We conducted our audits in accordance with generally accepted auditing standards as established by the Auditing Standards Board (United States) and in accordance with the auditing standards of the Public Company Accounting Oversight Board (United States). Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. The Company is not required to have, nor were we engaged to perform, an audit of its internal control over financial reporting. Our audit included consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Company's internal control over financial reporting. Accordingly, we express no such opinion. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the consolidated financial statements referred to above present fairly, in all material respects, the financial position of BATS Global Markets, Inc. and subsidiaries as of December 31, 2012 and 2011, and the results of their operations and their cash flows for each of the years in the three-year period ended December 31, 2012, in conformity with U.S. generally accepted accounting principles.

KPMG LLP

March 27, 2013

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES

Consolidated Statements of Financial Condition

December 31, 2012 and 2011

(In thousands, except share data)

| Assets | 2012 | 2011 |
|---|------------|------------|
| Current assets: | | |
| Cash and cash equivalents | \$ 82,514 | \$ 99,359 |
| Short-term investments | — | 3,086 |
| Financial investments: | | |
| Trading investments, at fair value | 7,497 | 31,033 |
| Available-for-sale investments, at fair value | 22,295 | 120,700 |
| Accounts receivable, net, including \$14,574 and \$12,689 from related parties at December 31, 2012 and 2011, respectively | 60,748 | 55,593 |
| Income taxes receivable | 654 | 728 |
| Other receivables | 1,804 | 2,233 |
| Prepaid expenses | 4,874 | 1,734 |
| Total current assets | 180,386 | 314,466 |
| Property and equipment, net | 16,997 | 19,581 |
| Goodwill | 194,294 | 185,549 |
| Intangible assets, net | 57,596 | 61,336 |
| Debt issuance costs, net | 4,997 | — |
| Deferred income taxes, net | 13,339 | 12,155 |
| Note receivable | 1,000 | 1,000 |
| Other assets | 961 | 816 |
| Total assets | \$ 469,570 | \$ 594,903 |
| Liabilities and Stockholders' Equity | | |
| Current liabilities: | | |
| Accounts payable and accrued expenses, including \$4,995 and \$9,505 to related parties at December 31, 2012 and 2011, respectively | \$ 26,635 | \$ 39,153 |
| Section 31 fees payable | 51,290 | 55,126 |
| Current portion of long-term debt | 48,776 | — |
| Contingent consideration liability | 3,780 | 52,600 |
| Deferred income taxes | 406 | 218 |
| Total current liabilities | 130,887 | 147,097 |
| Long-term debt, less current portion | 238,843 | — |
| Unrecognized tax benefits | 9,699 | — |
| Other liabilities | 2,483 | 1,238 |
| Commitments and contingencies | | |
| Stockholders' equity: | | |
| Common stock, \$0.01 par value. 24,500,000 voting and 500,000 non-voting shares authorized; 23,556,670 voting and 189,500 non-voting shares issued at December 31, 2012; 22,435,186 voting and 189,500 non-voting shares issued at December 31, 2011 | 236 | 226 |
| Common stock in treasury, at cost, 1,001,723 and 244,944 voting shares at December 31, 2012 and 2011, respectively | (40,322) | (11,562) |
| Additional paid-in capital | 125,601 | 409,599 |
| Retained (deficit) earnings | (2,551) | 51,931 |
| Accumulated other comprehensive income (loss), net | 4,694 | (3,626) |
| Total stockholders' equity | 87,658 | 446,568 |
| Total liabilities and stockholders' equity | \$ 469,570 | \$ 594,903 |

See accompanying notes to consolidated financial statements.

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES

Consolidated Statements of Income

Years ended December 31, 2012, 2011 and 2010

(In thousands, except share and per share data)

| | <u>2012</u> | <u>2011</u> | <u>2010</u> |
|--|------------------|------------------|------------------|
| Revenues: | | | |
| Transaction fees, including \$303,876, \$207,753 and \$210,087 from related parties for the years ended December 31, 2012, 2011 and 2010, respectively | \$ 645,310 | \$ 695,357 | \$ 668,300 |
| Market data fees | 60,253 | 55,593 | 46,087 |
| Regulatory transaction fees, including \$94,326, \$64,360 and \$54,483 from related parties for the years ended December 31, 2012, 2011 and 2010, respectively | 148,092 | 156,480 | 111,051 |
| Other | 31,049 | 19,199 | 9,401 |
| Total revenues | 884,704 | 926,629 | 834,839 |
| Cost of revenues: | | | |
| Liquidity payments, including \$268,386, \$223,489 and \$281,682 to related parties for the years ended December 31, 2012, 2011 and 2010, respectively | 508,169 | 566,103 | 541,682 |
| Routing and clearing, including \$23,319, \$26,828 and \$25,505 to related parties for the years ended December 31, 2012, 2011 and 2010, respectively | 51,271 | 75,985 | 82,182 |
| Section 31 fees | 148,092 | 156,480 | 111,051 |
| Other | 219 | 77 | 710 |
| Total cost of revenues | 707,751 | 798,645 | 735,625 |
| Revenues less cost of revenues | 176,953 | 127,984 | 99,214 |
| Operating expenses: | | | |
| Compensation and benefits | 48,412 | 42,947 | 30,621 |
| Depreciation and amortization | 17,041 | 8,393 | 6,537 |
| Systems and data communication | 11,899 | 10,053 | 10,857 |
| Occupancy | 2,344 | 1,506 | 1,404 |
| Professional and contract services | 9,224 | 10,290 | 3,129 |
| Regulatory costs | 5,685 | 5,477 | 4,527 |
| Changes in fair value of contingent consideration liability | 12,400 | 300 | — |
| General and administrative | 10,632 | 10,733 | 7,297 |
| Total operating expenses | 117,637 | 89,699 | 64,372 |
| Operating income | 59,316 | 38,285 | 34,842 |
| Non-operating (expenses) income: | | | |
| Interest and investment (expense) income | (646) | 174 | 276 |
| Other expense | (563) | (116) | (117) |
| Income before income tax provision | 58,107 | 38,343 | 35,001 |
| Income tax provision | 26,533 | 14,795 | 15,162 |
| Net income | \$ 31,574 | \$ 23,548 | \$ 19,839 |
| Basic earnings per share | \$ 1.40 | \$ 1.29 | \$ 1.11 |
| Diluted earnings per share | \$ 1.39 | \$ 1.26 | \$ 1.08 |
| Cash dividend declared per common stock | \$ 17.62 | \$ — | \$ — |
| Basic weighted average shares outstanding | 22,508,811 | 18,229,825 | 17,814,233 |
| Diluted weighted average shares outstanding | 22,746,146 | 18,745,279 | 18,303,412 |

See accompanying notes to consolidated financial statements.

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES

Consolidated Statements of Comprehensive Income

Years ended December 31, 2012, 2011 and 2010

(In thousands)

| | <u>2012</u> | <u>2011</u> | <u>2010</u> |
|---|------------------|------------------|------------------|
| Net income | \$ 31,574 | \$ 23,548 | \$ 19,839 |
| Other comprehensive income (loss), before tax: | | | |
| Foreign currency translation adjustments | 12,897 | (2,076) | (197) |
| Unrealized holding gains (losses) on available-for-sale investments | 209 | (206) | — |
| Other comprehensive income (loss), before tax | 13,106 | (2,282) | (197) |
| Income tax (provision) benefit related to components of other comprehensive income (loss) | (4,786) | 805 | 171 |
| Other comprehensive income (loss), net of tax | 8,320 | (1,477) | (26) |
| Comprehensive income | <u>\$ 39,894</u> | <u>\$ 22,071</u> | <u>\$ 19,813</u> |

See accompanying notes to consolidated financial statements.

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES

Consolidated Statements of Changes in Stockholders' Equity

Years ended December 31, 2012, 2011 and 2010

(In thousands, except share data)

| | Common stock | | | Common stock in treasury | Additional paid-in capital | Retained earnings (deficit) | Accumulated other comprehensive (loss) income, net | Total stockholders' equity |
|---|---------------------------|-------------------------------|-----------|--------------------------|----------------------------|-----------------------------|--|----------------------------|
| | Voting shares outstanding | Non-voting shares outstanding | Par value | | | | | |
| Balance at December 31, 2009 | 17,789,103 | — | \$ 178 | \$ (1,680) | \$ 167,866 | \$ 8,543 | \$ (2,122) | \$ 172,785 |
| Common stock issued under employee stock plans | 47,110 | — | 1 | (1,825) | 497 | — | — | (1,327) |
| Stock-based compensation | — | — | — | — | 6,059 | — | — | 6,059 |
| Excess tax benefits from stock-based compensation | — | — | — | — | 1,330 | — | — | 1,330 |
| Other comprehensive loss, net of tax | — | — | — | — | — | — | (27) | (27) |
| Net income | — | — | — | — | — | 19,840 | — | 19,840 |
| Balance at December 31, 2010 | 17,836,213 | — | 179 | (3,505) | 175,752 | 28,383 | (2,149) | 198,660 |
| Common stock issued under employee stock plans | 176,176 | — | 3 | (8,057) | 5,700 | — | — | (2,354) |
| Stock-based compensation | — | — | — | — | 5,313 | — | — | 5,313 |
| Excess tax benefits from stock-based compensation | — | — | — | — | 3,287 | — | — | 3,287 |
| Acquisition of Chi-X Europe Limited | 4,177,853 | 189,500 | 44 | — | 219,547 | — | — | 219,591 |
| Other comprehensive loss, net of tax | — | — | — | — | — | — | (1,477) | (1,477) |
| Net income | — | — | — | — | — | 23,548 | — | 23,548 |
| Balance at December 31, 2011 | 22,190,242 | 189,500 | 226 | (11,562) | 409,599 | 51,931 | (3,626) | 446,568 |
| Common stock issued under employee stock plans | 364,705 | — | 10 | (28,760) | 21,209 | — | — | (7,541) |
| Stock-based compensation | — | — | — | — | 5,632 | — | — | 5,632 |
| Excess tax benefits from stock-based compensation | — | — | — | — | 3,332 | — | — | 3,332 |
| Dividends | — | — | — | — | (314,171) | (86,056) | — | (400,227) |
| Other comprehensive income, net of tax | — | — | — | — | — | — | 8,320 | 8,320 |
| Net income | — | — | — | — | — | 31,574 | — | 31,574 |
| Balance at December 31, 2012 | 22,554,947 | 189,500 | \$ 236 | \$ (40,322) | \$ 125,601 | \$ (2,551) | \$ 4,694 | \$ 87,658 |

See accompanying notes to consolidated financial statements.

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES

Consolidated Statements of Cash Flows

Years ended December 31, 2012, 2011 and 2010

(In thousands)

| | 2012 | 2011 | 2010 |
|---|-----------|-----------|------------|
| Cash flows from operating activities: | | | |
| Net income | \$ 31,574 | \$ 23,548 | \$ 19,839 |
| Adjustments to reconcile net income to net cash provided by operating activities: | | | |
| Depreciation and amortization | 17,041 | 8,393 | 6,537 |
| Amortization of debt issuance cost and debt discount | 191 | — | — |
| Change in fair value of contingent consideration | 12,400 | 300 | — |
| Provision for uncollectable accounts receivable | 187 | 373 | 94 |
| Deferred income taxes | (1,001) | (5,768) | (2,958) |
| Stock-based compensation | 5,632 | 5,313 | 6,059 |
| Unrealized gain on investments owned | — | — | (41) |
| Loss (gain) on disposal of property and equipment | 393 | (32) | 1 |
| Changes in assets and liabilities: | | | |
| Receivables, including \$1,835, \$884 and \$3,198 from related parties for the years ended December, 31, 2012, 2011 and 2010, respectively | (5,202) | 7,313 | 439 |
| Trading financial investments, net | 23,536 | (21,034) | 15,000 |
| Prepaid and other assets | (3,234) | 922 | 999 |
| Accounts payable and accrued expenses, including \$4,510, \$3,119 and \$3,586 to related parties for the years ended December 31, 2012, 2011 and 2010, respectively | (13,666) | 7,770 | 6,213 |
| Section 31 fees payable | (3,836) | 21,399 | (15,065) |
| Payment of contingent consideration related to Chi-X Europe acquisition | (8,920) | — | — |
| Other liabilities | 9,974 | (308) | (15) |
| Net cash provided by operating activities | 65,069 | 48,189 | 37,102 |
| Cash flows from investing activities: | | | |
| Acquisition, net of cash acquired | — | 13,402 | — |
| Purchases of available-for-sale financial investments | (162,806) | (308,106) | (102,268) |
| Proceeds from maturities of available-for-sale financial investments | 260,887 | 204,400 | 115,000 |
| Proceeds from short term investments | 3,115 | — | — |
| Purchase of intangible asset | 217 | — | — |
| Issuance of note receivable | — | — | (1,000) |
| Proceeds from disposal of property and equipment | 33 | 78 | — |
| Purchases of property and equipment | (6,900) | (9,553) | (6,361) |
| Net cash provided by (used in) investing activities | 94,546 | (99,779) | 5,371 |
| Cash flows from financing activities: | | | |
| Dividends paid | (398,924) | — | — |
| Proceeds from long-term debt | 300,000 | — | — |
| Payment of contingent liability related to Chi-X Europe acquisition | (52,300) | — | — |
| Debt issuance costs and debt discount | (19,561) | — | — |
| Proceeds from the exercise of stock-based compensation | 424 | 1,234 | 107 |
| Excess tax benefits from stock-based compensation | 3,336 | 3,287 | 1,330 |
| Purchases of treasury stock | (7,975) | (3,588) | (1,825) |
| Net cash (used in) provided by financing activities | (175,000) | 933 | (388) |
| Effect of foreign currency exchange rate changes on cash | (1,460) | (14) | 210 |
| (Decrease) increase in cash and cash equivalents | (16,845) | (50,671) | 42,295 |
| Cash and cash equivalents: | | | |
| Beginning of year | 99,359 | 150,030 | 107,735 |
| End of year | \$ 82,514 | \$ 99,359 | \$ 150,030 |
| Supplemental disclosure of cash paid: | | | |
| Cash paid for income taxes | \$ 21,797 | \$ 10,859 | \$ 22,150 |
| Supplemental disclosure of noncash transactions: | | | |
| Forfeiture of common stock for payment of exercise of stock options | \$ 20,785 | \$ 4,469 | \$ 392 |
| Dividend payable on unvested restricted stock | 1,303 | — | — |
| Supplemental disclosure of noncash investing activities: | | | |
| Short-term investments acquired | \$ — | \$ 3,111 | \$ — |
| Property and equipment acquired | — | 5,212 | — |
| Goodwill acquired | — | 187,130 | — |
| Intangible assets acquired | — | 62,300 | — |
| Fair value of contingent liability at acquisition date | — | 52,300 | — |
| Liabilities assumed | — | 9,386 | — |
| Issuance of common stock related to acquisition | — | 219,591 | — |

See accompanying notes to consolidated financial statements.

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES
Notes to Consolidated Financial Statements
December 31, 2012, 2011 and 2010

(1) Nature of Operations

BATS Global Markets, Inc. and its consolidated subsidiaries (the Company or BATS) is an innovative global financial technology company that develops and operates electronic markets for the trading of listed cash equity securities in the United States (U.S.) and Europe and listed equity options in the U.S. The Company is headquartered in the Kansas City, Missouri, area with additional offices in New York and London, United Kingdom (U.K.).

In the United States, the Company operates two national securities exchanges, BATS Exchange, Inc. (BZX) and BATS Y-Exchange, Inc. (BYX). Both trade listed cash equity securities and exchange-traded products, such as exchange-traded funds (ETFs), but each target different market segments by offering different pricing alternatives. BZX also operates a market for trading listed equity options. During 2012, the Company began to list ETFs on BZX. The Company also operates a broker-dealer, BATS Trading, Inc. (Trading) that provides routed transaction services for listed cash equities and option contracts. In Europe, the Company's multilateral trading facilities (MTFs), BATS Trading Limited (BTL) and Chi-X Europe Limited (Chi-X Europe), offer trading in listed cash equity securities from within 25 European indices, in addition to ETFs, exchange-traded commodities and international depositary receipts. BTL and Chi-X Europe combined are referred to as BATS Chi-X Europe. During the fourth quarter 2012, the Company submitted an application to be registered as a Recognized Investment Exchange (RIE) to the Financial Services Authority (FSA).

(2) Summary of Significant Accounting Policies

(a) Principles of Accounting

The Company follows accounting standards established by the Financial Accounting Standards Board (FASB) to report its financial condition, results of operations and cash flows. References to accounting principles generally accepted in the U.S. (GAAP) in these footnotes are to the FASB Accounting Standards Codification (ASC or Codification).

(b) Basis of Presentation

The accompanying financial statements are presented on a consolidated basis to include the accounts and transactions of BATS Global Markets, Inc. and its wholly owned subsidiaries and all significant intercompany accounts and transactions have been eliminated. Results from operations in fiscal year 2011 related to Chi-X Europe are reflected from the effective date of the acquisition. See note 3 for additional information.

(c) Use of Estimates

The preparation of consolidated financial statements in conformity with GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities as well as disclosure of the amounts of contingent assets and liabilities at the date of the consolidated financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ materially from those estimates. Material estimates that are particularly susceptible to significant change in the near term include the receivable for market data fees, the valuation of goodwill and unrecognized tax benefits.

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES
Notes to Consolidated Financial Statements
December 31, 2012, 2011 and 2010

(d) Cash and Cash Equivalents

The Company's cash and cash equivalents are exposed to concentrations of credit risk. The Company maintains cash at various financial institutions and brokerage firms which, at times, may be in excess of the federal depository insurance limit. The Company's management regularly monitors these institutions and believes that the potential for future loss is minimal. The Company considers all liquid investments with original maturities of three months or less to be cash equivalents.

(e) Financial Investments

Financial investments are classified as trading or available-for-sale.

Trading financial investments represent financial investments held by the broker-dealer subsidiary that retain the industry-specific accounting classification required for broker-dealers. These investments are recorded at fair value with unrealized gains and losses reflected in the consolidated statements of income.

Available-for-sale financial investments are comprised of the financial investments not held by the broker-dealer subsidiary. Unrealized gains and losses, net of income taxes, are included as a component of accumulated other comprehensive income (loss) in the accompanying consolidated statements of financial condition.

Interest on financial investments, including amortization of premiums and accretion of discounts, is recognized as income when earned. Realized gains and losses on financial investments are calculated using the specific identification method and are included in interest and investment (expense) income in the accompanying consolidated statements of income.

A decline in the market value of any available-for-sale investment below cost that is deemed to be other-than-temporary results in an impairment to reduce the carrying amount to realizable value. To determine whether an impairment is other-than-temporary, the Company considers all available information relevant to the collectibility of the investment, including past events, current conditions, and reasonable and supportable forecasts when developing estimate of cash flows expected to be collected. Evidence considered in this assessment includes the reasons for the impairment, the severity and duration of the impairment, changes in value subsequent to year-end, forecasted performance of the investee, and the general market condition in the geographic area or industry in which the investee operates.

(f) Accounts Receivable, Net

Accounts receivable are carried at cost. Interest is recorded on receivables once they exceed 60 days past due. On a periodic basis, management evaluates the Company's receivables and determines an appropriate allowance for uncollectible accounts receivable based on anticipated collections. In circumstances where a specific customer's inability to meet its financial obligations is known (e.g., bankruptcy filings), the Company records a specific provision for uncollectible accounts against amounts due to reduce the receivable to the amount the Company estimates will be collected. Once the Company determines an allowance for an uncollectible account is necessary, interest on the receivable ceases to be accrued. See note 6 for allowance for doubtful account activity.

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES

Notes to Consolidated Financial Statements

December 31, 2012, 2011 and 2010

(g) Property and Equipment, Net

Property and equipment, net is stated at cost less accumulated depreciation. Depreciation is computed using the straight-line method over the estimated lives of the assets, generally ranging from three to seven years. Expenditures for repairs and maintenance are charged to expense as incurred. Depreciation of leasehold improvements is calculated using the straight-line method over the shorter of the related lease term or the estimated useful life of the assets.

Long-lived assets to be held and used are reviewed to determine whether any events or changes in circumstances indicate that the carrying amounts of the assets may not be recoverable. The Company bases this evaluation on such impairment indicators as the nature of the assets, the future economic benefit of the assets, any historical or future profitability measurements, as well as other external market conditions or factors that may be present. If such impairment indicators are present that would indicate that the carrying amount of any asset may not be recoverable, the Company determines whether an impairment has occurred through the use of an undiscounted cash flow analysis of the asset at the lowest level for which identifiable cash flows exist. In the event of impairment, the Company recognizes a loss for the difference between the carrying amount and the estimated value of the asset as measured using quoted market prices or, in the absence of quoted market prices, a discounted cash flow analysis.

The Company accounts for software development costs under ASC 350, *Intangibles – Goodwill and Other*. The Company expenses software development costs as incurred during the preliminary project stage, while capitalizing costs incurred during the application development stage, which includes design, coding, installation and testing activities.

(h) Goodwill and Intangible Assets, Net

Goodwill represents the excess of purchase price over the value assigned to the net tangible and identifiable intangible assets of a business acquired. Goodwill is allocated to the Company's reporting units based on the assignment of the fair values of each reporting unit of the acquired company. The Company is required to test goodwill for impairment at the reporting unit level annually, or in interim periods if certain events occur indicating that the carrying value may be impaired. The impairment test is performed during the fourth quarter using December 1st carrying values, and if the fair value of the reporting unit is found to be less than the carrying value, an impairment loss is recorded. The Company completed its annual goodwill impairment test in the fourth quarter of 2012 and determined that no impairment existed.

Intangible assets, net, primarily include acquired trademarks and trade names, customer relationships, strategic alliance agreements, and licenses and registrations. Intangible assets with finite lives are amortized based on the discounted cash flow method applied over the estimated useful lives of the intangible assets as follows:

| <u>Assets</u> | <u>Useful life</u> |
|------------------------------|--------------------|
| Customer relationships | 20 years |
| Strategic alliance agreement | 4.25 years |
| Trademarks/trade names | 1 year |

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES
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Intangible assets deemed to have indefinite useful lives are not amortized, but instead are tested for impairment at least annually, usually concurrently with goodwill. Impairment exists if the fair value of the asset is less than the carrying amount, and in that case, an impairment loss is recorded. The Company has performed the required intangible assets impairment tests and the tests did not result in an impairment charge.

(i) Foreign Currency

The financial statements of foreign subsidiaries where the functional currency is not the U.S. dollar are translated into U.S. dollars using the exchange rate in effect as of each statement of financial condition date. Statements of income and cash flow amounts are translated using the average exchange rate during the period. The cumulative effects of translating the statement of financial condition accounts from the functional currency into the U.S. dollar at the applicable exchange rates are included in accumulated other comprehensive income (loss). Foreign currency gains and losses are recorded as other expense in the consolidated statements of income.

(j) Income Taxes

Deferred taxes are recorded on a liability method whereby deferred tax assets are recognized for deductible temporary differences and operating loss and tax credit carryforwards, and deferred tax liabilities are recognized for taxable temporary differences. Temporary differences are the differences between the reported amounts of assets and liabilities and their tax bases. Deferred tax assets are reduced by a valuation allowance when, in the opinion of management, it is more likely than not that some portion or all of the deferred tax assets will not be realized. Deferred tax assets and liabilities are adjusted for the effects of changes in tax laws and rates on the date of enactment.

The Company recognizes the tax benefit from an uncertain tax position only if it is more likely than not that the tax position will be sustained on examination by the taxing authorities, based upon the technical merits of the position. The tax benefit recognized in the consolidated financial statements from such a position is measured based on the largest benefit that has a greater than 50% likelihood of being realized upon ultimate settlement. Also, interest and penalties expense is recognized on the full amount of deferred benefits for uncertain tax positions. The Company's policy is to include interest and penalties related to unrecognized tax benefits in the income tax provision within the consolidated statements of income.

(k) Revenue Recognition

Transaction Fees and Liquidity Payments

Under the Company's "maker-taker" pricing model on BZX and the Company's MTFs, a member posting an order (the liquidity maker) is paid a rebate (recorded in liquidity payments) for an execution occurring against that order, and a member executing against an order resting on the Company's book (the liquidity taker) is charged a fee (recorded in transaction fees). As a result, transaction fees consist of "taker" fees and routing fee revenues charged on securities that are routed to another market center. Transaction fees are considered earned upon execution of a trade and are recognized on a trade-date basis and recorded on a gross basis in revenues and cost of revenues.

Under the Company's "taker-maker" pricing model on BYX, a liquidity taker is paid a rebate (recorded in liquidity payments) for an execution occurring against that order and a liquidity maker

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is charged a fee (recorded in transaction fees) for posting such an order. Transaction fees are considered earned upon execution of a trade and are recognized on a trade-date basis and recorded on a gross basis in revenues and cost of revenues.

Market Data Fees

Market data fees are earned from U.S. tape plans, including the Unlisted Trading Privileges Plan (UTP), the Consolidated Tape Association Plan (CTA), and the Options Price Reporting Authority, LLC (OPRA). Fees, net of plan costs, from UTP and CTA are allocated and distributed to plan participants according to their share of tape fees based on a formula required by SEC Regulation NMS that takes into account both trading and quoting activity. Fees from the CTA and UTP are estimated and recognized on a monthly basis and received approximately 45 days after quarter end. Market data fees from OPRA are allocated based upon the share of total options transactions cleared for each of the OPRA members. Fees from OPRA are estimated and recognized on a monthly basis and received approximately 30 days after quarter end. During 2012, the Company began charging data subscribers for market data in its European Equities segment. The market data fees are recognized on a monthly basis.

Prior year market data product revenue has been reclassified from other revenue to market data fees to conform with current year presentation.

Regulatory Transaction and Section 31 Fees

BZX and BYX, as U.S. exchanges, are assessed Section 31 fees pursuant to the Securities Exchange Act of 1934 (Exchange Act). Section 31 fees are assessed on the notional value traded and are designed to recover the costs to the government of supervision and regulation of securities markets and securities professionals. These fees are paid directly to the SEC by BZX and BYX. BZX and BYX, in turn, collect regulatory transaction fees that are designed to equal to the Section 31 fees from their members. The Company acts as the principal versus an agent on these transactions, and therefore these transactions are reported gross in the consolidated statements of income. BZX and BYX collect the regulatory transaction fees as a pass-through charge from members executing eligible trades and recognize these amounts in revenues, and the related Section 31 fees in cost of revenues, respectively, as incurred on a settlement-date basis. Regulatory transaction fees received are included in cash and cash equivalents and financial investments in the consolidated statements of financial condition at the time of receipt. As required by law, the amount due to the SEC is remitted semiannually and recorded as Section 31 fees payable to the SEC in the consolidated statements of financial condition until paid. Because the Company holds the funds received until payment is remitted to the SEC, the Company earns interest on the related balances.

Concentrations of Revenue and Liquidity Payments

For the years ended December 31, 2012, 2011 and 2010, no members accounted for more than 10% of the Company's transaction fees. For the years ended December 31, 2012, 2011 and 2010, approximately 10%, 13% and 31%, respectively, of total liquidity payments each year were paid to one member, substantially all of which is recorded in the U.S. Equities segment. No other members accounted for more than 10% of the Company's liquidity payments during the years ended December 31, 2012, 2011 and 2010.

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No member is contractually or otherwise obligated to continue to use the Company's services. The loss of, or a significant reduction of, participation by these members may have a material adverse effect on the Company's business, financial condition, results of operations and cash flows.

(l) Earnings Per Share

The Company presents both basic and diluted earnings per share. Basic earnings per share is computed by dividing net income by the weighted average number of common shares outstanding during the period. Diluted earnings per share is computed by dividing net income by the sum of the weighted average number of common shares and dilutive common share equivalents outstanding.

(m) Stock-Based Compensation

The Company grants stock-based compensation to its employees through awards of stock options and restricted stock. The Company records stock-based compensation expense for all stock-based compensation granted based on the grant-date fair value. The Company recognizes compensation expense related to stock-based compensation awards with graded vesting that have a service condition on a straight-line basis over the requisite service period of the entire award.

The amount of stock-based compensation expense related to awards of restricted stock is based on the fair value of BATS Global Markets, Inc. common stock at the date of grant.

The amount of future stock-based compensation expense related to awards of stock options is based on the Black-Scholes valuation model. Assumptions used to estimate the grant-date fair value of stock options are determined as follows:

- Expected term is determined using the simplified method, using the average between the contractual term and vesting period of the award. The simplified method was used due to the lack of historical information;
- Expected volatility of award grants made under the Company's plan is measured using the weighted average of historical daily changes in the market price of the common stock of comparable public companies over the period equal to the expected term of the award or a minimum of two years if comparable public company historical market prices are not available for the entire expected term;
- Expected dividend rate is determined based on expected dividends to be declared;
- Risk-free interest rate is equivalent to the implied yield on zero-coupon U.S. Treasury bonds with a maturity equal to the expected term of the awards; and
- Forfeitures are based on the history of cancellations of awards granted and management's analysis of potential forfeitures.

(n) Business Combinations

The Company accounts for business combinations in accordance with ASC Topic 805, *Business Combinations*, which requires identifiable assets, liabilities and goodwill acquired in a business combination to be recorded at "full fair value" at the acquisition date. Additionally, ASC Topic 805 requires transaction-related costs to be expensed in the period incurred.

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(o) *Debt Issuance Costs*

The Company accounts for debt issuance cost in accordance with ASC Topic 470, *Debt*, which requires that all costs incurred to issue debt be capitalized and amortized over the life of the loan using the interest method.

(3) **Chi-X Europe Acquisition**

On November 30, 2011 (the Acquisition Date) the Company acquired 100% of the outstanding common shares of Chi-X Europe. The results of Chi-X Europe's operations have been included in the consolidated financial statements since the Acquisition Date.

The acquisition-date fair value of the consideration transferred totaled \$304.1 million, which consisted of the following (in thousands):

| | |
|--|------------|
| Fair value of consideration transferred: | |
| Cash | \$ 32,256 |
| Fair value of share outlay | 219,591 |
| Contingent consideration | 52,300 |
| Total purchase price | \$ 304,147 |

The Company issued 4,367,353 shares of common stock valued at \$50.28 per share. The fair value was based on a third-party valuation that used a discounted cash flow model and valuation multiples observed of publicly traded companies in a similar industry. Included in the acquisition was a contingent cash payment. The fair value of the contingent consideration at the Acquisition Date was \$52.3 million and changes in the fair value are recorded in operating expenses in the consolidated statements of income. This value was estimated using a probability-weighted discounted cash flow method and represents a Level 3 measurement as defined in ASC Topic 820. The key assumptions used in this methodology were a discount rate of 4.6% and a probability assignment to each of nine market share scenarios.

During the fourth quarter 2012, the contingent cash payment of \$65 million was earned, of which \$61.2 million was paid through December 31, 2012. The remaining payment was made in the first quarter 2013.

The following table summarizes the estimated fair values of the assets acquired and liabilities assumed at the Acquisition Date (in thousands):

| | |
|--------------------------------|------------|
| Cash and cash equivalents | \$ 45,658 |
| Other current assets | 12,952 |
| Property and equipment | 5,212 |
| Identifiable intangible assets | 62,300 |
| Goodwill | 187,130 |
| Other assets | 281 |
| Liabilities | (9,386) |
| | \$ 304,147 |

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Of the intangible assets recognized, \$10.8 million was assigned to licenses and registrations and has an indefinite useful life. Therefore, this intangible asset will not be amortized, but its impairment will be evaluated at least annually. The remaining intangible assets will be amortized over the following useful lives:

| <u>Assets</u> | <u>Useful life</u> | <u>Balance at acquisition date</u> <u>(in thousands)</u> |
|------------------------------|--------------------|---|
| Customer relationships | 20 years | \$ 45,100 |
| Strategic alliance agreement | 4.25 years | 5,800 |
| Trademarks/trade names | 1 year | 600 |

The goodwill acquired was assigned to the European Equities segment, as further described in note 12. The goodwill recognized is attributable primarily to expected synergies of the combined workforce and technologies of BTL and Chi-X Europe. Approximately \$140 million of goodwill was deductible for tax purposes.

The fair value of accounts receivable acquired was \$3.0 million. The gross amount of accounts receivable was \$3.1 million, of which \$0.1 million was deemed to be uncollectable.

The Company recognized \$19.3 million and \$11.4 million of acquisition-related costs expensed during 2012 and 2011, respectively. These costs are included in compensation and benefits, professional and contract services, and changes in fair value of contingent consideration in the consolidated statements of income.

The amounts of revenue and operating loss of Chi-X Europe included in the Company's consolidated statements of income from the Acquisition Date to the period ending December 31, 2011 are as follows (in thousands):

| | |
|----------------|----------|
| Revenue | \$ 5,021 |
| Operating loss | (7,009) |

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The following unaudited pro forma financial information presents the combined results of the Company and Chi-X Europe had the acquisition date been January 1, 2011 or January 1, 2010 (in thousands):

| | Fiscal Year ended December 31, 2011 | Fiscal Year ended December 31, 2010 |
|---------------------|---|---|
| Revenue | \$ 999,490 | \$ 899,928 |
| Operating income | 40,897 | 29,153 |
| Net income | 24,295 | 17,331 |
| Earnings per share: | | |
| Basic | \$ 1.09 | \$ 0.78 |
| Diluted | 1.07 | 0.76 |

The supplemental 2011 and 2010 pro forma amounts have been calculated after applying the Company's accounting policies and adjusting the results to reflect the additional depreciation and amortization that would have been charged assuming the adjusted fair values of property and equipment and acquired intangible assets had been applied on January 1, 2010. The supplemental 2011 and 2010 pro forma financial information includes pro forma adjustments of \$18.8 million for acquisition related costs, such as fees to investment bankers, attorneys, accountants and other professional advisors and severance to employees.

(4) Restructuring

Prior to the Acquisition Date, Chi-X Europe entered into retention agreements with its employees to be paid in the first quarter 2012. Subsequent to the acquisition of Chi-X Europe, the Company determined that certain Chi-X Europe employees' positions were redundant. As such, the Company communicated one-time employee termination benefits to these Chi-X Europe employees which included maintaining the terms of the retention agreement. Certain employees were terminated in 2011, while others were terminated in the second quarter of 2012.

In 2011, the Company recorded \$4.6 million of termination benefits in the compensation and benefits line of the consolidated statement of income. At December 31, 2012, all termination benefits accrued had been fully paid.

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(5) Financial Investments

The Company's financial investments with original maturities longer than three months, but that mature in less than one year from the balance sheet date are classified as current assets and are summarized as follows (in thousands):

| | December 31, 2012 | | | Fair value |
|------------------------------------|-------------------|------------------|-------------------|------------------|
| | Cost basis | Unrealized gains | Unrealized losses | |
| Available-for-sale: | | | | |
| U.S. Treasury securities | \$ 22,292 | \$ 3 | \$ — | \$ 22,295 |
| Total financial investments | \$ 22,292 | \$ 3 | \$ — | \$ 22,295 |

| | December 31, 2011 | | | Fair value |
|------------------------------------|-------------------|------------------|-------------------|-------------------|
| | Cost basis | Unrealized gains | Unrealized losses | |
| Available-for-sale: | | | | |
| U.S. Treasury securities | \$ 120,906 | \$ — | \$ (206) | \$ 120,700 |
| Total financial investments | \$ 120,906 | \$ — | \$ (206) | \$ 120,700 |

(6) Allowance for Doubtful Accounts

Allowance for doubtful accounts consisted of the following for the years ended December 31, 2012, 2011 and 2010 (in thousands):

| | 2012 | 2011 | 2010 |
|---|---------------|---------------|---------------|
| Balance at beginning of period | \$ 352 | \$ 206 | \$ 252 |
| Additions: | | | |
| Charges to income, included in general and administrative expense | 187 | 373 | 94 |
| Deductions: | | | |
| Recoveries of amounts previously written-off | — | (2) | — |
| Charges for which reserves were provided | (133) | (225) | (140) |
| Balance at end of period | \$ 406 | \$ 352 | \$ 206 |

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(7) Property and Equipment, Net

Property and equipment consisted of the following as of December 31, 2012 and 2011 (in thousands):

| | 2012 | 2011 |
|-------------------------------------|------------------|------------------|
| Computer equipment and software | \$ 38,107 | \$ 31,987 |
| Office furniture and fixtures | 1,159 | 1,038 |
| Leasehold improvements | 4,892 | 4,261 |
| Total property and equipment | 44,158 | 37,286 |
| Less accumulated depreciation | (27,161) | (17,705) |
| Property and equipment, net | \$ 16,997 | \$ 19,581 |

Depreciation expense was \$10.3 million, \$8.0 million and \$6.5 million for the years ended December 31, 2012, 2011 and 2010, respectively.

(8) Goodwill and Intangible Assets, Net

The following table presents the details of the goodwill and intangible assets (in thousands):

| | Intangible assets | Goodwill |
|--|----------------------|------------|
| Balance at December 31, 2010 | \$ — | \$ — |
| Acquisition of Chi-X Europe | 62,300 | 187,130 |
| Amortization | (442) | — |
| Changes in foreign currency exchange rates | (522) | (1,581) |
| Balance at December 31, 2011 | 61,336 | 185,549 |
| Acquisition of intangible asset | 217 | — |
| Amortization | (6,719) | — |
| Changes in foreign currency exchange rates | 2,762 | 8,745 |
| Balance as of December 31, 2012 | \$ 57,596 | \$ 194,294 |

For the year ended December 31, 2012, amortization expense was \$6.7 million. The estimated future amortization expense is \$6.3 million for 2013 and 2014, \$8.7 million for 2015, \$6.3 million for 2016 and \$4.5 million for 2017.

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The following table presents the categories of intangible assets, all of which is recorded in European Equities, except for domain names, which is recorded in Corporate Items and Eliminations (in thousands):

| | <u>December 31,</u> <u>2012</u> | <u>December 31,</u> <u>2011</u> |
|------------------------------------|------------------------------------|------------------------------------|
| Trademarks and trade names | \$ 623 | \$ 595 |
| Customer relationships | 46,827 | 44,719 |
| Strategic alliance agreements | 6,022 | 5,751 |
| Trading registrations and licenses | 11,213 | 10,709 |
| Domain names | 217 | — |
| Accumulated amortization | <u>(7,306)</u> | <u>(438)</u> |
| | <u>\$ 57,596</u> | <u>\$ 61,336</u> |

(9) Accounts Payable and Accrued Expenses

Accounts payable and accrued expenses consisted of the following as of December 31, 2012 and 2011 (in thousands):

| | <u>2012</u> | <u>2011</u> |
|---------------------------------------|------------------|------------------|
| Accounts payable | \$ 14,356 | \$ 14,141 |
| Deferred rent | 123 | 167 |
| Dividends payable | 367 | — |
| Unrecognized tax benefits | 470 | 92 |
| Accrued expenses | <u>11,319</u> | <u>24,753</u> |
| Accounts payable and accrued expenses | <u>\$ 26,635</u> | <u>\$ 39,153</u> |

(10) Debt

On December 19, 2012, the Company entered into (i) a term loan agreement in the amount of \$300 million and (ii) revolving loans not to exceed \$50 million. The proceeds received from the term loan were used by the Company to pay a \$13.20 dividend to all shareholders of BATS Global Markets, Inc. common stock during the fourth quarter 2012. The term of the loan is six years ending on December 19, 2018 with a variable interest rate based on 1-month London Interbank Offered Rate (LIBOR) (with a floor of 125 basis points) plus a spread of 575 basis points. The original issue discount was \$12.5 million, or approximately 4.2%. The revolving loans have similar interest rates and a three-year term, ending on December 19, 2015. Principal payments on outstanding balances are made on a quarterly basis. The Company incurred \$7.1 million of debt issuance costs, which was capitalized and is being amortized over the term of the loans.

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As of December 31, 2012, the Company's long-term debt consisted of the following (in thousands):

| | <u>Principal Balance</u> | <u>Debt Discount</u> | <u>Total</u> |
|----------------------|------------------------------|--------------------------|-------------------|
| Term loan | \$ 300,000 | \$ (12,381) | \$ 287,619 |
| Revolving loan | - | - | - |
| Total debt | 300,000 | (12,381) | 287,619 |
| Less current portion | (52,200) | 3,424 | (48,776) |
| Total long-term debt | <u>\$ 247,800</u> | <u>\$ (8,957)</u> | <u>\$ 238,843</u> |

The unamortized debt discount will be amortized as part of interest expense through December 19, 2018, the maturity date of the term loan. The effective interest rate on the term loan was 7.3% for the year ended December 31, 2012.

The credit agreement contains customary affirmative and negative covenants, events of default and a financial covenant to not exceed a maximum leverage ratio measured each quarter through the term of the loan, all as defined in the credit agreement. As of December 31, 2012, the Company was in compliance with all covenants of the credit arrangements.

The Company and certain subsidiaries have guaranteed the repayment of obligations under the credit agreement and have granted pledges of the shares of certain subsidiaries along with a security interest in certain other asset of the Company and certain subsidiaries as collateral.

As of December 31, 2012, aggregate minimum annual maturities of long-term debt are \$45 million in 2013, 2014, 2015, 2016 and 2017. In addition to the minimum principal payments, the Company is required to pay additional principal payments based on an annual calculation of Excess Cash Flow, as defined by the term loan, if any, beginning for the year ending December 31, 2013. The Company expects to pay \$7.2 million related to the Excess Cash Flow for the year ending December 31, 2013, which is recorded in the current portion of long-term debt.

Interest expense recognized on the term loan and revolving loans for the year ended December 31, 2012 is as follows (in thousands):

| | <u>Year Ended December 31, 2012</u> |
|------------------------------------|---|
| Components of interest expense: | |
| Contractual interest | \$ 707 |
| Amortization of debt discount | 119 |
| Amortization of debt issuance cost | 85 |
| Interest expense | <u>\$ 911</u> |

(11) Fair Value Measurements

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date and sets out a fair value hierarchy.

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The fair value hierarchy gives the highest priority to quoted prices in active markets for identical assets or liabilities (Level 1) and the lowest priority to unobservable inputs (Level 3). Inputs are broadly defined as assumptions market participants would use in pricing an asset or liability. The three levels of the fair value hierarchy are described below:

Level 1: Unadjusted quoted prices in active markets for identical assets or liabilities that the reporting entity has the ability to access at the measurement date. The type of investments included in Level 1 include listed equities and listed derivatives.

Level 2: Inputs other than quoted prices within Level 1 that are observable for the asset or liability, either directly or indirectly, and fair value is determined through the use of models or other valuation methodologies. Investments that are generally included in this category include corporate bonds and loans, less liquid and restricted equity securities and certain over-the-counter derivatives. A significant adjustment to a Level 2 input could result in the Level 2 measurement becoming a Level 3 measurement.

Level 3: Inputs are unobservable for the asset or liability and include situations where there is little, if any, market activity for the asset or liability. The inputs into the determination of fair value are based upon the circumstances and the best information available at the time and may require significant management judgment or estimation. Investments that are included in this category generally include equity and debt positions in private companies.

Financial investments classified as trading and available-for-sale consist of highly liquid U.S. Treasury securities. These securities are valued by obtaining feeds from a number of live data sources, including active market makers and inter-dealer brokers and therefore categorized as Level 1.

The following table presents the Company's fair value hierarchy for those assets (liabilities) measured at fair value on a recurring basis as of December 31, 2012 and 2011 (in thousands):

| | December 31, 2012 | | | |
|---|-------------------|------------------|-------------|-------------|
| | Total | Level 1 | Level 2 | Level 3 |
| Assets: | | | | |
| Trading financial investments: | | | | |
| U.S. Treasury securities | \$ 7,497 | \$ 7,497 | \$ — | \$ — |
| Available-for-sale financial investments: | | | | |
| U.S. Treasury securities | 22,295 | 22,295 | — | — |
| Total assets | <u>\$ 29,792</u> | <u>\$ 29,792</u> | <u>\$ —</u> | <u>\$ —</u> |

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| | December 31, 2011 | | | |
|---|-------------------|------------|---------|-------------|
| | Total | Level 1 | Level 2 | Level 3 |
| Assets: | | | | |
| Trading financial investments: | | | | |
| U.S. Treasury securities | \$ 31,033 | \$ 31,033 | \$ — | \$ — |
| Available-for-sale financial investments: | | | | |
| U.S. Treasury securities | 120,700 | 120,700 | — | — |
| Total assets | \$ 151,733 | \$ 151,733 | \$ — | \$ — |
| Liabilities: | | | | |
| Contingent consideration | \$ (52,600) | \$ — | \$ — | \$ (52,600) |

As of December 31, 2011, the Company had \$52.6 million in liabilities that consisted of the contingent consideration recorded in conjunction with the acquisition of Chi-X Europe which are classified as Level 3 fair value measurements. This value was estimated using a probability-weighted discounted cash flow method. The key assumptions used were a discount rate of 4.6% and a probability assignment to each of nine market share scenarios.

During the fourth quarter 2012, the requirements for the payout of the contingent consideration liability were met and \$61.2 million was paid to former Chi-X Europe shareholders.

The following is a reconciliation of the beginning and ending balance of the contingent consideration for Chi-X Europe (in thousands):

| | |
|---|-----------|
| Balance at acquisition date | \$ 52,300 |
| Change in fair value | 300 |
| Balance at December 31, 2011 | 52,600 |
| Change in fair value | 12,400 |
| Amount paid to former Chi-X Europe shareholders | (61,220) |
| Balance at December 31, 2012 | \$ 3,780 |

The carrying amount of long-term debt approximates its fair based on quoted LIBOR at December 31, 2012.

The carrying amount of cash and cash equivalents, short-term investments, accounts receivable, notes receivable, accounts payable and Section 31 fees payable approximate fair value due to their liquid or short-term nature.

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(12) Segment Reporting

The Company operates under three reportable segments: U.S. Equities, European Equities and U.S. Options. The Company evaluates segment performance primarily based on operating income (loss). The Company has aggregated all of its corporate costs, as well as other business ventures, within Corporate Items and Eliminations; however, professional and contract services that relate to activities of a specific segment have been allocated to that segment.

- The U.S. Equities segment includes listed cash equities and exchange-traded products transaction services that occur on BZX and BYX. It also includes the listed cash equities and exchange-traded products routed transaction services that occur on Trading. It also includes the Company's Listings business where ETFs are listed on BZX.
- The European Equities segment includes the pan-European listed cash equities transaction services, ETFs, exchange-traded commodities and international depository receipts that occur on the MTFs, BTL and Chi-X Europe. The Company acquired Chi-X Europe on November 30, 2011. See note 3 for additional information.
- The U.S. Options segment includes the listed equity options transaction services that occur on BZX. This segment began trading listed equity options in February 2010. It also includes the listed equity options routed transaction services that occur on Trading.

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Summarized financial data of the Company's reportable segments was as follows (in thousands):

| | U.S. Equities | European Equities | U.S. Options | Corporate items and eliminations | Total |
|-------------------------------------|---------------|-------------------|--------------|----------------------------------|------------|
| 2012: | | | | | |
| Revenues | \$ 723,220 | \$ 82,829 | \$ 78,655 | \$ — | \$ 884,704 |
| Revenues less cost of revenues | 127,136 | 35,771 | 14,046 | — | 176,953 |
| Depreciation and amortization | 4,406 | 11,478 | 1,157 | — | 17,041 |
| Operating income (loss) | 83,076 | (25,174) | 7,705 | (6,291) | 59,316 |
| Total assets | 170,579 | 292,936 | 9,002 | (2,947) | 469,570 |
| Goodwill | — | 194,294 | — | — | 194,294 |
| Intangible assets, net | — | 57,379 | — | 217 | 57,596 |
| Contingent consideration liability | — | 3,780 | — | — | 3,780 |
| Debt | — | — | — | 287,619 | 287,619 |
| Purchases of property and equipment | 4,518 | 310 | 1,651 | 421 | 6,900 |
| 2011: | | | | | |
| Revenues | \$ 840,801 | \$ 28,389 | \$ 57,439 | \$ — | \$ 926,629 |
| Revenues less cost of revenues | 115,352 | 10,656 | 1,976 | — | 127,984 |
| Depreciation and amortization | 4,729 | 2,792 | 872 | — | 8,393 |
| Operating income (loss) | 69,720 | (24,448) | (4,409) | (2,578) | 38,285 |
| Total assets | 267,800 | 325,524 | 4,861 | (3,282) | 594,903 |
| Goodwill | — | 185,549 | — | — | 185,549 |
| Intangible assets, net | — | 61,336 | — | — | 61,336 |
| Contingent consideration liability | — | 52,600 | — | — | 52,600 |
| Purchases of property and equipment | 2,438 | 6,441 | 674 | — | 9,553 |
| 2010: | | | | | |
| Revenues | \$ 808,266 | \$ 19,115 | \$ 7,458 | \$ — | \$ 834,839 |
| Revenues less cost of revenues | 91,183 | 6,917 | 1,114 | — | 99,214 |
| Depreciation | 4,582 | 1,211 | 744 | — | 6,537 |
| Operating income (loss) | 50,586 | (8,295) | (6,124) | (1,325) | 34,842 |
| Total assets | 250,481 | 9,095 | 3,864 | (6,932) | 256,508 |
| Purchases of property and equipment | 4,562 | 800 | 999 | — | 6,361 |

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Geographic Data

The following table presents revenues and long-lived assets, net by geographic area for 2012, 2011 and 2010 (in thousands). Revenues are classified based upon the location of the trading venue. Long-lived assets information is based on the physical location of the assets.

| | <u>Total revenues</u> | <u>Long-lived assets</u> |
|----------------|---------------------------|------------------------------|
| 2012: | | |
| United States | \$ 801,876 | \$ 9,904 |
| United Kingdom | 82,828 | 258,983 |
| Total | <u>\$ 884,704</u> | <u>\$ 268,887</u> |
| 2011: | | |
| United States | \$ 898,240 | \$ 8,634 |
| United Kingdom | 28,389 | 257,832 |
| Total | <u>\$ 926,629</u> | <u>\$ 266,466</u> |
| 2010: | | |
| United States | \$ 815,724 | \$ 11,117 |
| United Kingdom | 19,115 | 1,668 |
| Total | <u>\$ 834,839</u> | <u>\$ 12,785</u> |

(13) Employee Benefit Plan

The Company offers a SIMPLE Individual Retirement Account for the benefit of all U.S. employees. The Company matches participating employee contributions of up to three percent of salary. All U.S. employees are eligible to participate. The Company's contribution amounted to \$0.4 million for the years ended December 31, 2012, 2011 and 2010. This expense is included in compensation and benefits in the consolidated statements of income.

BTL operates a stakeholder contribution plan and contributes to employee-selected stakeholder contribution plans. The Company matched participating employee contributions of up to five percent of salary. All employees of BTL were eligible to participate. The Company's contribution amounted to \$0.4 million for the year ended December 31, 2012, \$0.3 million for the year ended December 31, 2011 and \$0.2 million for the year ended December 31, 2010. This expense is included in compensation and benefits in the consolidated statements of income.

Chi-X Europe operates a defined contribution plan known as the Personal Pension Plan (the Plan). All employees of Chi-X Europe were eligible to participate. The cost of contributions payable by the Company with regards to the Plan for the year are expensed as incurred. For the years ended December 31, 2012 and 2011 the Company contributed \$0.3 million and \$0.1 million, respectively. This expense is included in compensation and benefits in the consolidated statements of income.

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(14) Related Party Transactions

Certain affiliates of stockholders of BATS conduct trading activity through the Company. The extent of such activity is presented in the accompanying consolidated statements of financial condition, income and cash flows.

The Company maintains brokerage accounts with a stockholder. As of December 31, 2012 and 2011, \$67.9 million and \$184.4 million, respectively, in cash and cash equivalents and financial investments were held in such accounts.

(15) Regulatory Capital

As a broker-dealer registered with the SEC, Trading is subject to the SEC's Uniform Net Capital rule (Rule 15c3-1), which requires the maintenance of minimum net capital, as defined. The SEC's requirement also provides that equity capital may not be withdrawn or a cash dividend paid if certain minimum net capital requirements are not met. Trading computes its net capital requirements under the basic method provided for in Rule 15c3-1, which, as of December 31, 2012 and 2011, requires Trading to maintain net capital equal to the greater of 6.67% of aggregate indebtedness items, as defined, or \$100,000. At December 31, 2012 and 2011, Trading had net capital of \$6.2 million and \$29.3 million, respectively, which was \$5.9 million and \$28.7 million, respectively, in excess of its required net capital of \$0.3 million and \$0.6 million, respectively.

As a Banks, Investment firms, PRUdential (BIPRU) 730k firm as defined by the Markets in Financial Instruments Directive of the FSA, BTL and Chi-X Europe are subject to Capital Resources Requirement (CRR). BTL computes its CRR as the greater of the base requirement of \$9.4 million and \$1.1 million at December 31, 2012 and 2011, respectively, or the summation of the credit risk, market risk and fixed overheads requirements, as defined. At December 31, 2012 and 2011, BTL had capital in excess of its required CRR of \$7.3 million and \$4.8 million, respectively.

Chi-X Europe computes its CRR as the greater of the base requirement of \$0.6 million at December 31, 2012 and \$4.6 million at December 31, 2011, or the summation of the credit risk, market risk and fixed overheads requirements, as defined. At December 31, 2012, Chi-X Europe had capital in excess of its required CRR of \$2.7 million. At December 31, 2011, Chi-X Europe had capital in excess of its required CRR of \$47.3 million.

(16) Stock-Based Compensation

The Company utilizes equity award programs for offering long-term incentives to its employees. The equity incentives have been granted in the form of nonstatutory stock options and restricted stock. In conjunction with these programs, the Company recognized stock-based compensation expense of \$5.6 million, \$5.3 million and \$6.1 million for the years ended December 31, 2012, 2011 and 2010, respectively. This expense is included in compensation and benefits in the consolidated statements of income.

Stock Options

The Company has two stock option plans pursuant to which stock options have been granted: the Amended and Restated BATS Global Markets, Inc. 2008 Stock Option Plan (2008 Plan) and the BATS Global Markets, Inc. 2009 Stock Option Plan (2009 Plan). Options granted under these plans generally vest over

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four years. Options granted under the 2008 Plan have a five-year contractual term, while options granted under the 2009 Plan have a ten-year contractual term. Pursuant to the 2009 Stock Option Plan and the 2008 Stock Option Plan, the Company authorized grants of options to its full-time employees to purchase up to 2,195,417 shares of the Company's stock. Such shares must be previously unissued or reacquired shares.

In connection with the Company's failed attempt of an initial public offering (IPO) during 2012, the Company's registration statement on Form S-1 was declared effective by the SEC. As a result of the registration statement being declared effective and pursuant to the 2008 Plan and 2009 Plan, all remaining outstanding unvested stock options would become fully vested one year after the effectiveness of the Company's registration statement. The Company recorded \$1.5 million in stock-based compensation expense for the year ended December 31, 2012 as a result of the vesting acceleration of outstanding unvested stock options.

During 2012, the Company modified the exercise prices of outstanding stock options as a result of the extraordinary dividends paid during 2012 pursuant to the anti-dilutive provisions of the 2008 Plan and 2009 Plan. The exercise prices were decreased by \$3.31 and \$9.96 for the dividends paid in August 2012 and December 2012, respectively.

Summary stock option activity is presented below:

| | Number of shares | Weighted average exercise price | Weighted average remaining contractual term (years) | Aggregate intrinsic value |
|----------------------------------|---------------------|--|---|---------------------------------|
| Outstanding, December 31, 2009 | 1,766,750 | \$ 21.60 | 4.2 | \$ 44,930,803 |
| Granted | 351,750 | 46.47 | | |
| Exercised | (89,500) | 5.56 | | 3,366,310 |
| Forfeited | (23,250) | 34.50 | | |
| Outstanding, December 31, 2010 | 2,005,750 | 26.53 | 3.2 | 30,093,033 |
| Exercised | (343,000) | 16.63 | | 10,864,163 |
| Forfeited | (58,250) | 38.71 | | |
| Outstanding, December 31, 2011 | 1,604,500 | 28.20 | 3.1 | 37,030,383 |
| Exercised | (1,030,655) | 20.59 | | 17,949,059 |
| Forfeited | (37,220) | 44.40 | | |
| Outstanding, December 31, 2012 | 536,625 | \$ 27.62 | 6.7 | \$ 1,652,529 |
| Exercisable at December 31, 2012 | 315,813 | \$ 26.65 | 6.5 | \$ 1,160,324 |

The Company estimated the grant date fair value of stock options awarded during 2010 using the Black-Scholes valuation model with the following assumptions:

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| | |
|---|-------------|
| | <u>2010</u> |
| Expected term (in years) | 6.25 |
| Expected volatility | 57% |
| Expected dividends | None |
| Risk-free rate | 2.4% – 3.1% |
| Weighted-average fair value at grant date | \$ 26.54 |

Expected term is determined using the simplified method, using the average between the contractual term and vesting period of the award. The simplified method was used due to the lack of historical information.

The expected volatility of award grants made under the Company's plans is measured using the weighted average of historical daily changes in the market price of the common stock of comparable public companies over the period equal to the expected term of the award or a minimum of two years if comparable public company historical market prices are not available for the entire expected term. The expected dividend rate is determined based on expected dividends to be declared and the risk free interest rate is equivalent to the implied yield on zero-coupon U.S. Treasury bonds with a maturity equal to the expected term of the awards. Forfeitures are based on the history of actual cancellations of awards granted and management's analysis of potential forfeitures.

Summary of the status of nonvested options is presented below:

| <u>Nonvested shares</u> | <u>Shares</u> | <u>Weighted average grant- date fair value</u> |
|-------------------------------|-----------------------|--|
| December 31, 2009 – Nonvested | 1,072,250 | \$ 12.31 |
| Granted | 351,750 | 26.54 |
| Vested | (402,250) | 10.28 |
| Forfeited | <u>(23,250)</u> | 18.39 |
| December 31, 2010 – Nonvested | 998,500 | 18.03 |
| Vested | (446,188) | 14.01 |
| Forfeited | <u>(58,250)</u> | 38.71 |
| December 31, 2011 – Nonvested | 494,062 | 21.16 |
| Vested | (236,030) | 18.28 |
| Forfeited | <u>(37,220)</u> | 40.23 |
| December 31, 2012 – Nonvested | <u><u>220,812</u></u> | \$ 24.25 |

The total unrecognized compensation expense relating to nonvested options under all plans described above as of December 31, 2012 is approximately \$1.2 million, which will be recognized over a weighted average remaining period of 0.3 years.

Cash proceeds received from 20,850 and 82,250 options exercised for the years ended December 31, 2012 and 2011, respectively, was \$0.4 million and \$1.2 million, respectively. During 2012, 2011 and 2010, the Company purchased 756,779, 166,824 and 42,390 treasury shares for \$28.8 million, \$8.1 million and \$1.8 million, respectively, as the result of 1,009,805, 260,750 and 85,250 options exercised, respectively,

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upon cashless exercise to satisfy the exercise price and employee income tax withholdings upon exercise. Excess tax benefits from stock option exercises recognized during the years ended December 31, 2012, 2011 and 2010 was \$3.3 million, \$3.3 million and \$1.3 million, respectively.

Restricted Stock

In 2012, the Company established the Amended and Restated BATS Global Markets, Inc. 2012 Equity Incentive Plan (2012 Plan) under which the Company grants restricted stock to certain employees and directors. Restricted stock granted under the plan has a ten-year contractual term. Pursuant to the 2012 Plan, the Company is authorized to grant restricted stock up to 525,000 shares.

Summary restricted stock activity is presented below:

| | <u>Number of shares</u> | <u>Weighted average grant date fair value</u> |
|--------------------------------------|-----------------------------|---|
| Nonvested stock at December 31, 2011 | - | \$ - |
| Granted | 90,829 | 37.53 |
| Vested | - | - |
| Forfeited | - | - |
| Nonvested stock at December 31, 2012 | <u>90,829</u> | <u>\$ 37.53</u> |

The total unrecognized compensation expense related to nonvested restricted stock is approximately \$3.2 million, which will be recognized over a weighted average remaining period of 3.7 years.

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(17) Income Taxes

Net deferred tax assets consist of the following components as of December 31, 2012 and 2011 (in thousands):

| | 2012 | 2011 |
|--------------------------------------|-----------|-----------|
| Deferred tax assets: | | |
| Stock-based compensation | \$ 4,877 | \$ 6,182 |
| Goodwill and other intangibles | 8,136 | 3,696 |
| Bad debts | 159 | 138 |
| Other assets | 666 | 1,238 |
| Intangible start-up costs | 457 | 300 |
| Federal benefit of tax contingencies | 3,178 | 474 |
| Foreign currency translation loss | — | 1,707 |
| Total deferred tax assets | 17,473 | 13,735 |
| Deferred tax liabilities: | | |
| Property and equipment | 660 | 1,258 |
| Other liabilities | 88 | 24 |
| Prepaid expenses | 713 | 516 |
| Foreign currency translation gain | 3,079 | — |
| Total deferred tax liabilities | 4,540 | 1,798 |
| Net deferred tax assets | \$ 12,933 | \$ 11,937 |

The provision for income taxes charged to income from operations for the years ended December 31, 2012, 2011 and 2010 consists of the following (in thousands):

| | 2012 | 2011 | 2010 |
|-----------------------------------|-----------|-----------|-----------|
| Current tax expense: | | | |
| Federal | \$ 18,807 | \$ 18,849 | \$ 12,971 |
| State | 13,475 | 909 | 4,977 |
| Total current tax expense | 32,282 | 19,758 | 17,948 |
| Deferred income tax benefit: | | | |
| Federal and state | (5,749) | (4,963) | (2,786) |
| Total deferred income tax benefit | (5,749) | (4,963) | (2,786) |
| Income tax provision | \$ 26,533 | \$ 14,795 | \$ 15,162 |

The Company has elected to treat BTL and Chi-X Europe as flow-through entities for U.S. federal income tax purposes. As a result, the activities for BTL and Chi-X Europe are treated as a branch and partnership, respectively, of the Company, and taxable income or loss reported by BTL and Chi-X Europe are included in the U.S. federal income tax return of the Company. The Company has historically generated losses with respect to its U.K. operations. The Company has recorded deferred tax assets related to its U.K. operations

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of \$16.9 million, of which \$13.3 million relates to net operating losses. The Company has assessed the realizability of its U.K. deferred tax assets and recorded a full valuation allowance. Pursuant to U.K. tax law, net operating losses do not expire as long as the trade or business that generated the losses remains in existence.

The income tax provision differs from the amount of income tax determined by applying the U.S. federal income tax rate to income before income tax provision for the years ended December 31, 2012, 2011 and 2010 due to the following (in thousands):

| | 2012 | | 2011 | | 2010 | |
|---|------------------|--------------|------------------|--------------|------------------|--------------|
| Computed "expected" tax provision | \$ 20,337 | 35.0% | \$ 13,420 | 35.0% | \$ 12,251 | 35.0% |
| (Decrease) increase in income tax resulting from: | | | | | | |
| Nondeductible expenses | (962) | (1.7) | 903 | 2.4 | 359 | 1.0 |
| Section 199 benefit | (1,439) | (2.5) | (1,315) | (3.4) | — | — |
| State income taxes | 9,089 | 15.7 | 1,130 | 2.9 | 2,911 | 8.3 |
| Other | (492) | (0.8) | 657 | 1.7 | (359) | (1.0) |
| Income tax provision | <u>\$ 26,533</u> | <u>45.7%</u> | <u>\$ 14,795</u> | <u>38.6%</u> | <u>\$ 15,162</u> | <u>43.3%</u> |

Non deductible expenses in 2012 include a deduction of \$1.0 million for previously capitalized stock issuance costs which became deductible upon the abandonment of the Company's IPO.

The effective tax rate for 2012 was 45.7% compared to 38.6% in 2011. The primary reasons for the increase in the effective tax rate are due to changes to state allocations.

The Company provides a valuation allowance against net deferred tax assets if, based on management's assessment of historical and projected future operating results and other available evidence, it is more likely than not that some or all of the deferred tax assets will not be realized.

A reconciliation of the U.K. valuation allowance for the years ended December 31, 2012, 2011 and 2010 is as follows (in thousands):

| | Balance beginning of period | Valuation allowance acquired | (Credited) charged to income | Changes to accumulated other comprehensive income (loss) | Balance end of period |
|-------------------|-----------------------------|------------------------------|------------------------------|--|-----------------------|
| December 31, 2012 | \$ 16,492 | \$ — | \$ (496) | \$ 945 | \$ 16,941 |
| December 31, 2011 | 7,725 | 6,093 | 2,777 | (103) | 16,492 |
| December 31, 2010 | 5,727 | — | 2,163 | (165) | 7,725 |

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The valuation allowance reflects U.K. corporate income tax rate changes enacted in 2012 reducing the rate from 25% to 24% from April 1, 2012 to March 31, 2013 and to 23% beginning April 1, 2013. The effect is credited to income for the year ended December 31, 2012.

A reconciliation of the unrecognized tax benefits for the years ended December 31, 2012, 2011 and 2010 is as follows (in thousands):

| | Year ended December 31 | | |
|---|------------------------|-----------------|---------------|
| | 2012 | 2011 | 2010 |
| Balance at beginning of year | \$ 1,918 | \$ 202 | \$ 202 |
| Additions for current year tax positions | 3,000 | 678 | — |
| Additions for prior year tax positions | 5,157 | 1,038 | — |
| Reductions for prior year tax positions | (996) | — | — |
| Reductions related to expirations of statute of limitations | — | — | — |
| Settlements | — | — | — |
| Balance at end of year | <u>\$ 9,079</u> | <u>\$ 1,918</u> | <u>\$ 202</u> |

The current portion of unrecognized tax benefits is included in accounts payable and accrued expenses in the consolidated statements of financial condition. It is reasonably possible that the total amount of unrecognized tax benefits may decrease by approximately \$0.9 million within the next twelve months due to the filing of amended returns and expiring statutes of limitation.

At December 31, 2012 and 2011, the Company had \$5.6 million and \$1.5 million, respectively, of unrecognized tax benefits, net of federal benefit that, if recognized, would affect the effective tax rate. The Company had accrued interest and penalties of \$1.4 million and \$0.1 million related to uncertain tax positions at December 31, 2012 and 2011.

The Company files a U.S. federal income tax return and tax returns in various states. For all tax years since inception, the Company is generally subject to income tax examinations in all jurisdictions in which it operates, including in the U.K. with respect to its U.K. operations.

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(18) Earnings Per Share

The following table sets forth the computation of basic and diluted earnings per share (in thousands, except per share data):

| | <u>2012</u> | <u>2011</u> | <u>2010</u> |
|---|----------------------|----------------------|----------------------|
| Numerator: | | | |
| Net income | \$ 31,574 | \$ 23,548 | \$ 19,839 |
| Denominator: | | | |
| Weighted average common shares outstanding for basic earnings per share | 22,509 | 18,230 | 17,814 |
| Weighted average effect of dilutive securities: | | | |
| Stock options and restricted stock | <u>237</u> | <u>515</u> | <u>489</u> |
| Denominator for diluted earnings per share | <u><u>22,746</u></u> | <u><u>18,745</u></u> | <u><u>18,303</u></u> |
| Basic and diluted earnings per share: | | | |
| Basic earnings per share | \$ 1.40 | \$ 1.29 | \$ 1.11 |
| Diluted earnings per share | \$ 1.39 | \$ 1.26 | \$ 1.08 |

Stock options and restricted stock to purchase 102,862, 150,162 and 129,888 shares at December 31, 2012, 2011 and 2010, respectively, were outstanding but were not included in the computation of diluted earnings per share as they were anti-dilutive under the treasury stock method.

(19) Commitments, Contingencies and Guarantees

Operating Leases

During 2008, the Company entered into four noncancelable operating lease agreements: office space for its corporate headquarters for 5 years with two 5 year renewal options, as amended in 2009; office space for its BTL headquarters for 10 years with a break-up clause after 5 years; office space for its New York office for 5 years; and a U.S. disaster recovery space for 5 years. In connection with these leases, the Company received reimbursement for leasehold improvements of \$1.1 million. This reimbursement is a lease incentive which has been recognized as a liability and is being amortized on a straight-line basis over the respective lease terms as a reduction in occupancy expense. The leasehold improvements are included in property and equipment, net and are being amortized over the shorter of the estimated useful life of the improvements and the respective lease terms. In addition, Chi-X Europe has office space for its London office, which expires in April 2020, with the ability to break the lease in 2015 and the Company has an asset retirement obligation related to this lease as of December 31, 2012 of \$0.6 million, which is expected to be paid at the termination of the lease. In June 2012, BTL exercised the break-up clause with its lease and moved its corporate office to the Chi-X Europe facilities.

In November 2012, the Company entered into a lease agreement with a data center provider for the primary data center in Slough, U.K. This lease is for 41 months. In December 2011, the Company also entered into new lease agreements with the data center provider for the primary data center in Weehawken,

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New Jersey and the back-up data center site in Chicago, Illinois. These leases are for 30 months and 34 months respectively.

In October 2012, the Company entered into a new 10 year lease agreement for office space in New York, with the one-time option to cancel the lease after 5 years.

Future annual minimum lease commitments under these operating leases as of December 31, 2012, are as follows (in thousands):

| | | |
|------------|----|--------------|
| 2013 | \$ | 3,629 |
| 2014 | | 3,109 |
| 2015 | | 1,519 |
| 2016 | | 709 |
| 2017 | | 383 |
| Thereafter | | 160 |
| Total | \$ | <u>9,509</u> |

Rent expense was \$2.3 million, \$1.5 million and \$1.4 million, for the years ended December 31, 2012, 2011 and 2010, respectively, which is recorded in occupancy expense in the accompanying consolidated statements of income.

Legal Proceedings

From time to time the Company is involved in various legal proceedings arising in the ordinary course of business. The Company does not believe that the outcome of any of the reviews, inspections or other legal proceedings will have a material impact on the consolidated financial position, results of operations or cash flows; however, litigation is subject to many uncertainties, and the outcome of individual litigated matters is not predictable with assurance.

In complaints filed on July 22, 2009, May 11, 2010 and August 17, 2010 in the U.S. District Court for the Eastern District of Texas, Realtime Data, LLC d/b/a/ IXO (Realtime) claimed that the Company, along with certain other financial instrument exchanges, investment and commercial banking companies and financial data providers, infringed six Realtime patents by using, selling or offering for sale financial data compression products or services. The complaint sought declaratory and injunctive relief or, in the alternative, a compulsory ongoing licensing fee, as well as unspecified damages for past and future infringement, attorneys' fees, costs and expenses. The Court issued a final order dismissing the case on November 9, 2012. Realtime has appealed the Court's decision. The Company believes these allegations are without merit and intends to vigorously defend this litigation. At this time, the Company believes an unfavorable outcome is not probable and is unable to estimate a range of loss, if any, as the damages sought in the allegations have not been quantified or substantiated. The Company does not believe losses, if any, would have a material effect on its results of operations or financial position taken as a whole.

As a self regulatory organization under the jurisdiction of the SEC, the Company is subject to routine reviews and inspections by the SEC, and Trading is subject to reviews and inspections by the Financial Industry Regulatory Authority (FINRA). In February 2012, the Company received a written request from the SEC's Division of Enforcement seeking documents and information related to the development, modification and use of order types, and the Company's communications with certain market participants

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(including certain exchange members affiliated with certain of the Company's stockholders and directors) regarding the development, modification and use of order types; the Company's information technology systems; and trading strategies. If the Company is found to be out of compliance with obligations under the federal securities laws, the Company could be subject to judicial or administrative proceedings that may result in substantial penalties. Any such liability or penalties could have a material adverse effect on the Company's business. At this time, the company believes it is too early to determine a probable outcome and is unable to estimate a range of loss, if any.

On March 23, 2012, an internal systems problem caused a matching engine failure on BZX that ultimately resulted in the need for BATS Global Markets, Inc. to cancel its IPO. The Company was informed by the SEC's Division of Enforcement that it was opening an investigation into the Company's failed IPO. The SEC has not concluded its investigation and the Company continues to cooperate with the SEC on this matter. The Company will defend itself vigorously should the SEC recommend an enforcement action be instituted. Any such liability or penalties could have a material adverse effect on the Company's business. At this time, the company believes it is too early to determine a probable outcome and is unable to estimate a range of loss, if any.

In April 2012, the Company met with representatives from the SEC's Division of Enforcement to discuss the Company's trading systems and the manner in which orders are processed and executed on our markets. If the Company is found to be out of compliance with obligations under the federal securities laws, the Company could be subject to judicial or administrative proceedings that may result in substantial penalties. Any such liability or penalties could have a material adverse effect on the Company's business. At this time, the Company believes it is too early to determine the probability of assertion of a claim or the probability of an unfavorable outcome if any claim is asserted in connection with the investigations described above and the Company is unable to estimate a range of loss, if any.

Guarantees

The Company uses Wedbush Securities and Morgan Stanley to clear its routed cash equities transactions. Wedbush Securities and Morgan Stanley guarantee the trade until one day after the trade date, after which time the National Securities Clearing Corporation (NSCC) provides a guarantee. In the case of a failure to perform on the part on one of its clearing firms, Wedbush Securities or Morgan Stanley, the Company provides the guarantee to the counterparty to the trade. The Options Clearing Corporation (OCC) acts as a central counterparty on all transactions in listed equity options, and as such, guarantees clearance and settlement of all of the Company's options transactions. The Company believes that any potential requirement for the Company to make payments under these guarantees is remote and accordingly, has not recorded any liability in the consolidated financial statements for these guarantees.

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(20) Quarterly Data (Unaudited) (in Thousands)

| | First quarter | Second quarter | Third quarter | Fourth quarter | Year ended December 31, 2012 |
|--------------------|------------------|-------------------|------------------|-------------------|------------------------------------|
| Total revenue | \$ 214,393 | \$ 230,735 | \$ 217,036 | \$ 222,540 | \$ 884,704 |
| Operating expenses | 32,753 | 27,665 | 24,962 | 32,257 | 117,637 |
| Operating income | <u>10,924</u> | <u>15,478</u> | <u>18,927</u> | <u>13,987</u> | <u>59,316</u> |
| Net income | <u>\$ 7,506</u> | <u>\$ 10,173</u> | <u>\$ 11,528</u> | <u>\$ 2,367</u> | <u>\$ 31,574</u> |

Basic and diluted earnings per share:

| | | | | | |
|----------------------------|---------|---------|---------|---------|---------|
| Basic earnings per share | \$ 0.34 | \$ 0.45 | \$ 0.51 | \$ 0.10 | \$ 1.40 |
| Diluted earnings per share | \$ 0.33 | \$ 0.45 | \$ 0.51 | \$ 0.10 | \$ 1.39 |

| | First quarter | Second quarter | Third quarter | Fourth quarter | Year ended December 31, 2011 |
|--------------------|------------------|-------------------|------------------|-------------------|------------------------------------|
| Total revenue | \$ 209,224 | \$ 200,836 | \$ 281,951 | \$ 234,618 | \$ 926,629 |
| Operating expenses | 19,668 | 19,719 | 18,539 | 31,773 | 89,699 |
| Operating income | <u>4,757</u> | <u>5,637</u> | <u>19,952</u> | <u>7,939</u> | <u>38,285</u> |
| Net income | <u>\$ 2,681</u> | <u>\$ 2,850</u> | <u>\$ 12,005</u> | <u>\$ 6,012</u> | <u>\$ 23,548</u> |

Basic and diluted earnings per share:

| | | | | | |
|----------------------------|---------|---------|---------|---------|---------|
| Basic earnings per share | \$ 0.15 | \$ 0.16 | \$ 0.67 | \$ 0.31 | \$ 1.29 |
| Diluted earnings per share | \$ 0.15 | \$ 0.15 | \$ 0.65 | \$ 0.30 | \$ 1.26 |

(21) Subsequent Events

The Company has performed an evaluation of events that have occurred subsequent to December 31, 2012 through March 27, 2013, the date the consolidated financial statements were available to be issued.

On January 31, 2013, the FSA commenced its consideration of the application to become a RIE, but a decision on the application is still pending as of the date of the consolidated financial statements were available to be issued.

On March 13, 2013, the Company entered into a non-binding memorandum of understanding to acquire 25% of European Multilateral Clearing Facility N.V., a pan-European cash equities clearing house. The completion of this deal is contingent on satisfactory final negotiated terms and clearance by European regulators and competition authorities.

Due to information that became available during the first quarter ending March 31, 2013, the Company reduced its unrecognized tax benefits accrual by \$4.7 million based on changes in the Company's assessment of certain state and local tax positions. The decrease will be recorded in 2013 and results from management's consideration of the information which became available subsequent to December 31, 2012, and the Company's assessment of its intent to defend the tax position with certain state and local tax authorities.

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES
Notes to Consolidated Financial Statements
December 31, 2012, 2011 and 2010

There have been no other subsequent events that have occurred during such period that would require disclosure in the consolidated financial statements or would be required to be recognized in the consolidated financial statements as of and for the year ended December 31, 2012.



KPMG LLP
Suite 1000
1000 Walnut Street
Kansas City, MO 64106-2162

Independent Auditors' Report on Supplementary Information

The Board of Directors
BATS Global Markets, Inc.:

We have audited and reported separately herein on the consolidated financial statements of BATS Global Markets, Inc. and subsidiaries as of December 31, 2012 and 2011 and for each of the years in the three-year period ended December 31, 2012.

Our audits were made for the purpose of forming an opinion on the consolidated financial statements of BATS Global Markets, Inc. and subsidiaries taken as a whole. The consolidating information is presented for purposes of additional analysis of the consolidated financial statements rather than to present the financial position, results of operations, and cash flows of the individual companies. The consolidating information has been subjected to the auditing procedures applied in the audits of the consolidated financial statements and, in our opinion, is fairly stated in all material respects in relation to the consolidated financial statements taken as a whole.

KPMG LLP

March 27, 2013

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES

Consolidating Statement of Financial Condition

(in thousands)

December 31, 2012

| Assets | BATS Global Markets, Inc. | BATS Trading, Inc. | BATS Y-Exchange, Inc. | BATS Exchange, Inc. | BATS FX Inc. | BATS Trading Limited | Ch-X Europe | Omicron Holdings | Omicron Acquisition Corporation | Reclassification/ eliminations | Consolidated |
|---|------------------------------|-----------------------|-----------------------------|---------------------------|--------------------|----------------------------|-------------------|---------------------|---------------------------------------|-----------------------------------|-------------------|
| Current assets: | | | | | | | | | | | |
| Cash and cash equivalents | \$ 336 | \$ 3,505 | \$ 11,788 | \$ 37,050 | \$ 467 | \$ 20,699 | \$ 3,799 | \$ — | \$ 3,970 | \$ — | \$ 82,514 |
| Financial investments | — | 7,977 | — | — | — | — | — | — | — | — | 7,977 |
| Trading investments, at fair value | — | — | 3,099 | 19,196 | — | — | — | — | — | — | 22,295 |
| Available-for-sale investments, at fair value | — | — | 10,266 | 45,957 | — | 4,524 | 1 | — | — | — | 60,748 |
| Accounts receivable, net | — | 867 | — | — | 136 | — | — | — | 14,979 | (15,328) | 654 |
| Income taxes receivable | — | 33 | 5 | 1,117 | — | 649 | — | — | — | — | 1,804 |
| Other receivables | — | 4,504 | 2,199 | 11,451 | — | 1,683 | 1,426 | — | — | 1,072 | (23,235) |
| Due from affiliates | — | 181 | 41 | 144 | — | — | — | — | 3,895 | — | (4,258) |
| Deferred income taxes, net | 2,337 | 6 | 35 | 1,886 | 10 | 580 | — | — | — | — | 4,874 |
| Prepaid expenses | — | — | — | — | — | — | — | — | — | — | — |
| Total current assets | 2,673 | 16,593 | 27,453 | 117,698 | 613 | 28,135 | 5,226 | — | 24,816 | (42,821) | 180,386 |
| Property and equipment, net | — | — | 1,971 | 7,295 | 421 | 7,128 | 182 | — | — | — | 16,997 |
| Goodwill | — | — | — | — | — | — | 194,294 | — | — | — | 194,294 |
| Intangible assets, net | 217 | — | — | — | — | — | 57,379 | — | — | — | 57,596 |
| Debt issuance costs, net | 4,997 | — | — | — | — | — | — | — | — | — | 4,997 |
| Deferred income taxes, net | 10,685 | 3,187 | 69 | 3,954 | 197 | — | — | — | 1,794 | (6,547) | 13,339 |
| Note receivable | — | — | — | 1,000 | — | — | — | — | — | — | 1,000 |
| Other assets | 62 | 4 | — | 357 | — | 538 | — | — | — | — | 961 |
| Investment in BATS Trading, Inc. | 5,453 | — | — | — | — | — | — | — | — | — | (5,453) |
| Investment in BATS Y-Exchange, Inc. | 7,837 | — | — | — | — | — | — | — | — | — | (7,837) |
| Investment in BATS Exchange, Inc. | 74,868 | — | — | — | — | — | — | — | — | — | (74,868) |
| Investment in BATS Trading Limited | — | — | — | — | — | — | — | — | 283,805 | (283,805) | — |
| Investment in BATS FX, Inc. | (253) | — | — | — | — | — | — | — | — | — | 255 |
| Investment in Ch-X Europe, Ltd. | — | — | — | — | — | 257,135 | — | — | — | — | (257,135) |
| Investment in Omicron Holdings | 304,675 | — | — | — | — | — | — | — | — | — | (304,675) |
| Investment in Omicron Intermediate Holdings | — | — | — | — | — | — | — | — | — | — | — |
| Investment in Omicron Acquisition Corp | — | — | — | — | — | — | — | 304,675 | — | (304,675) | — |
| Total assets | \$ 411,214 | \$ 19,784 | \$ 29,493 | \$ 130,304 | \$ 1,231 | \$ 292,936 | \$ 257,081 | \$ 304,675 | \$ 310,415 | \$ (1,287,563) | \$ 469,570 |
| Liabilities and Stockholders' Equity | | | | | | | | | | | |
| Current liabilities: | | | | | | | | | | | |
| Accounts payable and accrued expenses | \$ 16,231 | \$ 4,584 | \$ 5,505 | \$ 10,231 | \$ 547 | \$ 4,919 | \$ (54) | \$ — | \$ — | \$ (15,328) | \$ 26,635 |
| Due to affiliates | 10,152 | — | 4,200 | 4,511 | 934 | 3,411 | — | — | 27 | (23,235) | — |
| Section 31 fees payable | — | — | 11,712 | 39,578 | — | — | — | — | — | — | 51,290 |
| Current portion of long-term debt | 48,776 | — | — | — | — | — | — | — | — | — | 48,776 |
| Contingent consideration liability | — | — | — | — | — | — | — | — | 3,780 | — | 3,780 |
| Deferred income taxes | 2,318 | 48 | — | 369 | 3 | — | — | — | 1,926 | (4,258) | 406 |
| Total current liabilities | 77,477 | 4,632 | 21,417 | 54,689 | 1,484 | 8,330 | (54) | — | 5,733 | (42,821) | 130,887 |
| Long-term debt, less current portion | 238,843 | — | — | — | — | — | — | — | — | — | 238,843 |
| Unrecognized tax benefits | — | 9,699 | — | — | — | — | — | — | — | — | 9,699 |
| Other liabilities | 935 | — | — | 747 | — | 801 | — | — | — | — | 2,483 |
| Deferred income taxes | 6,361 | — | 239 | — | — | — | — | — | 7 | (6,547) | — |
| Stockholders' equity: | | | | | | | | | | | |
| Common stock | 236 | — | — | — | — | — | 55,452 | — | — | (55,452) | 236 |
| Common stock in treasury | (40,322) | — | — | — | — | — | — | — | — | — | (40,322) |
| Additional paid-in capital | 125,601 | 10,701 | 7,139 | 72,631 | 71 | 342,202 | 215,880 | 316,690 | 317,471 | (1,282,785) | 125,601 |
| Retained (deficit) earnings | (2,551) | (5,248) | 698 | 2,235 | (3,241) | (67,123) | (25,035) | (10,675) | (17,459) | 128,931 | (2,551) |
| Accumulated other comprehensive income, net | 4,694 | — | — | 2 | — | 8,726 | 10,838 | 4,660 | 4,663 | (28,889) | 4,694 |
| Total stockholders' equity | 87,658 | 5,453 | 7,837 | 74,868 | (2,531) | 283,805 | 257,135 | 304,675 | 304,675 | (1,238,195) | 87,658 |
| Total liabilities and stockholders' equity | \$ 311,214 | \$ 19,784 | \$ 29,493 | \$ 130,304 | \$ 1,231 | \$ 292,936 | \$ 257,081 | \$ 304,675 | \$ 310,415 | \$ (1,287,563) | \$ 469,570 |

See accompanying independent auditors' report.

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES
Consolidated Statement of Financial Condition

(in thousands)
December 31, 2011

| | BATS Global Markets, Inc. | BATS Trading, Inc. | BATS Y-Exchange, Inc. | BATS Exchanges, Inc. | BATS Technology Limited | Ch-N Europe | Omicron Holdings | Omicron Intermediate Holdings | Omicron Acquisition Corporation | Reclassifications/eliminations | Consolidated |
|--|---------------------------|--------------------|-----------------------|----------------------|-------------------------|-------------|------------------|-------------------------------|---------------------------------|--------------------------------|--------------|
| Assets | | | | | | | | | | | |
| Current assets: | | | | | | | | | | | |
| Cash and cash equivalents | \$ — | \$ 7,071 | \$ 6,541 | \$ 28,056 | \$ 4,953 | \$ 50,110 | \$ — | \$ — | \$ 2,634 | \$ — | \$ 99,339 |
| Short-term investments | — | — | — | — | — | 3,686 | — | — | — | — | 3,096 |
| Prepaid investments, at fair value: | | | | | | | | | | | |
| Accounts receivable | — | 31,033 | — | 113,301 | — | — | — | — | — | — | 31,033 |
| Accounts receivable, net | — | — | 7,399 | 43,372 | 877 | 2,482 | — | — | — | — | 120,700 |
| Other receivables | — | 1,056 | 8,762 | — | — | 746 | — | — | — | (6,867) | 55,203 |
| Income taxes receivable | 8,792 | — | — | 1,313 | 85 | 967 | — | — | 1 | — | 10,962 |
| Due from affiliates | 52,680 | 5,711 | — | 3,238 | 249 | 1,749 | — | — | — | (61,789) | 2,321 |
| Deferred income taxes, net | 12 | 6 | 22 | 1,057 | 310 | 382 | — | — | — | (1,778) | 1,734 |
| Prepaid expenses | — | — | 67 | — | — | — | — | — | — | — | 67 |
| Total current assets | \$ 58,414 | \$ 45,052 | \$ 22,992 | \$ 190,421 | \$ 6,394 | \$ 59,222 | \$ — | \$ — | \$ 2,635 | \$ (70,434) | \$ 314,466 |
| Property and equipment, net | — | — | 1,189 | 7,445 | 5,997 | 4,950 | — | — | — | — | 19,281 |
| Goodwill | — | — | — | — | — | 185,549 | — | — | — | — | 185,549 |
| Intangible assets, net | — | — | — | — | — | 61,376 | — | — | — | — | 61,376 |
| Deferred income taxes, net | 7,491 | 616 | — | 3,640 | — | 5 | — | — | 432 | (239) | 12,115 |
| Note receivable | — | — | — | 1,080 | — | — | — | — | — | — | 1,080 |
| Other assets | 63 | 7 | — | 197 | 270 | 279 | — | — | — | — | 816 |
| Investment in BATS Trading, Inc. | 34,535 | — | — | — | — | — | — | — | — | (35,343) | — |
| Investment in BATS Exchanges, Inc. | 9,747 | — | — | — | — | — | — | — | — | (9,747) | — |
| Investment in BATS Technology, Inc. | 137,284 | — | — | — | — | — | — | — | — | (137,284) | — |
| Investment in BATS Trading, Limited | 2,843 | — | — | — | — | — | — | — | — | (7,843) | — |
| Investment in Ch-N Europe, Ltd. | 80,791 | — | — | — | — | — | — | — | — | (244,821) | — |
| Investment in Omicron Holdings | (13,189) | — | — | — | — | — | — | 35,908 | 164,050 | (15,997) | 155,961 |
| Investment in Omicron Intermediate Holdings | 35,908 | — | — | — | — | — | — | — | — | (107,097) | — |
| Investment in Omicron Acquisition Corp | — | — | — | — | — | — | 167,097 | — | — | (107,097) | — |
| Total assets | \$ 803,973 | \$ 45,675 | \$ 23,981 | \$ 203,803 | \$ 12,641 | \$ 311,341 | \$ 167,097 | \$ 35,908 | \$ 167,097 | \$ (675,813) | \$ 594,903 |
| Liabilities and Stockholders' Equity | | | | | | | | | | | |
| Current liabilities: | | | | | | | | | | | |
| Accounts payable and accrued expenses | \$ 69 | \$ 9,308 | \$ 894 | \$ 18,788 | \$ 1,837 | \$ 14,954 | \$ — | \$ — | \$ — | \$ (6,867) | \$ 39,153 |
| Due to affiliates | 2,911 | — | 3,071 | 808 | 2,961 | 31,058 | — | — | — | (61,789) | — |
| Short-term debt | — | 844 | 9,130 | 45,152 | — | — | — | — | — | — | 55,126 |
| Contractor liability | 52,600 | — | — | — | — | — | — | — | — | — | 52,600 |
| Deferred income taxes | 1,835 | — | — | 161 | — | — | — | — | — | — | 218 |
| Total current liabilities | \$ 57,405 | \$ 10,332 | \$ 13,995 | \$ 64,989 | \$ 4,798 | \$ 66,012 | \$ — | \$ — | \$ — | \$ (70,434) | \$ 147,097 |
| Other liabilities: | | | | | | | | | | | |
| Deferred income taxes | — | — | 239 | — | — | 508 | — | — | — | (239) | 1,238 |
| Stockholders' equity: | | | | | | | | | | | |
| Common stock | 226 | — | — | — | — | 55,452 | — | — | — | (55,452) | 226 |
| Additional paid-in capital | (11,562) | — | — | — | — | — | — | — | — | — | (11,562) |
| Accumulated earnings (loss) | 4,977 | — | 10,801 | 106,722 | 51,649 | 198,395 | 167,097 | 35,908 | 167,878 | (776,173) | 409,599 |
| Accumulated other comprehensive (loss) income, net | 31,921 | — | (2,551) | 31,165 | (41,688) | (4,531) | — | — | (784) | 15,889 | 31,921 |
| Accumulated other comprehensive (loss) income, net | (3,626) | — | (1) | (2,051) | (2,198) | (2,395) | — | — | — | 4,394 | (3,626) |
| Total stockholders' equity | \$ 446,308 | \$ 35,343 | \$ 9,242 | \$ 137,244 | \$ 7,843 | \$ 244,821 | \$ 167,097 | \$ 35,908 | \$ 167,097 | \$ (805,140) | \$ 446,308 |
| Total liabilities and stockholders' equity | \$ 803,973 | \$ 45,675 | \$ 23,981 | \$ 203,803 | \$ 12,641 | \$ 311,341 | \$ 167,097 | \$ 35,908 | \$ 167,097 | \$ (675,813) | \$ 594,903 |

See accompanying independent auditors' report.

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES

Consolidating Statement of Operations

(in thousands)

Year ended December 31, 2012

| | BATS Global Markets, Inc. | BATS Trading, Inc. | BATS Y-Exchange, Inc. | BATS Exchange, Inc. | BATS FX, Inc. | BATS Trading Limited | Chi-X Europe | Omicron Holdings | Omicron Acquisition Corporation | Eliminations | Consolidated |
|---|------------------------------|-----------------------|-----------------------------|---------------------------|---------------------|-------------------------|--------------------|---------------------|---------------------------------------|------------------|------------------|
| Revenues: | | | | | | | | | | | |
| Transaction fees | \$ — | \$ 39,630 | \$ 17,320 | \$ 497,660 | \$ — | \$ 31,676 | \$ 23,754 | \$ — | \$ — | \$ (4,900) | \$ 645,316 |
| Market data fees | — | — | 12,554 | 34,644 | — | 2,573 | 382 | — | — | — | 60,253 |
| Regulatory transaction fees | — | — | 31,482 | 116,610 | — | — | — | — | — | — | 148,092 |
| Other | — | — | 3,051 | 23,578 | — | 3,848 | 625 | — | — | (55) | 31,649 |
| Total revenues | — | 39,630 | 64,709 | 662,492 | — | 38,097 | 24,731 | — | — | (4,955) | 884,704 |
| Cost of revenues: | | | | | | | | | | | |
| Liquidity payments | — | — | 10,085 | 451,427 | — | 320,69 | 14,998 | — | — | (400) | 508,169 |
| Routing and clearing | — | 55,771 | — | — | — | — | — | — | — | (4,500) | 51,271 |
| Section 31 fees | — | — | 31,482 | 116,610 | — | — | — | — | — | — | 148,092 |
| Other | 130 | 79 | — | 10 | — | — | — | — | — | — | 219 |
| Total cost of revenues | 130 | 55,850 | 41,567 | 568,047 | — | 320,69 | 14,998 | — | — | (4,900) | 707,751 |
| Revenues less cost of revenues | (130) | 3,780 | 23,142 | 114,445 | — | 26,038 | 9,733 | — | — | (55) | 176,953 |
| Operating expenses: | | | | | | | | | | | |
| Compensation and benefits | 60 | 376 | 4,048 | 19,422 | 346 | 15,020 | 8,240 | — | — | — | 48,412 |
| Depreciation and amortization | — | 311 | 860 | 4,391 | — | 4,098 | 7,381 | — | — | — | 17,041 |
| Systems and data communication | — | 401 | 1,015 | 4,726 | — | 3,815 | 1,468 | — | — | (55) | 11,899 |
| Occupancy | — | 49 | 193 | 735 | 12 | 1,107 | 248 | — | — | — | 2,344 |
| Professional and contract services | 4,356 | 290 | 481 | 2,966 | 20 | 1,050 | 61 | — | — | — | 9,224 |
| Regulatory costs | — | — | 968 | 4,143 | — | 627 | 47 | — | — | — | 5,685 |
| Changes in fair value of contingent consideration liability | — | — | — | — | — | — | 12,800 | — | — | — | 12,800 |
| General and administrative | 1,395 | 478 | 829 | 3,465 | 139 | 3,814 | 512 | — | — | — | 10,632 |
| Total operating expenses | 5,811 | 2,194 | 8,344 | 40,048 | 517 | 30,421 | 30,357 | — | — | (55) | 117,637 |
| Operating (loss) income | (5,941) | 1,586 | 14,798 | 74,397 | (517) | (4,383) | (20,624) | — | — | — | 59,316 |
| Interest and investment (expense) income | (911) | 21 | 14 | 113 | — | 34 | 83 | — | — | — | (646) |
| Other income (expense) | — | 7 | — | 83 | — | (653) | 30 | — | — | — | (563) |
| (Loss) income before income tax (benefit) provision | (6,852) | 1,614 | 14,812 | 74,593 | (517) | (4,002) | (20,511) | — | — | — | 58,107 |
| Income tax (benefit) provision | (3,544) | 3,998 | 5,355 | 27,606 | (193) | — | — | — | (8,039) | — | 26,233 |
| Equity in net loss of BATS Trading, Inc. | (4,384) | — | — | — | — | — | — | — | — | 4,384 | — |
| Equity in net income of BATS Y-Exchange, Inc. | 9,257 | — | — | — | — | — | — | — | — | (9,257) | — |
| Equity in net loss of BATS FX, Inc. | (40,957) | — | — | — | — | — | — | — | — | (40,957) | — |
| Equity in net loss of BATS Trading Limited | (324) | — | — | — | — | — | — | — | — | 324 | — |
| Equity in net loss of Chi-X Europe, Ltd | — | — | — | — | — | (20,511) | — | — | (25,513) | 25,513 | — |
| Equity in net loss of Omicron Holdings, Inc | — | — | — | — | — | — | — | — | — | 20,511 | — |
| Equity in net loss of Omicron Intermediate Holdings, Inc | (16,674) | — | — | — | — | — | — | — | — | 16,674 | — |
| Equity in net loss of Omicron Acquisition Corp | — | — | — | — | — | — | — | (16,674) | — | 16,674 | — |
| Net income (loss) | \$ 31,574 | \$ (4,384) | \$ 9,257 | \$ 46,957 | \$ (324) | \$ (25,513) | \$ (20,511) | \$ (16,674) | \$ (16,674) | \$ 27,866 | \$ 31,574 |

See accompanying independent auditors' report

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES
Consolidating Statement of Operations

(in thousands)
Year ended December 31, 2011

| | BATS Global Markets, Inc. | BATS Trading, Inc. | BATS Y-Exchange, Inc. | BATS Exchanges, Inc. | BATS Trading Limited | Chi-X Europe | Omsion Holdings | Omsion Interchange Holding | Omsion Acquisition Corporation | Elimination | Consolidated |
|--|---------------------------|--------------------|-----------------------|----------------------|----------------------|--------------|-----------------|----------------------------|--------------------------------|-------------|--------------|
| Revenues: | | | | | | | | | | | |
| Transaction fees | — | 79,772 | — | 379,924 | — | 4,773 | — | — | — | \$ (2,644) | \$ 493,857 |
| Market data fees | — | — | 3,611 | 131,981 | — | — | — | — | — | — | 135,592 |
| Regulatory transaction fee | — | — | 24,586 | 18,570 | 399 | 249 | — | — | — | (19) | 19,199 |
| Other | — | — | — | 776,298 | 33,867 | 5,022 | — | — | — | (2,665) | 926,629 |
| Total revenues | — | 79,772 | 28,207 | 595,803 | 33,867 | 10,044 | — | — | — | — | 613,683 |
| Cost of revenues: | | | | | | | | | | | |
| Liquidity payments | — | — | 11,144 | 541,493 | 13,066 | 3,046 | — | — | — | (2,646) | 586,103 |
| Routing and clearing | — | 74,374 | 24,556 | 131,924 | 1,621 | — | — | — | — | — | 131,475 |
| Section 31 fees | — | 65 | — | 12 | — | — | — | — | — | — | 77 |
| Other | — | — | — | — | — | — | — | — | — | — | — |
| Total cost of revenues | — | 74,439 | 35,700 | 673,429 | 14,687 | 3,046 | — | — | — | (2,646) | 796,645 |
| Revenues less cost of revenues | — | 5,333 | 9,138 | 102,369 | 8,690 | 1,976 | — | — | — | (19) | 127,064 |
| Operating expenses: | | | | | | | | | | | |
| Compensation and benefits | — | 422 | 3,409 | 21,957 | 10,114 | 7,145 | — | — | — | — | 42,647 |
| Depreciation and amortization | — | 644 | 4,859 | 663 | 2,728 | 663 | — | — | — | — | 10,557 |
| Systems and data communication | — | 798 | 1,225 | 4,562 | 2,475 | 43 | — | — | — | (118) | 10,053 |
| Leases | — | — | 1,000 | 76 | 2,485 | 49 | — | — | — | — | 1,506 |
| Regulatory costs | 7,733 | 301 | 86 | 1,526 | 409 | 123 | — | — | — | — | 10,291 |
| Professional and contract services | — | — | 298 | 4,753 | 111 | 15 | — | — | — | — | 5,477 |
| Regulatory costs | — | — | — | — | — | 200 | — | — | — | — | 200 |
| Change in fair value of contingent consideration liability | — | 1,115 | — | 3,622 | 2,843 | 217 | — | — | — | — | 10,733 |
| General and administrative | 8,798 | 2,677 | 6,938 | 42,440 | 18,758 | 8,982 | — | — | — | (19) | 89,699 |
| Total operating expenses | (8,798) | 2,677 | 2,197 | 69,429 | 18,758 | (7,000) | — | — | (1,215) | — | 36,285 |
| Operating (loss) income | — | 34 | 6 | 37 | (10,068) | 23 | — | — | — | — | 172 |
| Interest and investment income | — | — | — | — | — | — | — | — | — | — | — |
| Other (expense) income | (871) | (10) | 2,203 | 60,602 | (10,192) | (7,011) | — | — | (1,215) | — | (116) |
| (Loss) income before income tax (benefit) provision | (871) | 24 | 2,209 | 60,602 | (10,192) | (7,011) | — | — | (1,215) | — | 36,343 |
| Income tax provision (benefit) | (15,606) | 2,156 | 829 | 20,441 | — | (2,500) | — | — | — | — | 14,795 |
| Equity in net income of BATS Trading, Inc. | — | — | — | — | — | — | — | — | — | — | — |
| Equity in net income of BATS Y-Exchange, Inc. | — | — | — | — | — | — | — | — | — | — | — |
| Equity in net income of BATS Exchanges, Inc. | — | — | — | — | — | — | — | — | — | — | — |
| Equity in net income of Omsion Interchange Holding | — | — | — | — | — | — | — | — | — | — | — |
| Equity in net loss of Chi-X Europe Ltd. | — | — | — | — | — | — | — | — | — | — | — |
| Equity in net loss of Omsion Acquisition Corporation | — | — | — | — | — | — | — | — | — | — | — |
| Equity in net loss of Omsion Interchange Holdings, Inc. | — | — | — | — | — | — | — | — | — | — | — |
| Equity in net loss of Omsion Acquisition Corp. | — | — | — | — | — | — | — | — | — | — | — |
| Net income (loss) | — | 34 | 1,374 | 40,161 | (10,192) | (4,511) | — | — | (1,215) | — | 25,548 |

See accompanying independent auditor's report

BATS GLOBAL MARKETS, INC. AND SUBSIDIARIES

Consolidating Statement of Operations

(in thousands)

Year ended December 31, 2010

| | BATS Global Markets, Inc. | BATS Trading, Inc. | BATS Y-Exchange, Inc. | BATS Exchange, Inc. | BATS Trading Limited | Eliminations | Consolidated |
|--|------------------------------|-----------------------|-----------------------------|---------------------------|-------------------------|--------------------|------------------|
| Revenues: | | | | | | | |
| Transaction fees | \$ — | \$ 88,278 | \$ 79 | \$ 560,910 | \$ 19,115 | \$ (82) | \$ 668,300 |
| Market data fees | — | — | 534 | 45,553 | — | — | 46,087 |
| Regulatory transaction fees | — | — | 1,031 | 110,020 | — | — | 111,051 |
| Other | — | — | — | 9,404 | — | (3) | 9,401 |
| Total revenues | — | 88,278 | 1,644 | 725,887 | 19,115 | (85) | 834,839 |
| Cost of revenues: | | | | | | | |
| Liquidity payments | — | — | 1,113 | 528,940 | 11,637 | (8) | 541,682 |
| Routing and clearing | — | 81,695 | — | — | 561 | (74) | 82,182 |
| Section 31 fees | — | — | 1,031 | 110,020 | — | — | 111,051 |
| Other | — | 23 | 687 | — | — | — | 710 |
| Total cost of revenues | — | 81,718 | 2,831 | 638,960 | 12,198 | (82) | 735,625 |
| Revenues less cost of revenues | — | 6,560 | (1,187) | 86,927 | 6,917 | (3) | 99,214 |
| Operating expenses: | | | | | | | |
| Compensation and benefits | — | 334 | 370 | 21,053 | 8,864 | — | 30,621 |
| Depreciation | — | — | 154 | 5,069 | 1,211 | 103 | 6,537 |
| Systems and data communication | — | 1,013 | 656 | 6,940 | 2,354 | (106) | 10,857 |
| Occupancy | — | 43 | 15 | 886 | 460 | — | 1,404 |
| Professional and contract services | 645 | 328 | 17 | 1,852 | 287 | — | 3,129 |
| Regulatory costs | — | — | 119 | 4,297 | 111 | — | 4,527 |
| General and administrative | 680 | 725 | 140 | 3,828 | 1,924 | — | 7,297 |
| Total operating expenses | 1,325 | 2,443 | 1,471 | 43,925 | 15,211 | (3) | 64,372 |
| Operating (loss) income | (1,325) | 4,117 | (2,638) | 43,002 | (8,294) | — | 34,842 |
| Interest and investment income | — | 50 | 3 | 206 | 17 | — | 276 |
| Other | — | (54) | — | — | (63) | — | (117) |
| (Loss) income before income tax (benefit) provision | (1,325) | 4,113 | (2,635) | 43,208 | (8,340) | — | 35,001 |
| Income tax provision (benefit) | (3,501) | 1,626 | (1,028) | 18,065 | — | — | 15,162 |
| Equity in net income of BATS Trading, Inc. | 2,487 | — | — | — | — | (2,487) | — |
| Equity in net loss of BATS Y-Exchange, Inc. | (1,627) | — | — | — | — | 1,627 | — |
| Equity in net income of BATS Exchange, Inc. | 25,143 | — | — | — | — | (25,143) | — |
| Equity in net loss of BATS Trading Limited | (8,340) | — | — | — | — | 8,340 | — |
| Net income (loss) | \$ 19,839 | \$ 2,487 | \$ (1,627) | \$ 25,143 | \$ (8,340) | \$ (17,663) | \$ 19,839 |

See accompanying independent auditors' report.

Exhibit K

Exhibit Request:

This Exhibit is applicable only to exchanges that have one or more owners, shareholders, or partners that are not also members of the exchange. If the exchange is a corporation, please provide a list of each shareholder that directly owns 5% or more of a class of a voting security of the applicant. If the exchange is a partnership, please provide a list of all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of the partnership's capital. For each of the persons listed in the Exhibit K, please provide the following:

1. Full legal name;
2. Title or Status;
3. Date title or status was acquired;
4. Approximate ownership interest; and
5. Whether the person has control, a term that is defined in the instructions to this Form.

Response:

BATS Exchange is wholly-owned by BATS Global Markets, Inc. ("BATS Global Markets"). BATS Global Markets is the sole stockholder of BATS Exchange, and acquired its interest in the Exchange on August 18, 2008. BATS Global Markets exercises "control" over the Exchange, as that term is defined in the Form 1 instructions.

Exhibit N

Exhibit Request: Provide a schedule for each of the following:

- 1. The securities listed in the exchange, indicating for each the name of the issuer and a description of the security;**
- 2. The securities admitted to unlisted trading privileges, indicating for each the name of the issuer and a description of the security;**
- 3. The unregistered securities admitted to trading on the exchange which are exempt from registration under Section 12(a) of the Act. For each security listed, provide the name of the issuer and a description of the security, and the statutory exemption claimed (e.g., Rule 12a-6); and**
- 4. Other securities traded on the exchange, including for each the name of the issuer and a description of the security.**

Response:

Attached is a schedule showing the information requested by this Exhibit as of June 24, 2013.

All securities that trade through the BATS Exchange System are “NMS stocks,” as such term is defined in Rule 600(b)(47) of Regulation NMS. The Exchange currently lists 19 securities, all of which are exchange-traded funds or ETFs. The remaining securities traded on the Exchange are traded pursuant to unlisted trading privileges. The Exchange allows trading of Nasdaq National Market and Nasdaq Capital Market securities (both “Nasdaq securities” as defined in Rule 600(b)(41) of Regulation NMS) through BATS Exchange. The Exchange also allows trading of exchange-traded securities, as defined in Rule 600(b)(25) of Regulation NMS, including ETFs.

| Symbol | Description |
|--|--|
| Attachment to Exhibit N: | |
| Primary Listed Securities on BATS Exchange as of June 24, 2013 | |
| ENOR | iShares MSCI Norway Capped Investable Market Index Fund |
| EWAS | iShares MSCI Australia Small Cap Index Fund |
| EWCS | iShares MSCI Canada Small Cap Index Fund |
| EDEN | iShares MSCI Denmark Capped Investable Market Index Fund |
| EFNL | iShares MSCI Finland Capped Investable Market Index Fund |
| EWUS | iShares MSCI United Kingdom Small Cap Index Fund |
| EWGS | iShares MSCI Germany Small Cap Index Fund |
| INDA | iShares MSCI India Index Fund |
| SMIN | iShares MSCI India Small Cap Index Fund |
| EMHY | iShares Emerging Markets High Yield Bond Fund |
| HYXU | iShares Global ex USD High Yield Corporate Bond Fund |
| GHYG | iShares Global High Yield Corporate Bond Fund |
| IYLD | iShares Morningstar Multi-Asset Income Index Fund |
| CEMB | iShares Emerging Markets Corporate Bond Fund |
| QLTB | iShares Baa-Ba Rated Corporate Bond Fund |
| QLTC | iShares B-Ca Rated Corporate Bond Fund |
| MRGR | ProShares Merger ETF |
| PEX | ProShares Global Listed Private Equity ETF |
| HYHG | ProShares High Yield-Interest Rate Hedged ETF |
| Attachment to Exhibit N: | |
| List of Securities Admitted to Unlisted Trading Privileges on BATS Exchange as of June 24, 2013 | |
| A | AGILENT TECHNOLOGIES INC COM |
| A\$ | Agilent Technologies Inc. Common Stock |
| AA | ALCOA INC COM |
| AA# | Alcoa Inc. Common Stock |
| AA- | ALCOA INC PFD \$3.75 |
| AAA | ALTANA AG American Depositary Shares (Each representing 1 Common Share) |
| AAAA | Atlas Industries Holdings LLC - Common Stock |
| AAB+ | Lehman Brothers |
| AABC | ACCESS ANYTIME BNC |
| AAC | AUSTRALIA ACQUISITION CORP SHS |
| AACC | ASSET ACCEP CAP CORP COM |
| AACE | Ace Cash Express Inc. - Common Stock |
| AACOU | AUSTRALIA ACQUISITION CORP UNIT SH & WT E |
| AACOW | AUSTRALIA ACQUISITION CORP WT EXP 000012 |
| AADR | ADVISORSHARES TR BNY GRWTH ADR |
| AAI | AIRTRAN HLDGS INC COM |
| AAII | ALABAMA AIRCRAFT IND INC COM |
| AAIT | ISHARES TR ALCO ASIA INFO |
| AAM | ALMA MARITIME LIMITED SHS |
| AAME | ATLANTIC AMERN CORP COM |
| AAN | AARONS INC COM PAR \$0.50 |
| AAN.A | AARONS INC CL A |
| AANB | ABIGAIL ADAMS NATL BANCORP INC COM |
| AAON | AAON INC COM PAR \$0.004 |
| AAP | ADVANCE AUTO PARTS INC COM |
| AAPL | APPLE INC COM |
| AAR | AMR CORP DEL PINES 7.875% |
| AAT | AMERICAN ASSETS TR INC COM |
| AATI | ADVANCED ANALOGIC TECHNOLOGIES COM |
| AATK | American Access Technologies Inc. - Common Stock |
| AAU | ALMADEN MINERALS LTD COM |
| AAUK | ANGLO AMERN PLC ADR NEW |
| AAUKD | Anglo American plc - American Depositary Shares exempt pursuant to 12g3-2(b) |
| AAV | ADVANTAGE OIL & GAS LTD COM |
| AAVX | UBS AG LONDON BRH ETRACS 1MT EQT |
| AAWW | ATLAS AIR WORLDWIDE HLDGS INC COM NEW |
| AAX | AMERICAN APT CMNTYS INC |

| | |
|-------|---|
| AAXJ | ISHARES TR MSCI ACJPN IDX |
| AAY | Morgan Stanley |
| AB | ALLIANCEBERNSTEIN HOLDING LP UNIT LTD PARTN |
| ABA | ALABAMA PWR CO NT JJ 061546 |
| ABA* | ALABAMA PWR CO NT JJ 061546 |
| ABAT | ADVANCED BATTERY TECHNOLOG INC COM |
| ABAX | ABAXIS INC COM |
| ABB | ABB LTD SPONSORED ADR |
| ABBC | ABINGTON BANCORP INC COM |
| ABBCD | Abington Bancorp Inc. - Common Stock par value \$0.01 per share |
| ABBI | Abraxis BioScience Inc. - Common stock |
| ABBV | ABBVIE INC COM |
| ABBV# | ABBVIE INC COM |
| ABC | AMERISOURCEBERGEN CORP COM |
| ABC# | AmerisourceBergen Corporation Common Stock |
| ABCB | AMERIS BANCORP COM |
| ABCD | CAMBIUM LEARNING GRP INC COM |
| ABCO | ADVISORY BRD CO COM |
| ABCS | CLAYMORE EXCHANGE TRD FD TR 2 GUG ABC HI DIV |
| ABCW | ANCHOR BANCORP WIS INC COM |
| ABD | ACCO BRANDS CORP COM |
| ABER | Aber Diamond Corporation - Common Stock |
| ABFS | ARKANSAS BEST CORP DEL COM |
| ABG | ASBURY AUTOMOTIVE GROUP INC COM |
| ABGX | Abgenix Inc. - Common Stock |
| ABH | ABITIBOWATER INC COM NEW |
| ABH# | ABITIBOWATER INC COM NEW |
| ABHB | ADVANCED BIOHEALING INC COM |
| ABI | SAFETY FIRST TR SER 2009-2 GTD CTF DJIA14 |
| ABII | ABRAXIS BIOSCIENCE INC NEW COM |
| ABIIV | New Abraxis Inc. - Common Stock When Issued |
| ABIO | ARCA BIOPHARMA INC COM NEW |
| ABIX | ABATIX CORP COM |
| ABK | AMBAC FINL GROUP INC COM |
| ABK-Z | AMBAC FINL GROUP INC CORP UNIT |
| ABL | AMERICAN BILTRITE INC COM |
| ABLE | Able Energy Inc. - Common Stock |
| ABM | ABM INDS INC COM |
| ABMC | AMER BIO MEDICA CORP COM |
| ABMCW | American Bio Medica Corp. - Warrants |
| ABMD | ABIOMED INC COM |
| ABN | ABN AMRO Holding N.V. American Depositary Shares (Each representing one Ordinary Share) |
| ABN-E | ABN AMRO CAP FDG TR V PFD GTD 5.9% |
| ABN-F | ABN AMRO CAP FDG TR VI PFD TR 6.25%08 |
| ABN-G | ABN AMRO CAP FDG TR VII PFD GTD 6.08% |
| ABNJ | AMERICAN BANCORP N J INC COM |
| ABP | Abraxas Petroleum Corp |
| ABPI | ACCENTIA BIOPHARMACEUTICALS COM |
| ABR | ARBOR RLTY TR INC COM |
| ABR-A | ARBOR RLTY TR INC PFD SER A % |
| ABR-B | ARBOR RLTY TR INC CUM RED PFD B |
| ABRI | Abrams Industries Inc. - Common Stock |
| ABS | Albertson's Inc. Common Stock |
| ABS- | Albertson's Inc. Corporate Units |
| ABT | ABBOTT LABS COM |
| ABT# | ABBOTT LABS EX DISTRIB WI |
| ABTL | AUTOBYTEL INC COM NEW |
| ABV | COMPANHIA DE BEBIDAS DAS AMERS SPON ADR PFD |
| ABV.C | COMPANHIA DE BEBIDAS DAS AMERS SPONSORED ADR |
| ABVA | ALLIANCE BANKSHARES CORP COM |
| ABVT | ABOVENET INC COM |

| | |
|--------|--|
| ABW-A | ASBC CAP TR I TOPRS 7.625 32 |
| ABW-B | ASSOCIATED BANC-CORP DEP SH 1/40 SR B |
| ABX | BARRICK GOLD CORP COM |
| ABX# | Barrick Gold Corporation Common Shares |
| ABXA | ABX Holdings Inc. - Common Stock |
| ABY | AKTIEBOLAGET SVENSK EXPORTKRED RTN S&P500 10 |
| AC | AMC ENTERTAINMENT INC COM |
| ACA | ACA Capital Holdings Inc. Common Stock |
| ACAD | ACADIA PHARMACEUTICALS INC COM |
| ACAM | Acambis plc - American Depositary Shares |
| ACAP | AMERICAN PHYSICIANS CAPITAL COM |
| ACAS | AMERICAN CAP LTD COM |
| ACAT | ARCTIC CAT INC COM |
| ACB | REALTY FDS INC ADELANTE COMPO |
| ACBA | AMERICAN CMNTY BANCSHARES INC COM |
| ACC | AMERICAN CAMPUS CMNTYS INC COM |
| ACCI | Asset Capital Corporation Inc. - Common Stock |
| ACCL | ACCELRY S INC COM |
| ACCO | ACCO BRANDS CORP COM |
| ACCU | ADVISORSHARES TR ACCUVS GLB OPP |
| ACE | ACE LTD SHS |
| ACE-A* | ACE Capital Trust I 8.875% Trust Originated Preferred Securities(TOPrs) |
| ACE-C | ACE Limited Dep shares each rep 1/ 10th of a share of 7.80% Cumulative Redeemable Preferred Shares Series C |
| ACE-C* | ACE Limited Dep shares each rep 1/ 10th of a share of 7.80% Cumulative Redeemable Preferred Shares Series C |
| ACEC | ACE*COMM Corporation - Common Stock |
| ACEL | TAMIR BIOTECHNOLOGY INC COM |
| ACET | ACETO CORP COM |
| ACF | AMERICREDIT CORP COM |
| ACFC | ATLANTIC COAST FINL CORP COM |
| ACFCD | ATLANTIC COAST FINL CORP COM |
| ACFN | ACORN ENERGY INC COM |
| ACG | ALLIANCEBERNSTEIN INCOME FUND COM |
| ACGL | ARCH CAP GROUP LTD ORD |
| ACGY | ACERGY S A SPONSORED ADR |
| ACH | ALUMINUM CORP CHINA LTD SPON ADR H SHS |
| ACHC | ACADIA HEALTHCARE COMPANY INC COM |
| ACHN | ACHILLION PHARMACEUTICALS INC COM |
| ACI | ARCH COAL INC COM |
| ACI# | Arch Coal Inc. Common Stock |
| ACI- | Arch Coal Inc. 5% Perpetual Cumulative Convertible Preferred Stock |
| ACIM | SPDR INDEX SHS FDS MSCI ACWI ETF |
| ACIW | ACI WORLDWIDE INC COM |
| ACK | BANK AMER CORP ARN S&P500 11 |
| ACL | ALCON INC COM SHS |
| ACLI | AMERICAN COMMERCIAL LINES COM PAR \$0.01 |
| ACLID | AMERICAN COMMERCIAL LINES COM PAR \$0.01 |
| ACLS | AXCELIS TECHNOLOGIES INC COM |
| ACM | AECOM TECHNOLOGY CORP DELAWARE COM |
| ACME | ACME COMMUNICATION INC COM |
| ACMP | ACCESS MIDSTREAM PARTNERS L P UNIT |
| ACMR | A C MOORE ARTS & CRAFTS INC COM |
| ACN | ACCENTURE PLC IRELAND SHS CLASS A |
| ACNB | ACNB CORP COM |
| ACO | AMCOL INTL CORP COM |
| ACOM | ANCESTRY COM INC COM |
| ACOR | ACORDA THERAPEUTICS INC COM |
| ACP | AVENUE INCOME CR STRATEGIES FD COM |
| ACP- | American Real Estate Partners L.P. 5% Cumulative Pay-In-Kind Redeemable Preferred Units (Representing Limited Partner Interests) |
| ACPW | ACTIVE POWER INC COM NEW |
| ACP^ | AVENUE INCOME CR STRATEGIES FD RT PUR COM |

| | |
|-------|--|
| ACP^# | AVENUE INCOME CR STRATEGIES FD RT PUR COM |
| ACR | American Retirement Corporation Common Stock |
| ACRE | ARES COML REAL ESTATE CORP COM |
| ACRX | ACELRX PHARMACEUTICALS INC COM |
| ACS | AFFILIATED COMPUTER SERVICES CL A |
| ACSEF | ACS Motion Control Ltd. - Ordinary Shares |
| ACST | ACASTI PHARMA INC CL A SHS |
| ACT | ACTAVIS INC COM |
| ACTG | ACACIA RESH CORP ACACIA TCH COM |
| ACTI | ACTIVIDENTITY CORP COM |
| ACTL | ACTEL CORP COM |
| ACTS | ACTIONS SEMICONDUCTOR CO LTD ADR |
| ACTU | ACTUATE CORP COM |
| ACTV | ACTIVE NETWORK INC COM |
| ACU | ACME UTD CORP COM |
| ACUR | ACURA PHARMACEUTICALS INC COM NEW |
| ACUS | Acusphere Inc. - Common Stock |
| ACV | ALBERTO CULVER CO NEW COM |
| ACV# | Alberto-Culver Company Common Stock |
| ACW | ACCURIDE CORP NEW COM NEW |
| ACWI | ISHARES TR MSCI ACWI INDX |
| ACWV | ISHARES INC CTR WLD MINVL |
| ACWX | ISHARES TR MSCI ACWI EX |
| ACXM | ACXIOM CORP COM |
| ACY | AEROCENTURY CORP COM |
| AD | ADVO Inc. Common Stock |
| ADAM | A D A M INC COM |
| ADAT | AUTHENTIDATE HLDG CORP COM NEW |
| ADBE | ADOBE SYS INC COM |
| ADBL | Audible Inc. - Common Stock |
| ADC | AGREE REALTY CORP COM |
| ADCT | A D C TELECOMMUNICATIONS COM NEW |
| ADE | DEUTSCHE BK AG LDN BRH ETN AUD/USD 23 |
| ADEP | ADEPT TECHNOLOGY INC COM NEW |
| ADES | ADA ES INC COM |
| ADEX | ADE Corporation - Common Stock |
| ADF | BANK AMER CORP ACCL S&P500 12 |
| ADF\$ | ACM Managed Dollar Income Fund Inc. Common Stock |
| ADFWD | ACM MANAGED DOLLAR INC |
| ADG | ALLIED DEFENSE GROUP INC COM |
| ADGE | AMERICAN DG ENERGY INC COM |
| ADGF | ADAMS GOLF INC COM NEW |
| ADH | Adherex Technologies Inc |
| ADHD | ALCOBRA LTD SHS |
| ADI | ANALOG DEVICES INC COM |
| ADIC | Advanced Digital Information Corporation - Common Stock |
| ADJ | BANK AMER CORP ACCL S&P500 11 |
| ADK | ADCARE HEALTH SYSTEMS INC COM NEW |
| ADK+ | ADCARE HEALTH SYSTEMS INC WT EXP 092611 |
| ADK-A | ADCARE HEALTH SYSTEMS INC PFD-A 10.875% |
| ADK= | Adcare Health Systems Inc |
| ADL | AMD L INC COM PAR 2006 |
| ADLR | ADOLOR CORP COM |
| ADLS | Advanced Life Sciences Holdings Inc. - Common Stock par value \$0.01 per share |
| ADM | ARCHER DANIELS MIDLAND CO COM |
| ADM-A | ARCHER DANIELS MIDLAND CO CORPORATE UNIT |
| ADNC | AUDIENCE INC COM |
| ADO | Adecco SA American Depositary Shares(Each representing 1/4 of a Common Share) |
| ADP | AUTOMATIC DATA PROCESSING INC COM |
| ADP# | Automatic Data Processing Inc. Common Stock |
| ADPI | AMERICAN DENTAL PARTNERS COM |

| | |
|--------|---|
| ADPT | ADPT CORP COM |
| ADRA | BLDRS INDEX FDS TR ASIA 50 ADR |
| ADRD | BLDRS INDEX FDS TR DEV MK 100 ADR |
| ADRE | BLDRS INDEX FDS TR EMER MK 50 ADR |
| ADRU | BLDRS INDEX FDS TR EUR 100 ADR |
| ADRX | Andrx Group - Common Stock |
| ADS | ALLIANCE DATA SYSTEMS CORP COM |
| ADSI | ADS TACTICAL INC COM |
| ADSK | AUTODESK INC COM |
| ADST | AdStar Inc. - Common Stock |
| ADSX | Applied Digital Solutions Inc. - Common Stock |
| ADT | THE ADT CORPORATION COM |
| ADT# | THE ADT CORPORATION COM |
| ADTN | ADTRAN INC COM |
| ADUS | ADDUS HOMECARE CORP COM |
| ADVNA | ADVANTA CORP CL A |
| ADVNB | ADVANTA CORP CL B |
| ADVS | ADVENT SOFTWARE INC COM |
| ADX | ADAMS EXPRESS CO COM |
| ADY | FEIHE INTL INC COM |
| ADZ | DEUTSCHE BK AG LDN BRH PSHS AGRI SHR38 |
| ADZA | Adeza Biomedical Corporation - Common Stock |
| AE | ADAMS RES & ENERGY INC COM NEW |
| AEA | ADVANCE AMER CASH ADVANCE CTRS COM |
| AEB | AEGON N V PERP CAP FLTG RT |
| AEC | ASSOCIATED ESTATES RLTY CORP COM |
| AEC-B | ASSOCIATED ESTATES RLTY CORP PFD 1/10 B II |
| AEC-B* | ASSOCIATED ESTATES RLTY CORP PFD 1/10 B II |
| AED | AEGON N V PERP 6.5% CAP |
| AEE | AMEREN CORP COM |
| AEF | AEGON NV PFD PERP 7.25% |
| AEF* | Aetna Inc. 8.5% Senior Notes due August 31 2041 |
| AEG | AEGON N V NY REGISTRY SH |
| AEGN | AEGION CORP COM |
| AAGR | AEEGERION PHARMACEUTICALS INC COM |
| AEH | AEGON N V PFD PERP 6.375 |
| AEHR | AEHR TEST SYSTEMS COM |
| AEI | AEI SHS |
| AEIS | ADVANCED ENERGY INDS COM |
| AEK | AEGON N V NON CUM SUB NTS |
| AEL | AMERICAN EQTY INVT LIFE HLD CO COM |
| AEM | AGNICO EAGLE MINES LTD COM |
| AEMLW | Agnico-Eagle Mines Limited - Warrant |
| AEN | ADEONA PHARMACEUTICALS INC COM |
| AEO | AMERICAN EAGLE OUTFITTERS NEW COM |
| AEOS | American Eagle Outfitters Inc. - Common Stock |
| AEP | AMERICAN ELEC PWR INC COM |
| AEP-A | AMERICAN ELEC PWR CO INC JR SUB8.75% 63 |
| AEP-A* | AMERICAN ELEC PWR CO INC JR SUB8.75% 63 |
| AEPJ | AEP INDS INC COM |
| AER | AERCAP HOLDINGS NV SHS |
| AERG | APPLIED ENERGETICS INC COM |
| AERL | ASIA ENTN & RESOURCES LTD SHS |
| AERLR | ASIA ENTN & RESOURCES LTD RT |
| AERLW | ASIA ENTN & RESOURCES LTD WT EXP 100813 |
| AERO | AERO GROW INTL INC COM NEW |
| AERT | ADVANCED ENVIRON RECYCLING TEC CL A |
| AERTA | Advanced Environmental Recycling Technologies Inc. - Class A Common Stock |
| AES | AES CORP COM |
| AES-C | AES TR III PFD CV 6.75% |
| AET | AETNA INC NEW COM |

| | |
|-------|--|
| AET# | Aetna Inc. Common Stock |
| AETH | Aether Holdings Inc. - Common Stock |
| AETI | AMERICAN ELECTRIC TECH INC COM |
| AEV | AEGON NV PFD PER 6.875% |
| AEX | NETS TR AEX IDX NETHER |
| AEY | ADVANTAGE TECHNOLOGIES GP INC COM NEW |
| AEZ | AMERICAN OIL & GAS INC NEW COM |
| AEZS | AETERNA ZENTARIS INC COM NEW |
| AF | ASTORIA FINL CORP COM |
| AF-C | ASTORIA FINL CORP DEP 1/40 PFD C |
| AFA | AMERICAN FINL GROUP INC OHIO SR NT 42 |
| AFAM | ALMOST FAMILY INC COM |
| AFB | ALLIANCEBERNSTEIN NATL MUNI IN COM |
| AFBK | Albemarle First Bank (Charlottesville VA) - Common Stock |
| AFBKW | Albemarle First Bank (Charlottesville VA) - Warrants (Expire 10/26/2006) |
| AFC | ALLIED CAP CORP NEW NT 6.875 2047 |
| AFCB | ATHENS BANCSHARES CORP COM |
| AFCE | AFC ENTERPRISES INC COM |
| AFCO | Applied Films Corporation - Common Stock |
| AFE | AMERICAN FINL GROUP INC OHIO SR DB 7.125 34 |
| AFE* | AMERICAN FINL GROUP INC OHIO SR DB 7.125 34 |
| AFF | AMERICAN INTL GROUP INC SUB DEB JR A-4 |
| AFF* | AMERICAN INTL GROUP INC SUB DEB JR A-4 |
| AFFM | AFFIRMATIVE INS HLDGS INC COM |
| AFFX | AFFYMETRIX INC COM |
| AFFY | AFFYMAX INC COM |
| AFG | AMERICAN FINL GROUP INC OHIO COM |
| AFH | ATLAS FINANCIAL HOLDINGS INC SHS NEW |
| AFI | AFFINION GROUP HLDGS INC COM |
| AFK | MARKET VECTORS ETF TR AFRICA ETF |
| AFK* | Ambac Financial Group Inc. 7.00% Debentures due October 17 2051 |
| AFL | AFLAC INC COM |
| AFM | AFFILIATED MANAGERS GROUP SR NT 22 |
| AFN | ALESCO FINL INC COM |
| AFO | SAFETY FIRST TRUST CTF NIKKEI 225 |
| AFOP | ALLIANCE FIBER OPTIC PRODS INC COM NEW |
| AFOPD | ALLIANCE FIBER OPTIC PRODS INC COM NEW |
| AFP | UNITED CAPITAL CORP COM |
| AFQ | AMERICAN FINL GROUP INC OHIO SR NT 50 |
| AFR | American Financial Realty Trust Common Shares |
| AFSD | AFLAC INC SUB DEB 52 |
| AFSI | AMTRUST FINL SVCS INC COM |
| AFT | APOLLO SR FLOATING RATE FD INC COM |
| AFW | AMERICAN FINL GROUP INC OHIO SR NT 42 |
| AG | FIRST MAJESTIC SILVER CORP COM |
| AGA | DEUTSCHE BK AG LDN BRH PS AGRI DS ETN |
| AGAM | AGA MED HLDGS INC COM |
| AGB | SAFETY FIRST TR SER 2006 -1 CTF DJIA&NIK10 |
| AGC | ADVENT CLAY CONV SEC INC FD II COM |
| AGCO | AGCO CORP COM |
| AGD | ALPINE GLOBAL DYNAMIC DIVD FD COM |
| AGE | A.G. Edwards Inc. Common Stock |
| AGEM | EGA EMERGING GLOBAL SHS TR EGSHARE GEM COMP |
| AGEN | AGENUS INC COM NEW |
| AGEND | AGENUS INC COM NEW |
| AGF | DEUTSCHE BK AG LDN BRH PS AGRI LG ETN |
| AGG | ISHARES TR CORE TOTUSBD ETF |
| AGH | |
| AGI | ALAMOS GOLD INC COM |
| AGII | ARGO GROUP INTL HLDGS LTD COM |
| AGIID | Argo Group International Holdings Ltd. - Common Stock |

| | |
|-------|---|
| AGIIL | ARGO GROUP US INC SR NT 42 |
| AGIL | Agile Software Corporation - Common Stock |
| AGIX | AtheroGenics Inc. - Common Stock |
| AGL | AGL RES INC COM |
| AGLS | ADVISORSHARES TR ACCUVEST GL LONG |
| AGM | FEDERAL AGRIC MTG CORP CL C |
| AGM-A | FEDERAL AGRIC MTG CORP PFD A 5.875%NON |
| AGM.A | FEDERAL AGRIC MTG CORP CL A |
| AGMX | AUTOGENOMICS INC COM |
| AGN | ALLERGAN INC COM |
| AGN# | Allergan Inc. Common Stock |
| AGNC | AMERICAN CAPITAL AGENCY CORP COM |
| AGNCP | AMERICAN CAPITAL AGENCY CORP PFD-A |
| AGO | ASSURED GUARANTY LTD COM |
| AGO-B | ASSURED GUARNTY MUNI HLDGS INC QUIBS 6.875% |
| AGO-E | ASSURED GUARNTY MUNI HLDGS INC NT 6.25% 2102 |
| AGO-F | ASSURED GUARNTY MUNI HLDGS INC NT 5.60% 2103 |
| AGOL | ETFAS ASIAN GOLD TR PHYS ASAIN GLD |
| AGP | AMERIGROUP CORP COM |
| AGQ | PROSHARES TR II ULTRA SILVER |
| AGR | AKTIEBOLAGET SVENSK EXPORTKRED ACL RTN RUSS11 |
| AGRG | RUSSELL EXCHANGE TRADED FDS TR AGGRESS GROWTH |
| AGRO | ADECOAGRO S A COM |
| AGT | APOLLO GOLD CORP COM |
| AGU | AGRIUM INC COM |
| AGV | REALTY FDS INC ADELANTE GRWTH |
| AGW | Merrill Lynch |
| AGX | ARGAN INC COM |
| AGYS | AGILYSYS INC COM |
| AGZ | ISHARES TR AGENCY BD FD |
| AH | ACCRETIVE HEALTH INC COM |
| AHB | SAFETY FIRST TR SER 2008-3 CTF GLO BSKT13 |
| AHB* | MORGAN STANLEY 12% SPARQS ARC |
| AHC | A H BELO CORP COM CL A |
| AHC# | A H BELO CORPORATION WI |
| AHC- | Amerada Hess Corporation 7.00% Mandatory Convertible Preferred Stock Automatically Convertible Equity Securities (ACES) |
| AHCI | ALLIED HEALTHCARE INTL INC COM |
| AHD | ATLAS ENERGY LP COM UNITS LP |
| AHG | Apria Healthcare Group Inc. Common Stock |
| AHGP | ALLIANCE HOLDINGS GP LP COM UNITS LP |
| AHH | ARMADA HOFFLER PPTYS INC COM |
| AHH-A | Accredited Mortgage Loan REIT Trust 9.75% Series A Perpetual Cumulative Preferred Shares \$1.00 par value |
| AHII | ANIMAL HEALTH INTL INC COM |
| AHL | ASPEN INSURANCE HOLDINGS LTD SHS |
| AHL- | ASPEN INSURANCE HOLDINGS LTD PFD PRP INC EQ |
| AHL-* | ASPEN INSURANCE HOLDINGS LTD PFD PRP INC EQ |
| AHL-A | ASPEN INSURANCE HOLDINGS LTD PFD PER7.401% |
| AHL-B | ASPEN INSURANCE HOLDINGS LTD PFD |
| AHL-C | ASPEN INSURANCE HOLDINGS LTD PFD SHS 5.95 |
| AHM | American Home Mortgage Investment Corp. Common Stock |
| AHM-A | American Home Mortgage Investment Corp. 9.75% Series A Cumulative Redeemable Preferred Stock \$0.01 par value |
| AHM-B | American Home Mortgage Investment Corp. 9.25% Series B Cumulative Redeemable Preferred Stock |
| AHN | ATC Healthcare Inc |
| AHO | Koninklijke Ahold NV American Depositary Shares (Each representing one Ordinary Share) |
| AHO# | KONINKLIJKE AHOLD N V SPON ADR 2007 |
| AHPI | ALLIED HEALTHCARE PRODS INC COM |
| AHR | ANTHRACITE CAP INC COM |
| AHR-C | ANTHRACITE CAP INC PFD C 9.375% |
| AHR-D | ANTHRACITE CAP INC PFD 8.25% |

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| AHS | AMN HEALTHCARE SERVICES INC COM |
| AHT | ASHFORD HOSPITALITY TR INC COM SHS |
| AHT-A | ASHFORD HOSPITALITY TR INC PFD A 8.55% |
| AHT-D | ASHFORD HOSPITALITY TR INC PFD D 8.45% CUM |
| AHT-E | ASHFORD HOSPITALITY TR INC 9% CUM PFD SER E |
| AHY | SAFETY FIRST TR SER 2008-4 NT S&P500 13 |
| AHY* | MORGAN STANLEY 10% SPARQS APP |
| AI | ARLINGTON ASSET INVT CORP CL A NEW |
| AIA | ISHARES TR S&P ASIA 50 IN |
| AIB | APOLLO INVT CORP SR NT 42 |
| AIC | Aames Investment Corporation Common Stock \$0.01 par value per share |
| AICX | APPLIED IMAGING CORP |
| AID | Law Enforcement Associates Corp |
| AIF | APOLLO TACTICAL INCOME FD INC COM |
| AIG | AMERICAN INTL GROUP INC COM NEW |
| AIG+ | AMERICAN INTL GROUP INC WT EXP 011921 |
| AIG+# | AMERICAN INTL GROUP INC WT EXP 011921 |
| AIG-A | AMERICAN INTL GROUP INC CORP UNIT |
| AIH | Ablest Inc |
| AII | Aldabra 2 Acquisition Corp |
| AII+ | Aldabra 2 Acquisition Corp |
| AII= | Aldabra 2 Acquisition Corp |
| AIM | AEROSONIC CORP DEL COM PAR \$0.40 |
| AIMC | ALTRA HOLDINGS INC COM |
| AIN | ALBANY INTL CORP CL A |
| AINN | Applied Innovation Inc. - Common Stock |
| AINV | APOLLO INVT CORP COM |
| AIP | HADERA PAPER LTD SHS |
| AIPC | AMERICAN ITALIAN PASTA CO CL A |
| AIQ | ALLIANCE HEALTHCARE SRVCS INC COM PAR \$0.01 |
| AIR | AAR CORP COM |
| AIRI | AIR INDS GROUP INC COM NEW |
| AIRM | AIR METHODS CORP COM PAR \$.06 |
| AIRN | AIRSPAN NETWORKS INC COM |
| AIRT | AIR T INC COM |
| AIRV | AIRVANA INC COM |
| AIS | ANTARES PHARMA INC COM |
| AIT | APPLIED INDL TECHNOLOGIES INC COM |
| AIV | APARTMENT INVT & MGMT CO CL A |
| AIV-G | APARTMENT INVT & MGMT CO PFD G 9.375% |
| AIV-G* | APARTMENT INVT & MGMT CO PFD G 9.375% |
| AIV-Q | Apartment Investment and Management Company Class Q Cumulative Preferred Stock |
| AIV-Q* | Apartment Investment and Management Company Class Q Cumulative Preferred Stock |
| AIV-R | Apartment Investment and Management Company 10% Class R Cumulative Preferred Stock |
| AIV-R* | Apartment Investment and Management Company 10% Class R Cumulative Preferred Stock |
| AIV-T | APARTMENT INVT & MGMT CO PFD T 8% |
| AIV-T* | APARTMENT INVT & MGMT CO PFD T 8% |
| AIV-U | APARTMENT INVT & MGMT CO PFD CL U 7.75% |
| AIV-U* | APARTMENT INVT & MGMT CO PFD CL U 7.75% |
| AIV-V | APARTMENT INVT & MGMT CO PFD CL V 8% |
| AIV-V* | APARTMENT INVT & MGMT CO PFD CL V 8% |
| AIV-Y | APARTMENT INVT & MGMT CO PFD Y 7.875% |
| AIV-Y* | APARTMENT INVT & MGMT CO PFD Y 7.875% |
| AIV-Z | APARTMENT INVT & MGMT CO PFD CL Z |
| AIW | ARLINGTON ASSET INVT CORP SR NT6.625 23 |
| AIX | Access Integrated Technologies Inc |
| AIXD | Access Integrated Technologies Inc. - Class A Common Stock |
| AIXG | AIXTRON SE SPONSORED ADR |
| AIZ | ASSURANT INC COM |
| AJB | SAFETY FIRST TR SER 2009-1 CTF S&P500 14 |
| AJG | GALLAGHER ARTHUR J & CO COM |

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| AKAM | AKAMAI TECHNOLOGIES INC COM |
| AKB | REALTY FDS INC ADELANTE KINGS |
| AKC | Access Pharmaceuticals Inc |
| AKC+A | ASCENT SOLAR TECHNOLOGIES INC WT A EX 071011 |
| AKE | SAFETY FIRST TRUST CTF GBL INDX |
| AKF | AMBAC FINL GROUP INC DEB 5.95% 2103 |
| AKG | ASANKO GOLD INC COM |
| AKH | Air France-KLM American Depositary Shares (Each representing one Ordinary Share nominal value E8.50) |
| AKH+ | Air France-KLM American Depositary Warrants (Each representing one Air France Warrant) (Expiring November 05 2007) |
| AKHWS | AIR FRANCE KLM WTS |
| AKL | EKSPORTFINANS ASA ARN S&P500 10 |
| AKN | SAFETY FIRST TR SER 2007 4 CTF US EURO 13 |
| AKNS | AKEENA SOLAR INC DE COM |
| AKO.A | EMBOTELLADORA ANDINA S A SPON ADR A |
| AKO.B | EMBOTELLADORA ANDINA S A SPON ADR B |
| AKP | ALLIANCE CALIF MUN INCOME FD COM |
| AKR | ACADIA RLTY TR COM SH BEN INT |
| AKRWD | ACADIA REALTY TRUST |
| AKRX | AKORN INC COM |
| AKS | AK STL HLDG CORP COM |
| AKSY | Aksys Ltd. - Common Stock |
| AKT | AMBAC FINL GROUP INC DEB 5.875% 03 |
| AKZOY | AKZO NOBEL NV SPONSORED ADR |
| AL | AIR LEASE CORP CL A |
| ALA | Alcatel American Depositary Shares (Each representing 1 Ordinary Share of Alcatel) |
| ALAB | Alabama National BanCorporation - Common Stock |
| ALAN | ALANCO TECHNOLOGIES INC CL A NO PAR 2010 |
| ALAND | ALANCO TECHNOLOGIES INC CL A NO PAR 2010 |
| ALB | ALBEMARLE CORP COM |
| ALBY | Community Capital Bancshares Inc. - Common Stock |
| ALC | ASSISTED LIVING CONCPT NEV NEW CL A NEW |
| ALC# | ASSISTED LIVING CONCEPTS INC |
| ALCO | ALICO INC COM |
| ALCS | ALCO STORES INC COM |
| ALD | WISDOMTREE TR ASIA LC DBT FD |
| ALDA | ALDILA INC COM NEW |
| ALDN | ALADDIN KNOWLEDGE SYS LTD ORD |
| ALDW | ALON USA PARTNERS LP UT LTD PART INT |
| ALE | ALLETE INC COM NEW |
| ALEX | ALEXANDER & BALDWIN INC NEW COM |
| ALEX# | ALEXANDER & BALDWIN INC NEW COM |
| ALF | ALABAMA PWR CO NT SR AA 5.625 |
| ALF* | ALABAMA PWR CO NT SR AA 5.625 |
| ALFA | ETF SER SOLUTIONS ALPCLONE ALTER |
| ALFC | Atlantic Liberty Financial Corporation - Common Stock |
| ALG | ALAMO GROUP INC COM |
| ALGI | AMERICAN LOCKER GROUP COM |
| ALGN | ALIGN TECHNOLOGY INC COM |
| ALGT | ALLEGiant TRAVEL CO COM |
| ALIM | ALIMERA SCIENCES INC COM |
| ALJ | ALON USA ENERGY INC COM |
| ALK | ALASKA AIR GROUP INC COM |
| ALKS | ALKERMES PLC SHS |
| ALL | ALLSTATE CORP COM |
| ALL-A | ALLSTATE CORP DEP SHS PFD A |
| ALL-B | ALLSTATE CORP SUB DEB 53 |
| ALLB | ALLIANCE BANCORP INC PA NEW COM |
| ALLBD | ALLIANCE BANCORP INC PA NEW COM |
| ALLEP | National City Corporation - Allegiant Capital Trust II - 9.00% Cumulative Trust Preferred Securities |
| ALLI | ALLION HEALTHCARE INC COM |

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| ALLT | ALLOT COMMUNICATIONS LTD SHS |
| ALLY-A | GMAC CAP TR I GTD TR PFD-2 |
| ALLY-B | ALLY FINL INC PERP PFD-A FLT |
| ALM | ALABAMA PWR CO 5.875 07B NT |
| ALM* | ALABAMA PWR CO 5.875 07B NT |
| ALN | AMERICAN LORAIN CORP COM |
| ALNC | ALLIANCE FINANCIAL CORP NY COM |
| ALNY | ALNYLAM PHARMACEUTICALS INC COM |
| ALO | BANK AMER CORP ACCL S&P500 11 |
| ALOG | ANALOGIC CORP COM PAR \$0.05 |
| ALOT | ASTRO-MED INC NEW COM |
| ALOY | ALLOY INC NEW COM |
| ALOYD | Alloy Inc. - Common Stock |
| ALP-N | ALABAMA PWR CO PFD CL A 5.2% |
| ALP-O | ALABAMA PWR CO PFD CL A 5.83% |
| ALP-P | ALABAMA PWR CO PFD A 5.30% |
| ALQ | ALABAMA PWR CO SR NOTE SER GG |
| ALQ* | ALABAMA PWR CO SR NOTE SER GG |
| ALR | ALERE INC COM |
| ALR-B | ALERE INC PERP PFD CONV SE |
| ALRN | AMERICAN LEARNING CORP NEW YOR COM |
| ALSC | Alliance Semiconductor Corporation Common Stock |
| ALSE | ALSERES PHARMACEUTICALS INC COM |
| ALSK | ALASKA COMMUNICATIONS SYS GRP COM |
| ALSN | ALLISON TRANSMISSION HLDGS INC COM |
| ALT | ISHARES DIVERSIFIED ALTR TR SH BEN INT |
| ALTE | ALTERRA CAPITAL HOLDINGS LIMIT COM |
| ALTH | ALLOS THERAPEUTICS INC COM |
| ALTI | ALTAIR NANOTECHNOLOGIES INC COM PAR \$0.001 |
| ALTID | ALTAIR NANOTECHNOLOGIES INC COM NEW |
| ALTL | ROYAL BK OF SCOTLAND PLC LCAP ALT EXC ETN |
| ALTR | ALTERA CORP COM |
| ALTU | ALTUS PHARMACEUTICALS INC COM |
| ALTV | ALTEVA COM |
| ALU | ALCATEL-LUCENT SPONSORED ADR |
| ALUM | GLOBAL X FDS GLB X ALUMINUM |
| ALUS | ALSIOUS CORPORATION COM |
| ALUSU | Alsious Corporation - Unit consisting of 1 Common and 2 Warrants |
| ALUSW | Alsious Corporation - Warrant 08/03/2009 |
| ALV | AUTOLIV INC COM |
| ALV-Z | AUTOLIV INC CORP UNIT |
| ALVR | ALVARION LTD SHS NEW |
| ALX | ALEXANDERS INC COM |
| ALXA | ALEXZA PHARMACEUTICALS INC COM NEW |
| ALXN | ALEXION PHARMACEUTICALS INC COM |
| ALY | ALLIS CHALMERS ENERGY INC COM PAR \$.01NW |
| ALZ | ALABAMA PWR CO NT SR 11 2046 |
| ALZ* | ALABAMA PWR CO NT SR 11 2046 |
| AM | AMERICAN GREETINGS CORP CL A |
| AMA | Morgan Stanley |
| AMA* | MORGAN STANLEY SPARQS ARCH 08 |
| AMAB | AmericasBank Corp. - Common Stock |
| AMAC | AMERICAN MED ALERT CORP COM |
| AMAG | AMAG PHARMACEUTICALS INC COM |
| AMAP | AUTONAVI HLDGS LTD SPONSORED ADR |
| AMAT | APPLIED MATLS INC COM |
| AMB | AMB PROPERTY CORP COM |
| AMB-L | AMB PROPERTY CORP PFD SER L 6.5% |
| AMB-M | AMB PROPERTY CORP PFD M 6.75% |
| AMB-O | AMB PROPERTY CORP PFD 7.0% SER O |
| AMB-P | AMB PROPERTY CORP PFD P 6.85% |

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| AMBA | AMBARELLA INC SHS |
| AMBC | AMBAC FINL GROUP INC COM NEW |
| AMBCW | AMBAC FINL GROUP INC WT EXP 043023 |
| AMBI | AMBIT BIOSCIENCES CORP COM |
| AMBK | AMERICAN BANK INC PA COM |
| AMBO | AMBOW ED HLDG LTD ADR REPSTG CL A |
| AMBT | AMBIENT CORP COM NEW |
| AMC | American Mortgage Acceptance |
| AMC-A | American Mortgage Acceptance |
| AMCA | Amedica Corporation - Common Stock |
| AMCC | APPLIED MICRO CIRCUITS CORP COM NEW |
| AMCCD | Applied Micro Circuits Corporation - Common Stock |
| AMCE | AMERICAN CLAIMS EVALUATION INC COM |
| AMCF | ANDATEE CHINA MARINE FUEL SVCS COM |
| AMCN | AIRMEDIA GROUP INC SPONSORED ADR |
| AMCP | AmCOMP Incorporated - common stock |
| AMCR | Amcor Limited - American Depositary Shares |
| AMCRP | Amcor Limited - 7 1/4% Perpetual Redeemable Income Debt Exchangeable for Stock (PRIDES) |
| AMCS | AMICAS INC COM |
| AMCX | AMC NETWORKS INC CL A |
| AMCXV | AMC NETWORKS INC CL A |
| AMD | ADVANCED MICRO DEVICES INC COM |
| AME | AMETEK INC NEW COM |
| AMED | AMEDISYS INC COM |
| AMEN | AMEN PPTYS INC COM PAR \$.1.00 |
| AMF | ACM Managed Income Fund Inc. Common Stock |
| AMFI | AMCORE FINL INC COM |
| AMG | AFFILIATED MANAGERS GROUP COM |
| AMGI | American Mold Guard Inc. - common stock |
| AMGIU | American Mold Guard Inc. - Unit |
| AMGIW | American Mold Guard Inc. - Class A Warrant |
| AMGIZ | American Mold Guard Inc. - Class B Warrant |
| AMGN | AMGEN INC COM |
| AMH | AmerUs Group Co. Common Stock |
| AMH- | AmerUs Group Co. 7.25% Series A Non-Cumulative Perpetual Preferred Stock |
| AMH-* | AmerUs Group Co. 7.25% Series A Non-Cumulative Perpetual Preferred Stock |
| AMH-A | AmerUs Group Co. Income Prides |
| AMHC | AMERICAN CAP HLDGS INC FLA COM |
| AMIC | AMERICAN INDEPENDENCE CORP COM NEW |
| AMID | AMERICAN MIDSTREAM PARTNERS LP COM UNITS |
| AMIE | AMBASSADORS INTL INC COM NEW |
| AMIED | AMBASSADORS INTL INC COM NEW |
| AMIN | AMERICAN INTL INDUSTRIES COM PAR \$ |
| AMIS | AMIS Holdings Inc. - common stock |
| AMJ | JPMORGAN CHASE & CO ALERIAN ML ETN |
| AMK | MORGAN STANLEY BARR NT S&P 09 |
| AMKR | AMKOR TECHNOLOGY INC COM |
| AML | AmlI Residential Properties Trust Shares of Beneficial Interest |
| AMLN | AMYLIN PHARMACEUTICALS INC COM |
| AMLPL | ALPS ETF TR ALERIAN MLP |
| AMM | SAFETY FIRST TR SER 2008-2 NT S&P500 13 |
| AMMD | AMERICAN MED SYS HLDGS INC COM |
| AMN | AMERON INTL INC COM |
| AMNB | AMERICAN NATL BANKSHARES INC COM |
| AMO | MERRILL LYNCH & CO INC ACC RTN MSCI 10 |
| AMOT | ALLIED MOTION TECHNOLOGIES INC COM |
| AMOV | AMERICA MOVIL SAB DE CV SPON ADR A SHS |
| AMP | AMERIPRISE FINL INC COM |
| AMP-A | AMERIPRISE FINL INC NT SR 7.75% 2039 |
| AMPE | AMPIO PHARMACEUTICALS INC COM |
| AMPH | AMERICAN PHYSICIANS SVC GROUP COM |

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| AMPL | AMPAL AMERN ISRAEL CORP CL A NEW |
| AMPLP | Ampal-American Israel Corporation - 6.5% Cumulative Convertible Preferred Stock |
| AMPS | ISHARES TR UTILITIES SECT |
| AMPX | Ampex Corporation - Class A Common Stock |
| AMR | AMR CORP DEL COM |
| AMRB | AMERICAN RIVER BANKSHARES COM |
| AMRC | AMERESCO INC CL A |
| AMRE | AMREIT INC NEW CL B |
| AMRI | ALBANY MOLECULAR RESH INC COM |
| AMRN | AMARIN CORP PLC SPONS ADR NEW |
| AMRND | Amarin Corporation PLC - American Depositary Shares |
| AMRS | AMYRIS INC COM |
| AMS | AMERICAN SHARED HOSPITAL SVCS COM |
| AMSC | AMERICAN SUPERCONDUCTOR CORP COM |
| AMSF | AMERISAFE INC COM |
| AMSG | AMSURG CORP COM |
| AMSWA | AMERICAN SOFTWARE INC CL A |
| AMT | AMERICAN TOWER CORP NEW COM |
| AMTC | AMERITRANS CAP CORP COM |
| AMTCP | AMERITRANS CAP CORP PFD PRT 9.375% |
| AMTCW | Ameritrans Capital Corporation - Warrants |
| AMTD | TD AMERITRADE HLDG CORP COM |
| AMTG | APOLLO RESIDENTIAL MTG INC COM |
| AMTG-A | APOLLO RESIDENTIAL MTG INC PERP PFD SER A % |
| AMTY | AMERITYRE CORP COM |
| AMU | UBS AG LONDON BRH ETRAC ALER MLP |
| AMV | ALTERNATIVE ASSET MGMT ACQU CP COM |
| AMV+ | ALTERNATIVE ASSET MGMT ACQU CP WT EXP 080112 |
| AMV= | ALTERNATIVE ASSET MGMT ACQU CP UNTI EX 070112 |
| AMW | American Water Star Inc |
| AMWD | AMERICAN WOODMARK CORP COM |
| AMX | AMERICA MOVIL SAB DE CV SPON ADR L SHS |
| AMY | AKTIEBOLAGET SVENSK EXPORTKRED RTN S&P500 11 |
| AMZN | AMAZON COM INC COM |
| AN | AUTONATION INC COM |
| AN\$ | AutoNation Inc. Common Stock |
| ANAC | ANACOR PHARMACEUTICALS INC COM |
| ANAD | ANADIGICS INC COM |
| ANAT | AMERICAN NATL INS CO COM |
| ANB-B | Abbey National plc American Depositary Shares (Each representing one Series B Dollar Preference Share) |
| ANB-B* | Abbey National plc American Depositary Shares (Each representing one Series B Dollar Preference Share) |
| ANB-C | Abbey National plc Global Depositary Shares (each representing one 7.375% Tier One Perpetual Subordinated Debt Securities) |
| ANB-C* | Abbey National plc Global Depositary Shares (each representing one 7.375% Tier One Perpetual Subordinated Debt Securities) |
| ANCB | ANCHOR BANCORP WA COM |
| ANCC | AirNet Communications Corporation - Common Stock |
| ANCI | AMERICAN CARESOURCE HLDGS INC COM NEW |
| ANCX | ACCESS NATL CORP COM |
| AND | GLOBAL X FDS ANDEAN 40 ETF |
| ANDA | ANDINA ACQUISITION CORP COM |
| ANDAU | ANDINA ACQUISITION CORP UNIT EX 031616 |
| ANDAW | ANDINA ACQUISITION CORP WT EXP 031616 |
| ANDE | ANDERSONS INC COM |
| ANDS | ANADYS PHARMACEUTICALS INC COM |
| ANDW | Andrew Corporation - Common Stock |
| ANE | American Community Newspapers Inc |
| ANE+ | American Community Newspapers Inc |
| ANE= | American Community Newspapers Inc |
| ANEN | ANAREN INC COM |
| ANET | Authorize.Net Holdings Inc. - Common Stock |

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| ANF | ABERCROMBIE & FITCH CO CL A |
| ANFI | AMIRA NATURE FOODS LTD SHS |
| ANG | MORGAN STANLEY BARR S&P500 10 |
| ANGI | ANGIES LIST INC COM |
| ANGL | MARKET VECTORS ETF TR FALLN ANGL USD |
| ANGN | ANGEION CORP COM |
| ANGO | ANGIODYNAMICS INC COM |
| ANH | ANWORTH MORTGAGE ASSET CP COM |
| ANH-A | ANWORTH MORTGAGE ASSET CP PFD A 8.625% |
| ANH-B | ANWORTH MORTGAGE ASSET CP PFD B 6.25% |
| ANI | AKTIEBOLAGET SVENSK EXPORTKRED ACC RTN ENERGY11 |
| ANIK | ANIKA THERAPEUTICS INC COM |
| ANJ | AMERICAN INTL GROUP INC ACC MSCI INX09 |
| ANK | Atlantic Tele-Network Inc |
| ANL | AMERICAN LD LEASE INC COM |
| ANL-A | AMERICAN LAND LEASE INC. 7.75% SER A CUMULATIVE RDMBL PFD \$0.01 PAR VAL |
| ANLT | Analytical Surveys Inc. - Common Stock |
| ANLY | ANALYSTS INTL CORP COM NEW |
| ANLYD | ANALYSTS INTL CORP COM NEW |
| ANM | Merrill Lynch |
| ANN | ANN INC COM |
| ANNB | ANNAPOLIS BANCORP INC COM |
| ANO | ANOORAQ RES CORP COM |
| ANOR | AnorMED Inc - Common Shares |
| ANPI | ANGIOTECH PHARMACEUTICALS INC COM |
| ANR | ALPHA NATURAL RESOURCES INC COM |
| ANS | AirNet Systems Inc |
| ANSL | Ansell Limited - American Depositary Shares |
| ANSR | Hackett Group Inc.(The) - Common Stock |
| ANSS | ANSYS INC COM |
| ANST | Ansoft Corporation - Common Stock |
| ANSV | ANESIVA INC COM COM |
| ANSW | ANSWERS CORP COM |
| ANT | Anteon International Corporation Common Stock |
| ANTF | ANTE4 INC COM |
| ANTH | ANTHERA PHARMACEUTICALS INC COM |
| ANTP | PHAZAR CORP COM |
| ANV | ALLIED NEVADA GOLD CORP COM |
| ANW | AEGEAN MARINE PETROLEUM NETWRK SHS |
| ANX | ADVENTRX PHARMACEUTICALS INC COM NEW |
| ANY | Morgan Stanley |
| ANZ | Australia and New Zealand Banking Group Limited American Depositary Shares (Each representing five Ordinary Shares) |
| AO-A | AMERCO PFD SER A |
| AO-A* | AMERCO PFD SER A |
| AOA | ISHARES TR S&P AGGR ALL |
| AOB | AMERICAN ORIENTAL BIOENGR INC COM NEW |
| AOC | AON CORP COM |
| AOD | ALPINE TOTAL DYNAMIC DIVID FD COM SBI |
| AOF | MORGAN STANLEY BARR NT S&P 10 |
| AOG | Aurora Oil & Gas Corporation |
| AOI | ALLIANCE ONE INTL INC COM |
| AOK | ISHARES TR S&P CONSR ALL |
| AOL | AOL INC COM |
| AOL# | AOL INC COM |
| AOM | ISHARES TR S&P MODERATE |
| AON | AON PLC SHS CL A |
| AON# | AON CORP COM |
| AONE | A123 SYS INC COM |
| AOR | ISHARES TR S&P GRWTH ALL |
| AOS | SMITH A O COM |

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| AOSL | ALPHA & OMEGA SEMICONDUCTOR LT SHS |
| AP | AMPCO-PITTSBURGH CORP COM |
| APA | APACHE CORP COM |
| APA-D | APACHE CORP PFD CONV SER D |
| APAB | APPALACHIAN BANCSHARES INC COM |
| APAC | APAC CUSTOMER SERVICES INC COM |
| APAGF | APCO OIL & GAS INTERNATIONAL I SHS |
| APAM | ARTISAN PARTNERS ASSET MGMT IN CL A |
| APAT | APA Enterprises Inc. - Common Stock |
| APB | ASIA PAC FD INC COM |
| APC | ANADARKO PETE CORP COM |
| APC# | Anadarko Petroleum Corporation Common Stock |
| APCC | ASIA PACIFIC ENERGY INC COM |
| APCFY | Atlas South Sea Pearl Limited - American Depositary Shares |
| APCS | Alamosa Holdings Inc. Common Stock |
| APCVZ | FRESENIUS KABI PHARMACEUTHLDG RT |
| APD | AIR PRODS & CHEMS INC COM |
| APE | Morgan Stanley |
| APE* | MORGAN STANLEY SPARQ 10%AAPL7 |
| APEI | AMERICAN PUBLIC EDUCATION INC COM |
| APF | MORGAN STANLEY ASIA PAC FD INC COM |
| APFC | AMERICAN PAC CORP COM |
| APFWD | MORGAN STANLEY ASIA |
| APH | AMPHENOL CORP NEW CL A |
| APHT | APHTON CORPORATION |
| API | ADVANCED PHOTONIX INC CL A |
| APII | ACTION PRODS INTL INC COM |
| APK | MORGAN STANLEY HITS APPLE CO |
| APKT | ACME PACKET INC COM |
| APL | ATLAS PIPELINE PARTNERS LP UNIT L P INT |
| APLX | Applix Inc. - Common Stock |
| APN | Applica Incorporated Common Stock |
| APO | APOLLO GLOBAL MGMT LLC CL A SHS |
| APOG | APOGEE ENTERPRISES INC COM |
| APOL | APOLLO GROUP INC CL A |
| APP | AMERICAN APPAREL INC COM |
| APP+ | American Apparel Inc |
| APP= | American Apparel Inc |
| APPA | AP PHARMA INC COM NEW |
| APPAD | A.P. Pharma Inc. - Common Stock |
| APPB | Applebee's International Inc. - Common Stock |
| APPX | APP Pharmaceuticals - Common stock |
| APPY | VENAXIS INC COM |
| APPYD | ASPENBIO PHARMA INC COM NEW |
| APRI | APRICUS BIOSCIENCES INC COM |
| APRO | America First Apartment Investors Inc. - Common Stock |
| APSA | ALTO PALERMO S A SPONSORED ADR |
| APSG | APPLIED SIGNAL TECHNOLOGY INC COM |
| APT | ALPHA PRO TECH LTD COM |
| APTI | Advanced Power Technology Inc. - Common Stock |
| APTM | Aptimus Inc - Common Stock |
| APTS | PREFERRED APT CMNTYS INC COM |
| APU | AMERIGAS PARTNERS L P UNIT L P INT |
| APWC | ASIA PACIFIC WIRE & CABLE CORP ORD |
| APWR | A POWER ENERGY GENERAT SYS LTD COM |
| APWRU | A-Power Energy Generation Systems Ltd. - Unit 8/3/2009 |
| APWRW | A-Power Energy Generation Systems Ltd. - Warrant 03/31/2008. There is a 3 day broker protect. To be deleted at the c/o/b on 3/31/08. |
| APX | BLACKROCK APEX MUN FD INC COM |
| APY | ASPYRA INC COM |
| AQ | ACQUITY GROUP LTD SPONSORED ADR |

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| AQA | AquaCell Technologies Inc |
| AQD | AKTIEBOLAGET SVENSK EXPORTKRED NT S&P 500 10 |
| AQNT | aQuantive Inc. - Common Stock |
| AQQ | AMERICAN SPECTRUM REALTY INC COM NEW |
| AQQQ | MERRILL LYNCH&CO INC PFD |
| AQR | Acquicor Technology Inc |
| AQR+ | Acquicor Technology Inc |
| AQR= | Acquicor Technology Inc |
| AQS | MERRILL LYNCH & CO INC NT S&P500 10 |
| AQU | AQUASITION CORP COM |
| AQUUU | AQUASITION CORP UNIT EX 000017 |
| AQUUW | AQUASITION CORP WT EXP 000017 |
| ARA | ARACRUZ CELULOSE S A SPON ADR PFD B |
| ARAY | ACCURAY INC COM |
| ARB | ARBITRON INC COM |
| ARBA | ARIBA INC COM NEW |
| ARBR | ARBORGEN INC COM |
| ARBX | ARBINET CORP COM NEW |
| ARBXD | ARBINET CORP COM NEW |
| ARC | ARC DOCUMENT SOLUTIONS INC COM |
| ARC-A | Affordable Residential Communities Inc. 8.25% Series A Cumulative Redeemable Preferred Stock \$0.01 par value |
| ARCAF | Arcadis NV - New York Registry Shares |
| ARCC | ARES CAP CORP COM |
| ARCCR | Ares Capital Corporation - Transferable Rights to Common Stock |
| ARCI | APPLIANCE RECYCLING CTRS AMER COM NEW |
| ARCL | ARCHIPELAGO LEARNING INC COM |
| ARCO | ARCOS DORADOS HOLDINGS INC SHS CLASS -A - |
| ARCP | AMERICAN RLTY CAP PPTYS INC COM |
| ARCT | AMERICAN RLTY CAP TR INC COM |
| ARCW | ARC GROUP WORLDWIDE INC COM |
| ARCWD | ARC GROUP WORLDWIDE INC COM |
| ARD | ARENA RESOURCES INC COM |
| ARD# | Arena Resources Inc. Common Stock |
| ARDC | ARES DYNAMIC CR ALLOCATION FD COM |
| ARDI | @Road Inc. - Common Stock |
| ARDM | ARADIGM CORP COM NEW |
| ARDMD | Aradigm Corporation New Common Stock |
| ARDNA | ARDEN GROUP INC CL A |
| ARE | ALEXANDRIA REAL ESTATE EQ INC COM |
| ARE-B | Alexandria Real Estate Equities Inc. 9.10% Series B Cumulative Redeemable Preferred Stock |
| ARE-B* | Alexandria Real Estate Equities Inc. 9.10% Series B Cumulative Redeemable Preferred Stock |
| ARE-C | ALEXANDRIA REAL ESTATE EQ INC PFD C 8.375% |
| ARE-C* | ALEXANDRIA REAL ESTATE EQ INC PFD C 8.375% |
| ARE-E | ALEXANDRIA REAL ESTATE EQ INC PFD SER E |
| AREX | APPROACH RESOURCES INC COM |
| ARG | AIRGAS INC COM |
| ARGN | AMERIGON INC COM |
| ARGS | ARGOS THERAPEUTICS INC COM |
| ARGT | GLOBAL X FDS GBX X FTSEAR NEW |
| ARH-A | ARCH CAP GROUP LTD PFD SER A |
| ARH-A* | ARCH CAP GROUP LTD PFD SER A |
| ARH-B | ARCH CAP GROUP LTD PFD SER B |
| ARH-B* | ARCH CAP GROUP LTD PFD SER B |
| ARH-C | ARCH CAP GROUP LTD PFD-C 6.75% |
| ARI | APOLLO COML REAL EST FIN INC COM |
| ARI-A | APOLLO COML REAL EST FIN INC CUM REDEEMABLE P |
| ARIA | ARIAD PHARMACEUTICALS INC COM |
| ARII | AMERICAN RAILCAR INDS INC COM |
| ARJ | ARCH CHEMICALS INC COM |
| ARK | BLACKROCK SR HIGH INCOME FD COM |
| ARKR | ARK RESTAURANTS CORP COM |

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| ARL | AMERICAN RLTY INVS INC COM |
| ARLC | Arel Communications & Software Ltd. - Ordinary Shares |
| ARLP | ALLIANCE RES PARTNER L P UT LTD PART |
| ARM | ARVINMERITOR INC COM |
| ARMH | ARM HLDGS PLC SPONSORED ADR |
| ARMHY | ARM Holdings plc - American Depositary Shares |
| ARN | ARES CAP CORP SR NT |
| ARNA | ARENA PHARMACEUTICALS INC COM |
| ARNQ | Merrill Lynch & Co. Inc. - ARN Linked to the Nasdaq-100 Index |
| ARO | AEROPOSTALE COM |
| AROW | ARROW FINL CORP COM |
| ARP | ATLAS RESOURCE PARTNERS LP COM UNT LTD PR |
| ARP# | ATLAS RESOURCE PARTNERS LP COM UNT LTD PR |
| ARPI | AMERICAN RESIDENTIAL PPTYS INC COM |
| ARQL | ARQULE INC COM |
| ARQQ | Merrill Lynch & Co. Inc. - Accelerated Return Note Linked to the NASDAQ 100 Index |
| ARR | ARMOUR RESIDENTIAL REIT INC COM |
| ARR+ | ARMOUR RESIDENTIAL REIT INC WT EXP 110713 |
| ARR-A | ARMOUR RESIDENTIAL REIT INC PFD A 8.25% |
| ARR-B | ARMOUR RESIDENTIAL REIT INC PFD SER B 7.875% |
| ARRB | Merrill Lynch & Co. Inc. - ARN Linked to the Russell 2000 Index |
| ARRO | Arrow International Inc. - Common Stock |
| ARRQ | Merrill Lynch & Co. Inc. - Accelerated Return Notes Linked to the Nasdaq 100 Index due October 2007 |
| ARRS | ARRIS GROUP INC NEW COM |
| ARRY | ARRAY BIOPHARMA INC COM |
| ARS | ALERIS CORP COM |
| ARSD | ARABIAN AMERN DEV CO COM |
| ARST | ARCSIGHT INC COM |
| ART | ARTIO GLOBAL INVS INC COM CL A |
| ARTC | ARTHROCARE CORP COM |
| ARTE | Artes Medical Inc. - Common Stock |
| ARTG | ART TECHNOLOGY GROUP INC COM |
| ARTL | ARISTOTLE CORP COM NEW |
| ARTLP | ARISTOTLE CORP PFD SER I |
| ARTNA | ARTESIAN RESOURCES CORP CL A |
| ARTW | ARTS WAY MFG INC COM |
| ARTX | AROTECH CORP COM NEW |
| ARTXD | Arotech Corporation - Common Stock |
| ARU | ARES CAP CORP SR NT 22 |
| ARUN | ARUBA NETWORKS INC COM |
| ARW | ARROW ELECTRS INC COM |
| ARWR | ARROWHEAD RESH CORP COM NEW |
| ARWRD | ARROWHEAD RESH CORP COM NEW |
| ARX | AEROFLEX HLDG CORP COM |
| ARXT | Adams Respiratory Therapeutics Inc. - commom stock |
| ARXX | Aeroflex Incorporated - Common Stock |
| ARY | ARES CAP CORP SR NT 7.75%40 |
| ARYX | ARYX THERAPEUTICS INC COM |
| ASA | ASA GOLD AND PRECIOUS MTLs LMT SHS |
| ASA\$ | ASA Limited Common Shares \$1.00 Par Value Per Share |
| ASB | ADVANSOURCE BIOMATERIALS CORP COM |
| ASBB | ASB BANCORP INC N C COM |
| ASBC | ASSOCIATED BANC CORP COM |
| ASBCW | ASSOCIATED BANC CORP WT EXP 112118 |
| ASBI | AMERIANA BANCORP COM |
| ASCA | AMERISTAR CASINOS INC COM |
| ASCMA | ASCENT CAP GROUP INC COM SER A |
| ASCMV | ASCENT MEDIA CORP COM SER A |
| ASD | American Standard Companies Inc. Common Stock |
| ASD# | American Standard Companies Inc. Common Stock |
| ASDR | ALPS ETF TR VELOSH EMASIA |

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| ASE | MORGAN STANLEY SPARQS |
| ASE* | Morgan Stanley |
| ASEA | GLOBAL X FDS GLB X ASEAN 40 |
| ASEI | AMERICAN SCIENCE & ENGR INC COM |
| ASF | ADMINISTAFF INC COM |
| ASFI | ASTA FDG INC COM |
| ASFN | ATLANTIC SOUTHERN FINL GRP INC COM |
| ASG | LIBERTY ALL-STAR GROWTH FD INC COM |
| ASGN | ON ASSIGNMENT INC COM |
| ASGR | AMERICA SVC GROUP INC COM |
| ASGRE | America Service Group Inc. - Common Stock |
| ASH | ASHLAND INC NEW COM |
| ASHW | Ashworth Inc. - Common Stock |
| ASI | AMERICAN SAFETY INS HLDGS LTD ORD |
| ASIA | ASIAINFO-LINKAGE INC COM |
| ASM | AVINO SILVER & GOLD MINES LTD COM |
| ASMI | ASM INTL N V NY REGISTER SH |
| ASML | ASML HOLDING N V N Y REGISTRY SHS |
| ASMLD | ASML Holding N.V. - New York Registry Shares |
| ASN | Archstone-Smith Trust Common Shares of Beneficial Interest |
| ASNA | ASCENA RETAIL GROUP INC COM |
| ASO | AIRSHARES EU CARBON ALLOW FD UNITS BEN INT |
| ASP | AMERICAN STRATEGIC INCM PTFL COM |
| ASPM | ASPECT MED SYS INC COM |
| ASPS | ALTISOURCE PORTFOLIO SOLNS SA REG SHS |
| ASPSV | ALTISOURCE PORTFOLIO SOLNS SA COM |
| ASPV | Aspreva Pharmaceuticals Corporation - Common Stock |
| ASR | GRUPO AEROPORTUARIO DEL SUREST SPON ADR SER B |
| ASRV | AMERISERV FINL INC COM |
| ASRVP | AMERISERV FINL CAP TR I PFD A GTD 8.45 |
| ASTC | ASTROTECH CORP COM |
| ASTE | ASTEC INDS INC COM |
| ASTI | ASCENT SOLAR TECHNOLOGIES INC COM |
| ASTIU | Ascent Solar Technologies Inc. - unit |
| ASTIW | Ascent Solar Technologies Inc. - Class A Warrants |
| ASTIZ | ASCENT SOLAR TECHNOLOGIES INC WT B EX 071011 |
| ASTM | AASTROM BIOSCIENCES INC COM NEW |
| ASTMD | AASTROM BIOSCIENCES INC COM NEW |
| ASTSF | ASE Test Limited - Ordinary Shares |
| ASTT | ASAT Holdings Limited - American Depositary Shares |
| ASTTD | ASAT Holdings Limited - American Depositary Shares |
| ASTX | ASTEX PHARMACEUTICALS INC COM |
| ASUR | ASURE SOFTWARE INC COM |
| ASURD | ASURE SOFTWARE INC COM |
| ASVI | A.S.V. Inc. - Common Stock |
| ASX | ADVANCED SEMICONDUCTOR ENGR SPONSORED ADR |
| ASY | Elecsys Corp |
| ASYS | AMTECH SYS INC COM PAR \$0.01N |
| ASYT | Asyst Technologies Inc. - Common Stock |
| AT | ATLANTIC PWR CORP COM NEW |
| AT# | Alltel Corporation Common Stock |
| AT- | Alltel Corporation \$2.06 No Par Cumulative Convertible Preferred Stock Series C |
| ATA | SAFETY FIRST TR SER 2008-1 CTF USEUROJP14 |
| ATAC | ATC TECHNOLOGY CORP COM |
| ATAI | ATA INC SPONS ADR |
| ATAR | AVATAR VENTURES CORP COM |
| ATARD | Atari Inc. - Common Stock |
| ATAX | AMERICA FIRST TAX EX IVS L P BEN UNIT CTF |
| ATAXZ | America First Tax Exempt Investors L.P. - Beneficial Unit Certificates (BUCs) representing Limited Partnership Interests |
| ATB | ARLINGTON TANKERS LTD COM |

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| ATBC | ATLANTIC BANCGROUP INC COM |
| ATC | ATC VENTURE GROUP INC COM |
| ATCO | AMERICAN TECHNOLOGY CORP COM NEW |
| ATE | ADVANTEST CORP SPON ADR NEW |
| ATEA | ASTEIA INTL INC COM NEW |
| ATEC | ALPHATEC HOLDINGS INC COM |
| ATF | Equity Income Fund First Exchange Series |
| ATG | AGL RESOURCES INC. |
| ATG- | AGL Capital Trust II 8% Trust Preferred Securites due May 15 2041 |
| ATG-* | AGL Capital Trust II 8% Trust Preferred Securites due May 15 2041 |
| ATGN | ALTIGEN COMMUNICATIONS INC COM |
| ATHN | ATHENAHEALTH INC COM |
| ATHR | ATHEROS COMMUNICATIONS INC COM |
| ATHX | ATHERSYS INC COM |
| ATI | ALLEGHENY TECHNOLOGIES INC COM |
| ATK | ALLIANT TECHSYSTEMS INC COM |
| ATL | ATLATSA RES CORP COM |
| ATLC | ATLANTICUS HLDGS CORP COM |
| ATLO | AMES NATL CORP COM |
| ATLRS | Atlantic Realty Trust - Shares of Beneficial Interest |
| ATLS | ATLAS ENERGY LP COM UNITS LP |
| ATLS# | ATLAS ENERGY LP EX DISTRIB WI |
| ATM.A | Merrill Lynch |
| ATMI | ATMI INC COM |
| ATML | ATMEL CORP COM |
| ATMP | BARCLAYS BK PLC ETN+ SEL MLP |
| ATN | ATLAS ENERGY RESOURCES LLC COM |
| ATNI | ATLANTIC TELE NETWORK INC COM NEW |
| ATNY | API TECHNOLOGIES CORP COM NEW |
| ATO | ATMOS ENERGY CORP COM |
| ATOS | ATOSSA GENETICS INC COM |
| ATPG | ATP OIL & GAS CORP COM |
| ATPL | Atlantis Plastics Inc. - Class A Common Stock |
| ATR | APTARGROUP INC COM |
| ATR# | AptarGroup Inc. Common Stock |
| ATRC | ATRICURE INC COM |
| ATRI | ATRION CORP COM |
| ATRM | AETRIUM INC COM |
| ATRN | ATRINSIC INC COM NEW |
| ATRND | ATRINSIC INC COM NEW |
| ATRO | ASTRONICS CORP COM |
| ATRS | ANTARES PHARMA INC COM |
| ATS | APT Satellite Holdings Limited American Depositary Shares (Each representing eight shares of Common Stock) |
| ATSC | ATS CORP COM |
| ATSG | AIR TRANSPORT SERVICES GRP INC COM |
| ATSI | ATS MED INC COM |
| ATSN | Artesyn Technologies Inc. - Common Stock |
| ATT | AT&T INC SR NT 6.375 |
| ATT* | AT&T INC SR NT 6.375 |
| ATTU | ATTUNITY LTD SHS NEW |
| ATU | ACTUANT CORP CL A NEW |
| ATU# | Actuant Corporation Class A Common Stock |
| ATV | ACORN INTL INC SPON ADR |
| ATVI | ACTIVISION BLIZZARD INC COM |
| ATVID | ACTIVISION BLIZZARD INC COM |
| ATW | ATWOOD OCEANICS INC COM |
| ATW# | Atwood Oceanics Inc. Common Stock |
| ATX | CROSS A T CO CL A |
| ATY | REALTY FDS INC ADELANTE YD PL |
| ATYT | ATI Technologies Inc. - Common Stock |
| AU | ANGLOGOLD ASHANTI LTD SPONSORED ADR |

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| AU-A | ANGLOGOLD ASHANTI HLDGS FIN PL MAND BD CV 13 |
| AUBN | AUBURN NATL BANCORP COM |
| AUD | PIMCO ETF TR AUSTRALIA BD |
| AUDC | AUDICODES LTD ORD |
| AUGT | AUGME TECHNOLOGIES INC COM |
| AULT | AULT INC |
| AUMN | GOLDEN MINERALS CO COM |
| AUNZ | WISDOMTREE TRUST AUST NEW ZEAL DB |
| AUO | AU OPTRONICS CORP SPONSORED ADR |
| AUQ | AURICO GOLD INC COM |
| AURX | AUDEO ONCOLOGY INC COM |
| AUS | NETS Trust |
| AUSA | ACCESS PLANS USA INC COM |
| AUSE | WISDOMTREE TRUST AUSTRALIA DIV FD |
| AUTC | AUTOCHINA INTERNATIONAL LIMITE SHS |
| AUTCU | AUTOCHINA INTERNATIONAL LIMITE UNITS |
| AUTCW | AUTOCHINA INTERNATIONAL LIMITE WT EXP 022713 |
| AUTH | AUTHENTEC INC COM |
| AUXL | AUXILIUM PHARMACEUTICALS INC COM |
| AUY | YAMANA GOLD INC COM |
| AUY# | Yamana Gold Inc. Common Shares |
| AU^ | AngloGold Ashanti Limited American Depositary Rights (Expiring June 23 2008) |
| AU^# | ANGLOGOLD ASHANTI LIMITED |
| AV | AVIVA PLC ADR |
| AVA | AVISTA CORP COM |
| AVAN | Avant Immunotherapeutics Inc. - Common Stock |
| AVAND | Avant Immunotherapeutics Inc. - Common Stock |
| AVAV | AEROVIRONMENT INC COM |
| AVB | AVALONBAY CMNTYS INC COM |
| AVB-H | AvalonBay Communities Inc. 8.70% Series H Cumulative Redeemable Preferred Stock \$0.01 par value |
| AVB-H* | AvalonBay Communities Inc. 8.70% Series H Cumulative Redeemable Preferred Stock \$0.01 par value |
| AVCA | ADVOCAT INC COM |
| AVCI | Avici Systems Inc. - Common Stock |
| AVCT | AVOCENT CORP COM |
| AVD | AMERICAN VANGUARD CORP COM |
| AVD# | American Vanguard Corporation Common Stock \$.10 par value |
| AVEO | AVEO PHARMACEUTICALS INC COM |
| AVF | AMERICAN INTL GROUP INC SUB DEB7.70% A |
| AVF* | AMERICAN INTL GROUP INC SUB DEB7.70% A |
| AVG | AVG TECHNOLOGIES N V SHS |
| AVGN | AVIGEN INC COM |
| AVGO | AVAGO TECHNOLOGIES LTD SHS |
| AVHI | AV HOMES INC COM |
| AVID | AVID TECHNOLOGY INC COM |
| AVII | AVI BIOPHARMA INC COM |
| AVIV | AVIV REIT INC MD COM |
| AVK | ADVENT CLAYMORE CV SECS & INC COM |
| AVL | AVALON RARE METALS INC COM |
| AVM | Advanced Magnetics Inc |
| AVN | MERRILL LYNCH & CO INC 12% STRDS APPL |
| AVN.R | AVANIR Pharmaceuticals |
| AVNC | Advancis Pharmaceutical Corporation - Common Stock |
| AVNR | AVANIR PHARMACEUTICALS INC CL A NEW |
| AVNW | AVIAT NETWORKS INC COM |
| AVNX | AVANEX CORP COM NEW |
| AVNXD | AVANEX CORP COM NEW |
| AVO | AVEON GROUP LP COM UNIT LTD |
| AVP | AVON PRODS INC COM |
| AVR | AVENTINE RENEWABLE ENERGY COM |
| AVRX | AVALON PHARMACEUTICALS INC COM |
| AVSR | AVISTAR COMMUNICATIONS CORP COM NEW |

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| AVT | AVNET INC COM |
| AVTR | AVATAR HLDGS INC COM |
| AVU | Vectren Utility Holdings Inc. 7 1/4% Senior Notes due October 15 2031 |
| AVU* | Vectren Utility Holdings Inc. 7 1/4% Senior Notes due October 15 2031 |
| AVV | AVIVA PLC SECS 8.25%41 |
| AVX | AVX CORP NEW COM |
| AVY | AVERY DENNISON CORP COM |
| AVY-A | AVERY DENNISON CORP HIMEDS UNIT |
| AVZ | AMVESCAP PLC American Depositary Shares (Each representing two Ordinary Shares) |
| AVZA | AVIZA TECHNOLOGY INC COM |
| AW | Allied Waste Industries Inc. Common Stock |
| AW-C | Allied Waste Industries Inc. Series C Senior Mandatory Convertible Preferred Stock |
| AW-D | Allied Waste Industries Inc. 6.25% Series D Senior Mandatory Convertible Preferred Stock |
| AWAY | HOMEAWAY INC COM |
| AWBC | AMERICANWEST BANCORPORATION COM |
| AWC | ALUMINA LTD SPONSORED ADR |
| AWF | ALLIANCEBERNSTEIN GBL HGH INCM COM |
| AWG | Alliance World Dollar Government Fund Inc. Common Stock |
| AWGI | AWG INTL WTR CORP COM |
| AWGIW | Alderwoods Group Inc - Warrants |
| AWH | ALLIED WRLD ASSUR COM HLDG AG SHS |
| AWI | ARMSTRONG WORLD INDS INC NEW COM |
| AWI# | ARMSTRONG WORLD INDUSTRIES INC |
| AWK | AMERICAN WTR WKS CO INC NEW COM |
| AWO | Wachovia Corporation |
| AWP | ALPINE GLOBAL PREMIER PPTYS FD COM SBI |
| AWR | AMERICAN STS WTR CO COM |
| AWRE | AWARE INC MASS COM |
| AWX | AVALON HLDGS CORP CL A |
| AX | |
| AXA | AXA SPONSORED ADR |
| AXAS | ABRAXAS PETE CORP COM |
| AXB | ALEXANDER & BALDWIN INC COM |
| AXC | ADVANCED TECHNOLOGY ACQU CORP COM |
| AXC+ | ADVANCED TECHNOLOGY ACQU CORP WT EX 061811 |
| AXC= | ADVANCED TECHNOLOGY ACQU CORP UNIT EX 061111 |
| AXCA | Axcan Pharma Inc. - Common Shares |
| AXD | MERRILL LYNCH & CO INC NT STEP APPL09 |
| AXDI | ISHARES TR MSCI ACWI EX |
| AXDX | ACCELERATE DIAGNOSTICS INC COM |
| AXE | ANIXTER INTL INC COM |
| AXEN | ISHARES TR ENERGY IDX FD |
| AXF | AB SVENSK EXPORTKREDIT NT S&P500 09 |
| AXFN | ISHARES TR MSCI ACWI EX |
| AXG | ATLAS ACQUISITION HLDGS CORP COM |
| AXG+ | ATLAS ACQUISITION HLDGS CORP WT EXP 012312 |
| AXG= | ATLAS ACQUISITION HLDGS CORP UNIT EX 000012 |
| AXHE | ISHARES TR HLTH CR IDX FD |
| AXID | ISHARES TR INDSTRLS IX FD |
| AXIT | ISHARES TR INFMTN TCH FD |
| AXJ | AXM Pharma Inc |
| AXJL | WISDOMTREE TRUST ASIA PAC EXJP FD |
| AXJS | ISHARES TR MSCI A/C ASIA |
| AXK | ACCEL8 TECHNOLOGY CORP COM NEW |
| AXL | AMERICAN AXLE & MFG HLDGS INC COM |
| AXLL | AXIALL CORP COM |
| AXLL# | AXIALL CORP COM |
| AXMT | ISHARES TR MATRLS IDX FD |
| AXN | AOXING PHARMACEUTICAL CO INC COM |
| AXO | AXS-One Inc |
| AXP | AMERICAN EXPRESS CO COM |

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| AXR | AMREP CORP NEW COM |
| AXS | AXIS CAPITAL HOLDINGS LTD SHS |
| AXS-A | AXIS CAPITAL HOLDINGS LTD PFD SER A |
| AXS-A* | AXIS CAPITAL HOLDINGS LTD PFD SER A |
| AXS-C | AXIS CAPITAL HOLDINGS LTD PFD SER C |
| AXS-D | AXIS CAPITAL HOLDINGS LTD PFD SER D 5.50% |
| AXSL | ISHARES TR MSCI ACWI X US |
| AXT | MERRILL LYNCH & CO INC RTN S&P500 10 |
| AXTE | ISHARES TR TELECM SVCS FD |
| AXTI | AXT INC COM |
| AXU | ALEXCO RESOURCE CORP COM |
| AXUT | ISHARES TR UTILTS IDX FD |
| AXX | ALDERON IRON ORE CORP COM |
| AXYS | AXSYS TECHNOLOGIES INC COM |
| AXYX | Axonyx Inc. - Common Stock |
| AYA | ALYST ACQUISTION CORP COM |
| AYA+ | ALYST ACQUISTION CORP WT EX 062811 |
| AYA= | ALYST ACQUISTION CORP UNIT EX 000011 |
| AYE | ALLEGHENY ENERGY INC COM |
| AYI | ACUITY BRANDS INC COM |
| AYI# | Acuity Brands Inc. Common Stock |
| AYN | ALLIANCE NEW YORK MUN INC FD COM |
| AYR | AIRCASTLE LTD COM |
| AYT | BARCLAYS BK PLC IPATH GEMS ASIA8 |
| AZ | ALLIANZ SE SP ADR 1/10 SH |
| AZB | MORGAN STANLEY NT LINK S&P500 |
| AZC | AUGUSTA RES CORP COM NEW |
| AZIA | GLOBAL X FDS GLBLX CEN ASIA |
| AZK | AURIZON MINES LTD COM |
| AZL | Arizona Land Income Corp |
| AZM | ALLIANZ SE PFD 8.375% SUB |
| AZMA | Asthmatx Inc. - Common Stock |
| AZN | ASTRAZENECA PLC SPONSORED ADR |
| AZO | AUTOZONE INC COM |
| AZP | SAFETY FIRST TR SER 2007-1 CTF US 2010 |
| AZPN | ASPEN TECHNOLOGY INC COM |
| AZR | AZTAR CORPORATION |
| AZS | Arizona Star Resource Corp |
| AZZ | AZZ INC COM |
| AZZ# | AZZ incorporated Common Stock |
| B | BARNES GROUP INC COM |
| B# | Barnes Group Inc. Common Stock |
| BA | BOEING CO COM |
| BAA | BANRO CORP COM |
| BAA+ | BANRO CORP WT EXP 091711 |
| BAB | POWERSHARES ETF TR II BUILD AMER ETF |
| BABS | SPDR SERIES TRUST BRC BLD AMER BD |
| BABY | NATUS MEDICAL INC DEL COM |
| BABZ | PIMCO ETF TR BLD AMER BD FD |
| BAC | BANK OF AMERICA CORPORATION COM |
| BAC+A | BANK OF AMERICA CORPORATION WT EXP 011619 |
| BAC+B | BANK OF AMERICA CORPORATION WT EXP 102818 |
| BAC-A | Bank of America Corporation Depository Shares (Each representing a one-fifth interest in a share of 6.75% Perpetual Preferred Stock) |
| BAC-A* | Bank of America Corporation Depository Shares (Each representing a one-fifth interest in a share of 6.75% Perpetual Preferred Stock) |
| BAC-B | BAC CAP TR X CAP SEC 6.25% |
| BAC-B* | BAC CAP TR X CAP SEC 6.25% |
| BAC-C | BAC CAP TR XII GTD CAP 6.875% |
| BAC-C* | BAC CAP TR XII GTD CAP 6.875% |
| BAC-D | BANK OF AMERICA CORPORATION 1/1000 6.204%D |

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| BAC-E | BANK OF AMERICA CORPORATION PFD PER1/1000E |
| BAC-H | BANK OF AMERICA CORPORATION DEP 1/1000SR H |
| BAC-H* | BANK OF AMERICA CORPORATION DEP 1/1000SR H |
| BAC-I | BANK OF AMERICA CORPORATION DEP SH PFD S I |
| BAC-J | BANK OF AMERICA CORPORATION DP1/1000 7.25% |
| BAC-L | BANK OF AMERICA CORPORATION 7.25%CNV PFD L |
| BAC-S | BANK OF AMERICA CORPORATION COM EQUIVT SEC |
| BAC-U | BAC CAP TR IV CAP SECS 5.875% |
| BAC-U* | BAC CAP TR IV CAP SECS 5.875% |
| BAC-V | BAC CAP TR II GTD CAP SECS % |
| BAC-V* | BAC CAP TR II GTD CAP SECS % |
| BAC-W | BAC CAP TR I GTD CAP SECS |
| BAC-W* | BAC CAP TR I GTD CAP SECS |
| BAC-X | BAC CAP TR III CAP SEC GTD 7% |
| BAC-X* | BAC CAP TR III CAP SEC GTD 7% |
| BAC-Y | BAC CAP TR V GTD CAP SEC 6% |
| BAC-Y* | BAC CAP TR V GTD CAP SEC 6% |
| BAC-Z | BAC CAP TR VIII GTD CAP SECS |
| BAF | BLACKROCK MUNI INCOME INV QLTY COM |
| BAGL | EINSTEIN NOAH REST GROUP INC COM |
| BAGR | DIVERSIFIED RSTRNT HLDGS INC COM |
| BAH | BOOZ ALLEN HAMILTON HLDG CORP CL A |
| BAK | BRASKEM S A SP ADR PFD A |
| BAL | BARCLAYS BANK PLC ETN DJUBSCOTTN38 |
| BALT | BALTIC TRADING LIMITED COM |
| BAM | BROOKFIELD ASSET MGMT INC CL A LTD VT SH |
| BAM# | BROOKFIELD ASSET MGMT INC EX DISTRIB WI |
| BAMM | BOOKS-A-MILLION INC COM |
| BANC | FIRST PACTRUST BANCORP INC COM |
| BANCL | FIRST PACTRUST BANCORP INC SR NT7.5%20 |
| BANCP | FIRST PACTRUST BANCORP INC DEP SH REP1/40 |
| BANF | BANCFIRST CORP COM |
| BANFP | BFC CAP TR II PFD TR 7.20% |
| BANR | BANNER CORP COM NEW |
| BANRD | BANNER CORP COM NEW |
| BAP | CREDICORP LTD COM |
| BARE | BARE ESCENTUALS INC COM |
| BARI | BANCORP RHODE ISLAND INC COM |
| BARL | MORGAN STANLEY S&P500 CRD OIL |
| BARN | GLOBAL X FDS GLB X FARMING |
| BAS | BASIC ENERGY SVCS INC NEW COM |
| BASI | BIOANALYTICAL SYS INC COM |
| BAX | BAXTER INTL INC COM |
| BAX- | Baxter International Inc. 7.00% Corporate Units |
| BAXS | BAXANO SURGICAL INC COM |
| BAY | Bayer Aktiengesellschaft American Depositary Shares (Each representing one Bayer AG ordinary share of no par value) |
| BAYN | BAY NATL CORP COM |
| BBA | The Bombay Company Common Stock |
| BBBB | BLACKBOARD INC COM |
| BBBY | BED BATH & BEYOND INC COM |
| BBC | Bodisen Biotech Inc |
| BBCN | BBCN BANCORP INC COM |
| BBD | BANCO BRADESCO S A SP ADR PFD NEW |
| BBDO | BANCO BRADESCO S A SPONSORED ADR |
| BBEP | BREITBURN ENERGY PARTNERS LP COM UT LTD PTN |
| BBF | BLACKROCK MUNI INCM INVST TR SH BEN INT |
| BBG | BARRETT BILL CORP COM |
| BBGI | BEASLEY BROADCAST GROUP INC CL A |
| BBH | MARKET VECTORS ETF TR BIOTECH ETF |
| BBHL | BB Holdings Limited - Ordinary Shares |

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|--------|--|
| BBI | BLOCKBUSTER INC CL A |
| BBI.B | BLOCKBUSTER INC CL B |
| BBK | BLACKROCK MUNICIPAL BOND TR COM |
| BBL | BHP BILLITON PLC SPONSORED ADR |
| BBM.A | Morgan Stanley |
| BBN | BLACKROCK BUILD AMER BD TR SHS |
| BBND | BIGBAND NETWORKS INC COM |
| BBNK | BRIDGE CAP HLDGS COM |
| BBOX | BLACK BOX CORP DEL COM |
| BBRC | EGA EMERGING GLOBAL SHS TR EGSHR BYND BRC |
| BBRG | BRAVO BRIO RESTAURANT GROUP IN COM |
| BBRY | RESEARCH IN MOTION LTD COM |
| BBSI | BARRETT BUSINESS SERVICES INC COM |
| BBT | BB&T CORP COM |
| BBT-A | BB&T CAPITAL TRUST V ENHANCED TR PF |
| BBT-A* | BB&T CAPITAL TRUST V ENHANCED TR PF |
| BBT-B | BB&T CAP TR VI GTD ENHNCD PFD |
| BBT-B* | BB&T CAP TR VI GTD ENHNCD PFD |
| BBT-C | BB&T CAP TR VII 8.10%GTD PFD64 |
| BBT-C* | BB&T CAP TR VII 8.10%GTD PFD64 |
| BBT-D | BB&T CORP DEP SHS REPSTG 1 |
| BBT-E | BB&T CORP DEP SHS REPSTG 1 |
| BBT-F | BB&T CORP DEP1/1000 PFD F |
| BBT-G | BB&T CORP DP SHS RP PF G |
| BBV | BANCO BILBAO VIZCAYA ARGENTARI SPONSORED ADR |
| BBV-B | BBVA Preferred Capital Ltd. 7.75% Non-Cumulative Guaranteed Preference Shares Series B |
| BBV-B* | BBVA Preferred Capital Ltd. 7.75% Non-Cumulative Guaranteed Preference Shares Series B |
| BBVA | BANCO BILBAO VIZCAYA ARGENTARI SPONSORED ADR |
| BBVX | UBS AG LONDON BRH ETRACS 2MT EQT |
| BBW | BUILD A BEAR WORKSHOP COM |
| BBX | BBX CAP CORP CL A PAR \$0.01 |
| BBXT | BBC CAP TR II PFD TR SECS % |
| BBY | BEST BUY INC COM |
| BC | BRUNSWICK CORP COM |
| BCA | CORPBANCA SPONSORED ADR |
| BCA.T | CORPBANCA SPNSRD ADR TEM |
| BCAR | BANK OF THE CAROLINES CORP COM |
| BCBP | BCB BANCORP INC COM |
| BCC | BOISE CASCADE CO DEL COM |
| BCDS | BCD SEMICONDUCTOR MFG LTD SPON ADR |
| BCE | BCE INC COM NEW |
| BCEI | BONANZA CREEK ENERGY INC COM |
| BCF | BLACKROCK REAL ASSET EQUITY TR COM |
| BCG | BEARCOM GROUP INC |
| BCGI | Boston Communications Group Inc. - Common Stock |
| BCH | BANCO DE CHILE SPONSORED ADR |
| BCIS | BANCINSURANCE CORP |
| BCK | BLACKROCK CA INS MUN INC TR COM |
| BCL | BLACKROCK CA MUN INCOME TR II COM |
| BCM | BARCLAYS BK PLC IPTH PURE BRD |
| BCO | BRINKS CO COM |
| BCO# | The Brink's Company Common Stock |
| BCOM | B COMMUNICATIONS LTD SHS |
| BCON | BEACON POWER CORP COM NEW |
| BCOND | BEACON POWER CORP COM NEW |
| BCOR | BLUCORA INC COM |
| BCOV | BRIGHTCOVE INC COM |
| BCP | Brooke Capital Corporation |
| BCPC | BALCHEM CORP COM |
| BCR | BARD C R INC COM |
| BCRX | BIOCRIST PHARMACEUTICALS COM |

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| BCS | BARCLAYS PLC ADR |
| BCS- | BARCLAYS BK PLC ADR 2 PREF 2 |
| BCS-A | BARCLAYS BANK PLC SP ADR 7.1%PF3 |
| BCS-C | BARCLAYS BANK PLC ADS7.75%PFD S4 |
| BCS-D | BARCLAYS BANK PLC ADR PFD SR 5 |
| BCSB | BCSB BANCORP INC COM |
| BCSBD | BCSB Bankcorp Inc. - Common Stock |
| BCSI | BLUE COAT SYSTEMS INC COM NEW |
| BCT | BLACKROCK BROAD INVNT GRD 2009 COM |
| BCU | Merrill Lynch |
| BCV | BANCROFT FUND LTD COM |
| BCX | BLACKROCK RES & COMM STRAT TR SHS |
| BDAY | Celebrate Express Inc. - Common Stock |
| BDBD | BOULDER BRANDS INC COM |
| BDC | BELDEN INC COM |
| BDCL | UBS AG LONDON BRH 2X LEV LNG LKD |
| BDCO | BLUE DOLPHIN ENERGY CO COM PAR \$.01 |
| BDCOD | BLUE DOLPHIN ENERGY CO COM PAR \$.01 |
| BDCS | UBS AG JERSEY BRH EXCH SEC LKD41 |
| BDD | DEUTSCHE BK AG LONDON BRH MTLN DBL ETN38 |
| BDE | BLACK DIAMOND INC COM |
| BDF | RIVUS BOND FUND COM |
| BDF^ | RIVUS BOND FUND TRANSFRABLE RT |
| BDF^# | RIVUS BOND FUND TRANSFRABLE RT |
| BDG | DEUTSCHE BK AG LONDON BRH MTLN LNG ETN38 |
| BDG.A | Bandag Incorporated Class A Common Stock |
| BDGE | BRIDGE BANCORP INC COM |
| BDH | BROADBAND HOLDRS TR DEPOSITRY RCPT |
| BDJ | BLACKROCK ENHANCED EQT DIV TR COM |
| BDK | BLACK & DECKER CORP COM |
| BDL | FLANIGANS ENTERPRISES INC COM |
| BDM | MERRILL LYNCH & CO INC MITTS HLDRS 07 |
| BDMS | BIRNER DENTAL MGMT SERVICES IN COM NEW |
| BDN | BRANDYWINE RLTY TR SH BEN INT NEW |
| BDN-C | BRANDYWINE RLTY TR PFD SER C 7.5% |
| BDN-C* | BRANDYWINE RLTY TR PFD SER C 7.5% |
| BDN-D | BRANDYWINE RLTY TR PFD D 7.375 |
| BDN-D* | BRANDYWINE RLTY TR PFD D 7.375 |
| BDN-E | BRANDYWINE RLTY TR PFD-E |
| BDOG | Big Dog Holding Inc. - Common Stock |
| BDR | BLONDER TONGUE LABS INC COM |
| BDS+ | BIODELIVERY SCIENCES INTL INC WT A EX 062507 |
| BDSEF | BRANDELITE INTL CORP |
| BDSI | BIODELIVERY SCIENCES INTL INC COM |
| BDSIW | BioDelivery Sciences International Inc. - Class A Warrant |
| BDT | BLACKROCK STRAT EQUITY DIV TR COM |
| BDV | BLACKROCK EQUITY DIV TRUST COM |
| BDX | BECTION DICKINSON & CO COM |
| BDY | Bradley Pharmaceuticals Inc. Common Stock |
| BE | BearingPoint Inc. Common Stock \$.01 Par Value |
| BEAM | BEAM INC COM |
| BEAM# | BEAM INC COM |
| BEAM-A | BEAM INC PFD CV \$2.67 |
| BEAM-A* | BEAM INC PFD CV \$2.67 |
| BEAS | BEA Systems Inc. - Common Stock |
| BEAT | CARDIONET INC COM |
| BEAV | B/E AEROSPACE INC COM |
| BEBE | BEBE STORES INC COM |
| BEC | BECKMAN COULTER INC COM |
| BECN | BEACON ROOFING SUPPLY INC COM |
| BED | Bedford Property Investors Inc. (New) Common Stock |

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| BED-B | Bedford Property Investors Inc. 7.6255 Series B Cumulative Redeemable Preferred Stock |
| BEE | STRATEGIC HOTELS & RESORTS INC COM |
| BEE-A | STRATEGIC HOTELS & RESORTS INC PFD SER A SHS |
| BEE-B | STRATEGIC HOTELS & RESORTS INC PFD SER B |
| BEE-C | STRATEGIC HOTELS & RESORTS INC PFD SER C |
| BEJ | CITIGROUP FDG INC NT S&P500 11 |
| BEL | Bennett Environmental Inc |
| BELFA | BEL FUSE INC CL A |
| BELFB | BEL FUSE INC CL B |
| BELM | BELL MICROPRODUCTS INC COM |
| BEM | MORGAN STANLEY BASKET 033012 |
| BEN | FRANKLIN RES INC COM |
| BEO | ENHANCED S&P500 CV CALL FD INC COM |
| BEO\$ | Enhanced S&P 500 Covered Call Fund Inc. Common Stock |
| BEP | BROOKFIELD RENEWABLE ENRGY PRT PARTNERSHIP UNIT |
| BER | W.R. Berkley Corporation Common Stock |
| BER-A | W. R. Berkley Capital Trust II 6.750% Trust Originated Preferred Securities (TOPRS) |
| BERK | BERKSHIRE BANCORP INC DEL COM NEW |
| BERY | BERRY PLASTICS GROUP INC COM |
| BES | Claymore Exchange-Traded Fund Trust |
| BESI | BE Semiconductor Industries NV - New York Registry Shares |
| BEST | SHINER INTL INC COM |
| BEV | Beverly Enterprises Inc. (New) Common Stock |
| BEXP | BRIGHAM EXPLORATION CO COM |
| BEY | MORGAN STANLEY SPARQ 8% BBY |
| BEZ | BALDOR ELEC CO COM |
| BF | BASF Aktiengesellschaft American Depositary Shares(Each representing One Ordinary Share) |
| BF.A | BROWN FORMAN CORP CL A |
| BF.B | BROWN FORMAN CORP CL B |
| BFAM | BRIGHT HORIZONS FAM SOL IN DEL COM |
| BFBC | BENJAMIN FRANKLIN BANCORP INC COM |
| BFC | The BlackRock California Insured Municipal 2008 Term Trust Inc. Common Stock |
| BFCF | BFC FINL CORP CL A |
| bfd | BLACKROCK GBL EQTY INCOME TR COM |
| BFED | BEACON FED BANCORP INC COM |
| BFF | BFC Financial Corporation |
| BFI- | BFI.PR.CL |
| BFI-* | Bremer Capital Trust I |
| BFIN | BANKFINANCIAL CORP COM |
| BFK | BLACKROCK MUN INCOME TR SH BEN INT |
| BFLY | BLUEFLY INC COM NEW |
| BFLYD | Bluefly Inc. - Common Stock |
| BFN | MERRILL LYNCH & CO INC NT RSSL3000 09 |
| BFNB | BEACH FIRST NATL BANCSHARES COM |
| BFO | BLACKROCK FLA MUN 2020 TERM TR COM SHS |
| BFOR | ALPS ETF TR BARRONS 400 ETF |
| BFR | BBVA BANCO FRANCES S A SPONSORED ADR |
| BFRM | BIOFORM MEDICAL INC COM |
| BFS | SAUL CTRS INC COM |
| BFS-A | SAUL CTRS INC PFD 1/100 A 8% |
| BFS-B | SAUL CTRS INC 1/100PFD SER B |
| BFS-B* | SAUL CTRS INC 1/100PFD SER B |
| BFS-C | SAUL CTRS INC DEP 1/100 PFD |
| BFSB | BROOKLYN FEDERAL BANCORP INC COM |
| BFT | Bally Total Fitness Holding Corporation Common Stock |
| BFY | BLACKROCK NY MUN INCOME TR II COM |
| BFZ | BLACKROCK CALIF MUN INCOME TR SH BEN INT |
| BG | BUNGE LIMITED COM |
| BGB | BLACKSTONE GSO STRATEGIC CR FD COM SHS BEN IN |
| BGC | GENERAL CABLE CORP DEL NEW COM |
| BGCA | BGC PARTNERS INC SR NT 8.125%42 |

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| BGCP | BGC PARTNERS INC CL A |
| BGD | MORGAN STANLEY BRIDGES DJIA |
| BGE-B | BGE CAP TR II PFD TR 6.20% |
| BGF | B & G FOODS INC NEW EHNCD INC SECS |
| BGFV | BIG 5 SPORTING GOODS CORP COM |
| BGG | BRIGGS & STRATTON CORP COM |
| BGH | BABSON CAP GLB SHT DURHGH YLD COM |
| BGI | CITIGROUP FDG INC BUF NT S&P500 10 |
| BGI-T | Banknorth Capital Trust II 8% Trust Preferred Securities |
| BGI-T* | Banknorth Capital Trust II 8% Trust Preferred Securities |
| BGM | GENERAL MTRS CORP NT SR 051548 |
| BGMD | BG MEDICINE INC COM |
| BGO | Bema Gold Corporation Common Stock |
| BGP | BORDERS GROUP INC COM |
| BGR | BLACKROCK ENERGY & RES TR COM |
| BGS | B & G FOODS INC NEW COM |
| BGSC | BGS ACQUISITION CORP SH |
| BGSCU | BGS ACQUISITION CORP UNIT EX 000000 |
| BGSCW | BGS ACQUISITION CORP WT EXP 032117 |
| BGT | BLACKROCK FLOATING RATE INCOME COM |
| BGU | DIREXION SHS ETF TR DLY LRG CAP BULL |
| BGX | BLACKSTONE GSO LNG SHRT CR INC COM SHS BN INT |
| BGY | BLACKROCK INTL GRWTH & INC TR COM BENE INTER |
| BGZ | DIREXION SHS ETF TR DLY LRG CAP BEAR |
| BH | BIGLARI HLDGS INC COM |
| BHB | BAR HBR BANKSHARES COM |
| BHBC | Beverly Hills Bancorp Inc. - Common Stock |
| BHC- | ABC Bancorp Capital Trust I |
| BHC-* | ABC Bancorp Capital Trust I |
| BHD | BLACKROCK STRTGC BOND TR COM |
| BHE | BENCHMARK ELECTRS INC COM |
| BHE# | Benchmark Electronics Inc. Common Stock |
| BHH | B2B INTERNET HOLDRS TR DEPOSTRY RCPT |
| BHI | BAKER HUGHES INC COM |
| BHIP | NATURAL HEALTH TRENDS CORP COM PAR \$.001 |
| BHJH | CLAYMORE EXCHANGE TRD FD TR GUG BLT2017 HY |
| BHK | BLACKROCK CORE BD TR SHS BEN INT |
| BHL | BLACKROCK DEFINED OPPRTY CR TR COM |
| BHLB | BERKSHIRE HILLS BANCORP INC COM |
| BHM | MERRILL LYNCH & CO INC MITTS BIOTC 07 |
| BHO | B&H OCEAN CARRIERS LTD COM |
| BHP | BHP BILLITON LTD SPONSORED ADR |
| BHRT | BIOHEART INC COM |
| BHS | BROOKFIELD HOMES CORP COM |
| BHV | BLACKROCK VA MUNICIPAL BOND TR COM |
| BHY | BLACKROCK HIGH YIELD TR SHS |
| BHZ | Merrill Lynch |
| BHZN | BIOHORIZONS INC COM |
| BI | Bell Industries Inc |
| BIB | PROSHARES TR PSHS ULT NASB |
| BICK | FIRST TR BICK INDEX FD COM SHS |
| BID | SOTHEBYS COM |
| BIDU | BAIDU INC SPON ADR REP A |
| BIDZ | BIDZ COM INC COM |
| BIE | BLACKROCK MUNIC BD INVST TR COM |
| BIER | Gordon Biersch Brewery Restaurant Group Inc. - Common Stock |
| BIF | BOULDER GROWTH & INCOME FD INC COM |
| BIG | BIG LOTS INC COM |
| BIIB | BIOGEN IDEC INC COM |
| BIK | SPDR INDEX SHS FDS S&P BRIC 40ETF |
| BIL | SPDR SERIES TRUST BRCLYS 1-3MT ETF |

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| BIN | PROGRESSIVE WASTE SOLUTIONS LT COM |
| BIO | BIO RAD LABS INC CL A |
| BIO.B | BIO RAD LABS INC CL B |
| BIOA | BIOAMBER INC COM |
| BIOA+ | BIOAMBER INC WT EXP 050917 |
| BIOA= | BIOAMBER INC UNIT EX 000013 |
| BIOC | BIOCLINICA INC COM |
| BIOD | BIODEL INC COM NEW |
| BIOF | BIOFUEL ENERGY CORP COM NEW |
| BIOL | BIOLASE INC COM |
| BIOM | Biomira Inc. - Common Shares |
| BIOS | BIOSCRIP INC COM |
| BIOV | BioVeris Corporation - Common Stock |
| BIP | BROOKFIELD INFRAST PARTNERS LP LP INT UNIT |
| BIP# | BROOKFIELD INFRASTRUCTURE PARTNERS LP WI |
| BIR-A | BERKSHIRE INCOME RLTY INC PFD SER A 9% |
| BIRT | ACTUATE CORP COM |
| BIS | PROSHARES TR ULTSH NASD BIOT |
| BIT | BLACKROCK MULTI-SECTOR INC TR COM |
| BITA | BITAUTO HLDGS LTD SPONSORED ADS |
| BITI | BIO IMAGING TECHNOLOGIES INC COM |
| BITS | BITSTREAM INC CL A |
| BIV | VANGUARD BD INDEX FD INC INTERMED TERM |
| BIVN | Bioenvision Inc. - Common Stock |
| BIW | BIW Limited |
| BIZ | DSL.net Inc |
| BIZD | MARKET VECTORS ETF TR BUSI DEVCO ETF |
| BJ | BJS WHOLESALE CLUB INC COM |
| BJCT | Bioject Medical Technologies Inc. - Common Stock |
| BJG | JPMORGAN CHASE & CO BF NT SP500 10 |
| BJGP | BMP SUNSTONE CORP COM |
| BJI | MORGAN STANLEY BUFF S&P500 11 |
| BJK | MARKET VECTORS ETF TR GAMING ETF |
| BJRI | BJS RESTAURANTS INC COM |
| BJS | BJ SVCS CO COM |
| BJT | Merrill Lynch |
| BJV | AB SVENSK EXPORTKREDIT BEAR NT S&P 09 |
| BJW | Merrill Lynch |
| BJZ | BLACKROCK CA MUNI 2018 TERM TR COM |
| BK | BANK NEW YORK MELLON CORP COM |
| BK-C | BANK NEW YORK MELLON CORP DP1/4000 PFD-C |
| BK-E | BNY CAP IV PFD TR E6.875% |
| BK-E* | BNY CAP IV PFD TR E6.875% |
| BK-F | BNY CAP V PFD TR F 5.95% |
| BK-F* | BNY CAP V PFD TR F 5.95% |
| BKBK | BRITTON & KOONTZ CAP CORP COM |
| BKC | BURGER KING HLDGS INC COM |
| BKCC | BLACKROCK KELSO CAPITAL CORP COM |
| BKD | BROOKDALE SR LIVING INC COM |
| BKE | BUCKLE INC COM |
| BKEP | BLUEKNIGHT ENERGY PARTNERS L P COM UNIT |
| BKEPP | BLUEKNIGHT ENERGY PARTNERS L P PFD UNIT SER A |
| BKEPR | BLUEKNIGHT ENERGY PARTNERS L P RT 103111 |
| BKF | ISHARES INC MSCI BRIC INDX |
| BKH | BLACK HILLS CORP COM |
| BKHM | BOOKHAM INC COM |
| BKI | BUCKEYE TECHNOLOGIES INC COM |
| BKJ | BANCORP NEW JERSEY INC NEW COM |
| BKK | BLACKROCK MUN 2020 TERM TR COM SHS |
| BKLN | POWERSHARES ETF TRUST II SENIOR LN PORT |
| BKMU | BANK MUTUAL CORP NEW COM |

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| BKN | BLACKROCK INVT QUALITY MUN TR COM |
| BKOR | OAK RIDGE FINL SVCS INC COM |
| BKORD | Oak Ridge Financial Services Inc. - Common Stock par value \$3.00 per share |
| BKR | BAKER MICHAEL CORP COM |
| BKRS | BAKERS FOOTWEAR GROUP INC COM |
| BKS | BARNES & NOBLE INC COM |
| BKSC | BANK SOUTH CAROLINA CORP COM |
| BKT | BLACKROCK INCOME TR INC COM |
| BKU | BANKUNITED INC COM |
| BKUNA | BankUnited Financial Corporation - Class A Common Stock |
| BKW | BURGER KING WORLDWIDE INC COM |
| BKWW | BANK OF WILMINGTON CORPORATION - Common Stock |
| BKYF | BANK KY FINL CORP COM |
| BL | Blair Corp |
| BLB | Merrill Lynch |
| BLC | BELO CORP COM SER A |
| BLC# | Belo Corp. Series A Common Stock |
| BLD | BALDWIN TECHNOLOGY INC CL A |
| BLDP | BALLARD PWR SYS INC NEW COM |
| BLDPD | BALLARD PWR SYS INC NEW COM |
| BLDR | BUILDERS FIRTSOURCE INC COM |
| BLDRR | BUILDERS FIRTSOURCE INC SUBSCRIPTION RT |
| BLE | BLACKROCK MUNI INCOME TR II COM |
| BLG | Building Materials Holding Corporation Common Stock \$.001 par value |
| BLH | BLACKROCK NY MUNI 2018 TERM TR COM |
| BLI | Big Lots Inc. Common Stock |
| BLIN | BRIDGELINE DIGITAL INC COM |
| BLJ | BLACKROCK NJ MUNICIPAL BOND TR COM |
| BLK | BLACKROCK INC COM |
| BLKB | BLACKBAUD INC COM |
| BLL | BALL CORP COM |
| BLM | CITIGROUP FDG INC BUFF NT S&P500 |
| BLMN | BLOOMIN BRANDS INC COM |
| BLMT | BSB BANCORP INC MD COM |
| BLN | CITIGROUP FDG INC BUFFER S&P500 |
| BLND | UBS AG LONDON BRH ETRA CMDY LK42 |
| BLNG | BARCLAYS BK PLC IPATH METALETN |
| BLOG | BladeLogic Inc. - Common Stock |
| BLOX | INFOBLOX INC COM |
| BLR | BLACKRIDGE INVESTMENT |
| BLRX | BIOLINERX LTD SPONSORED ADR |
| BLS | BELLSOUTH CORPORATION |
| BLSC | BIO LOGIC SYS CP ## |
| BLSI | Boston Life Sciences Inc. - Common Stock |
| BLSW | BRIDGELINE SOFTWARE INC COM |
| BLT | BLOUNT INTL INC NEW COM |
| BLTI | BIOLASE TECHNOLOGY INC COM |
| BLU | BLUE CHIP VALUE FD INC COM |
| BLUD | IMMUCOR INC COM |
| BLUE | Blue Holdings Inc. - Common Stock |
| BLUS | BELLUS HEALTH INC COM |
| BLV | VANGUARD BD INDEX FD INC LONG TERM BOND |
| BLW | BLACKROCK LTD DURATION INC TR COM SHS |
| BLX | BANCO LATINOAMERICANO DE COME SHS E |
| BLZ | CITIGROUP FDG INC BUFF SPDR NT10 |
| BMA | BANCO MACRO SA SPON ADR B |
| BMC | BMC SOFTWARE INC COM |
| BMD | Birch Mountain Resources Ltd |
| BME | BLACKROCK HEALTH SCIENCES TR COM |
| BMET | Biomet Inc. - Common Stock |
| BMHC | Building Materials Holding Corporation - Common Stock |

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| BMI | BADGER METER INC COM |
| BMJ | BIRKS & MAYORS INC CL A VTG |
| BML-G | BANK OF AMERICA CORPORATION PFD1/1200 SR1 |
| BML-H | BANK OF AMERICA CORPORATION PFD 1/1200SER2 |
| BML-I | BANK OF AMERICA CORPORATION PFD 1/1200SER3 |
| BML-J | BANK OF AMERICA CORPORATION PFD DP1/1200 4 |
| BML-L | BANK OF AMERICA CORPORATION PFD 1/1200SER5 |
| BML-N | BANK OF AMERICA CORPORATION PFD SR 6 6.7% |
| BML-N* | BANK OF AMERICA CORPORATION PFD SR 6 6.7% |
| BML-O | BANK OF AMERICA CORPORATION DEP1/40TH PFD 7 |
| BML-O* | BANK OF AMERICA CORPORATION DEP1/40TH PFD 7 |
| BML-Q | BANK OF AMERICA CORPORATION PFD 1/1200SER8 |
| BML-Q* | BANK OF AMERICA CORPORATION PFD 1/1200SER8 |
| BMM | Bimini Mortgage Management Inc. Class A Common Stock |
| BMN | Bimini Capital Management Inc. Class A Common Stock |
| BMO | BANK MONTREAL QUE COM |
| BMP | Morgan Stanley |
| BMR | BIOMED REALTY TRUST INC COM |
| BMR-A | BIOMED REALTY TRUST INC PFD 7.375% A |
| BMR-A* | BIOMED REALTY TRUST INC PFD 7.375% A |
| BMRC | BANK OF MARIN BANCORP COM |
| BMRCDD | Bank of Marin Bancorp - Common Stock |
| BMRN | BIOMARIN PHARMACEUTICAL INC COM |
| BMS | BEMIS INC COM |
| BMT | BLACKROCK INSD MUN TERM TR INC COM |
| BMTC | BRYN MAWR BK CORP COM |
| BMTI | BIOMIMETIC THERAPEUTICS INC COM |
| BMV | Claymore Exchange-Traded Fund Trust |
| BMX | Morgan Stanley |
| BMY | BRISTOL MYERS SQUIBB CO COM |
| BMY- | BRISTOL MYERS SQUIBB CO PFD CV \$2 |
| BN | Banta Corporation Common Stock \$.10 par value |
| BNA | BLACKROCK INCOME OPP TRUST INC COM |
| BNCC | BNCCORP INC COM |
| BNCL | BENEFICIAL MUTUAL BANCORP INC COM |
| BNCN | BNC BANCORP COM |
| BND | VANGUARD BD INDEX FD INC TOTAL BND MRKT |
| BNDX | VANGUARD CHARLOTTE FDS INTL BD IDX ETF |
| BNE | BOWNE & CO INC COM |
| BNG | Benetton Group S.P.A. American Depositary Shares (Each representing two Ordinary Shares) |
| BNHN | BENIHANA INC COM |
| BNHNA | BENIHANA INC CL A |
| BNI | BURLINGTON NORTHN SANTA FE CP COM |
| BNJ | BLACKROCK N J MUN INCOME TR SH BEN INT |
| BNK | TD Banknorth Inc. Common Stock |
| BNK# | TD BANKNORTH INC |
| BNL | BUNZL PLC American Depositary Shares (Each representing five Ordinary Shares 25p each) |
| BNNY | ANNIES INC COM |
| BNO | UNITED STS BRENT OIL FD LP UNIT |
| BNP | MORGAN STANLEY BARR NT S&P 09 |
| BNPC | STREAM EXCHANGE TRADED TR S&P DYNROLLGLB |
| BNS | BANK N S HALIFAX COM |
| BNSO | BONSO ELECTRS INTL INC COM PAR \$0.003 |
| BNT | Bentley Pharmaceuticals Inc. Common Stock |
| BNTWB | BENTLEY PHARM INC WTS |
| BNV | BEVERLY NATL CORP COM |
| BNVI | BIONOVO INC COM NEW |
| BNVID | BIONOVO INC COM NEW |
| BNX | BANKS COM INC COM |
| BNY | BLACKROCK N Y MUN INCOME TR SH BEN INT |
| BNZ | WISDOMTREE TRUST NEW ZEAL DOLLR |

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| BOA.C | Bank of America |
| BOA.D | Bank of America |
| BOA.E | Bank of America |
| BOA.F | Bank of America |
| BOA.G | Bank of America |
| BOA.H | Bank of America |
| BOA.I | Bank of America |
| BOA.J | Bank of America |
| BOA.K | Bank of America |
| BOA.L | Bank of America |
| BOA.M | Bank of America |
| BOA.N | Bank of America |
| BOA.O | Bank of America |
| BOA.P | Bank of America |
| BOA.Q | Bank of America |
| BOA.R | Bank of America |
| BOA.S | Bank of America |
| BOA.T | Bank of America |
| BOA.V | Bank of America |
| BOA.W | Bank of America |
| BOA.X | Bank of America |
| BOA.Y | Bank of America |
| BOA.Z | Bank of America |
| BOA= | Bank of America |
| BOBE | BOB EVANS FARMS INC COM |
| BOBJ | Business Objects S.A. - American Depositary Shares |
| BOCH | BANK COMM HLDGS COM |
| BODY | BODY CENT CORP COM |
| BOE | BLACKROCK GLOBAL OPP EQTY TR COM |
| BOFI | BOFI HLDG INC COM |
| BOFL | BANK FLA CORP NAPLES COM |
| BOH | BANK HAWAII CORP COM |
| BOI | BROOKFIELD MTG OPP INC FD INC COM |
| BOIL | PROSHARES TR II PSHS ULDJUBS NEW |
| BOKF | BOK FINL CORP COM NEW |
| BOL | Bausch & Lomb Incorporated Common Stock |
| BOLT | BOLT TECHNOLOGY CORP COM |
| BOM | DEUTSCHE BK AG LONDON BRH PS MTL DDL ETN |
| BOMK | BANK MCKENNEY VA COM |
| BON | EKSPORTFINANS ASA STAR MSCI 11 |
| BONA | BONA FILM GROUP LTD SPONSORED ADS |
| BOND | PIMCO ETF TR TOTL RETN ETF |
| BONE | BACTERIN INTL HLDGS INC COM |
| BONO | MARKET VECTORS ETF TR LATAM AGGR BD |
| BONT | BON-TON STORES INC COM |
| BOO | Collegiate Pacific Inc |
| BOOM | DYNAMIC MATLS CORP COM |
| BOOT | LACROSSE FOOTWEAR INC COM |
| BOR.A | Bank of America |
| BOR.B | Bank of America |
| BOR.C | Bank of America |
| BOR.D | Bank of America |
| BOR.E | Bank of America |
| BOR.F | Bank of America |
| BOR.G | Bank of America |
| BOR.H | Bank of America |
| BOR.I | Bank of America |
| BOR.J | Bank of America |
| BOR.K | Bank of America |
| BOR.L | Bank of America |
| BOR.M | Bank of America |

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| BOR.N | Bank of America |
| BOR.O | Bank of America |
| BOR.P | Bank of America |
| BOR.Q | Bank of America |
| BOR.R | Bank of America |
| BOR.S | Bank of America |
| BOR.T | Bank of America |
| BOR.V | Bank of America |
| BOR= | Bank of America |
| BORD | Boardwalk Bancorp Inc. - Common Stock |
| BORDW | Boardwalk Bancorp Inc. - Warrant ex for 1 sh common ex pr \$12.00 |
| BORL | BORLAND SOFTWARE CORP COM |
| BORN | CHINA NEW BORUN CORP ADR |
| BOS | DEUTSCHE BK AG LONDON BRH MTL SHRT ETN38 |
| BOSC | BOS BETTER ONLINE SOLUTIONS SHS NEW NIS 80 |
| BOSCD | BOS BETTER ONLINE SOLUTIONS SHS NEW 2010 |
| BOSCR | B.O.S. Better Online Solutions - Ordinary Shares Purchase Right |
| BOT | CBOT Holdings Inc. Class A Common Stock |
| BOTA | BIOTA PHARMACEUTICALS INC COM |
| BOTJ | BANK OF THE ST JAMES FINL GP COM |
| BOVA | BANK VA CHESTERFIELD COM NEW |
| BOW | Bowater Incorporated Common Stock |
| BOX | SEACUBE CONTAINER LEASING LTD SHS |
| BOXC | BROOKFIELD CDA OFFICE PPTYS TR UNIT |
| BOY | Boykin Lodging Company Common Shares |
| BOY-A | Boykin Lodging Company Depository Shares Each Representing 1/10 of 10 1/2% Class A Cumulative Preferred Shares Series 2002-A |
| BP | BP PLC SPONSORED ADR |
| BPA | BioSante Pharmaceuticals Inc |
| BPAX | BIOSANTE PHARMACEUTICALS INC COM PAR \$0.0001 |
| BPD | CITIGROUP FDG INC BUFF S&P500 10 |
| BPF | MERRILL LYNCH & CO INC NT MSCIBRZ 09 |
| BPF- | CTBI Preferred Capital Trust |
| BPF* | CTBI Preferred Capital Trust |
| BPFH | BOSTON PRIVATE FINL HLDGS INC COM |
| BPFHP | BOSTON PRIVATE FINL HLDGS INC DEP SHS |
| BPFHW | BOSTON PRIVATE FINL HLDGS INC WT EXP 112118 |
| BPG | BPI Energy Holdings Inc |
| BPH | Merrill Lynch |
| BPHX | BLUEPHOENIX SOLUTIONS LTD SHS NEW |
| BPHXD | BLUEPHOENIX SOLUTIONS LTD SHS NEW |
| BPI | BRIDGEPOINT ED INC COM |
| BPK | BLACKROCK MUNI 2018 TERM TR COM |
| BPL | BUCKEYE PARTNERS L P UNIT LTD PARTN |
| BPN | MERRILL LYNCH & CO INC NT LK BIOPHARM |
| BPO | BROOKFIELD OFFICE PPTYS INC COM |
| BPOM | BPO Management Services Inc. - Common Stock |
| BPOP | POPULAR INC COM NEW |
| BPOPM | POPULAR CAP TR II PFD GTD 6.125% |
| BPOPNI | POPULAR CAP TR I PFD 6.70% GTD |
| BPOPO | POPULAR INC PFD A SER 2003 |
| BPOPP | POPULAR INC PFD B 8.25% |
| BPOPZ | POPULAR INC DEP PFD PERP D |
| BPO^ | BROOKFIELD OFFICE PPTYS INC RT |
| BPO^# | BROOKFIELD OFFICE PPTYS INC RT |
| BPP | BLACKROCK CREDIT ALL IN TR III COM SHS |
| BPRG | BioProgress plc - American Depository Shares representing 10 Ordinary Shares |
| BPS | BLACKROCK PA STRATEGIC MUN TR COM |
| BPSG | BROADPOINT GLEACHER SECS GROUP COM |
| BPT | BP PRUDHOE BAY RTY TR UNIT BEN INT |
| BPUR | BIOPURE CORP CL A PAR \$0.01 |

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| BPURD | Biopure Corporation - Class A Common Stock |
| BPW | BPW ACQUISITION CORP COM |
| BPW+ | BPW ACQUISITION CORP WT EXP 022614 |
| BPW= | BPW ACQUISITION CORP UNIT EXP 2013 |
| BPY | BROOKFIELD PPTY PARTNERS L P UNIT LTD PARTN |
| BPY# | BROOKFIELD PPTY PARTNERS L P UNIT LTD PARTN |
| BPZ | BPZ RESOURCES INC COM |
| BQH | BLACKROCK NY MUNICIPAL BOND TR COM |
| BQI | OILSANDS QUEST INC COM |
| BQI+ | OILSANDS QUEST INC WT EXP 120509 |
| BQI+A | OILSANDS QUEST INC WT EXP 051211 |
| BQI^ | OILSANDS QUEST INC RT |
| BQI^# | OILSANDS QUEST INC RT |
| BQR | BLACKROCK ECOSOLUTIONS INVT TR COM SH |
| BQY | BLACKROCK S&P QLTY RK EQ MD TR SHS |
| BR | BROADRIDGE FINL SOLUTIONS INC COM |
| BR.T# | BRT Realty Trust Shares of Beneficial Interest |
| BRAF | GLOBAL X FDS GLB X BRZ FINL |
| BRAQ | GLOBAL X FDS GLB X BRAZ CON |
| BRAZ | GLOBAL X FDS BRAZIL MID CAP |
| BRB | Brunswick Bancorp |
| BRBI | Blue River Bancshares Inc. - Common Stock |
| BRC | BRADY CORP CL A |
| BRCD | BROCADE COMMUNICATIONS SYS INC COM NEW |
| BRCCD | Brocade Communications Systems Inc. - Common Stock |
| BRCM | BROADCOM CORP CL A |
| BRD | BRIGUS GOLD CORP COM |
| BRE | BRE PROPERTIES INC CL A |
| BRE-B | BRE Properties Inc. 8.08% Series B Cumulative Redeemable Preferred Stock |
| BRE-B* | BRE Properties Inc. 8.08% Series B Cumulative Redeemable Preferred Stock |
| BRE-C | BRE PROPERTIES INC PFD C 6.75% |
| BRE-D | BRE PROPERTIES INC PFD D 6.75% |
| BREW | CRAFT BREW ALLIANCE INC COM |
| BRF | MARKET VECTORS ETF TR BRAZL SMCP ETF |
| BRFS | BRF SA SPONSORED ADR |
| BRG | BG Group plc American Depository Shares(Each representing five Ordinary Shares) |
| BRID | BRIDGFORD FOODS CORP COM |
| BRIL | DIREXION SHS ETF TR BRIC BULL 3XSH |
| BRIS | DIREXION SHS ETF TR BRIC BEAR 3XSH |
| BRK.A | BERKSHIRE HATHAWAY INC DEL CL A |
| BRK.B | BERKSHIRE HATHAWAY INC DEL CL B NEW |
| BRKL | BROOKLINE BANCORP INC DEL COM |
| BRKR | BRUKER CORP COM |
| BRKS | BROOKS AUTOMATION INC COM |
| BRL | BARR PHARMACEUTICALS INC COM |
| BRLC | Syntax-Brilliant Corporation - Common stock |
| BRLCD | SYNTAX-BRILLIAN CORP |
| BRLI | BIO-REFERENCE LABS INC COM \$.01 NEW |
| BRM | The BlackRock Insured Municipal 2008 Term Trust Inc. Common Stock |
| BRN | BARNWELL INDS INC COM |
| BRNC | BRONCO DRILLING CO INC COM |
| BRO | BROWN & BROWN INC COM |
| BRP | BROOKFIELD RESIDENTIAL PPTYS I COM |
| BRP\$ | Brasil Telecom Participações S.A. American Depository Shares (Each representing 5 Preferred Shares without par value) |
| BRR | ACR Group Inc |
| BRS | BRISTOW GROUP INC COM |
| BRS- | BRISTOW GROUP INC PFD CNV 5.50% |
| BRSS | GLOBAL BRASS & COPPR HLDGS INC COM |
| BRT | BRT RLTY TR SH BEN INT NEW |
| BRU | NETS TR BEL20 IDX BELG |

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| BRW | Bristol West Holdings Inc. Common Stock |
| BRXX | EGA EMERGING GLOBAL SHS TR EGS BRAZ INF ETF |
| BRY | BERRY PETE CO CL A |
| BRY# | Berry Petroleum Company Class A Common Stock |
| BRZS | DIREXION SHS ETF TR BRAZIL BEAR 3X |
| BRZU | DIREXION SHS ETF TR DRX DLYBRZB 3X |
| BSAC | BANCO SANTANDER CHILE NEW SP ADR REP COM |
| BSB | MERRILL LYNCH & CO INC BR MKT S&P500 10 |
| BSBR | BANCO SANTANDER BRASIL S A ADS REP 1 UNIT |
| BSC | DEUTSCHE BK AG LDN BRH BG SML ETN |
| BSC-E | Bear Stearns Companies Inc. The Depository Shares (Each representing 1/4th of a share of 6.15% Cumulative Preferred Stock Series E) |
| BSC-F | Bear Stearns Companies Inc. The Depository Shares (Each representing 1/4th of a share of 5.72% Cumulative Preferred Stock; Series F) |
| BSC-G | Bear Stearns Companies Inc. The Dep Shs(each rep 1/4th of a share of 5.49%cum pfd ser G |
| BSC-X | BEAR STEARNS CAPITAL TR III PFD TR 7.80% |
| BSC-X* | BEAR STEARNS CAPITAL TR III PFD TR 7.80% |
| BSCB | CLAYMORE EXCHANGE TRD FD TR GUGG CRP BD 2011 |
| BSCC | CLAYMORE EXCHANGE TRD FD TR GUGG CRP BD 2012 |
| BSCD | CLAYMORE EXCHANGE TRD FD TR GUGG CRP BD 2013 |
| BSCE | CLAYMORE EXCHANGE TRD FD TR GUGG CRP BD 2014 |
| BSCF | CLAYMORE EXCHANGE TRD FD TR GUGG CRP BD 2015 |
| BSCG | CLAYMORE EXCHANGE TRD FD TR GUGG CRP BD 2016 |
| BSCH | CLAYMORE EXCHANGE TRD FD TR GUGG CRP BD 2017 |
| BSCI | CLAYMORE EXCHANGE TRD FD TR GUG BULL2018 E |
| BSCJ | CLAYMORE EXCHANGE TRD FD TR GUG BULL2019 E |
| BSCK | CLAYMORE EXCHANGE TRD FD TR GUG BULL2020 E |
| BSD | BLACKROCK STRATEGIC MUN TR COM |
| BSDM | BSD MED CORP DEL COM |
| BSE | BLACKROCK NY MUNI INC QLTY TR COM |
| BSET | BASSETT FURNITURE INDS INC COM |
| BSFT | BROADSOFT INC COM |
| BSG | BISYS Group Inc. The Common Stock |
| BSI | ALON BLUE SQUARE ISRAEL LTD SPONSORED ADR |
| BSJC | CLAYMORE EXCHANGE TRD FD TR GUGG BULL 2012 |
| BSJD | CLAYMORE EXCHANGE TRD FD TR GUGG BULL 2013 |
| BSJE | CLAYMORE EXCHANGE TRD FD TR GUGG BULL 2014 |
| BSJF | CLAYMORE EXCHANGE TRD FD TR GUGG BULL 2015 |
| BSJG | CLAYMORE EXCHANGE TRD FD TR GUG BLT2016 HY |
| BSJH | CLAYMORE EXCHANGE TRD FD TR GUG BLT2017 HY |
| BSJI | CLAYMORE EXCHANGE TRD FD TR GUG BLT2018 HY |
| BSK.A | Morgan Stanley |
| BSL | BLACKSTONE GSO FLTNG RTE FUND COM |
| BSM | BSD Medical Corporation |
| BSMD | BIOSPHERE MEDICAL INC COM |
| BSML | BSML Inc. - Common Stock |
| BSMX | GRUPO FINANCIERO SANTANDER MEX SPON ADR SHS B |
| BSN.A | Morgan Stanley |
| BSP | AMERN STRATEGIC INCOME PTFL II COM |
| BSPM | BIOSTAR PHARMACEUTICALS INC COM NEW |
| BSQ | BANK AMER CORP STEP S&P500 12 |
| BSQR | BSQUARE CORP COM NEW |
| BSR | BEAR STEARNS COS INC ALER MLP27 ETN |
| BSRR | SIERRA BANCORP COM |
| BST | Claymore Exchange-Traded Fund Trust |
| BSTC | BIOSPECIFICS TECHNOLOGIES CORP COM |
| BSTE | Biosite Inc. - Common Stock |
| BSTM | BLUESTEM BRANDS INC COM |
| BSV | VANGUARD BD INDEX FD INC SHORT TRM BOND |
| BSX | BOSTON SCIENTIFIC CORP COM |
| BSXT | BOE Financial Services of Virginia Inc. - Common Stock |

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| BSY | BRITISH SKY BROADCASTING GROUP SPONSORED ADR |
| BT | BT GROUP PLC ADR |
| BTA | BLACKROCK LONG-TERM MUNI ADVNT COM |
| BTAH | FQF TR QUANT NET HG BET |
| BTAL | FQF TR QUANT NEUT ANT |
| BTC | COMMUNITY BANKERS TR CORP COM |
| BTC+ | COMMUNITY BANKERS TR CORP WT EXP 060411 |
| BTC= | COMMUNITY BANKERS TR CORP UNIT EX 060411 |
| BTE | BAYTEX ENERGY CORP COM |
| BTF | BOULDER TOTAL RETURN FD INC COM |
| BTFG | BANCTRUST FINANCIAL GP COM |
| BTG | B2GOLD CORP COM |
| BTH | BLYTH INC COM NEW |
| BTHS | BENTHOS INC |
| BTI | BRITISH AMERN TOB PLC SPONSORED ADR |
| BTIM | BIOTIME INC COM |
| BTIM+ | BIOTIME INC WT EXP 103110 |
| BTJ | Bolt Technology Corp |
| BTK | BIOTECHNOLOGY INDEX XXX |
| BTM | OI S.A. SPN ADR REP PFD |
| BTM\$ | Brasil Telecom S.A. American Depositary Shares (Each representing 3 Preferred Shares) |
| BTM.C | OI S.A. SPONSORED ADR |
| BTM.C# | BRASIL TELECOM SA SPON ADR COM |
| BTN | BALLANTYNE STRONG INC COM |
| BTO | HANCOCK JOHN FINL OPPTYS FD SH BEN INT NEW |
| BTQ | MORGAN STANLEY PLUS S&P500 10 |
| BTR | MERRILL LYNCH & CO INC RT MSCI BRA 09 |
| BTRX | Barrier Therapeutics Inc. - Common Stock |
| BTT | BLACKROCK MUN TARGET TERM TR COM SHS BEN IN |
| BTU | PEABODY ENERGY CORP COM |
| BTU# | Peabody Energy Corporation Common Stock |
| BTUI | BTU INTL INC COM |
| BTX | BIOTIME INC COM |
| BTZ | BLACKROCK CR ALLCTN INC TR COM |
| BUCA | BUCA Inc. - Common Stock |
| BUCY | BUCYRUS INTL INC NEW COM |
| BUD | ANHEUSER BUSCH INBEV SA/NV SPONSORED ADR |
| BUF | Minrad International Inc |
| BUH | Buhrmann NV American Depositary Shares (Each representing one Ordinary Share) |
| BUI | BLACKROCK UTIL & INFRASTRUCTURE COM |
| BUL.D | UBS AG |
| BUL.E | UBS AG |
| BULK | Navios Maritime Holdings Inc. - Common Stock |
| BULKU | Navios Maritime Holdings Inc. - Units 2008 |
| BULKW | Navios Maritime Holdings Inc. - Warrants 2008 |
| BUN | CITIGROUP FDG INC BUFF NT DJIA 10 |
| BUND | PIMCO ETF TR GERM BD IDX FD |
| BUNL | DEUTSCHE BK AG LONDON BRH PWRSHR DB GERM |
| BUNT | DEUTSCHE BK AG LONDON BRH PWRSHR 3X GERM |
| BUR | BURCON NUTRASCIENCE CORP COM |
| BUS | COLUMBUS ACQUISITION CORP COM |
| BUS+ | COLUMBUS ACQUISITION CORP WT EXP 051811 |
| BUS= | COLUMBUS ACQUISITION CORP UNIT |
| BUSE | FIRST BUSEY CORP COM |
| BUSEP | First Busey Corporation - Capital Trust I - 9.00% Cumulative Trust Preferred Securities |
| BUTLE | Butler International Inc. - Common Stock |
| BUW | CITIGROUP FDG INC NT S&P500 10 |
| BUY | BUY.COM INC. Common Stock |
| BV | BAZAARVOICE INC COM |
| BVA | CORDIA BANCORP INC COM |
| BVC | Bay View Capital Corporation Common Stock |

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| BVEW | BINDVIEW DEV CORP ## |
| BVEX | BioVex Group Inc. - Common Stock |
| BVF | BIOVAIL CORP COM |
| BVL | DEUTSCHE BK AG LDN BRH BG LARGE ETN |
| BVN | COMPANIA DE MINAS BUENAVENTURA SPONSORED ADR |
| BVSN | BROADVISION INC COM PAR \$.001 |
| BVT | DEUTSCHE BK AG LDN BRH BG TTL ETN |
| BVX | BOVIE MEDICAL CORP COM |
| BW | BRUSH ENGINEERED MATLS INC COM |
| BWA | BORGWARNER INC COM |
| BWA# | BorgWarner Inc. Common Stock |
| BWC | BABCOCK & WILCOX CO NEW COM |
| BWC# | BABCOCK & WILCOX CO NEW COM |
| BWCF | BWC Financial Corporation - Common Stock |
| BWEB | BackWeb Technologies Ltd. - Ordinary Shares |
| BWEN | BROADWIND ENERGY INC COM NEW |
| BWF | WELLS FARGO CAP XII ENH TRUPS7.875% |
| BWF* | WELLS FARGO CAP XII ENH TRUPS7.875% |
| BWG | LEGG MASON BW GLB INC OPP FD COM |
| BWINA | BALDWIN & LYONS INC CL A |
| BWINB | BALDWIN & LYONS INC CL B |
| BWLA | BOWL AMER INC CL A |
| BWLD | BUFFALO WILD WINGS INC COM |
| BWN | MORGAN STANLEY TARGET 8%SP500 |
| BWNG | Broadwing Corporation - Common Stock |
| BWO | MORGAN STANLEY STRATS S&P IDX |
| BWOW | WOWJOINT HOLDINGS LIMITED SHS |
| BWOWU | WOWJOINT HOLDINGS LIMITED UNITS 1SH & 1WR |
| BWOWW | WOWJOINT HOLDINGS LIMITED WT EXP 051513 |
| BWP | BOARDWALK PIPELINE PARTNERS LP UT LTD PARTNER |
| BWR | MERRILL LYNCH & CO INC NT 8%CBOEBXD10 |
| BWS | BROWN SHOE INC NEW COM |
| BWS# | Brown Shoe Company Inc. Common Stock |
| BWTR | BASIN WTR INC COM |
| BWV | BARCLAYS BK PLC ETN CBOE SPBUY |
| BWX | SPDR SERIES TRUST BRCLYS INTL ETF |
| BWY | BWAY HOLDING COMPANY COM |
| BWZ | SPDR SERIES TRUST SHRT INTL ETF |
| BX | BLACKSTONE GROUP L P COM UNIT LTD |
| BXA | MERRILL LYNCH & CO INC NT CBOE S&P 8% |
| BXB | MORGAN STANLEY BOXES 01/30/32 |
| BXC | BLUELINX HLDGS INC COM |
| BXC^ | BLUELINX HLDGS INC RT EXP 072211 |
| BXC^# | BLUELINX HLDGS INC RT EXP 072211 |
| BXDB | BARCLAYS BK PLC SHTB S&P500 14 |
| BXDC | BARCLAYS BK PLC SHTC S&P500 14 |
| BXDD | BARCLAYS BK PLC SHTD S&P500 14 |
| BXE | BELLATRIX EXPLORATION LTD COM |
| BXG | BLUEGREEN CORP COM |
| BXL | Bexil Corp |
| BXMT | BLACKSTONE MTG TR INC COM CL A |
| BXP | BOSTON PROPERTIES INC COM |
| BXP-B | BOSTON PROPERTIES INC DEP 1/100 PF B |
| BXS | BANCORPSOUTH INC COM |
| BXS-A | BANCORPSOUTH CAP TR 1 PFD TR 8.15% |
| BXT | MERRILL LYNCH & CO INC STRIDS10% BA09 |
| BXU | MERRILL LYNCH & CO INC NT 8% S&P BXM |
| BXUB | BARCLAYS BK PLC LNGB S&P500 14 |
| BXUC | BARCLAYS BK PLC LNGC S&P500 14 |
| BXXX | Brooke Corporation - Common Stock |
| BYBI | Back Yard Burgers Inc. - Common Stock |

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| BYD | BOYD GAMING CORP COM |
| BYF.A | Bear Stearns & Co Inc |
| BYF.B | Bear Stearns & Co Inc |
| BYF.C | Bear Stearns & Co Inc |
| BYF.D | Bear Stearns & Co Inc |
| BYF.E | Bear Stearns & Co Inc |
| BYF.F | Bear Stearns & Co Inc |
| BYFC | BROADWAY FINL CORP DEL COM |
| BYG | MERRILL LYNCH & CO INC S&P RETAIL ETF10 |
| BYI | BALLY TECHNOLOGIES INC COM |
| BYL | CITIGROUP FDG INC BUFF ISHS MSCI10 |
| BYL- | Baylake Capital Trust I |
| BYL-* | Baylake Capital Trust I |
| BYM | BLACKROCK MUNICIPL INC QLTY TR COM |
| BYT | ISE SEMICONDUCTOR XXX |
| BYW+ | Lehman Brothers |
| BZ | BOISE INC COM |
| BZ+ | BOISE INC WT EXP 061811 |
| BZA | BLACKROCK CA MUNICIPAL BOND TR COM |
| BZC | BREEZE EASTERN CORP COM |
| BZF | WISDOMTREE TRUST BRAZILN RL ETF |
| BZH | BEAZER HOMES USA INC COM NEW |
| BZI | XELR8 Holdings Inc |
| BZI+A | XELR8 Holdings Inc |
| BZI+B | XELR8 Holdings Inc |
| BZM | BLACKROCK MD MUNICIPAL BOND TR COM |
| BZMD | BEAZER HOMES USA INC NT SUB7.5%2013 |
| BZP | BPZ Resources Inc |
| BZQ | PROSHARES TR ULT MSCIBZL CAPP |
| BZT | BEAZER HOMES USA INC TANGIBLE EQTY |
| BZU | BEAZER HOMES USA INC TNGBLE EQ UNIT |
| BZZ | CITIGROUP FDG INC BUFF FINL SPDR |
| C | CITIGROUP INC COM NEW |
| C+A | CITIGROUP INC WT EXP 010419 |
| C+B | CITIGROUP INC WT EXP 102818 |
| C-C | CITIGROUP INC DEP SHS 1/1000 C |
| C-E | CITIGROUP CAP XVII TRUPS 6.35% |
| C-F | CITIGROUP CAP XIX PFR SECS-TRUPS |
| C-F* | CITIGROUP CAP XIX PFR SECS-TRUPS |
| C-G | CITIGROUP CAP XX TRUPS 7.87% 67 |
| C-G* | CITIGROUP CAP XX TRUPS 7.87% 67 |
| C-H | CITIGROUP INC COM STK T-DECS |
| C-H* | Citigroup Inc. Depositary Shares (Each representing 1/5th of a share of 6.231% Cumulative Preferred Stock Series H) |
| C-I | CITIGROUP INC DEP SH 1/1000 |
| C-I* | CITIGROUP INC DEP SH 1/1000 |
| C-J | CITIGROUP CAP XII TR PFD SECS |
| C-J* | CITIGROUP CAP XII TR PFD SECS |
| C-M | CITIGROUP INC PFD1/1000 SR F |
| C-M* | CITIGROUP INC PFD1/1000 SR F |
| C-N | CITIGROUP CAP XIII TR PFD SECS |
| C-O | CITIGROUP CAP XIV TR PFD 6.875% |
| C-O* | CITIGROUP CAP XIV TR PFD 6.875% |
| C-P | CITIGROUP INC DEP SHS PFD AA |
| C-Q | CITIGROUP CAP XI CAP TRUPS 6% |
| C-R | CITIGROUP CAP X TRUPS 6.1% |
| C-S | CITIGROUP CAP IX PFD TR 6.00% |
| C-U | CITIGROUP CAP XV PFD TRUPS 6.5% |
| C-U* | CITIGROUP CAP XV PFD TRUPS 6.5% |
| C-V | CITIGROUP CAPITAL VII TRUPS 7.125% |
| C-V* | CITIGROUP CAPITAL VII TRUPS 7.125% |

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| C-W | CITIGROUP CAP XVI PFD GTD 6.45% |
| C-W* | CITIGROUP CAP XVI PFD GTD 6.45% |
| C-Z | CITIGROUP CAP VIII TRUPS 6.95% |
| C-Z* | CITIGROUP CAP VIII TRUPS 6.95% |
| CA | CA INC COM |
| CAA | Capital Alliance Income Trust Ltd |
| CAAS | CHINA AUTOMOTIVE SYS INC COM |
| CAB | CABELAS INC COM |
| CABG | CABG Medical Inc. - Common Stock |
| CABL | CHINA CABLECOM HOLDINGS LTD SHS |
| CABLD | CHINA CABLECOM HOLDINGS LTD SHS NEW |
| CABLU | CHINA CABLECOM HOLDINGS LTD UNIT 1COM&2WTS |
| CABLW | CHINA CABLECOM HOLDINGS LTD WT EXP 041010 |
| CABUD | CHINA CABLECOM HOLDINGS LTD UNIT 1COM&2WTS |
| CAC | CAMDEN NATL CORP COM |
| CACA | CHARDAN 2008 CHINA ACQST CORP SHS |
| CACAU | CHARDAN 2008 CHINA ACQST CORP UNIT EX 000012 |
| CACAW | CHARDAN 2008 CHINA ACQST CORP WT EXP 081112 |
| CACB | CASCADE BANCORP COM NEW |
| CACBD | CASCADE BANCORP COM NEW |
| CACC | CREDIT ACCEP CORP MICH COM |
| CACG | CHART ACQUISITION CORP COM |
| CACGU | CHART ACQUISITION CORP UNIT EX 000016 |
| CACGW | CHART ACQUISITION CORP WT EXP 121917 |
| CACH | CACHE INC COM NEW |
| CACHR | CACHE INC RT |
| CACI | CACI INTL INC CL A |
| CACS | Carrier Access Corporation - Common Stock |
| CAD | PIMCO ETF TR CDA BD IDX FD |
| CADA | CAM Commerce Solutions Inc. - Common Stock |
| CADC | CHINA ADVANCED CONSTR MATLS GP COM |
| CADE | CADENCE FINL CORP COM |
| CADX | CADENCE PHARMACEUTICALS INC COM |
| CAE | CAE INC COM |
| CAEI | CHINA ARCHITECTURAL ENGR INC COM NEW |
| CAEID | CHINA ARCHITECTURAL ENGR INC COM NEW |
| CAF | MORGAN STANLEY CHINA A SH FD COM |
| CAFE | BARCLAYS BK PLC IPT COFFEE ETN |
| CAFI | CAMCO FINL CORP COM |
| CAF^ | MORGAN STANLEY CHINA A SH FD RT |
| CAF^# | MORGAN STANLEY CHINA A SH FD RT |
| CAG | CONAGRA FOODS INC COM |
| CAGC | CHINA AGRITECH INC COM NEW |
| CAH | CARDINAL HEALTH INC COM |
| CAH# | CARDINAL HEALTH INC EX DISTRIB |
| CAHS | COLONY AMERN HOMES INC COM |
| CAI | CACI INTL INC CL A |
| CAJ | CANON INC SPONSORED ADR |
| CAK | CAMAC ENERGY INC COM |
| CAKE | CHEESECAKE FACTORY INC COM |
| CAL | CONTINENTAL AIRLS INC CL B |
| CALC | CALIFORNIA COASTAL CMNTYS INC COM NEW |
| CALD | CALLIDUS SOFTWARE INC COM |
| CALI | CHINA AUTO LOGISTICS INC COM NEW |
| CALL | MAGICJACK VOCALTEC LTD SHS |
| CALM | CAL MAINE FOODS INC COM NEW |
| CALP | CALIPER LIFE SCIENCES INC COM |
| CALPW | CALIPER LIFE SCIENCES INC WT EXP 080911 |
| CALX | CALIX INC COM |
| CAM | CAMERON INTERNATIONAL CORP COM |
| CAM# | Cameron International Corporation Common Stock |

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| CAMD | CALIFORNIA MICRO DEVICES CORP COM |
| CAMP | CALAMP CORP COM |
| CAMT | CAMTEK LTD ORD |
| CANE | TEUCRIUM COMMODITY TR SUGAR FD |
| CANI | Carreker Corporation - Common Stock |
| CAO | CSK Auto Corporation Common Stock |
| CAP | CAI INTERNATIONAL INC COM |
| CAPA | CAPITAL ART INC COM |
| CAPB | CapitalSouth Bancorp - Common Stock |
| CAPE | BARCLAYS BK PLC BARC ETN+SHILL |
| CAPS | CAPSTONE THERAPEUTICS CORP COM |
| CAPX | Capital Crossing Bank - Common Stock |
| CAQ | CITIGROUP GLOBAL MKTS HLDGS NT PRIN PR |
| CAR | AVIS BUDGET GROUP COM |
| CARB | CARBONITE INC COM |
| CARH | CHINA AUTO RENT HLDGS INC SPON ADS REP ORD |
| CARN | Carrington Laboratories Inc. - Common Stock |
| CARS | CAPITAL AUTO SBI ## |
| CARSO | CAPITAL AUTO PFD B |
| CARSP | CAP AUTO REIT PFD ## |
| CART | CAROLINA TR BK LINCOLNTON NC COM |
| CARV | CARVER BANCORP INC COM NEW |
| CARVD | CARVER BANCORP INC COM NEW |
| CARZ | FIRST TR EXCHANGE TRADED FD II AUTO INDEX FD |
| CAS | CASTLE A M & CO COM |
| CASA | MEXICAN RESTAURANTS INC COM |
| CASB | CASCADE FINL CORP COM |
| CASC | CASCADE CORP COM |
| CASH | META FINL GROUP INC COM |
| CASM | CAS MED SYS INC COM PAR \$0.004 |
| CASS | CASS INFORMATION SYS INC COM |
| CAST | CHINACAST ED CORP COM |
| CASTU | ChinaCast Education Corporation - Unit 3/16/2009 |
| CASTW | ChinaCast Education Corporation - Warrant 3/16/2009 |
| CASY | CASEYS GEN STORES INC COM |
| CAT | CATERPILLAR INC DEL COM |
| CATG | Cambridge Antibody Technology Group plc - American Depositary Shares |
| CATM | CARDTRONICS INC COM |
| CATO | CATO CORP NEW CL A |
| CATS | CATASYS INC COM PAR \$.0001 N |
| CATT | CATAPULT COMMUNICATIONS CORP COM |
| CATY | CATHAY GENERAL BANCORP COM |
| CAU | Canyon Resources Corp |
| CAV | CAVALIER HOMES INC COM |
| CAVB | Cavalry Bancorp Inc. - Common Stock |
| CAVM | CAVIUM INC COM |
| CAVO | CAVICO CORPORATION COM NEW |
| CAW | CCA INDS INC COM |
| CAX | MORGAN STANLEY NT CHNA IDX 09 |
| CAZA | CAZADOR ACQUISITION CORPORATIO SHS |
| CAZAU | CAZADOR ACQUISITION CORPORATIO UNIT 1 COM |
| CAZAW | CAZADOR ACQUISITION CORPORATIO WT EXP 000015 |
| CB | CHUBB CORP COM |
| CB-B | The Chubb Corporation 7.00% Equity Units |
| CBA | Brilliance China Automotive Holdings Limited American Depositary Shares (each rep 100 Hong Kong commom shares) |
| CBAK | CHINA BAK BATTERY INC COM NEW |
| CBAN | COLONY BANKCORP INC COM |
| CBB | CINCINNATI BELL INC NEW COM |
| CBB-B | CINCINNATI BELL INC NEW PFD CV DEP1/20 |
| CBBO | COLUMBIA BANCORP ORE COM |

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| CBC | CAPITOL BANCORP LTD COM |
| CBC-A | CAPITOL BANCORP TR I PFD TR 8.50% |
| CBC-B | CAPITOL TR XII TRUST PFD 10.50% |
| CBCF | Citizens Banking Corporation - Common Stock |
| CBD | COMPANHIA BRASILEIRA DE DISTRB SPN ADR PFD CL A |
| CBE | COOPER INDUSTRIES PLC SHS |
| CBE# | Cooper Industries Ltd. Class A Common Shares |
| CBEH | CHINA INTEGRATED ENERGY INC COM |
| CBEY | CBEYOND INC COM |
| CBF | CAPITAL BK FINL CORP CL A COM |
| CBG | CBRE GROUP INC CL A |
| CBG# | CB Richard Ellis Group Inc. Class A Common Stock \$0.01 par value |
| CBH | Commerce Bancorp Inc. Common Stock |
| CBHI | Centennial Bank Holdings Inc. - Common Stock |
| CBI | CHICAGO BRIDGE & IRON CO N V N Y REGISTRY SH |
| CBIN | COMMUNITY BK SHS IND INC COM |
| CBIZ | CBIZ Inc. - Common Stock |
| CBJ | AB SVENSK EXPORTKREDIT RTN CONS INX09 |
| CBK | CHRISTOPHER & BANKS CORP COM |
| CBKN | CAPITAL BK CORP COM |
| CBL | CBL & ASSOC PPTYS INC COM |
| CBL-B | CBL & Associates Properties Inc. 8.75% Series B Cumulative Redeemable Preferred Stock |
| CBL-B* | CBL & Associates Properties Inc. 8.75% Series B Cumulative Redeemable Preferred Stock |
| CBL-C | CBL & ASSOC PPTYS INC PFD 1/10C7.75% |
| CBL-C* | CBL & ASSOC PPTYS INC PFD 1/10C7.75% |
| CBL-D | CBL & ASSOC PPTYS INC PFD 1/10 SER D |
| CBL-E | CBL & ASSOC PPTYS INC DEP 1/10TH PFD |
| CBLI | CLEVELAND BIOLABS INC COM |
| CBM | CAMBREX CORP COM |
| CBMD | Columbia Bancorp Common Stock |
| CBMX | COMBIMATRIX CORPORATION COM NEW |
| CBMXD | CombiMatrix Corporation - Common Stock \$0.001 Par Value |
| CBMXW | COMBIMATRIX CORPORATION WT NEW 050114 |
| CBN | Cornerstone Bancorp Inc |
| CBND | SPDR SERIES TRUST BRC ISSUER SCORD |
| CBNJ | CAPE BANCORP INC COM |
| CBNK | CHICOPEE BANCORP INC COM |
| CBOE | CBOE HLDGS INC COM |
| CBON | Community Bancorp - Common Stock |
| CBOU | CARIBOU COFFEE INC COM |
| CBP | CHINA BOTANIC PHARMACEUTICAL COM |
| CBPO | CHINA BIOLOGIC PRODS INC COM |
| CBR | CIBER INC COM |
| CBRL | CRACKER BARREL OLD CTRY STORE COM |
| CBRX | COLUMBIA LABS INC COM |
| CBS | CBS CORP NEW CL B |
| CBS# | CBS CORPORATION |
| CBS.A | CBS CORP NEW CL A |
| CBS.A# | CBS CORPORATION |
| CBSAN | Capital One Financial Corporation - Costal Capital Trust I - 9.00% Cumulative Trust Preferred Securities |
| CBSH | COMMERCE BANCSHARES INC COM |
| CBSS | Compass Bancshares Inc. - Common Stock |
| CBST | CUBIST PHARMACEUTICALS INC COM |
| CBT | CABOT CORP COM |
| CBTE | COMMONWEALTH BIOTECHNOLOGIES COM |
| CBU | COMMUNITY BK SYS INC COM |
| CBUK | Cutter & Buck Inc. - Common Stock |
| CBY | CADBURY PLC SPONS ADR |
| CBZ | CBIZ INC COM |
| CC | Circuit City Stores Inc. Common Stock |
| CCA | MFS CALIF MUN FD COM |

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| CCBD | COMMUNITY CENTRAL BANK CORP COM |
| CCBG | CAPITAL CITY BK GROUP INC COM |
| CCBI | Commercial Capital Bancorp Inc. - Common Stock |
| CCBL | C-COR Incorporated - Common Stock |
| CCBN | Central Coast Bancorp Common Stock |
| CCBP | COMM BANCORP INC COM |
| CCC | CALGON CARBON CORP COM |
| CCCG | CCC Information Services Group Inc. Common Stock |
| CCCL | CHINA CERAMICS CO LTD SHS |
| CCCLU | CHINA CERAMICS CO LTD UNITS 1SH & 1WT |
| CCCLW | CHINA CERAMICS CO LTD WTS ON 111612 |
| CCDC | Concorde Career Colleges Inc. Common Stock |
| CCE | COCA COLA ENTERPRISES INC NEW COM |
| CCF | CHASE CORP COM |
| CCFG | CRESCENT CAP FIN GROUP INC COM |
| CCFH | CCF Holding Company - Common Stock |
| CCFI | COMMUNITY CHOICE FINANCIAL INC COM |
| CCG | CAMPUS CREST CMNTYS INC COM |
| CCG-A | CAMPUS CREST CMNTYS INC PFD SER A 8% |
| CCGM | CHINA CGAME INC COM |
| CCGP | CONCOURS GROUP INC |
| CCH | COCA-COLA HBC AG SPONSORED ADR |
| CCH# | COCA-COLA HBC AG SPONSORED ADR |
| CCI | CROWN CASTLE INTL CORP COM |
| CCI# | Crown Castle International Corp. Common Stock |
| CCIH | CHINACACHE INTL HLDG LTD SPON ADR |
| CCIX | COLEMAN CABLE INC COM |
| CCJ | CAMECO CORP COM |
| CCK | CROWN HOLDINGS INC COM |
| CCL | CARNIVAL CORP PAIRED CTF |
| CCM | CONCORD MED SVCS HLDGS LTD SPONSORED ADR |
| CCME | CHINA MEDIAEXPRESS HLDGS INC COM |
| CCME+ | CHINA MEDIAEXPRESS HLDGS INC WT EXP 101711 |
| CCME= | CHINA MEDIAEXPRESS HLDGS INC UNIT EX 101711 |
| CCMP | CABOT MICROELECTRONICS CORP COM |
| CCNE | CNB FINL CORP PA COM |
| CCO | CLEAR CHANNEL OUTDOOR HLDGS IN CL A |
| CCOI | COGENT COMM GROUP INC COM NEW |
| CCOW | Capital Corp of the West - Common Stock |
| CCP-A | CHEVY CHASE PFD CAP CORP PFD A EXCH % |
| CCP-A* | CHEVY CHASE PFD CAP CORP PFD A EXCH % |
| CCPCN | CAPITAL CROSSING PFD CORP PFD EXCH SER D |
| CCPCO | Capital Crossing Preferred Corporation - Series C Non-Cumulative Exchangeable Preferred Stock |
| CCPCP | Capital Crossing Preferred Corporation - Series A Non-Cumulative Exchangeable Preferred Stock |
| CCRD | CreditCards.com Inc. - COMMON STOCK |
| CCRN | CROSS CTRY HEALTHCARE INC COM |
| CCRT | COMPUCREDIT HLDGS CORP COM |
| CCS | COMCAST CORP NEW NT 6.625%2056 |
| CCS* | COMCAST CORP NEW NT 6.625%2056 |
| CCSC | COUNTRY STYLE COOKING RESTAURA SPONSORED ADR |
| CCT | COMCAST CORP NEW NT 7.00% 2055 |
| CCT* | COMCAST CORP NEW NT 7.00% 2055 |
| CCU | COMPANIA CERVECERIAS UNIDAS SA SPONSORED ADR |
| CCU# | Clear Channel Communications Inc. Common Stock |
| CCUR | CONCURRENT COMPUTER CORP NEW COM PAR \$.01 |
| CCURD | CONCURRENT COMPUTER CORP NEW COM PAR \$.01 |
| CCV | COMCAST CORP NEW NT 61 |
| CCVS | CITIZENS COMM BANCSHARES INC COM |
| CCVX | UBS AG LONDON BRH ETRACS 3MN EQT |
| CCW | COMCAST CORP NEW NT SER B 7.00% |
| CCW* | COMCAST CORP NEW NT SER B 7.00% |

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| CCX | WISDOMTREE TR DREYFUS CMM FD |
| CCX-C | CHEVY CHASE BANK F.S.B. 8.0% NON CUMUL PERP SER C PFD |
| CCX-C* | CHEVY CHASE BK FSB PFD SER C |
| CCXE | WISDOMTREE TRUST COMM COUNTRY EQ |
| CCXI | CHEMOCENTRYX INC COM |
| CCZ | COMCAST HOLDINGS CORP ZONES CV2% PCS |
| CD | Cendant Corporation Common Stock |
| CD# | Cendant Corporation Common Stock |
| CDCS | CDC SOFTWARE CORP SPN ADR LV III |
| CDCY | CompuDyne Corporation - Common Stock |
| CDD | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-25 Class A-1 (Issued by Dominion Resources Capital Trust) |
| CDD* | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-25 Class A-1 (Issued by Dominion Resources Capital Trust) |
| CDE | COEUR MNG INC COM NEW |
| CDE+ | COEUR MNG INC WT EXP 041617 |
| CDEEY | COMPANHIA DE GERACAO |
| CDI | C D I CORP COM |
| CDIC | CARDIODYNAMICS INTL CORP COM NEW |
| CDICD | CARDIODYNAMICS INTL CORP COM NEW |
| CDII | CD INTL ENTERPRISES INC COM |
| CDIS | Cal Dive International Inc. - Common Stock |
| CDK | BANK AMER CORP CLIRN S&P500 12 |
| CDL | CITADEL BROADCASTING CORPORATION |
| CDL# | Citadel Broadcasting Corporation Common Stock |
| CDM | CHINA CENTY DRAGON MEDIA INC COM NEW |
| CDMS | Cadmus Communications Corporation - Common Stock |
| CDNS | CADENCE DESIGN SYSTEM INC COM |
| CDR | CEDAR REALTY TRUST INC COM NEW |
| CDR-A | CEDAR REALTY TRUST INC PFD A 8.875 |
| CDR-A* | CEDAR REALTY TRUST INC PFD A 8.875 |
| CDR-B | CEDAR REALTY TRUST INC PFD-B 7.25% |
| CDS | China Direct Inc. - Common Stock |
| CDS+ | Cold Spring Capital Inc |
| CDS= | Cold Spring Capital Inc |
| CDSDD | CHINA DIRECT INC COM NEW |
| CDSS | Citadel Security Software Inc. - When-Issued Common Stock |
| CDSWS | COLD SPRING CAP INC WTS |
| CDTI | CLEAN DIESEL TECHNOLOGIES INC COM PAR \$.01 |
| CDTID | CLEAN DIESEL TECHNOLOGIES INC COM PAR \$.01 |
| CDV | CD&L Inc |
| CDWC | CDW Corporation - Common Stock |
| CDXS | CODEXIS INC COM |
| CDY | CARDERO RES CORP COM |
| CDZI | CADIZ INC COM NEW |
| CE | CELANESE CORP DEL COM SER A |
| CE- | CELANESE CORP DEL PFD 4.25% CONV |
| CE-* | CELANESE CORP DEL PFD 4.25% CONV |
| CEA | CHINA EASTN AIRLS LTD SPON ADR CL H |
| CEB | CORPORATE EXECUTIVE BRD CO COM |
| CEBK | CENTRAL BANCORP INC MASS COM |
| CEC | CEC ENTMT INC COM |
| CECE | CECO ENVIRONMENTAL CORP COM |
| CECO | CAREER EDUCATION CORP COM |
| CECX | CHINA EXECUTIVE ED CORP COM |
| CEDC | CENTRAL EUROPEAN DIST CORP COM |
| CEDU | CHINAEDU CORP SPONS ADR |
| CEE | CENTRAL EUR RUSS & TURK FD INC COM |
| CEF | CENTRAL FD CDA LTD CL A |
| CEG | CONSTELLATION ENERGY GROUP INC COM |
| CEG-A | CONSTELLATION ENERGY GROUP INC JR SUB A8.625% |

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| CEG-A* | CONSTELLATION ENERGY GROUP INC JR SUB A8.625% |
| CEGE | CELL GENESYS INC COM |
| CEI | Crescent Real Estate Equities Company Common Stock |
| CEI-A | Crescent Real Estate Equities Company 6 3/4% Series A Convertible Cumulative Preferred Shares of Beneficial Interest |
| CEI-A* | Crescent Real Estate Equities Company 6 3/4% Series A Convertible Cumulative Preferred Shares of Beneficial Interest |
| CEI-B | Crescent Real Estate Equities Company 9.50% Series B Cumulative Redeemable Preferred Shares |
| CEI-B* | Crescent Real Estate Equities Company 9.50% Series B Cumulative Redeemable Preferred Shares |
| CEL | CELLCOM ISRAEL LTD SHS |
| CELG | CELGENE CORP COM |
| CELGZ | CELGENE CORP CONTIN VAL RT |
| CELH | CELSIUS HOLDINGS INC COM NEW |
| CELHW | CELSIUS HOLDINGS INC WT EXP 020813 |
| CELL | BRIGHTPOINT INC COM NEW |
| CELM | CHINA ELEC MTR INC COM NEW |
| CEM | CLEARBRIDGE ENERGY MLP FD INC COM |
| CEMH | ML STRIDES EMC ## |
| CEMI | CHEMBIO DIAGNOSTICS INC COM NEW |
| CEMP | CEMPRA INC COM |
| CEN | Ceridian Corporation Common Stock |
| CENF | Central Freight Lines Inc. - Common Stock |
| CENT | CENTRAL GARDEN & PET CO COM |
| CENTA | CENTRAL GARDEN & PET CO CL A NON-VTG |
| CENX | CENTURY ALUM CO COM |
| CEO | CNOOC LTD SPONSORED ADR |
| CEP | CONSTELLATION ENERGY PRTRNR LLC COM UNIT LLC B |
| CEPH | CEPHALON INC COM |
| CEQ | Morgan Stanley |
| CER- | Central Illinois Light Company 4 1/2% Preferred Stock (Cumulative) |
| CERE | CERES INC COM |
| CERG | Ceres Group Inc. - Common Stock |
| CERN | CERNER CORP COM |
| CERP | CEREPLAST INC COM NEW |
| CERS | CERUS CORP COM |
| CESI | Catalytica Energy Systems Inc. - Common Stock |
| CESV | China Energy Savings Technology Inc. - Common Stock |
| CET | CENTRAL SECS CORP COM |
| CETV | CENTRAL EUROPEAN MEDIA ENTRPRS CL A NEW |
| CEU | CHINA ED ALLIANCE INC COM PAR \$0.001 |
| CEV | EATON VANCE CA MUNI INCOME TR SH BEN INT |
| CEVA | CEVA INC COM |
| CEW | WISDOMTREE TRUST DRYFS CURR ETF |
| CEY | Certegy Inc. Common Stock |
| CEZ | BANK AMER CORP LIRN S&P500 10 |
| CF | CF INDS HLDGS INC COM |
| CFBK | CENTRAL FED CORP COM NEW |
| CFC | Countrywide Financial Corporation Common Stock |
| CFC-A | COUNTRYWIDE CAP IV PFD TR 6.75% |
| CFC-B | COUNTRYWIDE CAP V GTD CAP SEC 7% |
| CFCI | CFC International Inc. Common Stock |
| CFCP | Coastal Financial Corporation - Common Stock |
| CFD | NUVEEN DIVERSIFIED COMMODTY FD COM UT BEN INT |
| CFE | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-10 (Issued by Motorola Inc.) |
| CFE* | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-10 (Issued by Motorola Inc.) |
| CFFC | COMMUNITY FINL CORP VA COM |
| CFFI | C & F FINL CORP COM |
| CFFN | CAPITOL FED FINL INC COM |
| CFFND | CAPITOL FED FINL INC COM |
| CFHI | Coast Financial Holdings Inc. - Common Stock |
| CFI | CULP INC COM |

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| CFK | CE FRANKLIN LTD COM |
| CFL | BRINKS HOME SEC HLDGS INC COM |
| CFL# | BRINKS HOME SECURITY HOLDINGS INC |
| CFM | Morgan Stanley |
| CFN | CAREFUSION CORP COM |
| CFN# | CAREFUSION CORP COM |
| CFN* | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-11 due 1/1/2027 (Issued by Aon Capital) |
| CFNB | CALIFORNIA FIRST NTNL BANCORP COM |
| CFNL | CARDINAL FINL CORP COM |
| CFO | CITIGROUP FUNDING INC |
| CFO* | Citigroup Funding Inc. |
| CFP | CORNERSTONE PROGRESSIVE RTN FD COM |
| CFR | CULLEN FROST BANKERS INC COM |
| CFR-A | CULLEN FROST BANKERS INC PERP PFD SER A % |
| CFS | COMFORCE CORP COM |
| CFSG | CHINA FIRE & SEC GROUP INC COM |
| CFSI | Collegiate Funding Services Inc. - Common Stock |
| CFT | ISHARES TR BARCLYS CR BD |
| CFU | BANK AMER CORP CAP S&P500 10 |
| CFW | CANO PETE INC COM |
| CFX | COLFAX CORP COM |
| CG | CARLYLE GROUP L P COM UTS LTD PTN |
| CGA | CHINA GREEN AGRICULTURE INC COM |
| CGC | CAPITAL GOLD CORP COM NEW |
| CGD | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-12 Class A-1 (Issued by Royal & Sun Alliance Insurance Group plc) |
| CGD* | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-12 Class A-1 (Issued by Royal & Sun Alliance Insurance Group plc) |
| CGEI | CHINA GROWTH EQUITY INV LTD SHS |
| CGEIU | CHINA GROWTH EQUITY INV LTD UNIT 1COM&1WT |
| CGEIW | CHINA GROWTH EQUITY INV LTD WT EXP 040516 |
| CGEN | COMPUGEN LTD ORD |
| CGFW | CYBERGUARD CORP ## |
| CGG | CGG SPONSORED ADR |
| CGI | CELADON GROUP INC COM |
| CGIX | CANCER GENETICS INC COM |
| CGK | Citigroup Funding Inc. |
| CGL.A | CAGLES INC CL A |
| CGM | Congoleum Corp |
| CGN | Cognitronics Corp |
| CGNX | COGNEX CORP COM |
| CGO | CALAMOS GLOBAL TOTAL RETURN FD COM SH BEN INT |
| CGP-T | Coastal Finance I 8.375% Trust Originated Preferred Securities (TOPrS) |
| CGP-T* | Coastal Finance I 8.375% Trust Originated Preferred Securities (TOPrS) |
| CGPI | CollaGenex Pharmaceuticals Inc. - Common Stock |
| CGQ | BANK AMER CORP LEV S&P500 12 |
| CGR | CLAUDE RES INC COM |
| CGRB | COUGAR BIOTECHNOLOGY INC COM |
| CGS | Chyron Corporation |
| CGT | CAE INC COM |
| CGTK | Corgentech Inc. - Common Stock |
| CGTKD | CORGENTECH INC. |
| CGV | CGG VERITAS SPONSORED ADR |
| CGV# | Compagnie Generale de Geophysique-Veritas American Depository Shares (Each representing one-fifth of an Ordinary Share) |
| CGV* | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-15 Class A-1 (Issued by JPM Capital Trust I) due January 15 2027 |
| CGW | CLAYMORE EXCHANGE TRD FD TR 2 GUGG S&P GBL WTR |
| CGX | CONSOLIDATED GRAPHICS INC COM |
| CGY | CITIGROUP GLOBAL MARKETS |
| CGY* | Citigroup Global Markets |

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| CH | ABERDEEN CHILE FD INC COM |
| CH# | |
| CHA | CHINA TELECOM CORP LTD SPON ADR H SHS |
| CHAP | Chaparral Steel Company - Common Stock |
| CHB | CHAMPION ENTERPRISES INC COM |
| CHBT | CHINA-BIOTICS INC COM |
| CHC | CHINA HYDROELECTRIC CORP SPONSORED ADR |
| CHC+ | CHINA HYDROELECTRIC CORPORATN WT EXP 012514 |
| CHCI | COMSTOCK HLDG COS INC CL A |
| CHCO | CITY HLDG CO COM |
| CHD | CHURCH & DWIGHT INC COM |
| CHDN | CHURCHILL DOWNS INC COM |
| CHDX | CHINDEX INTERNATIONAL INC COM |
| CHE | CHEMED CORP NEW COM |
| CHEF | CHEFS WHSE INC COM |
| CHEP | FQF TR QUANT NEUT VAL |
| CHEV | CHEVIOT FINL CORP NEW COM |
| CHEVD | CHEVIOT FINL CORP NEW COM |
| CHF | Converium Finance S.A. 8.25% Guaranteed Subordinated Notes due 2032 |
| CHF* | Converium Finance S.A. 8.25% Guaranteed Subordinated Notes due 2032 |
| CHFC | CHEMICAL FINL CORP COM |
| CHFN | CHARTER FINL CORP MD COM |
| CHG | CH ENERGY GROUP INC COM |
| CHGH | CHINA HERB GROUP HLDGS CORP COM |
| CHGS | CHINA GENGSHENG MINERALS INC COM |
| CHH | CHOICE HOTELS INTL INC COM |
| CHI | CALAMOS CONV OPP AND INC FD SH BEN INT |
| CHIB | GLOBAL X FDS CHINA TECH ETF |
| CHIC | CHARLOTTE RUSSE HLDG INC COM |
| CHIE | GLOBAL X FDS CHINA ENRG ETF |
| CHII | GLOBAL X FDS CHINA INDL ETF |
| CHIM | GLOBAL X FDS GBLX CHIMATL NEW |
| CHINA | CDC CORPORATION SHS CLASS -A - |
| CHIND | CDC CORPORATION SHS A NEW |
| CHIO | CHINA INSONLINE CORP COM |
| CHIP | VERICHIP CORP COM |
| CHIQ | GLOBAL X FDS CHINA CONS ETF |
| CHIR | Chiron Corporation - Common Stock |
| CHIX | GLOBAL X FDS CHINA FINL ETF |
| CHK | CHESAPEAKE ENERGY CORP COM |
| CHK-A | Chesapeake Energy Corporation 6.00% Cumulative Convertible Preferred Stock |
| CHK-B | Chesapeake Energy Corporation 5% Cumulative Convertible Preferred Stock |
| CHK-D | CHESAPEAKE ENERGY CORP PFD CONV |
| CHK-E | CHESAPEAKE ENERGY CORP 6.25% PFD CONV |
| CHKE | CHEROKEE INC DEL NEW COM |
| CHKM | CHESAPEAKE MIDSTREAM PARTNERS UNIT |
| CHKP | CHECK POINT SOFTWARE TECH LTD ORD |
| CHKR | CHESAPEAKE GRANITE WASH TR COM SH BEN INT |
| CHL | CHINA MOBILE LIMITED SPONSORED ADR |
| CHLC | MARKET VECTORS ETF TR RENMINBI BOND |
| CHLN | CHINA HOUSING & LAND DEV INC COM |
| CHM | China Healthcare Acquisition Corp |
| CHM+ | China Healthcare Acquisition Corp |
| CHM= | China Healthcare Acquisition Corp |
| CHMG | CHEMUNG FINL CORP COM |
| CHMP | CHAMPION INDS INC W V COM |
| CHMT | CHEMTURA CORP COM NEW |
| CHN | CHINA FD INC COM |
| CHNG | CHINA NAT GAS INC COM NEW |
| CHNL | Channell Commercial Corporation - Common Stock |
| CHNR | CHINA NATURAL RESOURCES INC COM |

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| CHOC | BARCLAYS BK PLC IPTH PURE COCA |
| CHOP | CHINA GERUI ADV MAT GR LTD SHS |
| CHOPU | CHINA GERUI ADV MAT GR LTD UNIT EX 031911 |
| CHOPW | CHINA GERUI ADV MAT GR LTD WT EXP 031911 |
| CHP | C&D TECHNOLOGIES INC COM |
| CHQ | Challenger Energy Corp |
| CHR | SCOR Holding (Switzerland) Ltd. American Depositary Shares (Each representing one-half of one Share) |
| CHRD | CHORDIANT SOFTWARE INC COM NEW |
| CHRDD | Chordiant Software Inc. - Common Stock |
| CHRK | Cherokee International Corporation - Common Stock |
| CHRM | CHARM COMMUNICATIONS INC ADR SHS CL A |
| CHRS | CHARMING SHOPPES INC COM |
| CHRT | CHARTERED SEMICONDUCTOR MFG SPONSORED ADR |
| CHRTD | CHARTERED SEMICONDUCTOR MFG SPONSORED ADR |
| CHRTR | CHARTERED SEMICONDUCTOR MFG RT ADR 2009 |
| CHRW | C H ROBINSON WORLDWIDE INC COM NEW |
| CHRZ | Computer Horizons Corp. - Common Stock |
| CHS | CHICOS FAS INC COM |
| CHSCP | CHS INC PFD 8% |
| CHSI | CATALYST HEALTH SOLUTIONS INC COM |
| CHSP | CHESAPEAKE LODGING TR SH BEN INT |
| CHSP-A | CHESAPEAKE LODGING TR 7.75% PFD SER A |
| CHT | CHUNGHWA TELECOM CO LTD SPON ADR NEW11 |
| CHT# | CHUNGHWA TELECOM CO LTD SPON ADR NEW11 |
| CHTP | CHELSEA THERAPEUTICS INTL LTD COM |
| CHTR | CHARTER COMMUNICATIONS INC DEL CL A NEW |
| CHTT | CHATTEM INC COM |
| CHU | CHINA UNICOM (HONG KONG) LTD SPONSORED ADR |
| CHU# | China Unicom (Hong Kong) Limited American Depositary Shares (Each representing 10 Ordinary Shares) |
| CHUX | O CHARLEYS INC COM |
| CHUY | CHUYS HLDGS INC COM |
| CHV | Churchill Ventures Ltd |
| CHV+ | Churchill Ventures Ltd |
| CHV= | Churchill Ventures Ltd. |
| CHW | CALAMOS GBL DYN INCOME FUND COM |
| CHXF | WISDOMTREE TR CHINADIV EX FI |
| CHXX | EGA EMERGING GLOBAL SHS TR EGS CHIN INF ETF |
| CHY | CALAMOS CONV & HIGH INCOME FD COM SHS |
| CHYR | CHYRONHEGO CORP COM |
| CHZ | Chittenden Corporation Common Stock |
| CHZ-A | Chittenden Capital Trust I 8.00% Capital Securities |
| CHZ-A* | Chittenden Capital Trust I 8.00% Capital Securities |
| CI | CIGNA CORPORATION COM |
| CIA | CITIZENS INC CL A |
| CIB | BANCOLOMBIA S A SPON ADR PREF |
| CIDM | CINEDIGM DIGITAL CINEMA CORP COM |
| CIE | COBALT INTL ENERGY INC COM |
| CIEN | CIENA CORP COM NEW |
| CIEND | Ciena Corporation - Common Stock |
| CIF | MFS INTERMEDIATE HIGH INC FD SH BEN INT |
| CIFC | CIFC CORP COM |
| CIG | COMPANHIA ENERGETICA DE MINAS SP ADR N-V PFD |
| CIG.C | COMPANHIA ENERGETICA DE MINAS SPONSORED ADR |
| CIGX | STAR SCIENTIFIC INC COM |
| CII | BLACKROCK ENH CAP & INC FD INC COM |
| CIIC | CHINA INFRASTRUCTURE INVT CORP COM |
| CIK | CREDIT SUISSE ASSET MGMT INCOM COM |
| CIL | CHINA INTLLGNT LTG & ELCTR INC COM NEW |
| CIL* | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-20 Class A-1 due 6/1/2027 (Issued by Washington Mutual Capital I) |
| CIM | CHIMERA INVT CORP COM |

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| CIMT | CIMATRON LTD ORD |
| CIN | CINergy Corp. Common Stock |
| CIN-A | The Cincinnati Gas & Electric Company Cumulative Preferred Stock 4% Series |
| CIN-A* | The Cincinnati Gas & Electric Company Cumulative Preferred Stock 4% Series |
| CIN-B | PSI Energy Inc. 4.16% Cumulative Preferred Stock |
| CIN-B* | PSI Energy Inc. 4.16% Cumulative Preferred Stock |
| CIN-C | PSI Energy Inc. 4.32% Cumulative Preferred Stock |
| CIN-C* | PSI Energy Inc. 4.32% Cumulative Preferred Stock |
| CINF | CINCINNATI FINL CORP COM |
| CIO | ASIA SPECIAL SIT ACQST CORP SHS |
| CIO+ | ASIA SPECIAL SIT ACQST CORP WT EXP 011612 |
| CIO= | ASIA SPECIAL SIT ACQST CORP UNIT EX |
| CIPH | Ciphergen Biosystems Inc. - Common Stock |
| CIPHE | Ciphergen Biosystems Inc. Common Stock |
| CIR | CIRCOR INTL INC COM |
| CIS | CAMELOT INFORMATION SYS INC ADS RP ORD SHS |
| CISAA | CIS ACQUISITION LTD SHS SER A |
| CISAU | CIS ACQUISITION LTD UNIT EX 000017 |
| CISAW | CIS ACQUISITION LTD WT EXP 000017 |
| CISG | CNINSURE INC SPONSORED ADR |
| CIT | CIT GROUP INC COM NEW |
| CIT-A | CIT GROUP INC PFD A 6.350% |
| CIT-C | CIT GROUP INC 8.75%PFD SER C |
| CIT-Z | CIT GROUP INC CORP UNITS |
| CITP | COMSYS IT PARTNERS INC COM |
| CITZ | CFS BANCORP INC COM |
| CIU | ISHARES TR BARCLYS INTER CR |
| CIX | COMPX INTERNATIONAL INC CL A |
| CIZ | Citizens Holding Company |
| CIZN | CITIZENS HLDG CO MISS COM |
| CJA | VALE CAP LTD NT RIO CV VALE |
| CJB | VALE CAP LTD NT RIO P VALE |
| CJBK | CENTRAL JERSEY BANCORP NJ COM |
| CJES | C&J ENERGY SVCS INC COM |
| CJJD | CHINA JO-JO DRUGSTORES INC COM NEW |
| CJDD | CHINA JO-JO DRUGSTORES INC COM NEW |
| CJM | Capital Automotive REIT |
| CJO | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-21 Class A-1 (Issued by AT&T Corp.) due 3/15/2029 |
| CJR | CORUS ENTERTAINMENT INC COM CL B NON VTG |
| CJS | VALE CAP II GTD CV 6.75%12 |
| CJT | VALE CAP II VALEP 6.75%12 |
| CK | CKE INC COM |
| CKCM | Click Commerce Inc. - Common Stock |
| CKEC | CARMIKE CINEMAS INC COM |
| CKFR | CheckFree Corporation - Common Stock |
| CKH | SEACOR HOLDINGS INC COM |
| CKH# | SEACOR HOLDINGS INC EX DISTRIB |
| CKI | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-16 Class A-1 (Issued by Georgia Pacific Corporation) due November 15 2029 |
| CKK | CITIGROUP FDG INC CITI AMEX U.S.11 |
| CKN | Cash Systems Inc |
| CKNN | Cash Systems Inc - Common Stock |
| CKP | CHECKPOINT SYS INC COM |
| CKR | CKE RESTAURANTS INC COM |
| CKSW | CLICKSOFTWARE TECHNOLOGIES LTD ORD |
| CKX | CKX LANDS INC COM |
| CKXE | CKX INC COM |
| CL | COLGATE PALMOLIVE CO COM |
| CLA | CAPITOL ACQUISITION CORP DEL COM |
| CLA+ | CAPITOL ACQUISITION CORP DEL WT EXP 110812 |

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| CLA= | CAPITOL ACQUISITION CORP DEL UNIT EX 072412 |
| CLACU | CAPITOL ACQUISITION CORP II UNIT 1 000016 |
| CLAS | Classmates Media Corporation - Common Stock |
| CLAY | Clayton Holdings Inc. - Common Stock |
| CLB | CORE LABORATORIES N V COM |
| CLBH | CAROLINA BK HLDGS INC GREENSBO COM |
| CLBK | Commercial Bankshares Inc. - Common Stock |
| CLC | CLARCOR INC COM |
| CLCT | COLLECTORS UNIVERSE INC COM NEW |
| CLD | CLOUD PEAK ENERGY INC COM |
| CLDA | CLINICAL DATA INC NEW COM |
| CLDN | CELADON GROUP INC COM |
| CLDT | CHATHAM LODGING TR COM |
| CLDX | CELLEX THERAPEUTICS INC NEW COM |
| CLE | Claire's Stores Inc. Common Stock (Florida) |
| CLEC | US LEC Corp. - Class A Common Stock |
| CLF | CLIFFS NAT RES INC COM |
| CLFC | CENTER FINL CORP CALIF COM |
| CLFD | CLEARFIELD INC COM |
| CLG | Cumberland Resources Ltd |
| CLGX | CORELOGIC INC COM |
| CLGX# | CORELOGIC INC COM |
| CLGY | CELLEGY PHARM INC ## |
| CLH | CLEAN HARBORS INC COM |
| CLH* | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-18 Class A-1 (Issued by Southern Company Capital Trust I) due February 1 2037. |
| CLHB | Clean Harbors Inc. - Common Stock |
| CLI | MACK CALI RLTY CORP COM |
| CLIR | CLEARSIGN COMBUSTION CORP COM |
| CLK | Clark Inc. Common Stock |
| CLM | CORNERSTONE STRATEGIC VALUE FD COM NEW |
| CLMS | CALAMOS ASSET MGMT INC CL A |
| CLMT | CALUMET SPECIALTY PRODS PTNRS UT LTD PARTNER |
| CLN | Celsion Corporation - Common Stock |
| CLNE | CLEAN ENERGY FUELS CORP COM |
| CLNT | CLEANTECH SOLUTIONS INTL INC COM NEW |
| CLNY | COLONY FINL INC COM |
| CLNY-A | COLONY FINL INC PFD SER A 8.5% |
| CLP | COLONIAL PPTYS TR COM SH BEN INT |
| CLP-C | Colonial Properties Trust 9 1/4% Series C Cumulative Redeemable Preferred Shares |
| CLP-C* | Colonial Properties Trust 9 1/4% Series C Cumulative Redeemable Preferred Shares |
| CLP-D | COLONIAL PPTYS TR PFD 1/10 SER D |
| CLP-D* | COLONIAL PPTYS TR PFD 1/10 SER D |
| CLP-E | Colonial Properties Trust Depositary Shares (Each representing a 1/100th of a 7.62% Series E Cumulative Redeemable Preferred Share of Beneficial Interest) |
| CLP-E* | Colonial Properties Trust Depositary Shares (Each representing a 1/100th of a 7.62% Series E Cumulative Redeemable Preferred Share of Beneficial Interest) |
| CLR | CONTINENTAL RESOURCES INC COM |
| CLRK | Color Kinetics Incorporated - Common Stock |
| CLRO | CLEARONE INC COM |
| CLRS | CLARUS THERAPEUTICS INC COM |
| CLRT | CLARIANT INC COM |
| CLRX | COLLABRX INC COM |
| CLS | CELESTICA INC SUB VTG SHS |
| CLSN | CELSION CORPORATION COM NEW |
| CLU | CELLU TISSUE HLDGS INC COM |
| CLUB | TOWN SPORTS INTL HLDGS INC COM |
| CLV | CLIFFS NAT RES INC DEP1/40TH PFD A |
| CLVS | CLOVIS ONCOLOGY INC COM |
| CLW | CLEARWATER PAPER CORP COM |
| CLW# | CLEARWATER PAPER CORP COM |

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| CLWR | CLEARWIRE CORP NEW CL A |
| CLWRD | CLEARWIRE CORP NEW CL A |
| CLWRR | CLEARWIRE CORP NEW RT |
| CLWT | EURO TECH HOLDINGS CO LTD SHS NEW |
| CLX | CLOROX CO DEL COM |
| CLY | ISHARES TR 10+ YR CR BD |
| CLZR | CANDELA CORP COM |
| CM | CDN IMPERIAL BK OF COMMERCE COM |
| CMA | COMERICA INC COM |
| CMA+ | COMERICA INC WT EXP 111418 |
| CMA-Z | Comerica Capital Trust I 7.60% Trust Preferred Securities |
| CMA-Z* | Comerica Capital Trust I 7.60% Trust Preferred Securities |
| CMBC | Community Bancorp Inc. - Common Stock |
| CMBS | ISHARES TR BARCLAYS CMBS |
| CMC | COMMERCIAL METALS CO COM |
| CMC# | Commercial Metals Company Common Stock |
| CMCO | COLUMBUS MCKINNON CORP N Y COM |
| CMCSA | COMCAST CORP NEW CL A |
| CMCSK | COMCAST CORP NEW CL A SPL |
| CMD | PROSHARES TR II ULSHT DJ UBS CMD |
| CME | CME GROUP INC COM |
| CMED | CHINA MED TECHNOLOGIES INC SPONSORED ADR |
| CMF | ISHARES TR S&P CAL AMTFR MN |
| CMFB | COMMERCEFIRST BANCORP INC COM |
| CMFO | CHINA MARINE FOOD GROUP LTD COM |
| CMG | CHIPOTLE MEXICAN GRILL INC COM |
| CMG.B | CHIPOTLE MEXICAN GRILL INC CL B |
| CMG.B# | CHIPOTLE MEXICAN GRILL INC CLASS B |
| CMGE | CHINA MOBILE GAMES & ENTMT GRP SPONSORED ADR |
| CMGI | CMGI Inc. - Common Stock |
| CMGID | CMGI Inc. - Common Stock |
| CMH- | Compass Trust III 7.35% Capital Securities |
| CMH-* | Compass Trust III 7.35% Capital Securities |
| CMJ | CUMMINS INC COM |
| CMK | MFS INTERMARKET INCOME TRUST I SH BEN INT |
| CMKG | MKTG INC COM |
| CML | COMPELLENT TECHNOLOGIES INC COM |
| CMLP | CRESTWOOD MIDSTREAM PARTNERS LP COM UNITS REPSTG |
| CMLS | CUMULUS MEDIA INC CL A |
| CMM | CHINA MASS MEDIA CORP SPONS ADR NEW |
| CMM-B | CRIIMI MAE Inc. 10 7/8% Series B Cumulative Convertible Preferred Stock |
| CMN | CANTEL MEDICAL CORP COM |
| CMO | CAPSTEAD MTG CORP COM NO PAR |
| CMO-A | CAPSTEAD MTG CORP PFD A CV \$1.60 |
| CMO-A* | CAPSTEAD MTG CORP PFD A CV \$1.60 |
| CMO-B | CAPSTEAD MTG CORP PFD B CV \$1.26 |
| CMO-B* | CAPSTEAD MTG CORP PFD B CV \$1.26 |
| CMO-E | CAPSTEAD MTG CORP PFD SER E |
| CMOS | Credence Systems Corporation - Common Stock |
| CMP | COMPASS MINERALS INTL INC COM |
| CMPP | Champps Entertainment Inc - Common Stock |
| CMPX | Compex Technologies Inc. Common Stock |
| CMQ | Cathay Merchant Group Inc |
| CMR | AMEX MORGAN STANLEY XXX |
| CMRE | COSTAMARE INC SHS |
| CMRG | CASUAL MALE RETAIL GRP INC COM NEW |
| CMRO | COMARCO INC COM |
| CMRX | CHIMERIX INC COM |
| CMS | CMS ENERGY CORP COM |
| CMS-A | CONSUMERS ENERGY CO PFD \$4.16 |
| CMS-A* | CONSUMERS ENERGY CO PFD \$4.16 |

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| CMS-B | CONSUMERS ENERGY CO PFD \$4.50 |
| CMS-N | Consumers Energy Company Financing IV 9% Trust Preferred Securities due June 30 2031 |
| CMS-N* | Consumers Energy Company Financing IV 9% Trust Preferred Securities due June 30 2031 |
| CMSB | CMS BANCORP INC COM |
| CMT | CORE MOLDING TECHNOLOGIES INC COM |
| CMTL | COMTECH TELECOMMUNICATIONS CP COM NEW |
| CMTY | Community Banks Inc. - Common Stock |
| CMU | MFS HIGH YIELD MUN TR SH BEN INT |
| CMVT | COMVERSE TECHNOLOGY INC COM PAR \$0.10 |
| CMVTV | COMVERSE TECHNOLOGY INC WHEN ISSUED |
| CMX | Caremark Rx Inc. Common Stock |
| CMZ | COMPTON PETE CORP COM |
| CN | China Netcom Group Corporation (Hong Kong) Limited American Depositary Shares (Each representing 20 Ordinary Shares) |
| CNA | CNA FINL CORP COM |
| CNAF | COMMERICAL NATL FINL CORP PA COM |
| CNAM | CHINA ARMCO METALS INC COM |
| CNB | COLONIAL BANGROUP INC COM |
| CNB-A | Colonial Capital Trust III 8.32% Trust Preferred Securities |
| CNB-A* | Colonial Capital Trust III 8.32% Trust Preferred Securities |
| CNB-B | COLONIAL CAP TR IV PFD SEC 7.875% |
| CNBC | CENTER BANCORP INC COM |
| CNBKA | CENTURY BANCORP INC MASS CL A NON VTG |
| CNC | CENTENE CORP DEL COM |
| CNCO | CENCOSUD S A SPONSORED ADS |
| CNCO.T | CENCOSUD S A SPONSORED ADS |
| CNCP | Carolina National Corporation - Common Stock |
| CNCT | CHINA TELETECH HLDG INC COM |
| CNCTU | 180 Connect Inc. - Unit 06/30/2010 |
| CNCTW | 180 Connect Inc. - Warrant 06/30/2010 |
| CNDA | INDEXIQ ETF TR CAN SML CP ETF |
| CNDO | CORONADO BIOSCIENCES INC COM |
| CNE | Canetic Resources Trust Trust Units |
| CNET | CHINANET ONLINE HLDGS INC COM |
| CNF | CNF Inc. Common Stock |
| CNFL | Citizens Financial Corporation - Common Stock |
| CNGL | CHINA NUTRIFRUIT GROUP LTD COM |
| CNH | CNH GLOBAL N V SHS NEW |
| CNI | CANADIAN NATL RY CO COM |
| CNIC | COPERNIC INC COM NEW |
| CNICD | COPERNIC INC COM NEW |
| CNIT | CHINA INFORMATION TECHNOLOGY COM |
| CNK | CINEMARK HOLDINGS INC COM |
| CNL | CLECO CORP NEW COM |
| CNLA | Community National Bank of the Lakeway Area - Common Stock |
| CNLG | CONOLOG CORP COM PAR\$.01FEB09 |
| CNLGD | CONOLOG CORP COM PAR\$.01FEB09 |
| CNLI | CENTRE LANE INVT CORP COM |
| CNMD | CONMED CORP COM |
| CNN | Prospect Street Income Shares Inc. Common Stock |
| CNO | CNO FINL GROUP INC COM |
| CNO+ | Conseco Inc. Warrants (Expiring September 10 2008) |
| CNO-B | Conseco Inc. 5.50% Mandatorily Convertible Preferred Stock Class B due May 15 2007 |
| CNOB | CONNECTONE BANCORP INC COM |
| CNOWS | CONSECO INC SER A WT |
| CNP | CENTERPOINT ENERGY INC COM |
| CNPF | GLOBAL X FDS GLB X CDA PFD |
| CNQ | CANADIAN NAT RES LTD COM |
| CNQR | CONCUR TECHNOLOGIES INC COM |
| CNR | CHINA METRO-RURAL HLDGS LTD SHS |
| CNR+ | CHINA NETWORKS INTERNATIONAL H WT EXP 062811 |

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| CNR= | CHINA NETWORKS INTERNATIONAL H UNIT EX 000000 |
| CNR^ | CANARGO ENERGY CORP RT EXP 102408 |
| CNS | COHEN & STEERS INC COM |
| CNSI | COMVERSE INC COM |
| CNSIV | COMVERSE INC COM |
| CNSL | CONSOLIDATED COMM HLDGS INC COM |
| CNST | CONSTAR INTL INC NEW COM NEW |
| CNT | CenterPoint Properties Trust Common Shares of Beneficial Interest |
| CNT-B | CenterPoint Properties Trust 7.5% Series B Convertible Cumulative Redeemable Preferred Shares |
| CNTF | CHINA TECHFAITH WIRLS COMM TEC SPONSORED ADR |
| CNTR | RUSSELL EXCHANGE TRADED FDS TR CONTRARIAN ETF |
| CNTY | CENTURY CASINOS INC COM |
| CNU | CONTINUCARE CORP COM |
| CNVLZ | City Investing Company Liquidating Trust Units of Beneficial Interest |
| CNVO | CONVIO INC COM |
| CNVR | CONVERA CORP CL A |
| CNVX | CancerVax Corporation - Common stock |
| CNW | CON-WAY INC COM |
| CNX | CONSOL ENERGY INC COM |
| CNX# | CONSOL Energy Inc. Common Stock |
| CNXS | CNS Inc. - Common Stock |
| CNXT | CONEXANT SYSTEMS INC COM NEW |
| CNXTD | CONEXANT SYSTEMS INC COM NEW |
| CNY | MORGAN STANLEY RENMIN/USD ETN |
| CNYD | CHINA YIDA HOLDINGS CO COM PAR \$0.0001 |
| CO | CHINA CORD BLOOD CORP SHS |
| COA | COASTAL CONTACTS INC COM NEW |
| COBH | PENNSYLVANIA COMM BANCORP INC COM |
| COBK | COLONIAL FINL SVCS INC COM |
| COBKD | COLONIAL FINL SVCS INC COM |
| COBO | PROSHARES TR USD COVERED BD |
| COBR | COBRA ELECTRS CORP COM |
| COBZ | COBIZ FINANCIAL INC COM |
| COCO | CORINTHIAN COLLEGES INC COM |
| COD.A | Merrill Lynch |
| CODE | SPANSION INC COM CL A NEW |
| CODI | COMPASS DIVERSIFIED HOLDINGS SH BEN INT |
| COE | Columbia Equity Trust Inc. Common Stock |
| COF | CAPITAL ONE FINL CORP COM |
| COF# | Capital One Financial Corporation Common Stock |
| COF+ | CAPITAL ONE FINL CORP WT EXP 111418 |
| COF-B | CAPITAL ONE CAP II 7.5% TRUPS PFD |
| COF-B* | CAPITAL ONE CAP II 7.5% TRUPS PFD |
| COF-P | CAPITAL ONE FINL CORP DEP SHS 1/40TH |
| COG | CABOT OIL & GAS CORP COM |
| COG# | Cabot Oil & Gas Corporation Common Stock |
| COGN | Cognos Incorporated - Common Shares |
| COGO | COGO GROUP INC ORD SHS |
| COGT | COGENT INC COM |
| COH | COACH INC COM |
| COHN | COHEN & CO INC COM |
| COHR | COHERENT INC COM |
| COHT | Cohesant Technologies Inc. - Common Stock |
| COHU | COHU INC COM |
| COI | Cogent Communications Group Inc |
| COIN | CONVERTED ORGANICS INC COM PAR \$.0001 |
| COINU | CONVERTED ORGANICS INC UNIT EX 123114 |
| COINW | CONVERTED ORGANICS INC WT EXP 101414 |
| COINZ | CONVERTED ORGANICS INC WT B EXP 021312 |
| COKE | COCA COLA BOTTLING CO CONS COM |
| COL | ROCKWELL COLLINS INC COM |

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| COLB | COLUMBIA BKG SYS INC COM |
| COLM | COLUMBIA SPORTSWEAR CO COM |
| COLT | COLT Telecom Group plc - American Depositary Shares |
| COLX | MARKET VECTORS ETF TR COLUMBIA ETF |
| COLY | Coley Pharmaceutical Group Inc. - Common Stock par value \$0.01 per share |
| COMB | Community Bancshares Inc. (DE) - Common Stock |
| COMS | 3COM CORP COM |
| COMT | COMAMTECH INC COM |
| COMV | COMVERGE INC COM |
| CONE | CYRUSONE INC COM |
| CONG | RUSSELL EXCHANGE TRADED FDS TR CONSIST GRWTH |
| CONM | CONMED HEALTHCARE MGMT INC COM |
| CONN | CONNS INC COM |
| CONNR | CONNS INC RT |
| CONR | Conor Medsystems Inc. - Common Stock |
| COO | COOPER COS INC COM NEW |
| COOL | MAJESCO ENTERTAINMENT CO COM NEW |
| COOP | COOPERATIVE BANKSHARES INC COM |
| COP | CONOCOPHILLIPS COM |
| COP# | CONOCOPHILLIPS EX DISTRIB WI |
| COPX | GLOBAL X FDS COPPER MNR ETF |
| COQ | MORGAN STANLEY 1 YEAR |
| COQ* | Morgan Stanley |
| COR | CORESITE RLTY CORP COM |
| COR-A | CORESITE RLTY CORP PFD SER A |
| CORE | CORE MARK HOLDING CO INC COM |
| CORI | Corillian Corporation - Common Stock |
| CORN | TEUCRIUM COMMODITY TR CORN FD SHS |
| CORP | PIMCO ETF TR INV GRD CRP BD |
| CORR | COREENERGY INFRASTRUCTURE TR IN COM |
| CORS | CORUS BANKSHARES INC COM |
| CORT | CORCEPT THERAPEUTICS INC COM |
| COS | COHESANT TECHNOLOGIES INC COM |
| COSI | COSI INC COM NEW |
| COST | COSTCO WHSL CORP NEW COM |
| COT | COTT CORP QUE COM |
| COTY | COTY INC COM CL A |
| COV | COVIDIEN PLC SHS |
| COV# | COVIDIEN PLC EX DISTRIB WI |
| COVR | COVER-ALL TECHNOLOGIES INC COM |
| COW | BARCLAYS BANK PLC ETN DJUBSLVSTK37 |
| COWL | DIREXION SHS ETF TR DL AGRI BULL |
| COWN | COWEN GROUP INC NEW CL A |
| COWND | COWEN GROUP INC NEW CL A |
| COWS | DIREXION SHS ETF TR DLY AGRI BEAR |
| COY | BLACKROCK CORPOR HIGH YLD FD COM |
| CP | CANADIAN PAC RY LTD COM |
| CPA | COPA HOLDINGS SA CL A |
| CPAC | CEMENTOS PACASMAYO S A A SPON ADR REP 5 |
| CPAH | COUNTERPATH CORP COM NEW |
| CPAK | CPAC Inc. - Common Stock |
| CPB | CAMPBELL SOUP CO COM |
| CPBC | COMMUNITY PARTNERS BANCORP COM |
| CPBK | COMMUNITY CAP CORP S C COM |
| CPBR | ClearPoint Business Resources Inc. - Common Stock |
| CPBRU | ClearPoint Business Resources Inc. - Units 4/19/2009 |
| CPBRW | ClearPoint Business Resources Inc. - Warrants 4/19/2005 |
| CPBY | CHINA INFORMATION SEC TECH INC COM |
| CPC | CHEMSPEC INTL LTD ADR |
| CPCI | Ciprico Inc. - Common Stock |
| CPD | CARACO PHARMACEUTICAL LABS LTD COM |

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| CPE | CALLON PETE CO DEL COM |
| CPE-A | CALLON PETE CO DEL PFD SER A 10% |
| CPER | UNITED STS COMMODITY IDX FDTR CM REP COPP FD |
| CPEX | CPEX PHARMACEUTICALS INC COM |
| CPEXV | CPEX PHARMACEUTICALS INC COM |
| CPF | CENTRAL PAC FINL CORP COM NEW |
| CPF^ | CENTRAL PAC FINL CORP RT |
| CPGI | CHINA SHENGDA PACKAGING GROUP COM |
| CPGY | CHINA SHANDONG INDS INC COM PAR \$.0001 |
| CPHC | CANTERBURY PARK HOLDING CORP COM |
| CPHD | CEPHEID COM |
| CPHI | CHINA PHARMA HLDGS INC COM |
| CPHL | Castlepoint Holdings Ltd. - Common Stock |
| CPI | INDEXIQ ETF TR IQ REAL RTN ETF |
| CPII | CPI INTERNATIONAL INC COM |
| CPIX | CUMBERLAND PHARMACEUTICALS INC COM |
| CPK | CHESAPEAKE UTILS CORP COM |
| CPKI | CALIFORNIA PIZZA KITCHEN INC COM |
| CPL | CPFL ENERGIA S A SPONSORED ADR |
| CPLA | CAPELLA EDUCATION COMPANY COM |
| CPLP | CAPITAL PRODUCT PARTNERS L P COM UNIT LP |
| CPN | CALPINE CORP COM NEW |
| CPN# | CALPINE CORP COM NEW |
| CPNO | COPANO ENERGY L L C COM UNITS |
| CPO | CORN PRODS INTL INC COM |
| CPP | PREFERRED PLUS TR CCR-1 TR CTF |
| CPQ | MORGAN STANLEY SPARQ 10% CHK |
| CPRT | COPART INC COM |
| CPRX | CATALYST PHARM PARTNERS INC COM |
| CPS | ChoicePoint Inc. Common Stock |
| CPSI | COMPUTER PROGRAMS & SYS INC COM |
| CPSL | CHINA PRECISION STEEL INC COM NEW |
| CPSS | CONSUMER PORTFOLIO SVCS INC COM |
| CPST | CAPSTONE TURBINE CORP COM |
| CPT | CAMDEN PPTY TR SH BEN INT |
| CPTS | CONCEPTUS INC COM |
| CPTV | CAPTIVA SFTWR CP ## |
| CPV | CBS CORP NEW SR NT 6.75% |
| CPV* | CBS CORP NEW SR NT 6.75% |
| CPWM | COST PLUS INC CALIF COM |
| CPWR | COMPUWARE CORP COM |
| CPX | COMPLETE PRODUCTION SERVICES COM |
| CPY | CPI CORP COM |
| CPYWD | CPI CORP |
| CQB | CHIQUITA BRANDS INTL INC COM |
| CQB+ | CHIQUITA BRANDS INTL INC WT EXP 031909 |
| CQBWS | CHIQUITA BRANDS INTL WTS |
| CQP | CHENIERE ENERGY PARTNERS LP COM UNIT |
| CQP* | Citigroup Funding Inc. |
| CQQQ | CLAYMORE EXCHANGE TRD FD TR 2 GUGG CHN TECH |
| CR | CRANE CO COM |
| CRA | CELERA CORP COM |
| CRAI | CRA INTL INC COM |
| CRAY | CRAY INC COM NEW |
| CRAYD | Cray Inc - Common Stock |
| CRB | American Community Newspapers Inc |
| CRB+ | American Community Newspapers Inc |
| CRB= | American Community Newspapers Inc |
| CRBA | ALPS ETF TR JEFF CRB AGRIC |
| CRBC | CITIZENS REPUBLIC BANCORP INC COM NEW |
| CRBCD | CITIZENS REPUBLIC BANCORP INC COM NEW |

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| CRBI | ALPS ETF TR JEFF CRB INDS |
| CRBQ | ALPS ETF TR JEFF TRJ CRB GLO |
| CRBWS | COURTSIDE ACQUISITION WT |
| CRC | CHROMCRAFT REVINGTON INC COM |
| CRD.A | CRAWFORD & CO CL A |
| CRD.B | CRAWFORD & CO CL B |
| CRDC | CARDICA INC COM |
| CRDIU | CHINA RESOURCES DEV INC UNIT 1SH&1WT |
| CRDN | CERADYNE INC COM |
| CRDS | CROSSROADS SYS INC COM NEW |
| CRE | CARE INVESTMENT TRUST INC COM |
| CRE-E | CarrAmerica Realty Corporation 7.50% Series E Cumulative Redeemable Preferred Stock |
| CREAF | Creative Technology Ltd. - Ordinary Shares |
| CRED | CREDO PETE CORP COM PAR \$0.10 |
| CREE | CREE INC COM |
| CREG | CHINA RECYCLING ENERGY CORP COM |
| CREL | COREL CORP NEW COM |
| CRELV | Corel Corporation - Common Stock |
| CRESW | CRESUD SA COMERCIAL WT EXP 052215 |
| CRESY | CRESUD S A C I F Y A SPONSORED ADR |
| CRF | CORNERSTONE TOTAL RTRN FD INC COM NEW |
| CRFN | CRESCENT FINL BANCSHARES INC COM |
| CRFT | CRAFTMADE INTL INC COM |
| CRG | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-22 Class A-1 (Issued by Washington Mutual Capital I) due June 1 2027 |
| CRG* | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-22 Class A-1 (Issued by Washington Mutual Capital I) due June 1 2027 |
| CRGI | Corgi International Limited - American Depositary Shares |
| CRGID | Corgi International Limited - American Depositary Shares |
| CRGN | CURAGEN CORP COM |
| CRH | CRH PLC ADR |
| CRHCY | CRH PLC - American Depositary Shares |
| CRI | CARTER INC COM |
| CRIC | CHINA REAL ESTATE INFO CORP ADR |
| CRIS | CURIS INC COM |
| CRJ | MERRILL LYNCH & CO INC 11%STRID CSC09 |
| CRK | COMSTOCK RES INC COM NEW |
| CRL | CHARLES RIV LABS INTL INC COM |
| CRLTS | Century Realty Trust - Shares of Beneficial Interest |
| CRM | SALESFORCE COM INC COM |
| CRMB | CRUMBS BAKE SHOP INC COM |
| CRMBU | CRUMBS BAKE SHOP INC UNIT 1 COM & 1 W |
| CRMBW | CRUMBS BAKE SHOP INC WT EXP 050516 |
| CRMD | CORMEDIX INC COM |
| CRMD+ | CORMEDIX INC WT EXP 032415 |
| CRMD= | CORMEDIX INC UNIT EX 000015 |
| CRME | CARDIOME PHARMA CORP COM NO PAR |
| CRMH | CRM HOLDINGS LTD COM |
| CRMT | AMERICAS CAR MART INC COM |
| CRN | CORNELL COMPANIES INC COM |
| CRNS | Cronos Group (The) - Common Stock |
| CRNT | CERAGON NETWORKS LTD ORD |
| CRO | CLAYMORE ETF TRUST 2 ZACKS CTRY ROT |
| CROC | PROSHARES TR II PROSHS U/SHAUS |
| CROP | INDEXIQ ETF TR GLB AGRI SM CP |
| CROS | Cross Match Technologies Inc. - Common Stock |
| CROX | CROCS INC COM |
| CRP | CREDIT SUISSE GUERNSEY BRH 7.9% CAP NT 13 |
| CRP* | CREDIT SUISSE GUERNSEY BRH 7.9% CAP NT 13 |
| CRR | CARBO CERAMICS INC COM |
| CRRB | CARROLLTON BANCORP COM |

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| CRRC | COURIER CORP COM |
| CRS | CARPENTER TECHNOLOGY CORP COM |
| CRSR | CORSAIR COMPONENTS INC COM |
| CRT | CROSS TIMBERS RTY TR TR UNIT |
| CRTP | CHINA RITAR POWER CORP COM |
| CRTX | CORNERSTONE THERAPEUTICS INC COM |
| CRTXD | CORNERSTONE THERAPEUTICS INC COM |
| CRU | CRUDE CARRIERS CORPORATION COM |
| CRUD | TEUCRIUM COMMODITY TR WTI CRUDE OIL |
| CRUS | CIRRUS LOGIC INC COM |
| CRV | COAST DISTR SYS COM |
| CRVL | CORVEL CORP COM |
| CRVP | CRYSTAL ROCK HLDGS INC COM |
| CRWN | CROWN MEDIA HLDGS INC CL A |
| CRWS | CROWN CRAFTS INC COM |
| CRX | AMEX MORGAN STANLEY XXX |
| CRXL | CRUCCELL N V SPONSORED ADR |
| CRXX | COMBINATORX INC COM |
| CRY | CRYOLIFE INC COM |
| CRY- | CryoLife Inc. 6% Convertible Preferred Stock |
| CRYO | AMERICAN CRYOSTEM CORP NEW COM |
| CRYP | CRYPTOLOGIC LIMITED SHS |
| CRZ | Crystal River Capital Inc. Common Stock |
| CRZO | CARRIZO OIL & GAS INC COM |
| CS | CREDIT SUISSE GROUP SPONSORED ADR |
| CSA | COGDELL SPENCER INC COM |
| CSA-A | COGDELL SPENCER INC PFD-A 8.5% |
| CSAR | CARAUSTAR INDS INC COM |
| CSB | COLONIAL BANCGROUP INC 8 7/8%SUB NT38 |
| CSBC | CITIZENS SOUTH BKG CP DEL COM |
| CSBK | CLIFTON SVGS BANCORP INC COM |
| CSC | COMPUTER SCIENCES CORP COM |
| CSCB | CREDIT SUISSE NASSAU BRH CMDT BCH TOT RET |
| CSCD | CASCADE MICROTECH INC COM |
| CSCO | CISCO SYS INC COM |
| CSCR | CREDIT SUISSE NASSAU BRH BACK ETN LK IDX |
| CSCX | CARDIAC SCIENCE CORP COM |
| CSD | CLAYMORE EXCHANGE TRD FD TR GUGG SPINOFF ETF |
| CSE | CAPITALSOURCE INC COM |
| CSFL | CENTERSTATE BANKS INC COM |
| CSFS | CASH STORE FINL SVCS INC COM |
| CSG | CHAMBERS STR PPTYS COM |
| CSGP | COSTAR GROUP INC COM |
| CSGS | CSG SYS INTL INC COM |
| CSH | CASH AMER INTL INC COM |
| CSHB | COMMUNITY SHORES BANK CORP COM |
| CSI | CUTWATER SELECT INCOME FD COM |
| CSII | CARDIOVASCULAR SYS INC DEL COM |
| CSIQ | CANADIAN SOLAR INC COM |
| CSJ | ISHARES TR BARCLYS 1-3YR CR |
| CSJB | Merrill Lynch & Co. Inc. - Jetblue 10% Callable Strides |
| CSK | Chesapeake Corporation Common Stock |
| CSKI | CHINA SKY ONE MED INC COM |
| CSL | CARLISLE COS INC COM |
| CSLMF | Consolidated Mercantile Inc - Common Stock |
| CSLR | CONSULIER ENGR INC COM PAR \$0.01 |
| CSLS | CREDIT SUISSE NASSAU BRH EXCH NT LKD 20 |
| CSM | PROSHARES TR PSHS LC COR PLUS |
| CSMA | CREDIT SUISSE NASSAU BRH ETN IDX-LKD 20 |
| CSMB | CREDIT SUISSE NASSAU BRH EXCH NT LKD 31 |
| CSMN | CREDIT SUISSE NASSAU BRH EQT MKT LKD31 |

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| CSN | City Network Inc |
| CSN.A | Credit Suisse |
| CSNC | Cardinal State Bank - Common Stock |
| CSNT | CRESCENT BKG CO COM |
| CSO | COHEN & STEERS |
| CSOD | CORNERSTONE ONDEMAND INC COM |
| CSP | AMERICAN STRATEGIC INCOME III COM |
| CSPI | CSP INC COM |
| CSPIE | CSP Inc. - Common Stock |
| CSPLF | Canada Southern Petroleum Ltd. - Common Stock |
| CSQ | CALAMOS STRATEGIC TOTL RETN FD COM SH BEN INT |
| CSR | CHINA SEC & SURVE TECH INC COM |
| CSRE | CSR PLC SPONSORED ADR |
| CSREV | CSR PLC SPONSORED ADR |
| CSS | CSS INDS INC COM |
| CST | CST BRANDS INC COM |
| CST# | CST BRANDS INC COM |
| CSTE | CAESARSTONE SDOT-YAM LTD ORD SHS |
| CSTL | Castelle - Common Stock |
| CSTM | CONSTELLIUM HOLDCO B V CL A |
| CSTR | COINSTAR INC COM |
| CSU | CAPITAL SR LIVING CORP COM |
| CSUN | CHINA SUNERGY CO LTD SPONSORED ADR NE |
| CSUND | CHINA SUNERGY CO LTD SPONSORED ADR NE |
| CSV | CARRIAGE SVCS INC COM |
| CSWC | CAPITAL SOUTHWEST CORP COM |
| CSX | CSX CORP COM |
| CSX# | CSX Corporation Common Stock |
| CSY | CHINA SKY ONE MED INC COM |
| CT | CAPITAL TRUST INC MD CL A NEW |
| CTAC | 1-800 Contacts Inc. - Common Stock |
| CTAS | CINTAS CORP COM |
| CTB | COOPER TIRE & RUBR CO COM |
| CTBC | CONNECTICUT BK&TR CO HART NEW COM |
| CTBI | COMMUNITY TR BANCORP INC COM |
| CTBIP | Community Trust Bancorp Inc. - CTBI Preferred Capital Trust - 9.0% Cumulative Trust Preferred Securities |
| CTBK | CITY BK LYNNWOOD WASH COM |
| CTC | IFM INVTS LTD ADS CL A NEW |
| CTCH | COMMTOUCH SOFTWARE LTD SHS NEW |
| CTCHD | Commtouch Software Ltd. - Ordinary Shares |
| CTCI | CT Communications Inc. - Common Stock |
| CTCM | CTC MEDIA INC COM |
| CTCO | Commonwealth Telephone Enterprises Inc. - Common Stock |
| CTCT | CONSTANT CONTACT INC COM |
| CTDC | CHINA TECH DEVELOPMENT GP CORP SHS |
| CTE | SINOTECH ENERGY LTD SPONSORED ADS |
| CTEC | Cholestech Corporation - Common Stock |
| CTEK | CLEANTECH INNOVATIONS INC COM |
| CTEL | CITY TELECOM H K LTD SPONSORED ADR |
| CTF | NUVEEN LG/SHT COMMODITY TOTRTN COM UT BEN INT |
| CTFO | CHINA TRANSINFO TECHNLOGY CORY COM |
| CTG | Computer Task Group Incorporated Common Stock |
| CTGI | Capital Title Group Inc. - Common Stock |
| CTGX | COMPUTER TASK GROUP INC COM |
| CTH | Citigroup Funding Inc. |
| CTHR | CHARLES & COLVARD LTD COM |
| CTIB | CTI INDUSTRIES CORP COM NEW |
| CTIC | CELL THERAPEUTICS INC COM NPV NEW 2012 |
| CTICD | CELL THERAPEUTICS INC COM NO PAR NEW |
| CTL | CENTURYLINK INC COM |
| CTLM | Centillium Communications Inc. - Common Stock |

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| CTNN | BARCLAYS BK PLC IPT COTTON ETN |
| CTO | CONSOLIDATED TOMOKA LD CO COM |
| CTP | CTPARTNERS EXECUTIVE SEARCH IN COM |
| CTQ | QWEST CORP NT 7.375% 51 |
| CTR | CLEARBRIDGE ENERGY MLP TR FD COM |
| CTRA | Centra Software Inc. Common Stock |
| CTRN | CITI TRENDS INC COM |
| CTRP | CTRIP COM INTL LTD AMERICAN DEP SHS |
| CTRX | CATAMARAN CORP COM |
| CTS | CTS CORP COM |
| CTSH | COGNIZANT TECHNOLOGY SOLUTIONS CL A |
| CTT | COMPETITIVE TECHNOLOGIES INC COM |
| CTTY | Catuity Inc. - Common Stock |
| CTU | QWEST CORP NT 7% 25 |
| CTV | COMMSCOPE INC COM |
| CTW | QWEST CORP NOTES 7.5% |
| CTWS | CONNECTICUT WTR SVC INC COM |
| CTX | QWEST CORP NT 52 |
| CTXS | CITRIX SYS INC COM |
| CTY | QWEST CORP NT |
| CTZ-A | CITIZENS FDG TR I PREF ENHANC TR |
| CTZ-B | Citizens Republic Bancorp Inc. Contingent Convertible Perpetual Non-Cumulative Preferred Stock Series A |
| CTZN | CITIZENS FIRST BANCORP INC DEL COM |
| CU | FIRST TR ISE GLOBL COPPR INDEX COM |
| CUB | CUBIC CORP COM |
| CUBA | HERZFELD CARIBBEAN BASIN FD COM |
| CUBE | CUBESMART COM |
| CUBE-A | CUBESMART 7.75% RED PFD SH |
| CUBI | CUSTOMERS BANCORP INC COM |
| CUD | DEUTSCHE BK AG LDN BRH ETN CAD/USD 23 |
| CUI | CUI GLOBAL INC COM NEW |
| CUK | CARNIVAL PLC ADR |
| CUL | MERRILL LYNCH & CO INC LEVR S&P500 10 |
| CULS | Cost-U-Less Inc. - Common Stock |
| CUNB | CU BANCORP CALIF COM |
| CUO | CONTINENTAL MATLS CORP COM PAR \$0.25 |
| CUP | Peru Copper Inc |
| CUP+ | Peru Copper Inc |
| CUPM | BARCLAYS BK PLC IPT COPPER ETN |
| CUPWS | PERU COPPER INC WTS |
| CUR | NEURALSTEM INC COM |
| CURE | DIREXION SHS ETF TR HEALTHCARE BUL |
| CURN | CURRENCY EXCHANGE INTL CORP COM |
| CUT | CLAYMORE EXCHANGE TRD FD TR 2 GUGG TIMBER ETF |
| CUTR | CUTERA INC COM |
| CUZ | COUSINS PPTYS INC COM |
| CUZ-A | COUSINS PPTYS INC PFD A 7.75% |
| CUZ-A* | COUSINS PPTYS INC PFD A 7.75% |
| CUZ-B | COUSINS PPTYS INC PFD B 7.50% |
| CV | CENTRAL VT PUB SVC CORP COM |
| CVA | COVANTA HLDG CORP COM |
| CVB | CORPORATE BACKED TR CTFS SER 02-6 7.75% |
| CVBF | CVB FINL CORP COM |
| CVBG | Civitas BankGroup Inc. (TN) - Common Stock |
| CVBK | CENTRAL VA BANKSHARES INC COM |
| CVC | CABLEVISION SYS CORP CL A NY CABLVS |
| CVC# | CABLEVISION SYS CORP EX DISTRIBUTED |
| CVCO | CAVCO INDS INC DEL COM |
| CVCY | CENTRAL VALLEY CMNTY BANCORP COM |
| CVD | COVANCE INC COM |
| CVE | CENOVUS ENERGY INC COM |

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| CVE# | CENOVUS ENERGY INC COM |
| CVE-U | Cleveland Electric Financing Trust I 9% Cumulative Trust Preferred Securities |
| CVE-U* | Cleveland Electric Financing Trust I 9% Cumulative Trust Preferred Securities |
| CVF | BANK AMER CORP RTN S&P500 12 |
| CVG | CONVERGYS CORP COM |
| CVGI | COMMERCIAL VEH GROUP INC COM |
| CVGR | Covalent Group Inc. - Common Stock |
| CVGW | CALAVO GROWERS INC COM |
| CVH | COVENTRY HEALTH CARE INC COM |
| CVI | CVR ENERGY INC COM |
| CVI* | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-23 Series A-1 (Issued by Ryder System Inc.) due December 1 2025 |
| CVL | CELUMOVIL SA ADR REPSTG |
| CVLL | COMMUNITY VALLEY BANCORP CA COM |
| CVLT | COMMVAULT SYSTEMS INC COM |
| CVLY | CODORUS VY BANCORP INC COM |
| CVM | CEL-SCI CORP COM NEW |
| CVN | Conversion Services International Inc |
| CVNS | Covansys Corporation - Common Stock |
| CVO | CENVEO INC COM |
| CVOL | CITIGROUP INC NEW ETN CITI VOL 20 |
| CVP | Centerplate Inc |
| CVR | CHICAGO RIVET & MACH CO COM |
| CVRR | CVR REFNG LP COMUNIT REP LT |
| CVRT | POWERSHARES ETF TRUST II CONV PORTFOLIO |
| CVS | CVS CAREMARK CORPORATION COM |
| CVT | TCW Convertible Securities Fund Inc. Common Stock |
| CVTI | COVENANT TRANSN GROUP INC CL A |
| CVTX | CV THERAPEUTICS INC COM |
| CVU | CPI AEROSTRUCTURES INC COM NEW |
| CVV | CVD EQUIPMENT CORP COM |
| CVVT | CHINA VALVES TECHNOLOGY INC COM NEW |
| CVW | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-24 Class A-1 (Issued by Deutsche Telekom International Finance B.V.) |
| CVW* | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-24 Class A-1 (Issued by Deutsche Telekom International Finance B.V.) |
| CVX | CHEVRON CORP NEW COM |
| CVY | CLAYMORE EXCHANGE TRD FD TR GUG MULTI ASSET |
| CW | CURTISS WRIGHT CORP COM |
| CWB | SPDR SERIES TRUST BRC CNV SECS ETF |
| CWBC | COMMUNITY WEST BANCSHARES COM |
| CWBS | COMMONWEALTH BANKSHARES INC COM |
| CWBSP | Commonwealth Bankshares Inc. - Commonwealth Bankshares Capital Trust I - 8% Convertible Trust Preferred Securities |
| CWCO | CONSOLIDATED WATER CO INC ORD |
| CWEI | WILLIAMS CLAYTON ENERGY INC COM |
| CWF | CHARTWELL DIVD & INCOME FD INC COM |
| CWG | CanWest Global Communications Corp. Non-Voting Shares |
| CWH | COMMONWEALTH REIT COM SH BEN INT |
| CWH-B | COMMONWEALTH REIT PFD SER B |
| CWH-B* | COMMONWEALTH REIT PFD SER B |
| CWH-C | COMMONWEALTH REIT CUM RED PFD SER |
| CWH-C* | COMMONWEALTH REIT CUM RED PFD SER |
| CWH-D | COMMONWEALTH REIT 6.50% PFD CUM CO |
| CWH-E | COMMONWEALTH REIT CV PFD-E 7.25% |
| CWHN | COMMONWEALTH REIT SR NT |
| CWHO | COMMONWEALTH REIT SR NT 5.75% |
| CWI | SPDR INDEX SHS FDS MSCI ACWI EXUS |
| CWK | CHADWICK'S OF BOSTON LTD |
| CWL | |
| CWLZ | COWLITZ BANCORP LONGVIEW WASH COM NEW |

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| CWLZD | COWLITZ BANCORP LONGVIEW WASH COM NEW |
| CWS | CHINA WIND SYSTEMS INC COM NEW |
| CWST | CASELLA WASTE SYS INC CL A |
| CWT | CALIFORNIA WTR SVC GROUP COM |
| CWTR | COLDWATER CREEK INC COM NEW |
| CWZ | CORPORATE BACKED TR CTFS SER 01-27 8.875% |
| CX | CEMEX SAB DE CV SPON ADR NEW |
| CXA | SPDR SERIES TRUST NUVN CALI MUNI |
| CXDC | CHINA XD PLASTICS CO LTD COM |
| CXE | MFS HIGH INCOME MUN TR SH BEN INT |
| CXG | CNX GAS CORP COM |
| CXH | MFS INVT GRADE MUN TR SH BEN INT |
| CXM | CARDIUM THERAPEUTICS INC COM |
| CXN | Circle Group Holdings Inc |
| CXO | CONCHO RES INC COM |
| CXP | Corporate Express N.V. American Depositary Shares (Each representing one Ordinary Share) |
| CXPO | CRIMSON EXPLORATION INC COM NEW |
| CXR | COX RADIO INC CL A |
| CXS | CREXUS INVT CORP COM |
| CXSP | Chemgenex Pharmaceuticals Ltd - Sponsored American Depositary Receipt (Australia) |
| CXW | CORRECTIONS CORP AMER NEW COM NEW |
| CXW# | Corrections Corporation of America New Common Shares |
| CXZ | CROSSHAIR ENERGY CORP COM |
| CY | CYPRESS SEMICONDUCTOR CORP COM |
| CY# | Cypress Semiconductor Corporation Common Stock |
| CYAN | CYANOTECH CORP COM PAR \$0.02 |
| CYAND | Cyanotech Corporation - Common Stock |
| CYB | WISDOMTREE TRUST CHINESE YUAN ETF |
| CYBE | CYBEROPTICS CORP COM |
| CYBI | CYBEX INTL INC COM |
| CYBS | CYBERSOURCE CORP COM |
| CYBX | CYBERONICS INC COM |
| CYC | AMEX MORGAN STANLEY XXX |
| CYCC | CYCLACEL PHARMACEUTICALS INC COM NEW |
| CYCCP | CYCLACEL PHARMACEUTICALS INC PFD CONV EX 6% |
| CYCL | CENTENNIAL COMMUNCTNS CORP NEW CL A NEW |
| CYD | CHINA YUCHAI INTL LTD COM |
| CYDE | CYBERDEFENDER CORP COM |
| CYDS | Cygne Designs Inc - Common Stock |
| CYE | BLACKROCK CORPOR HI YLD III COM |
| CYF | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-4 due 7/15/2037 |
| CYG | CORP BACKED TRUST CTFS |
| CYG* | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-5 Class A-1 (Issued by MBNA Capital A) due 12/1/2026 |
| CYH | COMMUNITY HEALTH SYS INC NEWCO COM |
| CYI | Lehman ABS Corporation Corporate-Backed Trust Certificates Series 2001-7 (Issued by KeyCorp Capital III) due 7/15/2029 |
| CYI* | Lehman ABS Corporation Corporate-Backed Trust Certificates Series 2001-7 (Issued by KeyCorp Capital III) due 7/15/2029 |
| CYL | COMMUNITY CAPITAL CORP |
| CYMI | CYMER INC COM |
| CYN | CITY NATL CORP COM |
| CYN-C | CITY NATL CORP DEP 1/40TH PFD C |
| CYNI | CYAN INC COM |
| CYNO | CYNOSURE INC CL A |
| CYOU | CHANGYOU COM LTD ADS REP CL A |
| CYP | CORPORATE BACKED TR CTFS SER 2001-8 7.375 |
| CYPB | CYPRESS BIOSCIENCES INC COM PAR \$.02 |
| CYPT | CRYOPORT INC COM NEW |
| CYPTW | CRYOPORT INC WT EXP 000014 |

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| CYR | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-9 (Issued by DaimlerChrysler Corporation) |
| CYR* | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-9 (Issued by DaimlerChrysler Corporation) |
| CYS | CYS INVTS INC COM |
| CYS-A | CYS INVTS INC CUM REDEEMABLE P |
| CYS-B | CYS INVTS INC PFD SER B |
| CYT | CYTEC INDS INC COM |
| CYTC | Cytc Corporation - Common Stock |
| CYTK | CYTOKINETICS INC COM |
| CYTO | Cytogen Corporation - Common Stock |
| CYTR | CYTRX CORP COM PAR \$.001 |
| CYTX | CYTORI THERAPEUTICS INC COM |
| CYTXW | CYTORI THERAPEUTICS INC WT EXP 091314 |
| CZA | CLAYMORE EXCHANGE TRD FD TR GUG MIDCAP CORE |
| CZFC | CITIZENS FIRST CORP COM |
| CZG | Claymore Exchange-Traded Fund Trust |
| CZH | AMEX CHINA INDEX XXX |
| CZI | DIREXION SHS ETF TR CHINA BEAR 3X |
| CZJ | CITIGROUP FDG INC NT ASIAN CUR08 |
| CZM | DIREXION SHS ETF TR CHINA BULL 3X |
| CZN | Citizens Communications Company Series B Common Stock |
| CZN- | Citizens Utilities Trust Citizens Utilities Capital L.P. 5% Convertible Preferred Securities (Equity Providing Preferred Income Convertible Securities--'EPPICS') |
| CZN-* | Citizens Utilities Trust Citizens Utilities Capital L.P. 5% Convertible Preferred Securities (Equity Providing Preferred Income Convertible Securities--'EPPICS') |
| CZNC | CITIZENS & NORTHN CORP COM |
| CZR | CAESARS ENTMT CORP COM |
| CZWI | CITIZENS CMNTY BANCORP INC MD COM |
| CZWID | Citizens Community Bancorp Inc. - Common Stock |
| CZZ | COSAN LTD SHS A |
| D | DOMINION RES INC VA NEW COM |
| D# | Dominion Resources Inc. Common Stock |
| D-A | Dominion Resources Capital Trust II 8.4% Trust Preferred Securities |
| D-A* | Dominion Resources Capital Trust II 8.4% Trust Preferred Securities |
| D-U | Dominion Resources Inc. 8.75% Upper DECS Equity Income Securities Corporate Units due 5/15/2006 |
| DA | Groupe Danone American Depositary Shares (Each representing 1/5th of a Share of Common Stock) |
| DAB | Dave & Buster's Inc. Common Stock |
| DAC | DANAOS CORPORATION SHS |
| DADE | Dade Behring Holdings Inc - Common Stock |
| DAEG | DAEGIS INC COM |
| DAG | DEUTSCHE BK AG LDN BRH PS AGRI DL ETN |
| DAGM | DAG Media Inc. - Common Stock |
| DAI | DAIMLER AG REG SHS |
| DAIEY | Dai'ei Inc. - American Depositary Shares exempt pursuant to 12g3-2(b) |
| DAIO | DATA I O CORP COM |
| DAKT | DAKTRONICS INC COM |
| DAL | DELTA AIR LINES INC DEL COM NEW |
| DAL# | DELTA AIR LINES INC DEL COM NEW |
| DAN | DANA HLDG CORP COM |
| DANG | E-COMMERCE CHINA DANGDANG INC SPN ADS COM A |
| DANKY | Danka Business Systems PLC - American Depositary Shares |
| DAR | DARLING INTL INC COM |
| DARA | DARA BIOSCIENCES INC COM NEW |
| DARAD | DARA BIOSCIENCES INC COM NEW |
| DASTY | DASSAULT SYS S A SPONSORED ADR |
| DATA | TABLEAU SOFTWARE INC CL A |
| DATE | JIAYUAN COM INTL LTD SPONSORED ADR |
| DAVE | FAMOUS DAVES AMER INC COM |
| DAX | NETS Trust |
| DB | DEUTSCHE BANK AG NAMEN AKT |

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| DBA | POWERSHS DB MULTI SECT COMM TR PS DB AGRICUL FD |
| DBB | POWERSHS DB MULTI SECT COMM TR DB BASE METALS |
| DBBR | DBX ETF TR XTRAK MSCI BRAZL |
| DBC | POWERSHARES DB CMDTY IDX TRACK UNIT BEN INT |
| DBCN | DBX ETF TR XTRAK MSCI CDA |
| DBD | DIEBOLD INC COM |
| DBE | POWERSHS DB MULTI SECT COMM TR DB ENERGY FUND |
| DBEF | DBX ETF TR XTRAK MSCI EAFE |
| DBEM | DBX ETF TR XTRAK MSCI EMKT |
| DBGR | DBX ETF TR XTRAK MSCI CDA |
| DBIZ | ADVISORSHARES TR PRING TRNR BUS |
| DBJP | DBX ETF TR XTRAK MSCI JAPN |
| DBL | DOUBLELINE OPPORTUNISTIC CR FD COM |
| DBLE | DOUBLE EAGLE PETE CO COM PAR \$0.10 |
| DBLEP | DOUBLE EAGLE PETE CO PFD SER A |
| DBN | WISDOMTREE TRUST INTL BAS MATER |
| DBO | POWERSHS DB MULTI SECT COMM TR DB OIL FUND |
| DBP | POWERSHS DB MULTI SECT COMM TR DB PREC MTL |
| DBR | WISDOMTREE TRUST INTL HEALTH CA |
| DBRN | DRESS BARN INC COM |
| DBS | POWERSHS DB MULTI SECT COMM TR DB SILVER FUND |
| DBT | WISDOMTREE TRUST INTL TECHNOLOG |
| DBTK | DOUBLE-TAKE SOFTWARE INC COM |
| DBU | WISDOMTREE TRUST GLB EX US UTIL |
| DBV | POWERSHARES DB G10 CURCY HARVS COM UT BEN INT |
| DBX | MORGAN STANLEY BRIDGES 123009 |
| DBY | MORGAN STANLEY TARGET 8% 2011 |
| DBZ | MORGAN STANLEY STRTG TTLRET11 |
| DB^ | DEUTSCHE BANK A G RT |
| DB^# | DEUTSCHE BANK A G RT |
| DCA | VIRTUS TOTAL RETURN FD COM |
| DCAI | DIALYSIS CORP AMER COM |
| DCAP | DCAP GROUP INC COM |
| DCBK | Desert Community Bank - Common Stock |
| DCE | DEUTSCHE BK CAP FDG TR X NON CUM TR PFD |
| DCEL | Dobson Communications Corporation - Class A Common Stock |
| DCGN | DECODE GENETICS INC COM |
| DCI | DONALDSON INC COM |
| DCIN | DIGITAL CINEMA DESTINATIONS CP CL A COM |
| DCIX | DIANA CONTAINERSHIPS INC COM |
| DCIXV | DIANA CONTAINERSHIPS INC COM |
| DCM | NTT DOCOMO INC SPONS ADR |
| DCN | Dana Corporation Common Stock |
| DCNG | BARCLAYS BK PLC IPH NAT GAS |
| DCO | DUCOMMUN INC DEL COM |
| DCOM | DIME CMNTY BANCSHARES COM |
| DCP | DYNCORP INTL INC CL A |
| DCQ | The Walt Disney Company 7% Quarterly Interest Bonds due 2031 |
| DCQ* | The Walt Disney Company 7% Quarterly Interest Bonds due 2031 |
| DCR | Claymore MACROshares Oil Down Tradeable Trust |
| DCS | CLAYMORE DIVID & INCOME FD COM |
| DCT | DCT INDUSTRIAL TRUST INC COM |
| DCTH | DELCATH SYS INC COM |
| DCTHZ | DELCATH SYSTEMS WRNT |
| DCTI | CONSONUS TECHNOLOGIES INC COM |
| DCU | DRYCLEAN USA INC COM |
| DCUA | DOMINION RES INC VA NEW CRP UNIT 2013 A |
| DCUB | DOMINION RES INC VA NEW CRP UNIT 2013 B |
| DCV | MORGAN STANLEY PLUS DJ INDL09 |
| DCW | DCW TOTAL RETURN FD COM |
| DCX | MERRILL LYNCH & CO INC STRTG ACC DJIA10 |

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| DCZ | Decorize Inc |
| DD | DU PONT E I DE NEMOURS & CO COM |
| DD-A | DU PONT E I DE NEMOURS & CO PFD \$3.50 |
| DD-B | DU PONT E I DE NEMOURS & CO PFD \$4.50 |
| DDC | DOMINION DIAMOND CORP COM |
| DDD | 3-D SYS CORP DEL COM NEW |
| DDDC | DELTATHREE INC COM |
| DDE | DOVER DOWNS GAMING & ENTMT INC COM |
| DDE# | Dover Downs Gaming & Entertainment Inc. Common Stock |
| DDE\$ | Dover Downs Gaming & Entertainment Inc. Common Stock |
| DDEWD | DOVER DOWNS GAMING & |
| DDF | DELAWARE INVTS DIV & INCOME FD COM |
| DDG | PROSHARES TR PSHS SHT OIL&GAS |
| DDI | WISDOMTREE TRUST INTL INDUSTRIA |
| DDIC | DDI CORP COM 0.0001 NEW |
| DDICD | DDi Corp. New - Common Stock |
| DDM | PROSHARES TR PSHS ULTRA DOW30 |
| DDMG | DIGITAL DOMAIN MEDIA GROUP INC COM |
| DDMX | DYNAMEX INC COM |
| DDP | DEUTSCHE BK AG LDN BRH PS CMDTY SH ETN |
| DDR | DDR CORP COM |
| DDR-F | Developers Diversified Realty Corporation Depository Shares (Each representing 1/10th of a share of 8.60% Class F Cumulative Redeemable Preferred Shares) |
| DDR-F* | Developers Diversified Realty Corporation Depository Shares (Each representing 1/10th of a share of 8.60% Class F Cumulative Redeemable Preferred Shares) |
| DDR-G | DEVELOPERS DIVERSIFIED RLTY CO PFD 1/10 G 8% |
| DDR-G* | DEVELOPERS DIVERSIFIED RLTY CO PFD 1/10 G 8% |
| DDR-H | DDR CORP DEPOSITARY SH RE |
| DDR-I | DDR CORP PFD 1/20 SER I |
| DDR-I* | DDR CORP PFD 1/20 SER I |
| DDR-J | DDR CORP DEPSHS1/20 CLJ |
| DDR-K | DDR CORP DEP 1/20TH CL K |
| DDR-X | DIEDRICH COFFEE INC COM NEW |
| DDS | DILLARDS INC CL A |
| DDSS | LABOPHARM INC COM |
| DDT | DILLARDS CAP TR I CAP SECS 7.5% |
| DDUP | DATA DOMAIN INC COM |
| DDVX | UBS AG LONDON BRH ETRACS 4MT EQT |
| DDX | AMEX DISK DRIVE INDEXXXX |
| DE | DEERE & CO COM |
| DE# | Deere & Company Common Stock |
| DEAR | DEARBORN BANCORP INC COM |
| DEB | WISDOMTREE TRUST EUROPE TOT DIV |
| DEBS | Deb Shops Inc. - Common Stock |
| DECC | D & E COMMUNICATIONS INC COM |
| DECK | DECKERS OUTDOOR CORP COM |
| DECT | Dectron International Inc. - Common Stock |
| DEE | DEUTSCHE BK AG LDN BRH PS CMDT DS ETN |
| DEEP | Superior Offshore International Inc. - Common Stock |
| DEER | DEER CONSUMER PRODS INC COM NEW |
| DEF | CLAYMORE EXCHANGE TRD FD TR GUGGEN DEFN EQTY |
| DEFL | DEUTSCHE BK AG LONDON BRH US DEFLATION |
| DEG | ETABLISSEMENTS DELHAIZE FRERES SPONSORED ADR |
| DEI | DOUGLAS EMMETT INC COM |
| DEIX | Directed Electronics Inc. - Common stock |
| DEJ | DEJOUR ENERGY INC COM |
| DEK | Dekania Corp |
| DEK+ | Dekania Corp |
| DEK= | Dekania Corp |
| DEL | DELTIC TIMBER CORP COM |
| DELL | DELL INC COM |

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| DELT | Delta Galil Industries Ltd. - American Depositary Shares |
| DEM | WISDOMTREE TRUST EMERG MKTS ETF |
| DENN | DENNYS CORP COM |
| DENT | ADVISORSHARES TR DENT TACTL ETF |
| DEO | DIAGEO P L C SPON ADR NEW |
| DEP | DUNCAN ENERGY PARTNERS LP COM UNITS |
| DEPO | DEPOMED INC COM |
| DER | De Rigo S.p.A. American Depositary Shares (Each representing one Ordinary Share) |
| DES | WISDOMTREE TRUST SMALLCAP DIVID |
| DESC | Distributed Energy Systems Corporation - Common Stock |
| DEST | DESTINATION MATERNITY CORP COM |
| DEV | MERRILL LYNCH & CO INC NT DOWJNS 10 |
| DEV* | MORGAN STANLEY SPARQ 8.5%2007 |
| DEVC | Devcon International Corp. - Common Stock |
| DEW | WISDOMTREE TRUST GLB EQTY INC FD |
| DEX | DELAWARE ENHANCED GBL DIV & IN COM |
| DEXO | DEX ONE CORP COM |
| DEZ | Desert Sun Mining Corp |
| DF | DEAN FOODS CO NEW COM |
| DF# | DEAN FOODS CO NEW EX DISTRIB WI |
| DFB | MORGAN STANLEY BRIDGES 103009 |
| DFC | Delta Financial Corporation - Common Stock |
| DFE | WISDOMTREE TRUST EUROPE SMCP DV |
| DFF | BANK AMER CORP LNK DJ INDSTL |
| DFG | DELPHI FINL GROUP INC CL A |
| DFG# | Delphi Financial Group Inc. Class A Common Stock |
| DFI | AMEX DEFENSE INDEX XXX |
| DFJ | WISDOMTREE TRUST JP SMALLCP DIV |
| DFP | FLAHERTY & CRUMRINE DYN PFD SHS |
| DFR | CIFC CORP COM |
| DFRG | DEL FRISCOS RESTAURANT GROUP I COM |
| DFS | DISCOVER FINL SVCS COM |
| DFS# | DISCOVER FINANCIAL SERVICES WI |
| DFS-B | DISCOVER FINL SVCS DEP SHS |
| DFT | DUPONT FABROS TECHNOLOGY INC COM |
| DFT-A | DUPONT FABROS TECHNOLOGY INC PERP PFD SER A |
| DFT-B | DUPONT FABROS TECHNOLOGY INC CUM PERP PFD-B |
| DFVL | BARCLAYS BK PLC TRES 5YR BULL |
| DFVS | BARCLAYS BK PLC TRES 5YR BEAR |
| DFY | DELPHI FINL GROUP INC NT SR 8% 2033 |
| DFY* | DELPHI FINL GROUP INC NT SR 8% 2033 |
| DFZ | BARRY R G CORP OHIO COM |
| DG | DOLLAR GEN CORP NEW COM |
| DGAS | DELTA NAT GAS INC COM |
| DGAZ | CREDIT SUISSE NASSAU BRH VS 3XLNGNATGAS |
| DGC | DGSE COMPANIES INC COM |
| DGD | Merrill Lynch |
| DGF | DELAWARE INV GLBL DIV & INC FD COM |
| DGG | WISDOMTREE TRUST INTL COMMUNICA |
| DGI | DIGITALGLOBE INC COM NEW |
| DGICA | DONEGAL GROUP INC CL A |
| DGICB | DONEGAL GROUP INC CL B |
| DGII | DIGI INTL INC COM |
| DGIN | Digital Insight Corporation - Common Stock |
| DGIT | DIGITAL GENERATION INC COM |
| DGITD | Digital Generation Systems Inc. - Common Stock |
| DGK | MERRILL LYNCH & CO INC STARS DJIA 10 |
| DGL | POWERSHS DB MULTI SECT COMM TR DB GOLD FUND |
| DGLD | CREDIT SUISSE NASSAU BRH 3X INVERS GOLD |
| DGLY | DIGITAL ALLY INC COM NEW |
| DGP | DEUTSCHE BK AG LDN BRH PS GOLD DL ETN |

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| DGRW | WISDOMTREE TR US DIVD GRT FD |
| DGS | WISDOMTREE TRUST EMG MKTS SMCAP |
| DGSE | DGSE COMPANIES INC COM |
| DGT | SPDR SERIES TRUST GLB DOW ETF |
| DGW | DUOYUAN GLOBAL WTR INC SPONSORED ADR |
| DGX | QUEST DIAGNOSTICS INC COM |
| DGZ | DEUTSCHE BK AG LDN BRH PS GOLD SH ETN |
| DHB | DHB Industries Inc |
| DHF | DREYFUS HIGH YIELD STRATEGIES SH BEN INT |
| DHFT | DIAMOND HILL FINL TRNDS FD INC COM |
| DHG | DWS HIGH INCOME OPPORT FD INC COM NEW |
| DHI | D R HORTON INC COM |
| DHIL | DIAMOND HILL INVESTMENT GROUP COM NEW |
| DHM | COBALTS TR FOR SPRINT CAP NTS COBALS 8.125% |
| DHM* | Structured Obligations Corporation 8.125% Corporate Obligation Backed Listed Trust Securities (COBALTS) Trust Capital Certificates 2002-1 |
| DHOM | Dominion Homes Inc. - Common Stock |
| DHR | DANAHER CORP DEL COM |
| DHRM | DEHAIER MEDICAL SYSTEMS LIMITE SHS |
| DHS | WISDOMTREE TRUST EQTY INC ETF |
| DHT | DHT HOLDINGS INC SHS NEW |
| DHX | DICE HLDGS INC COM |
| DHY | CREDIT SUISSE HIGH YLD BND FD SH BEN INT |
| DHY-# | CREDIT SUISSE HIGH YLD BND FD RT |
| DHY^ | CREDIT SUISSE HIGH YLD BND FD RT |
| DHY^# | CREDIT SUISSE HIGH YLD BND FD RT |
| DIA | SPDR DOW JONES INDL AVRG ETF UT SER 1 |
| DIAL | DIAL GLOBAL INC CL A |
| DIET | EDIETS COM INC COM NEW |
| DIETD | EDIETS COM INC COM NEW |
| DIG | PROSHARES TR PSHS ULTRA O&G |
| DIGA | DIGITAL ANGEL CORP NEW COM NEW |
| DIGAD | DIGITAL ANGEL CORP NEW COM NEW |
| DIGE | Digene Corporation - Common Stock |
| DII | DECORATOR INDS INC COM PAR \$0.20 |
| DIIB | Dorel Industries Inc. - Class B Subordinate Voting Shares |
| DIL | Dyadic International Inc |
| DIM | WISDOMTREE TRUST INTL MIDCAP DV |
| DIMEZ | Washington Mutual Inc. - Dime Bancorp Litigation Tracking Warrant |
| DIN | DINEEQUITY INC COM |
| DINE | REWARDS NETWORK INC COM NEW |
| DINED | REWARDS NETWORK INC COM NEW |
| DIO | Diomed Holdings Inc |
| DIOD | DIODES INC COM |
| DIRT | BARCLAYS BK PLC IPTH AGRIC ETN |
| DIS | DISNEY WALT CO COM DISNEY |
| DIS# | The Walt Disney Company Disney Common Stock |
| DISAD | DISCOVERY COMMUNICATNS NEW COM SER A |
| DISBD | DISCOVERY COMMUNICATNS NEW COM SER B |
| DISCA | DISCOVERY COMMUNICATNS NEW COM SER A |
| DISCB | DISCOVERY COMMUNICATNS NEW COM SER B |
| DISCK | DISCOVERY COMMUNICATNS NEW COM SER C |
| DISH | DISH NETWORK CORP CL A |
| DISK | IMAGE ENTMT INC COM NEW |
| DIT | AMCON DISTRG CO COM NEW |
| DITC | DITECH NETWORKS INC COM |
| DIV | GLOBAL X FDS GLOBX SUPDV US |
| DIVS | RUSSELL EXCHANGE TRADED FDS TR SCAP HIDIV YLD |
| DIVX | DIVX INC COM |
| DJ | Dow Jones & Company Inc. Common Stock |
| DJCI | UBS AG JERSEY BRH DJ COMMD ETN39 |

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| DJCO | DAILY JOURNAL CORP COM |
| DJE | TIERS PRINCIPAL PROTECTED TR TIERS DJIA03-1 |
| DJL | MERRILL LYNCH & CO INC STARS DJ EURO9 |
| DJO | DJO Incorporated Common Stock |
| DJP | BARCLAYS BK PLC DJUBS CMDT ETN36 |
| DJQ | TIERS PRINCIPAL PROTECTED TR DJIA 03-16 08 |
| DJSP | DJSP ENTERPRISES INCORPORATED SHS |
| DJSPU | DJSP ENTERPRISES INCORPORATED UNIT EX 081112 |
| DJSPW | DJSP ENTERPRISES INCORPORATED WT EXP 081112 |
| DK | DELEK US HLDGS INC COM |
| DKA | WISDOMTREE TRUST INTL ENERGY |
| DKC | SATURNS GEN ELEC CAP CORP SER UNIT A 6% 2032 |
| DKC* | SATURNS GEN ELEC CAP CORP SER UNIT A 6% 2032 |
| DKF | SATURNS GOODRICH CORP SER 2002 DEB BK 8%02-15 |
| DKF* | SATURNS GOODRICH CORP SER 2002 DEB BK 8%02-15 |
| DKI | SATURNS SPRINT CAP CORP 2003-2 UN A 8.625%32 |
| DKI* | SATURNS SPRINT CAP CORP 2003-2 UN A 8.625%32 |
| DKK | SATURNS APM CAP TR A SER UNITS A 8%2027 |
| DKK* | SATURNS APM CAP TR A SER UNITS A 8%2027 |
| DKL | DELEK LOGISTICS PARTNERS LP COM UNT RP INT |
| DKL* | SATURN FORD MTR CO 2003-5 TR UT A 8.125% 31 |
| DKM | SATURNS DOW CHEM CO 2003-4 TR SATURNS 6.375% |
| DKM* | SATURNS DOW CHEM CO 2003-4 TR SATURNS 6.375% |
| DKP | SATURNS GOLDMAN SACHS GROUP UNIT A 6% 2033 |
| DKP* | SATURNS GOLDMAN SACHS GROUP UNIT A 6% 2033 |
| DKQ | SATURNS MAY DEPT STORES CO UT A 6.25% 32 |
| DKQ* | SATURNS MAY DEPT STORES CO UT A 6.25% 32 |
| DKR | SATURNS HERTZ CORP SER 2003-8 UNIT A 7% 2012 |
| DKR* | SATURNS HERTZ CORP SER 2003-8 UNIT A 7% 2012 |
| DKS | DICKS SPORTING GOODS INC COM |
| DKS# | Dick's Sporting Goods Inc. Common Stock \$.01 par value |
| DKT | DEUTSCHE BK CONTINGNT CAP TR V PFD 8.05% SEC |
| DKV | MS Structured Asset Corp. SATURNS The Hertz Corporation Debenture Backed Series 2003-10 7.75% Callable Units |
| DKW | SATURNS GOLDMAN SACHS GP 03-11 UNIT 5.625 33 |
| DKW* | SATURNS GOLDMAN SACHS GP 03-11 UNIT 5.625 33 |
| DKX | SATURNS DAIMLERCHRYSLER 03-12 UNIT A 7% 2031 |
| DKY | SATURNS CR SUISS 1ST BSTN 3-13 TR UNIT A6.250 |
| DKY* | SATURNS CR SUISS 1ST BSTN 3-13 TR UNIT A6.250 |
| DKZ | MS Structured Asset Corp. SATURNS AT&T Corp. Debenture Backed Series 2003-14 6.875% Adjustable Rate Class A Callable Units |
| DL | CHINA DISTANCE ED HLDGS LTD SPONS ADR |
| DLA | DELTA APPAREL INC COM |
| DLB | DOLBY LABORATORIES INC COM |
| DLBL | BARCLAYS BK PLC 30 YR TREAS BULL |
| DLBS | BARCLAYS BK PLC 30 YR TREAS BEAR |
| DLC | DLC RLTY TR INC COM |
| DLGC | DIALOGIC INC COM NEW |
| DLGS | Dialog Semiconductor Plc - American Depositary Shares |
| DLHC | DLH HLDGS CORP COM |
| DLIA | DELIA'S INC NEW COM |
| DLIAR | dELIA*s Inc. Transferable Rights to Purchase Common Stock |
| DLIAV | DELIA*S INC. |
| DLK | Semotus Solutions Inc |
| DLLR | DFC GLOBAL CORP COM |
| DLM | DEL MONTE FOODS CO COM |
| DLN | WISDOMTREE TRUST LARGE CAP DIVID |
| DLP | Delta and Pine Land Company Common Stock |
| DLPH | DELPHI AUTOMOTIVE PLC SHS |
| DLPWD | DELTA AND PINE LAND |
| DLPX | DelphaxTechnologies Inc. - Common Stock |
| DLR | DIGITAL RLTY TR INC COM |

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| DLR-A | DIGITAL RLTY TR INC PFD A 8.50% |
| DLR-A* | DIGITAL RLTY TR INC PFD A 8.50% |
| DLR-B | DIGITAL RLTY TR INC PFD CM B 7.875 |
| DLR-B* | DIGITAL RLTY TR INC PFD CM B 7.875 |
| DLR-E | DIGITAL RLTY TR INC PFD-E |
| DLR-F | DIGITAL RLTY TR INC PFD-F |
| DLR-G | DIGITAL RLTY TR INC PFD SER G 5.875% |
| DLS | WISDOMTREE TRUST INTL SMCAP DIV |
| DLTR | DOLLAR TREE INC COM |
| DLX | DELUXE CORP COM |
| DM | DOLAN CO COM |
| DM-B | DOLAN CO 8.5 PFD SER B |
| DMAN | DEMANDTEC INC COM NEW |
| DMAX | DILMAX CORP COM |
| DMB | DREYFUS MUN BD INFRSTRCTR FD SHS |
| DMC | DOCUMENT SEC SYS INC COM |
| DMD | DEMAND MEDIA INC COM |
| DMED | D MEDICAL INDUSTRIES LTD SHS |
| DMF | DREYFUS MUN INCOME INC COM |
| DMG-A | Dominion CNG Capital Trust I 7.8% Trust Preferred Securities |
| DMG-A* | Dominion CNG Capital Trust I 7.8% Trust Preferred Securities |
| DMGI | Digital Music Group Inc. - Common Stock |
| DMH | BANK AMER CORP BEAR ISHS DJ10 |
| DMI | Morgan Stanley |
| DMJ | MORGAN STANLEY MPS DJIA123009 |
| DMLP | DORCHESTER MINERALS LP COM UNIT |
| DMM | MACROSHARES MAJOR MTR HSG DOWN SHS |
| DMND | DIAMOND FOODS INC COM |
| DMO | WESTERN ASSET MTG DEF OPPTY FD COM |
| DMP | MERRILL LYNCH & CO INC NT LK BIOIDX07 |
| DMRC | DIGIMARC CORP NEW COM |
| DMU | Merrill Lynch |
| DMX | I-Trax Inc |
| DMY | Merrill Lynch |
| DNA | GENENTECH INC COM NEW |
| DNAC | DYNACS INC |
| DNB | DUN & BRADSTREET CORP DEL NEW COM |
| DNBF | DNB FINL CORP COM |
| DNBK | DANVERS BANCORP INC COM |
| DND | WISDOMTREE TRUST PAC EXJP TOT D |
| DNDN | DENDREON CORP COM |
| DNE | DUNE ENERGY INC COM PAR \$0.001 |
| DNEX | DIONEX CORP COM |
| DNH | WISDOMTREE TRUST PAC EX-JAP ETF |
| DNI | DIVIDEND & INCOME FUND COM NEW |
| DNKN | DUNKIN BRANDS GROUP INC COM |
| DNL | WISDOMTREE TRUST GLB EX US GRWTH |
| DNN | DENISON MINES CORP COM |
| DNO | UNITED STS SHORT OIL FD LP UNITS |
| DNP | DNP SELECT INCOME FD COM |
| DNP^ | DNP SELECT INCOME FD RT |
| DNP^# | DNP SELECT INCOME FD RT |
| DNR | DENBURY RES INC COM NEW |
| DNR# | Denbury Resources Inc. Common Shares (Delaware) |
| DNY | DENALI FD INC COM |
| DO | DIAMOND OFFSHORE DRILLING INC COM |
| DOC | Digital Angel Corp |
| DOCC | DocuCorp International Inc. - Common Stock |
| DOCX | Document Sciences Corporation - Common Stock |
| DOD | DEUTSCHE BK AG LONDON ETN DJ HY 2022 |
| DOG | PROSHARES TR PSHS SHORT DOW30 |

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| DOIL | CREDIT SUISSE NASSAU BRH VS 3X INV BREN |
| DOL | WISDOMTREE TRUST INTL LRGCAP DV |
| DOLE | DOLE FOOD CO INC NEW COM |
| DOM | DOMINION RES BLACK WARRIOR TR UNITS BEN INT |
| DON | WISDOMTREE TRUST MIDCAP DIVI FD |
| DOO | WISDOMTREE TRUST INTL DIV EX FINL |
| DOR | DYNAMIC OFFSHORE RES INC COM |
| DORM | DORMAN PRODUCTS INC COM |
| DOTN | Merrill Lynch & Co. Inc. - Strategic Return Notes Linked to the Select Ten Index due February 2008 |
| DOV | DOVER CORP COM |
| DOVP | DOV Pharmaceutical Inc. - Common Stock |
| DOVR | DOVER SADDLERY INC COM |
| DOW | DOW CHEM CO COM |
| DOWT | Merrill Lynch & Co. Inc. - Strategic Return Notes Linked to Select Ten due March 2 2009 |
| DOX | AMDOCS LTD ORD |
| DOY | MACROSHARES 100 OIL DOWN TR UNIT NEW |
| DP | Diagnostic Products Corporation Common Stock |
| DPC | WISDOMTREE TRUST INTL CONS DISCRT |
| DPD | DOW 30 PREMIUM & DIV INC FD COM |
| DPG | DUFF & PHELPS GLB UTL INC FD COM |
| DPII | Discovery Partners International Inc. Common Stock |
| DPK | DIREXION SHS ETF TR DLY DEV MKT BEAR |
| DPL | DPL INC COM |
| DPM | DCP MIDSTREAM PARTNERS LP COM UT LTD PTN |
| DPN | WISDOMTREE TRUST INTL CONS NON |
| DPO | DOW 30SM ENHANCED PREM & INC COM |
| DPP | MORGAN STANLEY NT DJ 033011 |
| DPS | DR PEPPER SNAPPLE GROUP INC COM |
| DPS# | DR PEPPER SNAPPLE GROUP INC WI |
| DPTR | DELTA PETE CORP COM PAR \$0.01 |
| DPTRD | DELTA PETE CORP COM PAR \$0.01 |
| DPU | DEUTSCHE BK AG LDN BRH PS CMDT LG ETN |
| DPW | DIGITAL PWR CORP COM |
| DPZ | DOMINOS PIZZA INC COM |
| DQ | DAQO NEW ENERGY CORP SPNSRD ADR NEW |
| DQC | Duquesne Light Company 6.70% First Mortgage Public Income NotES (PINES) due April 30 2032 |
| DQC* | Duquesne Light Company 6.70% First Mortgage Public Income NotES (PINES) due April 30 2032 |
| DQE | Duquesne Light Holdings Inc. Common Stock |
| DQU-A | Duquesne Light Company \$2.10 Preferred Stock |
| DQU-B | Duquesne Light Company 3.75% Preferred Stock |
| DQU-C | Duquesne Light Company 4% Preferred Stock |
| DQU-D | Duquesne Light Company 4.10% Preferred Stock |
| DQU-E | Duquesne Light Company 4.15% Preferred Stock |
| DQU-G | Duquesne Light Company 4.20% Preferred Stock |
| DQU-H | Duquesne Light Company 6.50% Preferred Stock Cumulative \$50 par value |
| DR | Darwin Professional Underwriters Inc. Common Stock |
| DRA | Coinmach Service Corp |
| DRAD | DIGIRAD CORP COM |
| DRAM | DATARAM CORP COM PAR NEW \$1 |
| DRAX | Draxis Health Inc. - Common Shares |
| DRC | DRESSER-RAND GROUP INC COM |
| DRCO | DYNAMICS RESH CORP COM |
| DRCT | Direct General Corporation - Common stock |
| DRD | DRDGOLD LIMITED SPON ADR REPSTG |
| DRE | DUKE REALTY CORP COM NEW |
| DRE-I | Duke Realty Corporation Depository Shares (Each representing a 1/10 Ownership Interest in One 8.45% Series I Cumulative Redeemable Preferred Share) |
| DRE-I* | Duke Realty Corporation Depository Shares (Each representing a 1/10 Ownership Interest in One 8.45% Series I Cumulative Redeemable Preferred Share) |
| DRE-J | DUKE REALTY CORP PFD 1/10 SER J |
| DRE-K | DUKE REALTY CORP PFD 1/10 K 6.5 |

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| DRE-L | DUKE REALTY CORP PFD 1/10 L 6.6 |
| DRE-M | DUKE REALTY CORP PFD 1/10 SER M |
| DRE-M* | DUKE REALTY CORP PFD 1/10 SER M |
| DRE-N | DUKE REALTY CORP PFD 1/10 SER N |
| DRE-N* | DUKE REALTY CORP PFD 1/10 SER N |
| DRE-O | DUKE REALTY CORP PFD 1/10 SER O |
| DRE-O* | DUKE REALTY CORP PFD 1/10 SER O |
| DRF | WISDOMTREE TRUST INTL FINANCIAL |
| DRG | PHARMACEUTICAL INDEX XXX |
| DRGS | ROYAL BK OF SCOTLAND PLC BIG PHARMA ETN |
| DRH | DIAMONDROCK HOSPITALITY CO COM |
| DRI | DARDEN RESTAURANTS INC COM |
| DRIV | DIGITAL RIV INC COM |
| DRJ | DREAMS INC COM |
| DRL | DORAL FINL CORP COM NEW |
| DRMPR | DIAMOND SHAMROCK INC |
| DRN | DIREXION SHS ETF TR DLY R/E BULL3X |
| DROOD | DRDGOLD Limited - American Depositary Shares |
| DROOY | DRDGOLD LIMITED SPON ADR NEW |
| DRP | DWS RREEF WRLD REAL ESTATE FND COM NEW |
| DRQ | DRIL-QUIP INC COM |
| DRR | MORGAN STANLEY SHRT EUR ETN20 |
| DRRA | Dura Automotive Systems Inc. - Class A Common Stock |
| DRRAP | Dura Automotive Systems Inc. - Dura Automotive Systems Capital Trust - 7.50% Convertible Trust Preferred Securities |
| DRRX | DURECT CORP COM |
| DRS | DRS Technologies Inc. Common Stock |
| DRTE | Dendrite International Inc. - Common Stock |
| DRTK | Duratek Inc. - Common Stock |
| DRTX | DURATA THERAPEUTICS INC COM |
| DRU | DOMINION RES INC VA NEW ENH JR NT A 64 |
| DRV | DIREXION SHS ETF TR DLY R/E BEAR3X |
| DRW | WISDOMTREE TRUST GLB EX US RL EST |
| DRWI | DRAGONWAVE INC COM |
| DRY | Coinmach Service Corp |
| DRYR | DREYERS CALL PUT ## |
| DRYS | DRYSHIPS INC SHS |
| DSA | MORGAN STANLEY SPARQ DELL8%07 |
| DSA* | MORGAN STANLEY SPARQ DELL8%07 |
| DSC | SPDR SERIES TRUST DJ SML CAP ETF |
| DSCI | DERMA SCIENCES INC COM PAR \$.01 |
| DSCM | DRUGSTORE COM INC COM |
| DSCO | DISCOVERY LABORATORIES INC NEW COM NEW |
| DSCOD | DISCOVERY LABORATORIES INC NEW COM NEW |
| DSCP | Datascope Corp. - Common Stock |
| DSE | MERRILL LYNCH & CO INC NT LKD INDL 07 |
| DSF | DEFINED STRATEGY FD INC COM |
| DSF\$ | DEFINED STRATEGY FUND INC |
| DSG | SPDR SERIES TRUST DJ SML GRWTH ETF |
| DSGX | DESCARTES SYS GROUP INC COM |
| DSI | ISHARES TR MSCI KLD400 SOC |
| DSJ | MERRILL LYNCH & CO INC |
| DSK | MORGAN STANLEY SPARQS 052008 |
| DSK* | MORGAN STANLEY SPARQS 052008 |
| DSKX | DS HEALTHCARE GROUP INC COM |
| DSL | DOUBLELINE INCOME SOLUTIONS FD COM |
| DSLX | CREDIT SUISSE NASSAU BRH 3X INVERS SILV |
| DSM | DREYFUS STRATEGIC MUN BD FD COM |
| DSN | MERRILL LYNCH & COMPANY |
| DSO | MERRILL LYNCH & CO INC NT LKD SEL 07 |
| DSP | SP ACQUISITION HOLDINGS INC COM |

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| DSP+ | SP ACQUISITION HOLDINGS INC WT EXP 101012 |
| DSP= | SP ACQUISITION HOLDINGS INC UNIT EX 000012 |
| DSPG | DSP GROUP INC COM |
| DSS | DOCUMENT SEC SYS INC COM |
| DST | DST SYS INC DEL COM |
| DSTI | DAYSTAR TECHNOLOGIES INC COM PAR \$0.01 |
| DSTID | DAYSTAR TECHNOLOGIES INC COM NEW |
| DSTIZ | DayStar Technologies Inc. - Warrant |
| DSTJ | JPMORGAN CHASE & CO DBL SHRT US BD |
| DSU | BLACKROCK DEBT STRAT FD INC COM |
| DSUM | POWERSHARES ETF TR II ASIA PAC BD PR |
| DSUP | DAYTON SUPERIOR CORP COM |
| DSV | SPDR SERIES TRUST DJ SML VALUE ETF |
| DSW | DSW INC CL A |
| DSWL | DESWELL INDS INC COM |
| DSX | DIANA SHIPPING INC COM |
| DSXJ | JPMORGAN CHASE & CO DBL SHRT 10YR |
| DSZ | MERRILL LYNCH & CO INC NT LKD SL10 07 |
| DT | DEUTSCHE TELEKOM AG SPONSORED ADR |
| DTAS | Digitas Inc. - Common Stock |
| DTC | Domtar Inc. Common Shares |
| DTD | WISDOMTREE TRUST TOTAL DIVID FD |
| DTE | DTE ENERGY CO COM |
| DTE-A | DTE ENERGY TRUST I PFD GTD TR7.8% |
| DTE-A* | DTE ENERGY TRUST I PFD GTD TR7.8% |
| DTE-C | DTE ENERGY TR II TOPRS 7.50% |
| DTE-C* | DTE ENERGY TR II TOPRS 7.50% |
| DTF | DTF TAX-FREE INCOME INC COM |
| DTG | DOLLAR THRIFTY AUTOMOTIVE GP COM |
| DTH | WISDOMTREE TRUST DEFA EQT INC ETF |
| DTK | DEUTSCHE BK CONTGNT CAP TR III TR PFD 7.60% |
| DTLK | DATALINK CORP COM |
| DTN | WISDOMTREE TRUST DIV EX-FINL FD |
| DTO | DEUTSCHE BK AG LONDON BRH PS CRD OIL ETN |
| DTPI | DIAMOND MGMT & TECHNOLOGY CONS COM |
| DTQ | DTE ENERGY CO SUB DEB 62 |
| DTSI | DTS INC COM |
| DTT | DEUTSCHE BANK CAP FDG TR IX PFD 6.625% GTD |
| DTUL | BARCLAYS BK PLC 2 YR TREAS BULL |
| DTUS | BARCLAYS BK PLC 2 YR TREAS BEAR |
| DTV | DIRECTV COM |
| DTWO | DIGITAL DOMAIN INC COM |
| DTY | MERRILL LYNCH & CO INC NT LKD SL10 07 |
| DTYL | BARCLAYS BK PLC 10 YR TREAS BULL |
| DTYS | BARCLAYS BK PLC 10 YR TREAS BEAR |
| DTZ | DTE ENERGY CO JR SB DB6.5%61 |
| DUA | DEUTSCHE BK CAP FDG TR VIII PFD 6.375% |
| DUC | DUFF & PHELPS UTIL CORP BD TR COM |
| DUCK | DUCKWALL-ALCO STORES INC NEW COM |
| DUF | DUFF & PHELPS CORP NEW CL A |
| DUG | PROSHARES TR ULSHOIL&GASNEW13 |
| DUK | DUKE ENERGY CORP NEW COM NEW |
| DUK# | Duke Energy Corporation (Holding Company) Common Stock |
| DUK-A* | Duke Energy Corporation 6.375% Preferred Stock A 1993 Series |
| DUKH | DUKE ENERGY CORP NEW JR SUB DEB 73 |
| DUR | DUKE POWER CO LLC PEPS |
| DUSA | DUSA PHARMACEUTICALS INC COM |
| DUST | DIREXION SHS ETF TR GLD MNRS BEAR 3X |
| DV | DEVRY INC DEL COM |
| DVA | DAVITA HEALTHCARE PARTNERS INC COM |
| DVAX | DYNAVAX TECHNOLOGIES CORP COM |

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| DVCR | DIVERSICARE HEALTHCARE SVCS IN COM |
| DVD | DOVER MOTORSPORTS INC COM |
| DVF | BLACKROCK DIVERS OME STRATE COM |
| DVK | AB SVENSK EXPORTKREDIT RTN NT DJIX 09 |
| DVM | COHEN & STEERS DIV MJRS FDINC COM |
| DVN | DEVON ENERGY CORP NEW COM |
| DVOX | DYNAVOX INC CL A |
| DVR | CAL DIVE INTL INC DEL COM |
| DVSA | Diversa Corporation - Common Stock |
| DVW | Covad Communications Group Inc |
| DVY | ISHARES TR DJ SEL DIV INX |
| DVYA | ISHARES INC ASIA PAC30 IDX |
| DVYE | ISHARES INC EMRGMKT DIVIDX |
| DVYL | UBS AG LONDON BRH ETRACS MP2X DJ |
| DW | DREW INDS INC COM NEW |
| DWA | DREAMWORKS ANIMATION SKG INC CL A |
| DWAS | POWERSHARES ETF TRUST II DWA SC TECHLDR |
| DWCH | DATAWATCH CORP COM NEW |
| DWID | Merrill Lynch & Co. Inc. - Strategic Return Notes Linked to the Industrial 15 Index due July 2008 |
| DWL | MORGAN STANLEY PLUS LINK DJIA |
| DWM | WISDOMTREE TRUST DEFA FD |
| DWMT | MERRILL LYNCH & CO INC MITTS DJIA2010 |
| DWRE | DEMANDWARE INC COM |
| DWRI | DESIGN WITHIN REACH INC COM |
| DWSN | DAWSON GEOPHYSICAL CO COM |
| DWT | Britannia Bulk Holdings Inc Common Stock |
| DWTI | CREDIT SUISSE NASSAU BRH VS 3XINV CRUDE |
| DWTN | Merrill Lynch & Co. Inc. - Strategic Return Notes Linked to the Select Ten Index due June 2008 |
| DWTT | Merrill Lynch & Co. Inc. - Strategic Return Notes Linked to the Select 10 Index due September 2008 |
| DWX | SPDR INDEX SHS FDS S&P INTL ETF |
| DX | DYNEX CAP INC COM NEW |
| DX-A | DYNEX CAP INC PFD SER A |
| DX-B | DYNEX CAP INC PFD SER B 7.625% |
| DX-D | DYNEX CAP INC PFD D 9.50% |
| DX-D* | DYNEX CAP INC PFD D 9.50% |
| DXB | DEUTSCHE BK CONTINGENT CAP TR PFD TR SEC |
| DXCM | DEXCOM INC COM |
| DXD | PROSHARES TR PSHS ULDOW30 NEW |
| DXE | AMEX DEUTSCHE BK XXX |
| DXI | Merrill Lynch |
| DXJ | WISDOMTREE TRUST JAPN HEDGE EQT |
| DXLG | DESTINATION XL GROUP INC COM |
| DXM | DEX MEDIA INC NEW COM |
| DXN | DigitalFX International Inc. |
| DXO | DEUTSCHE BK AG LONDON BRH PS CR OIL DD ETN |
| DXPE | DXP ENTERPRISES INC NEW COM NEW |
| DXR | DAXOR CORP COM |
| DXS | AMEX SPADE DEFENSE XXX |
| DXYN | DIXIE GROUP INC CL A |
| DY | DYCOM INDS INC COM |
| DYAX | DYAX CORP COM |
| DYII | DYNACQ HEALTHCARE INC COM |
| DYN | DYNEGY INC NEW DEL COM |
| DYN+ | DYNEGY INC NEW DEL WT EXP 000017 |
| DYNT | DYNATRONICS CORP COM NEW |
| DYP | DUOYUAN PRTG INC COM |
| DYS | DISTRIBUCION Y SERVICIO |
| DYSL | DYNASIL CORP AMER COM |
| DYT+A | DYNTEK INC WT A EX 121107 |
| DYX | DiaSys Corp |
| DYY | DEUTSCHE BK AG LDN BRH PS CMDT DL ETN |

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| DZK | DIREXION SHS ETF TR DLY DEV MKT BULL |
| DZZ | DEUTSCHE BK AG LDN BRH PS GOLD DS ETN |
| E | ENI S P A SPONSORED ADR |
| EA | ELECTRONIC ARTS INC COM |
| EAA | ENTERGY ARK INC 1ST MTG BD |
| EAB | ENTERGY ARK INC 1MTG BD 52 |
| EAC | ERICKSON AIR-CRANE INC COM |
| EAD | WELLS FARGO ADVANTAGE INCOME COM SHS |
| EAE | ENTERGY ARK INC 1STMTG BD4.75%63 |
| EAG | AMERICAN DEFENSE SYS INC COM |
| EAGL | GLOBAL EAGLE ACQUISITION CORP COM |
| EAGLU | GLOBAL EAGLE ENTMT INC UNIT 1 000012 |
| EAGLW | GLOBAL EAGLE ACQUISITION CORP WT EXP 051316 |
| EAK | CITIGROUP FDG INC ELKS 12.75%ADM |
| EAM | Citigroup Funding Inc. |
| EAN | Citigroup Funding Inc. |
| EAP | CITIGROUP FDG INC ELKS 10% SLB 09 |
| EAPS | PAX WORLD FDS TR II MSCI ESG IDX |
| EAR | HEARUSA INC COM NEW |
| EARN | ELLINGTON RESIDENTIAL MTG REIT COM SHS BEN INT |
| EAS | Energy East Corporation (Holding Co.) Common Stock |
| EASI | Engineered Support Systems Inc. Common Stock |
| EASY | EasyLink Services Corporation - Class A Common Stock |
| EASYD | EasyLink Services Corporation - Class A Common Stock |
| EASYE | EASYLINK SVCS CP A |
| EAT | BRINKER INTL INC COM |
| EAT# | Brinker International Inc. Common Stock |
| EATX | GLOBAL X FDS GLOBAL X FOOD |
| EAZ | CITIGROUP FDG INC ELKS 13.5% JCP09 |
| EBA | Morgan Stanley |
| EBAY | EBAY INC COM |
| EBB | CITIGROUP FDG INC ELKS MCD 10 |
| EBC | Citigroup Funding Inc. |
| EBE | Citigroup Funding Inc. |
| EBF | ENNIS INC COM |
| EBHI | BAUER EDDIE HLDGS INC COM |
| EBI | EVERGREEN INTL BALANCED INCOME COM |
| EBIX | EBIX INC COM NEW |
| EBK | MORGAN STANLEY PROPELS 123011 |
| EBMT | EAGLE BANCORP MONT INC COM |
| EBMTD | EAGLE BANCORP MONT INC COM |
| EBND | SPDR SERIES TRUST BRCLY EM LOCL |
| EBOD | RENEWABLE ENERGY TRADE BRD COR SHS |
| EBR | CENTRAIS ELETRICAS BRASILEIRAS SPONSORED ADR |
| EBR.B | CENTRAIS ELETRICAS BRASILEIRAS SPON ADR PFD B |
| EBS | EMERGENT BIOSOLUTIONS INC COM |
| EBSB | MERIDIAN INTERSTAT BANCORP INC COM |
| EBTC | ENTERPRISE BANCORP INC MASS COM |
| EBTX | ENCORE BANCSHARES INC COM |
| EBY | CITIGROUP FDG INC ELKS10% MRK&09 |
| EC | ECOPETROL S A SPONSORED ADS |
| ECA | ENCANA CORP COM |
| ECB | CITIGROUP FDG INC ELKS11.75% DE9 |
| ECBE | ECB BANCORP INC COM |
| ECC | CITIGROUP FDG INC ELKS CHESA ENR |
| ECF | ELLSWORTH FUND LTD COM |
| ECGI | ENVOY CAPITAL GROUP INC COM |
| ECH | ISHARES INC MSCI CHILE CAPP |
| ECHO | ECHO GLOBAL LOGISTICS INC COM |
| ECI | Encision Inc |
| ECIL | ECI Telecom Ltd. - Ordinary Shares |

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| ECK | CITIGROUP FDG INC ELKS HAL 09 |
| ECL | ECOLAB INC COM |
| ECLG | eCollege.com - Common Stock |
| ECLP | ECLIPSYS CORP COM |
| ECMV | E Com Ventures Inc. - Common Stock |
| ECN | Wachovia Corporation |
| ECNS | ISHARES TR MSCI CHIN SMCP |
| ECOL | US ECOLOGY INC COM |
| ECOM | CHANNELADVISOR CORP COM |
| ECON | EGA EMERGING GLOBAL SHS TR EGS EMKTCONS ETF |
| ECP | Canterbury Park Holding Corp |
| ECPG | ENCORE CAP GROUP INC COM |
| ECR | ECC Capital Corporation Common Stock par value \$0.001 per share |
| ECST | eCOST.com Inc. Common stock |
| ECT | ECA MARCELLUS TR I COM UNIT |
| ECT* | Energy East Capital Trust I 8 1/4% Capital Securities |
| ECTE | ECHO THERAPEUTICS INC COM NEW |
| ECTX | ECTEL LTD ORD |
| ECTY | ECOTALITY INC COM NEW |
| ECV | EKSPORTFINANS ASA ACC RN MSCI 10 |
| ECV\$ | BlackRock Enhanced Equity Yield & Premium Fund Inc. Common Stock \$.10 par value |
| ECVC | EAST COAST VENTURE CAP |
| ECVCW | EAST COAST VENTURE WTS |
| ECYT | ENDOCYTE INC COM |
| ED | CONSOLIDATED EDISON INC COM |
| ED-A | CONSOLIDATED EDISON CO N Y INC PFD \$5 |
| ED-A* | CONSOLIDATED EDISON CO N Y INC PFD \$5 |
| ED-C | CONSOLIDATED EDISON CO N Y INC PFD C 4.65% |
| ED-C* | CONSOLIDATED EDISON CO N Y INC PFD C 4.65% |
| EDA | Endeavor Acquisition Corp |
| EDA+ | Endeavor Acquisition Corp |
| EDA= | Endeavor Acquisition Corp |
| EDAC | EDAC TECHNOLOGIES CORP COM |
| EDAP | EDAP TMS S A SPONSORED ADR |
| EDC | DIREXION SHS ETF TR DLY EMRGMKT BULL |
| EDCI | EDCI HLDGS INC COM NEW |
| EDCID | EDCI HLDGS INC COM |
| EDD | MORGAN STANLEY EM MKTS DM DEBT COM |
| EDE | EMPIRE DIST ELEC CO COM |
| EDE-D | EMPIRE DIST ELEC TR I PFD TR 8.5% |
| EDE-D* | EMPIRE DIST ELEC TR I PFD TR 8.5% |
| EDEND | EDEN Bioscience Corporation - Common Stock |
| EDF | STONE HBR EMERG MRKTS INC FD COM |
| EDG | EDGEN GROUP INC CL A |
| EDGR | EDGAR ONLINE INC COM |
| EDGW | EDGEWATER TECHNOLOGY INC COM |
| EDI | STONE HBR EMERG MKTS TL INC FD COM |
| EDIV | SPDR INDEX SHS FDS S&P EM MKT DIV |
| EDMC | EDUCATION MGMT CORP NEW COM |
| EDN | EMPRESA DIST Y COMERCIAL NORTE SPON ADR |
| EDO | EDO Corporation Common Shares |
| EDP | EDP - Energias de Portugal S.A. American Depositary Shares (Each representing 10 Ordinary Shares) |
| EDR | EDUCATION RLTY TR INC COM |
| EDS | EXCEED COMPANY LTD SHS |
| EDSUU | EXCEED COMPANY LTD UNIT EX 110811 |
| EDSWW | EXCEED COMPANY LTD WT EXP 110811 |
| EDT | ENTERGY TEXAS INC MTG BD 7.875% |
| EDU | NEW ORIENTAL ED & TECH GRP INC SPON ADR |
| EDUC | EDUCATIONAL DEV CORP COM |
| EDV | VANGUARD WORLD FD EXTENDED DUR |
| EDV* | Consolidated Edison Company of New York Inc. 7.50% Public Income NotES (PINES) due July 1 |

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| EDZ | DIREXION SHS ETF TR DLY EMKT 3X NEW |
| EE | EL PASO ELEC CO COM NEW |
| EEA | EUROPEAN EQUITY FUND COM |
| EEA\$ | The European Equity Fund Inc. Common Stock |
| EEB | CLAYMORE EXCHANGE TRD FD TR GUGG BRIC ETF |
| EEC | MORGAN STANLEY NT EAFA IDX 08 |
| EEE | EVERGREEN ENERGY INC NEW COM NEW |
| EEEE | Educate Inc. - Common Stock |
| EEEI | Electro Energy Inc. - Common Stock |
| EEEID | ELECTRO ENERGY INC COM NEW |
| EEF | BlackRock Enhanced Equity Yield Fund Inc. Common Stock |
| EEFT | EURONET WORLDWIDE INC COM |
| EEG | EGA EMERGING GLOBAL SHS TR DJ TITANS ETF |
| EEH | SWEDISH EXPT CR CORP ELEMENT USETN22 |
| EEHB | POWERSHARES ETF TR II S&P EMRGHIBETA |
| EEI | ECOLOGY & ENVIRONMENT INC CL A |
| EELV | POWERSHARES ETF TR II EM MRK LOW VOL |
| EEM | ISHARES TR MSCI EMERG MKT |
| EEMA | ISHARES INC EMKTS ASIA IDX |
| EEME | ISHARES INC MSCI EMRG EMEA |
| EEML | ISHARES TR MSCI EMKT LATN |
| EEMS | ISHARES INC MSCI EM SML CP |
| EEMV | ISHARES INC EM MKT MIN VOL |
| EEN | CLAYMORE EXCHANGE TRD FD TR 2 GUGG EW EURO-PC |
| EENC | Enterra Energy Trust - Trust Units |
| EEO | EGA EMERGING GLOBAL SHS TR DJ MKT ENERGY |
| EEP | ENBRIDGE ENERGY PARTNERS L P COM |
| EEQ | ENBRIDGE ENERGY MANAGEMENT LLC SHS UNITS LLI |
| EES | WISDOMTREE TRUST SMLCAP EARN FD |
| EET | PROSHARES TR MSCI EMRG ETF |
| EEV | PROSHARES TR SHT MSCI NEW |
| EEVX | UBS AG LONDON BRH ETRACS 5MN EQT |
| EEW | Claymore Exchange-Traded Fund Trust 2 |
| EEZ | WISDOMTREE TRUST EARN TOP100 FD |
| EF | EDELMAN FINL GROUP INC COM |
| EFA | ISHARES TR MSCI EAFE INDEX |
| EFAV | ISHARES TR EAFE MIN VOLAT |
| EFC | ELLINGTON FINANCIAL LLC COM |
| EFD | AB SVENSK EXPORTKREDIT ACC RTN MSCI 09 |
| EFG | ISHARES TR MSCI GRW IDX |
| EFH | Empire Financial Holding Co |
| EFII | ELECTRONICS FOR IMAGING INC COM |
| EFJI | EF JOHNSON TECHNOLOGIES INC COM |
| EFL | WESTERN AST EMRG MKT FLT RT FD COM |
| EFM | ENTERGY MISS INC 1ST MTG BD 40 |
| EFN | EGA EMERGING GLOBAL SHS TR DJ FINL TITANS |
| EFO | PROSHARES TR ULTR MSCI ETF |
| EFOI | ENERGY FOCUS INC COM |
| EFFP | MORGAN STANLEY NT 1.875% 2011 |
| EFR | EATON VANCE SR FLTNG RTE TR COM |
| EFS | MERRILL LYNCH & CO INC STARS ISHS 10 |
| EFSC | ENTERPRISE FINL SVCS CORP COM |
| EFT | EATON VANCE FLTNG RATE INC TR COM |
| EFU | PROSHARES TR ULSH MSCIEAF NEW |
| EFUT | E FUTURE INFORMATION TECH INC SHS |
| EFV | ISHARES TR MSCI VAL IDX |
| EFX | EQUIFAX INC COM |
| EFZ | PROSHARES TR PSHS SH MSCI EAF |
| EGAN | EGAIN CORP COM NEW |
| EGAS | GAS NAT INC COM |
| EGB | DEUTSCHE BK AG LDN BRH ETN GBP/USD 23 |

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| EGBN | EAGLE BANCORP INC MD COM |
| EGF | BLACKROCK ENHANCED GOVT FD INC COM |
| EGHT | 8X8 INC NEW COM |
| EGI | ENTREE GOLD INC COM |
| EGJ | CITIGROUP FDG INC ELKS 13.5% AMZ09 |
| EGK | CITIGROUP FDG INC ELKS 14% RIMM 09 |
| EGL | ENGILITY HLDGS INC COM |
| EGL# | ENGILITY HLDGS INC COM |
| EGLF | EAGLE BULK SHIPPING INC SHS NEW |
| EGLS | Electrogilas Inc. - Common Stock |
| EGLT | Eagle Test Systems Inc. - Common Stock |
| EGN | ENERGEN CORP COM |
| EGO | ELDORADO GOLD CORP NEW COM |
| EGOV | NIC INC COM |
| EGP | EASTGROUP PPTY INC COM |
| EGP-D | EastGroup Properties Inc. 7.95% Series D Cumulative Redeemable Preferred Stock |
| EGP-D* | EastGroup Properties Inc. 7.95% Series D Cumulative Redeemable Preferred Stock |
| EGPT | MARKET VECTORS ETF TR EGYPT INDX ETF |
| EGR | Commerce Energy Group Inc |
| EGRW | ISHARES INC EMKTS GRW IDX |
| EGS | EQUITYGUARD STOCK FD INC |
| EGT | ENTERTAINMENT GAMING ASIA INC COM NEW |
| EGX | ENGEX INC COM |
| EGY | VAALCO ENERGY INC COM NEW |
| EHA | ENTERGY ARK INC 1ST MT BD 6.70 |
| EHA* | ENTERGY ARK INC 1ST MT BD 6.70 |
| EHB | ENTERGY ARK INC 1ST MTG SER 6% |
| EHB* | ENTERGY ARK INC 1ST MTG SER 6% |
| EHC | CITIGROUP FDG INC ELKS11% CELG09 |
| EHD | CITIGROUP FDG INC NT 8.5%MCSFT09 |
| EHI | WESTERN ASSET GLB HI INCOME FD COM |
| EIJ | Citigroup Funding Inc. |
| EIL | ENTERGY LOUISIANA LLC BD 1MTG 7.6% 32 |
| EIL* | ENTERGY LOUISIANA LLC BD 1MTG 7.6% 32 |
| EIN | Morgan Stanley |
| EIP | CITIGROUP FDG INC ELKS 10.5%INTL |
| EIP-A | Eagle Hospitality Properties Trust Inc. 8.25% Series A Cumulative Redeemable Preferred Shares \$0.01 par value |
| EITH | EHEALTH INC COM |
| EIA | EATON VANCE CALIF MUN BD FD II COM |
| EICU | Visicu Inc. - Common Stock |
| EIDO | ISHARES TR INDONE INVS MRKT |
| EIF | CITIGROUP FDG INC ELKS JPM |
| EIG | EMPLOYERS HOLDINGS INC COM |
| EIH.A | Credit Suisse |
| EIHI | EASTERN INS HLDGS INC COM |
| EII | Energy Infrastructure Acquisition Corporation |
| EII+ | Energy Infrastructure Acquisition Corporation |
| EII= | Energy Infrastructure Acquisition Corporation |
| EIK | Citigroup Funding Inc. |
| EIM | EATON VANCE MUN BD FD COM |
| EIO | EATON VANCE OHIO MUN BD FD COM |
| EIP | EATON VANCE PA MUN BD FD COM |
| EIPL | UBS AG LONDON BRH ETRACS MTH 2 NEW |
| EIPO | UBS AG LONDON BRH NXT GEN INT ETN |
| EIR | CITIGROUP FDG INC ELKS HOME DP10 |
| EIRL | ISHARES TR IRLND CPD INVT |
| EIS | ISHARES INC MSCI ISRAEL FD |
| EIV | EATON VANCE MUN BD FD II COM |
| EIW.A | Credit Suisse |
| EIX | EDISON INTL COM |
| EJ | E HOUSE CHINA HLDGS LTD ADR |

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|--------|---|
| EJC | Citigroup Funding Inc. |
| EJQ | CITIGROUP FDG INC ELKS J&J 10 |
| EJS | Morgan Stanley |
| EJW | CITIGROUP FDG INC ELKS BKAMR2010 |
| EK | EASTMAN KODAK CO COM |
| EKB | CITIGROUP FDG INC ELKS DOWCHEM10 |
| EKC | Citigroup Funding Inc. |
| EKD | CITIGROUP FDG INC ELKS 9% TEX IN |
| EKE | Citigroup Funding Inc. |
| EKF | EKSPORTFINANS ASA YLD SEC CLAYMO |
| EKG | CITIGROUP FDG INC NT 8%EXXN 2009 |
| EKH | EUROPE 2001 HOLDRS TR DEPOSITRY RCPT |
| EKJ | Citigroup Funding Inc. |
| EKK | CITIGROUP FDG INC ELKS11.5% NOKIA |
| EKM | CITIGROUP FDG INC ELKS CX 08 |
| EKN | Citigroup Funding Inc. |
| EKO | Citigroup Funding Inc. |
| EKV | CITIGROUP FDG INC ELKS 9% CISCO |
| EL | LAUDER ESTEE COS INC CL A |
| ELA | ENTERGY LA LLC 1ST MTG BD SER |
| ELAM | ELAMEX SA DE CV |
| ELB | ENTERGY LA LLC 1ST MTG BD |
| ELC | EASTERN LIGHT CAPITAL INC COM |
| ELD | WISDOMTREE TR EM LCL DEBT FD |
| ELE | ENDESA S.A. American Depository Shares (Each Representing One Share of Capital Stock) |
| ELG | SPDR SERIES TRUST DJ LRG GRWTH ETF |
| ELGX | ENDOLOGIX INC COM |
| ELI | Elite Pharmaceuticals Inc |
| ELJ | ENTERGY LA LLC 1ST MTG5.25%52 |
| ELK | ElkCorp Common Stock |
| ELLI | ELLIE MAE INC COM |
| ELLO | ELLOMAY CAPITAL LIMITED SHS |
| ELMD | ELECTROMED INC COM |
| ELMG | EMS TECHNOLOGIES INC COM |
| ELN | ELAN PLC ADR |
| ELNK | EARTHLINK INC COM |
| ELON | ECHELON CORP COM |
| ELOQ | ELOQUA INC COM |
| ELOS | SYNERON MEDICAL LTD ORD SHS |
| ELOY | ELOYALTY CORP COM NEW |
| ELP | COMPANHIA PARANAENSE ENERG COP SPON ADR PFD |
| ELQ | CITIGROUP FDG INC NT ELKS GLD 09 |
| ELR | SPDR SERIES TRUST DJ LRG CAP ETF |
| ELRC | ELECTRO RENT CORP COM |
| ELRN | ELRON ELECTR INDS LTD ORD |
| ELS | EQUITY LIFESTYLE PPTYS INC COM |
| ELS-A | EQUITY LIFESTYLE PPTYS INC PERP PFD-A 8% |
| ELS-A* | EQUITY LIFESTYLE PPTYS INC PERP PFD-A 8% |
| ELS-C | EQUITY LIFESTYLE PPTYS INC DEP SH REP PFD |
| ELSE | ELECTRO-SENSORS INC COM |
| ELT | ELSTER GROUP SE SPONSORED ADR |
| ELTK | ELTEK LTD ORD |
| ELU | ENTERGY LA LLC 1ST MTG BD |
| ELV | SPDR SERIES TRUST DJ LRG VALUE ETF |
| ELX | EMULEX CORP COM NEW |
| ELXR | Elixir Pharmaceuticals Inc. - Common Stock |
| ELY | CALLAWAY GOLF CO COM |
| EM | EMDEON INC CL A |
| EMA | eMagin Corp |
| EMAG | EMAGEON INC COM |
| EMAK | EMAK Worldwide Inc. - Common Stock |

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| EMAN | EMAGIN CORP COM NEW |
| EMB | ISHARES TR JPMORGAN USD |
| EMBT | Embarcadero Technologies Inc. - Common Stock |
| EMBX | Embrex Inc. - Common Stock |
| EMC | E M C CORP MASS COM |
| EMCB | WISDOMTREE TR WSDM EMKTBD FD |
| EMCD | SPDR SER TR SPDR BOFA ML |
| EMCF | EMCLAIRE FINL CORP COM |
| EMCI | EMC INS GROUP INC COM |
| EMCR | EGA EMERGING GLOBAL SHS TR EGSHS EMKTSCOR |
| EMD | WESTERN ASSET EMRG MKT INCM FD COM |
| EMDA | Equity Media Holdings Corporation - Common Stock |
| EMDAU | Equity Media Holdings Corporation - Unit 08/26/2009 |
| EMDAW | Equity Media Holdings Corporation - Warrant 08/26/2009 |
| EMDD | EGA EMERGING GLOBAL SHS TR EGSHARE EM DOM |
| EMDI | ISHARES INC EMKT CNSM DISC |
| EMDR | ALPS ETF TR VELOCSHS EMKTS |
| EME | EMCOR GROUP INC COM |
| EME# | EMCOR Group Inc. Common Stock |
| EMER | INDEXIQ ETF TR EMER MRKT MDCP |
| EMES | EMERGE ENERGY SVCS LP COM REP PARTN |
| EMEY | ISHARES INC EMKT ENRG SECT |
| EMF | TEMPLETON EMERGING MKTS FD INC COM |
| EMFN | ISHARES TR MSCI EM MK FNL |
| EMFT | SPDR INDEX SHS FDS MSCI EM50 ETF |
| EMG | SPDR SERIES TRUST DJ MID GRW ETF |
| EMGX | GLOBAL X FDS RUSSELL EM GTH |
| EMH | Citigroup Funding Inc. |
| EMI | EATON VANCE MI MUNI INCOME TR SH BEN INT |
| EMIF | ISHARES TR S&P EMRG INFRS |
| EMIS | EMISPHERE TECHNOLOGIES INC COM |
| EMITF | ELBIT IMAGING LTD ORD SHS |
| EMJ | EATON VANCE N J MUN BD FD COM |
| EMKR | EMCORE CORP COM NEW |
| EML | EASTERN CO COM |
| EMLB | BARCLAYS BK PLC EMRG MK 3X LNG |
| EMLC | MARKET VECTORS ETF TR EM LC CURR DBT |
| EMLP | FIRST TR EXCHANGE TRADED FD IV NO AMER ENERGY |
| EMM | SPDR SERIES TRUST DJ MID CAP ETF |
| EMMS | EMMIS COMMUNICATIONS CORP CL A |
| EMMSP | EMMIS COMMUNICATIONS CORP PFD CV SER A |
| EMMT | ISHARES TR MSCI EMG MATS |
| EMN | EASTMAN CHEM CO COM |
| EMN+ | EASTMAN CHEM CO WT EXP 022713 |
| EMO | CLEARBRIDGE ENERGY MLP OPP FD COM |
| EMO* | ENTERGY MISS INC MTG BD 7.25%32 |
| EMP | EMPI INC MN |
| EMQ | ENTERGY MISS INC MTG 1ST BDS 6% |
| EMR | EMERSON ELEC CO COM |
| EMR# | Emerson Electric Co. Common Stock |
| EMRG | eMerge Interactive Inc. - Class A Common Stock |
| EMRGD | eMerge Interactive Inc. - Class A Common Stock |
| EMS | EMERGENCY MEDICAL SVCS CORP CL A |
| EMSA | BARCLAYS BK PLC MSCI EMER SH ETN |
| EMT | EGA EMERGING GLOBAL SHS TR EGSHARE EM METLS |
| EMU | ENERGY METALS CORP COM |
| EMV | SPDR SERIES TRUST DJ MID VALUE ETF |
| EMVL | EMVELCO Corp. - Common Stock |
| EMVX | GLOBAL X FDS RUSSELL EM VAL |
| EMXX | EURASIAN MINERALS INC COM |
| EMZ | ENTERGY MISS INC 1ST MTG BD |

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|-------|--|
| EN | ENEL Societa per Azioni American Depository Shares(Each representing five Ordinary Shares) |
| ENA | ENOVA SYSTEMS INC COM NEW |
| ENB | ENBRIDGE INC COM |
| ENC | Enesco Group Inc. Common Stock |
| ENCO | ENCORIUM GROUP INC COM NEW |
| ENCOD | ENCORIUM GROUP INC COM NEW |
| ENCX | EndoCeutics Inc. - Common Shares |
| ENCY | Encysive Pharmaceuticals Inc - Common Stock |
| END | ENDEAVOUR INTL CORP COM NEW |
| ENDO | ENDOCARE INC COM NEW |
| ENDP | ENDO HEALTH SOLUTIONS INC COM |
| ENER | ENERGY CONVERSION DEVICES INC COM |
| ENG | ENGLOBAL CORP COM |
| ENGN | ISHARES TR INDUSTRIAL SCT |
| ENH | ENDURANCE SPECIALTY HLDGS LTD SHS |
| ENH-A | ENDURANCE SPECIALTY HLDGS LTD PFD SER A |
| ENH-B | ENDURANCE SPECIALTY HLDGS LTD PFD-B |
| ENI | ENERSIS S A SPONSORED ADR |
| ENI^ | ENERSIS S A RT EXP 032113 |
| ENJ | ENTERGY NEW ORLEANS INC 1ST MTG 5% 52 |
| ENL | REED ELSEVIER N V SPONS ADR NEW |
| ENL# | REED ELSEVIER NV |
| ENLV | Enliven Marketing Technologies Corporation - Common Stock |
| ENMC | Encore Medical Corporation - Common Stock |
| ENMD | ENTREMED INC COM NEW |
| ENMDD | ENTREMED INC COM NEW |
| ENN | Equity Inns Inc. Common Stock |
| ENN-B | Equity Inns Inc. 8.75% Series B Cumulative Preferred Stock \$.01 par value |
| ENN-C | Equity Inns Inc. 8% Series C Cumulative Preferred Stock |
| ENOC | ENERNOC INC COM |
| ENP | ENCORE ENERGY PARTNERS LP COM UNIT |
| ENPH | ENPHASE ENERGY INC COM |
| ENPT | EN POINTE TECHNOLOGIES INC COM |
| ENQ | Citigroup Funding Inc. |
| ENR | ENERGIZER HLDGS INC COM |
| ENS | ENERSYS COM |
| ENSG | ENSIGN GROUP INC COM |
| ENSI | EnergySouth Inc. - Common Stock |
| ENT | GLOBAL EAGLE ENTMT INC COM |
| ENTA | ENANTA PHARMACEUTICALS INC COM |
| ENTG | ENTEGRIS INC COM |
| ENTN | ENTORIAN TECHNOLOGIES INC COM NEW |
| ENTND | ENTORIAN TECHNOLOGIES INC COM NEW |
| ENTR | ENTROPIC COMMUNICATIONS INC COM |
| ENTU | ENTRUST INC COM |
| ENTWW | GLOBAL EAGLE ENTMT INC WT EXP 051316 |
| ENV | ENVESTNET INC COM |
| ENVI | ENVIVIO INC COM |
| ENVS | ENOVA SYSTEMS INC COM NEW |
| ENWV | ENDWAVE CORP COM NEW |
| ENX | EATON VANCE NEW YORK MUN BD FD COM |
| ENXP | ENERGY & EXPL PARTNERS INC COM |
| ENY | CLAYMORE EXCHANGE TRD FD TR 2 GUGG CA ENRG INC |
| ENZ | ENZO BIOCHEM INC COM |
| ENZL | ISHARES TR MSCI NEW ZEAL CP |
| ENZN | ENZON PHARMACEUTICALS INC COM |
| EOA | AB SVENSK EXPORTKREDIT NT DJSTOXX2009 |
| EOC | EMPRESA NACIONAL DE ELCTRCIDAD SPONSORED ADR |
| EOD | WELLS FARGO ADV GLB DIV OPP FD COM |
| EOE | EATON VANCE CR OPPORTUNIT FD COM |
| EOF | Merrill Lynch |

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|--------|---|
| EOG | EOG RES INC COM |
| EOH | Lehman Brothers |
| EOI | EATON VANCE ENHANCED EQ INC FD COM |
| EON | E.ON AG American Depositary Shares (Each representing 1/3 of an Ordinary Share) |
| EONC | EON COMMUNICATIONS CORP COM NEW |
| EONCD | EON COMMUNICATIONS CORP COM NEW |
| EOP | Equity Office Properties Trust Common Shares of Beneficial Interest |
| EOP-B | Equity Office Properties Trust 5.25% Series B Convertible |
| EOP-G | Equity Office Properties Trust Series G Cumulative Redeemable Preferred Shares of Beneficial Interest |
| EOPN | E2OPEN INC COM |
| EOS | EATON VANCE ENH EQTY INC FD II COM |
| EOSPN | EOS PFD CORP PFD EX D 8.50% |
| EOT | EATON VANCE NATL MUN OPPORT TR COM SHS |
| EOX | EMERALD OIL INC COM NEW |
| EP | EL PASO CORP COM |
| EP-C | EL PASO ENERGY CAP TR I PFD CV TR SECS |
| EPAM | EPAM SYS INC COM |
| EPAX | AMBASSADORS GROUP INC COM |
| EPAY | BOTTOMLINE TECH DEL INC COM |
| EPB | EL PASO PIPELINE PARTNERS L P COM UNIT LPI |
| EPB* | Consolidated Edison Inc. 7.25% Public Income Notes (PINES) due April 1 2042 |
| EPC | CITIGROUP FDG INC ELKS11% APPL10 |
| EPCT | EPICEPT CORP COM NEW |
| EPCTD | EPICEPT CORP COM NEW |
| EPD | ENTERPRISE PRODS PARTNERS L P COM |
| EPE | ENTERPRISE GP HLDGS L P UNIT LP INT |
| EPEN | East Penn Financial Corporation - Common Stock |
| EPEX | EDGE PETE CORP DEL COM |
| EPEXP | EDGE PETE CORP DEL PFD CONV A |
| EPG | ENVIRONMENTAL PWR CORP COM NEW |
| EPH | CITIGROUP FDG INC ELKS 12% IGT 10 |
| EPHC | EPOCH HOLDING CORP COM |
| EPHE | ISHARES TR PHILL INVSTMRK |
| EPI | WISDOMTREE TRUST INDIA ERNGS FD |
| EPIC | EPICOR SOFTWARE CORP COM |
| EPIK | Epic Bancorp - Common Stock |
| EPIQ | EPIQ SYS INC COM |
| EPIX | EPIX PHARMACEUTICALS INC COM NEW |
| EPIXD | EPIX Pharmaceuticals Inc. Common Stock |
| EPK | Citigroup Funding Inc. |
| EPL | EPL OIL & GAS INC COM |
| EPL\$ | Energy Partners Ltd. Common Stock |
| EPM | EVOLUTION PETROLEUM CORP COM |
| EPM-A | EVOLUTION PETROLEUM CORP PFD-A 8.5% |
| EPMD | EP MedSystems Inc. - Common Stock |
| EPOC | EPOCRATES INC COM |
| EPOL | ISHARES TR MSCI POLAND CAP |
| EPP | ISHARES INC MSCI PAC J IDX |
| EPR | EPR PPTYS COM SH BEN INT |
| EPR-A | Entertainment Properties Trust 9.50% Series A Cumulative Redeemable Preferred Shares |
| EPR-A* | Entertainment Properties Trust 9.50% Series A Cumulative Redeemable Preferred Shares |
| EPR-B | ENTERTAINMENT PPTYS TR PFD B 7.75% |
| EPR-B* | ENTERTAINMENT PPTYS TR PFD B 7.75% |
| EPR-C | EPR PPTYS PFD C CNV 5.75% |
| EPR-D | ENTERTAINMENT PPTYS TR PFD D 7.375% |
| EPR-D* | ENTERTAINMENT PPTYS TR PFD D 7.375% |
| EPR-E | EPR PPTYS CONV PFD 9% SR E |
| EPR-F | EPR PPTYS PFD SER F % |
| EPS | WISDOMTREE TRUST EARNING 500 FD |
| EPU | ISHARES TR MSCI PERU CAP |
| EPV | PROSHARES TR ULTRASHORT EUROP |

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| EPZM | EPIZYME INC COM |
| EQ | EMBARQ CORP COM |
| EQ# | EMBARQ CORPORATION |
| EQIN | RUSSELL EXCHANGE TRADED FDS TR EQUITY INCOME |
| EQIX | EQUINIX INC COM NEW |
| EQL | ALPS ETF TR EQUAL SEC ETF |
| EQM | EQT MIDSTREAM PARTNERS LP UNIT LTD PARTN |
| EQR | EQUITY RESIDENTIAL SH BEN INT |
| EQR-C | Equity Residential Depository Shares (Each representing 1/10th of a 9 1/8% Series C Cumulative Redeemable Preferred Share of Beneficial Interest) |
| EQR-C* | Equity Residential Depository Shares (Each representing 1/10th of a 9 1/8% Series C Cumulative Redeemable Preferred Share of Beneficial Interest) |
| EQR-D | Equity Residential Depository Shares (Each representing 1/10th of an 8.60% Series D Cumulative Redeemable Preferred Share of Beneficial Interest) |
| EQR-D* | Equity Residential Depository Shares (Each representing 1/10th of an 8.60% Series D Cumulative Redeemable Preferred Share of Beneficial Interest) |
| EQR-E | EQUITY RESIDENTIAL PFD CONV E 7% |
| EQR-E* | EQUITY RESIDENTIAL PFD CONV E 7% |
| EQR-H | EQUITY RESIDENTIAL PFD CV H \$1.75 |
| EQR-H* | EQUITY RESIDENTIAL PFD CV H \$1.75 |
| EQR-N | EQUITY RESIDENTIAL PFD 1/10 SER N |
| EQR-N* | EQUITY RESIDENTIAL PFD 1/10 SER N |
| EQS | EQUUS TOTAL RETURN INC COM |
| EQT | EQT CORP COM |
| EQTX | Equitex Inc. - Common Stock |
| EQU | EQUAL ENERGY LTD COM |
| EQY | EQUITY ONE COM |
| ERA | ERA GROUP INC COM |
| ERA# | ERA GROUP INC COM |
| ERB | ERBA DIAGNOSTICS COM |
| ERC | WELLS FARGO ADVANTAGE MULTI COM SHS |
| ERE | DEUTSCHE BK AG LDN BRH ETN EUR/USD 23 |
| ERES | ERESEARCHTECHNOLOGY INC COM |
| ERF | ENERPLUS CORP COM |
| ERH | WELLS FARGO ADVANTAGE UTILS COM |
| ERHS | Evergreen Utilities and High Income Fund When Distributed |
| ERI | EMRISE CORP COM NEW |
| ERIC | ERICSSON ADR B SEK 10 |
| ERICY | LM Ericsson Telephone Company - American Depositary Shares |
| ERIE | ERIE INDY CO CL A |
| ERII | ENERGY RECOVERY INC COM |
| ERJ | EMBRAER S A SP ADR REP 4 COM |
| ERO | BARCLAYS BK PLC IP EUR/USD ETN |
| EROC | EAGLE ROCK ENERGY PARTNERS LP UNIT |
| EROCR | EAGLE ROCK ENERGY PARTNERS LP RTS EXP 063010 |
| EROCW | EAGLE ROCK ENERGY PARTNERS LP WT EXP 051512 |
| ERS | EMPIRE RES INC DEL COM |
| ERT | ERESEARCHTECHNOLOGY INC COM |
| ERTS | ELECTRONIC ARTS INC COM |
| ERUS | ISHARES TR MSCI RUSS INDX |
| ERX | DIREXION SHS ETF TR DLY ENRGY BULL3X |
| ERY | DIREXION SHS ETF TR DLY ENERBR3X NEW |
| ES | ENERGYSOLUTIONS INC COM |
| ESA | ENERGY SVCS OF AMERICA CORP COM |
| ESA+ | ENERGY SVCS OF AMERICA CORP WT EXP 101211 |
| ESA= | ENERGY SVCS OF AMERICA CORP UNIT EX 101211 |
| ESB | CITIGROUP FDG INC ELKS AME EXP10 |
| ESBF | ESB FINL CORP COM |
| ESBK | ELMIRA SVGS BK ELMIRA N Y COM |
| ESC | EMERITUS CORP COM |
| ESCA | ESCALADE INC COM |

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| ESCC | EVANS & SUTHERLAND COMPUTER CP COM |
| ESCH | Eschelon Telecom Inc. - Common Stock par value \$0.01 per share |
| ESCL | Escala Group Inc. - Common Stock |
| ESD | WESTERN ASSET EMRG MKT DEBT FD COM |
| ESE | ESCO TECHNOLOGIES INC COM |
| ESEA | EUROSEAS LTD COM NEW |
| ESF | Espirito Santo Financial Group S.A. American Depositary Shares (Each representing one Ordinary Share) |
| ESGR | ENSTAR GROUP LIMITED SHS |
| ESGRD | Enstar Group Limited - Ordinary Shares |
| ESI | ITT EDUCATIONAL SERVICES INC COM |
| ESIC | EASYLINK SERVICES INTL CORP CL A |
| ESIO | ELECTRO SCIENTIFIC INDS COM |
| ESK | CITIGROUP FDG INC ELKS WELLS 10 |
| ESL | ESTERLINE TECHNOLOGIES CORP COM |
| ESLR | EVERGREEN SOLAR INC COM NEW |
| ESLRD | EVERGREEN SOLAR INC COM NEW |
| ESLT | ELBIT SYS LTD ORD |
| ESM | CITIGROUP FDG INC EQTY SEC GE 10 |
| ESMC | ESCALON MED CORP COM NEW |
| ESMK | Esmark Incorporated - Common Stock |
| ESP | ESPEY MFG & ELECTRS CORP COM |
| ESPD | eSpeed Inc. - Class A Common Stock |
| ESR | ISHARES INC MSCI EMKT EUR |
| ESRX | EXPRESS SCRIPTS HLDG CO COM |
| ESS | ESSEX PPTY TR INC COM |
| ESS-H | ESSEX PPTY TR INC PFD SER H |
| ESSA | ESSA BANCORP INC COM |
| ESST | ESS Technology Inc - Common Stock |
| ESSX | ESSEX RENT CORP COM |
| ESSXU | ESSEX RENT CORP UNIT EX 030411 |
| ESSXW | ESSEX RENT CORP WT EXP 030411 |
| EST | ENTERPRISE ACQUISITION CORP COM |
| EST+ | ENTERPRISE ACQUISITION CORP WT EXP 110711 |
| EST= | ENTERPRISE ACQUISITION CORP UNIT EX 000011 |
| ESTE | EARTHSTONE ENERGY INC COM NEW |
| ESTX | MORGAN STANLEY PLUS DJ EUR 50 |
| ESV | ENSCO PLC SHS CLASS A |
| ESXB | COMMUNITY BANKERS TR CORP COM |
| ESY | MERRILL LYNCH & CO INC |
| ESYS | ELECSYS CORP COM |
| ET | EXACTTARGET INC COM |
| ET- | E* Trade Financial Corporation Equity Units |
| ETAK | ELEPHANT TALK COMM CORP COM NEW |
| ETB | EATON VANCE TAX MNGED BUY WRIT COM |
| ETC | ENVIRONMENTAL TECTONICS CORP COM |
| ETD | CITIGROUP FDG INC ELKS YAHOO 10 |
| ETE | ENERGY TRANSFER EQUITY L P COM UT LTD PTN |
| ETEL | eTelecare Global Solutions Inc. - American Depositary Shares |
| ETF | ABERDEEN EMERGING MKTS SMALLER COM |
| ETFC | E TRADE FINANCIAL CORP COM NEW |
| ETFCD | E TRADE FINANCIAL CORP COM NEW |
| ETFCP | E*TRADE Financial Corporation - E*Trade Financial Corporation Equity Units |
| ETFY | PAX WORLD FDS TR II ENVI TECH ET50 |
| ETG | EATON VANCE TX ADV GLBL DIV FD COM |
| ETH | ETHAN ALLEN INTERIORS INC COM |
| ETI | CITIGROUP GLOBAL MARKETS |
| ETJ | EATON VANCE RISK MNGD DIV EQTY COM |
| ETM | ENTERCOM COMMUNICATIONS CORP CL A |
| ETN | EATON CORP PLC SHS |
| ETO | EATON VANCE TX ADV GLB DIV OP COM |
| ETP | ENERGY TRANSFER PRTNRS L P UNIT LTD PARTN |

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| ETQ | CORRIENTE RES INC COM NEW |
| ETR | ENTERGY CORP NEW COM |
| ETR-A | ENTERGY CORP NEW EQUITY UNIT |
| ETRM | ENTEROMEDICS INC COM NEW |
| ETRMD | ENTEROMEDICS INC COM NEW |
| ETS | Enterasys Networks Inc. Common Stock par value \$.01 per share |
| ETUA | EUNITS 2 YR US EQTY MKT PTNTR UNIT |
| ETUB | EUNITS 2 YR U S MKT PARTN TR UNIT |
| ETV | EATON VANCE TX MNG BY WRT OPP COM |
| ETW | EATON VANCE TXMGD GL BUYWR OPP COM |
| ETWC | ETRIALS WORLDWIDE INC COM |
| ETWCU | etrial's Worldwide Inc. - Units |
| ETWCW | etrial's Worldwide Inc. - Warrants |
| ETX | EATON VANCE MUN INCOME TERM TR SHS |
| ETY | EATON VANCE TX MGD DIV EQ INCM COM |
| EU | WISDOMTREE TRUST EURO DEBT FUND |
| EUBK | EUROBANCSHARES INC COM |
| EUFN | ISHARES TR MSCI EURO FINL |
| EUFX | PROSHARES TR II PROSHS SHT EUR |
| EUM | PROSHARES TR PSHS SH MSCI EMR |
| EUO | PROSHARES TR II ULTRASHRT EURO |
| EUR | EUROTOP 100 INDEX XXX |
| EURO | EuroTrust A/S - American Depositary Shares |
| EUROD | EuroTrust A/S - American Depositary Shares |
| EURX | EURAND N V SHS |
| EUSA | ISHARES INC MSCI USA IDX |
| EV | EATON VANCE CORP COM NON VTG |
| EVAC | EDWARDS GROUP LTD SPONSORED ADR |
| EVAL | ISHARES INC EMKTS VALU IDX |
| EVBN | EVANS BANCORP INC COM NEW |
| EVBS | EASTERN VA BANKSHARES INC COM |
| EVC | ENTRAVISION COMMUNICATIONS CP CL A |
| EVCI | EVCI Career Colleges Holding Corp. - Common Stock |
| EVCID | EVCI Career Colleges Holding Corp. - Common Stock |
| EVD | CITIGROUP FDG INC ELKS SCHLUM 10 |
| EVEP | EV ENERGY PARTNERS LP COM UNITS |
| EVER | EVERBANK FINL CORP COM |
| EVER-A | EVERBANK FINL CORP DEP1/1000 PF A |
| EVF | EATON VANCE SR INCOME TR SH BEN INT |
| EVG | EATON VANCE SH TM DR DIVR INCM COM |
| EVI | ENVIROSTAR INC COM |
| EVJ | EATON VANCE NJ MUNI INCOME TR SH BEN INT |
| EVK | EVER GLORY INTL GRP INC COM NEW |
| EVM | EATON VANCE CALIF MUN BD FD COM |
| EVN | EATON VANCE MUNI INCOME TRUST SH BEN INT |
| EVO | EATON VANCE OH MUNI INCOME TR SH BEN INT |
| EVOL | EVOLVING SYS INC COM NEW |
| EVOLD | EVOLVING SYS INC COM NEW |
| EVP | EATON VANCE PA MUNI INCOME TR SH BEN INT |
| EVR | EVERCORE PARTNERS INC CLASS A |
| EVRY | EVERYWARE GLOBAL INC COM |
| EVRYW | EVERYWARE GLOBAL INC WT EXP 052118 |
| EVST | Everlast Worldwide Inc. - Common Stock |
| EVT | EATON VANCE TAX ADVT DIV INCM COM |
| EVTC | EVERTEC INC COM |
| EVTCV | EVOTEC AG SPONSORED ADS |
| EVV | EATON VANCE LTD DUR INCOME FD COM |
| EVVV | EV3 INC COM |
| EVX | MARKET VECTORS ETF TR MV ENVIR SVCS |
| EVY | EATON VANCE NY MUNI INCOME TR SH BEN INT |
| EW | EDWARDS LIFESCIENCES CORP COM |

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| EWA | ISHARES INC MSCI AUSTRALIA |
| EWAC | RYDEX ETF TRUST GUG MSCI ACWI EQ |
| EWBC | EAST WEST BANCORP INC COM |
| EWCC | ISHARES INC MSCI CDA INDEX |
| EWDC | ISHARES INC MSCI SWEDEN |
| EWEB | Euroweb International Corp. - Common Stock |
| EWEF | RYDEX ETF TRUST GUG MSCI EAFE EQ |
| EWEM | RYDEX ETF TRUST GUG MSCI EMKT EQ |
| EWG | ISHARES INC MSCI GERMANY |
| EWH | ISHARES INC MSCI HONG KONG |
| EWHS | ISHARES TR MSCI HK SML CP |
| EWI | ISHARES INC MSCI ITALY CAPP |
| EWJ | ISHARES INC MSCI JAPAN |
| EWK | ISHARES INC MSCI BELG CAPPED |
| EWL | ISHARES INC MSCI SWITZ CAPP |
| EWM | ISHARES INC MSCI MALAYSIA |
| EWMD | RYDEX ETF TRUST GUG S&P MC400 EQ |
| EWN | ISHARES INC MSCI NETHR INVES |
| EWO | ISHARES INC MSCI AUST CAPPED |
| EWP | ISHARES INC MSCI SPAIN CAPP |
| EWQ | ISHARES INC MSCI FRANCE |
| EWRI | RYDEX ETF TRUST GUG RUSS1000 EQL |
| EWRM | RYDEX ETF TRUST GUG RUSS MCP EQL |
| EWRS | RYDEX ETF TRUST GUG RUSS2000 EQL |
| EWS | ISHARES INC MSCI SINGAPORE |
| EWSM | RYDEX ETF TRUST GUG S&P SC600 EQ |
| EWSS | ISHARES TR MSCI SING SMCP |
| EWST | E-WASTE CORP COM |
| EWSTD | Energy West Inc. - Common Stock |
| EWTA | ISHARES INC MSCI TAIWAN |
| EWU | ISHARES INC MSCI UTD KINGD |
| EWV | PROSHARES TR PSHS ULTSHRT JAP |
| EWV | ISHARES INC MSCI MEXICO CAP |
| EWX | SPDR INDEX SHS FDS S&P EMKTSC ETF |
| EWY | ISHARES INC MSCI STH KOR CAP |
| EWZ | ISHARES INC MSCI BRAZIL CAPP |
| EWZS | ISHARES TR MSCI BRAZ SMCP |
| EXA | EXA CORP COM |
| EXAC | EXACTECH INC COM |
| EXAM | EXAMWORKS GROUP INC COM |
| EXAR | EXAR CORP COM |
| EXAS | EXACT SCIENCES CORP COM |
| EXB | CLAYMORE ETF TRUST 2 BEACON GLB BRKR |
| EXBD | CORPORATE EXECUTIVE BRD CO COM |
| EXC | EXELON CORP COM |
| EXD | EATON VANCE TAX-ADV BD & OPTN COM SH BEN INT |
| EXE | CREXENDO INC COM |
| EXE.A | Extendicare Inc. Subordinate Voting Shares |
| EXEL | EXELIXIS INC COM |
| EXFO | EXFO INC SUB VTG SHS |
| EXG | EATON VANCE TAX MNGD GBL DV EQ COM |
| EXH | EXTERRAN HLDGS INC COM |
| EXI | ISHARES TR S&P GL INDUSTR |
| EXJF | Exchange National Bancshares Inc. - Common Stock |
| EXK | ENDEAVOUR SILVER CORP COM |
| EXL | EXCEL TR INC COM |
| EXL-B | EXCEL TR INC PFD-B |
| EXLP | EXTERRAN PARTNERS LP COM UNITS |
| EXLS | EXLSERVICE HOLDINGS INC COM |
| EXM | EXCEL MARITIME CARRIERS LTD COM |
| EXO.A | Merrill Lynch |

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| EXP | EAGLE MATERIALS INC COM |
| EXP# | Eagle Materials Inc. Common Stock |
| EXP.B | Eagle Materials Inc. Class B Common Stock |
| EXP.B# | Eagle Materials Inc. Class B Common Stock |
| EXPD | EXPEDITORS INTL WASH INC COM |
| EXPE | EXPEDIA INC DEL COM NEW |
| EXPEV | EXPEDIA INC DEL COM NEW |
| EXPEW | Expedia Inc. - warrant to purchase one half of one share of Expedia common stock |
| EXPEZ | Expedia Inc. - Warrant to purchase .969375 shares of Common Stock |
| EXPO | EXPONENT INC COM |
| EXPR | EXPRESS INC COM |
| EXR | EXTRA SPACE STORAGE INC COM |
| EXT | WISDOMTREE TRUST TTL EARNING FD |
| EXTR | EXTREME NETWORKS INC COM |
| EXX.A | EXX Inc (Class A) |
| EXX.B | EXX Inc (Class B) |
| EXXI | ENERGY XXI (BERMUDA) LTD USD UNRS SHS |
| EXXID | ENERGY XXI (BERMUDA) LTD USD UNRS SHS NEW |
| EYA | Citigroup Funding Inc. |
| EYE | ADVANCED MEDICAL OPTICS INC COM |
| EYJ | Citigroup Funding Inc. |
| EYW | Citigroup Funding Inc. |
| EZA | ISHARES INC MSCI STH AFRCA |
| EZC | Citigroup Funding Inc. |
| EZCH | EZCHIP SEMICONDUCTOR LIMITED ORD |
| EZEM | E-Z-EM Inc. - Common Stock |
| EZH | CITIGROUP FUNDING INC |
| EZJ | PROSHARES TR UL MSCI JP ETF |
| EZM | WISDOMTREE TRUST MDCP EARN FUND |
| EZPW | EZCORP INC CL A NON VTG |
| EZU | ISHARES INC MSCI EMU INDEX |
| EZY | WISDOMTREE TRUST LRGECP VALUE FD |
| EZY-A | Easy Gardener Products Trust I |
| F | FORD MTR CO DEL COM PAR \$0.01 |
| F\$ | Ford Motor Company (New) Common Stock |
| F+ | FORD MTR CO DEL WT EXP 010113 |
| F-A | FORD MTR CO DEL NT 7.50 061043 |
| F-A* | FORD MTR CO DEL NT 7.50 061043 |
| F-S | FORD MTR CO CAP TR II PFD TR CV6.5% |
| F-S* | FORD MTR CO CAP TR II PFD TR CV6.5% |
| FA | FAIRCHILD CORPORATION |
| FAA | CLAYMORE EXCHANGE TRD FD TR 2 GUGG AIRLINE ETF |
| FAACW | FORTRESS INTL GROUP INC WT EXP 071209 |
| FAB | FIRST TR MULTI CP VAL ALPHA FD COM SHS |
| FABK | FIRST ADVANTAGE BANCORP COM |
| FAC | FIRST ACCEPTANCE CORP COM |
| FACE | PHYSICIANS FORMULA HLDGS INC COM |
| FACT | FACET BIOTECH CORP SHS |
| FACTV | FACET BIOTECH CORP SHS |
| FAD | FIRST TR MULTI CAP VALUE ALPHA COM SHS |
| FADV | FIRST ADVANTAGE CORP CL A |
| FAF | FIRST AMERN FINL CORP COM |
| FAF# | FIRST AMERN FINL CORP COM |
| FAL | Falconbridge Limited Common Shares |
| FALC | FALCONSTOR SOFTWARE INC COM |
| FAM | FIRST TR ABERDEEN GLBL OPP FD COM SHS |
| FAN | FIRST TR ISE GLB WIND ENRG ETF COM SHS |
| FANG | DIAMONDBACK ENERGY INC COM |
| FARM | FARMER BROS CO COM |
| FARO | FARO TECHNOLOGIES INC COM |
| FAS | DIREXION SHS ETF TR DLY FIN BULL NEW |

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| FAST | FASTENAL CO COM |
| FAUS | FIRST TR EXCH TRD ALPHA FD II AUSTRALIA ALPH |
| FAV | FIRST TR ACTIVE DIVID INCOME F COM |
| FAVS | FIRST AVIATION SVCS INC CL A NEW |
| FAX | ABERDEEN ASIA PACIFIC INCOM FD COM |
| FAZ | DIREXION SHS ETF TR DLYFINBEAR3X NEW |
| FB | FACEBOOK INC CL A |
| FBC | FLAGSTAR BANCORP INC COM PAR .001 |
| FBC- | FLAGSTAR BANCORP INC PRP PFD CONV D |
| FBCM | FBR & CO COM |
| FBEI | First Bancorp of Indiana Inc. - Common Stock |
| FBF-L | Fleet Capital Trust VII 7.20% Capital Securities |
| FBF-L* | Fleet Capital Trust VII 7.20% Capital Securities |
| FBF-M | FLEET CAP TR VIII PFD SECS 7.2% |
| FBF-M* | FLEET CAP TR VIII PFD SECS 7.2% |
| FBF-N | FLEET CAP TR IX PFD TR SECS 6% |
| FBF-N* | FLEET CAP TR IX PFD TR SECS 6% |
| FBG | UBS AG LONDON BRH GROWTH RUSS LK22 |
| FBHS | FORTUNE BRANDS HOME & SEC INC COM |
| FBHS# | FORTUNE BRANDS HOME & SEC INC COM |
| FBIZ | FIRST BUS FINL SVCS INC WIS COM |
| FBK- | Franklin Bank Corp |
| FBM | FOCUSSHARES TR MRNGSTR BS MAT |
| FBMI | FIRSTBANK CORP MICH COM |
| FBMS | FIRST BANCSHARES INC MS COM |
| FBMT | First National Bancshares Inc. (FL) - Common Stock |
| FBN | FURNITURE BRANDS INTL INC COM NEW |
| FBNC | FIRST BANCORP N C COM |
| FBNK | FIRST CONN BANCORP INC MD COM |
| FBNKM | First Banks Inc. - First Preferred Capital Trust III - 9.00% Cumulative Trust Preferred Securities |
| FBNW | FirstBank NW Corp. - Common Stock |
| FBP | FIRST BANCORP P R COM NEW |
| FBP-A | FIRST BANCORP P R PFD A 7.125% |
| FBP-B | FIRST BANCORP P R MIPS CV B 8.35% |
| FBP-C | FIRST BANCORP P R PFD PERP C 7.4 |
| FBP-D | FIRST BANCORP P R PFD D 7.25% |
| FBP-E | FIRST BANCORP P R PFD PERP E 7% |
| FBP^ | FIRST BANCORP P R SUBSCRIPT RT PUR |
| FBR | FIBRIA CELULOSE S A SP ADR REP COM |
| FBRC | FBR & CO COM NEW |
| FBS-A | FIRST PFD CAP TR IV PFD TR 8.15% |
| FBSI | FIRST BANCSHARES INC MO COM |
| FBSS | FAUQUIER BANKSHARES INC VA COM |
| FBST | Fiberstars Inc. - Common Stock |
| FBT | FIRST TR EXCHANGE TRADED FD NY ARCA BIOTECH |
| FBTC | First BancTrust Corporation - Common Stock |
| FBTX | Franklin Bank Corp. - Common Stock |
| FBZ | FIRST TR EXCH TRD ALPHA FD II BRAZIL ALPHA |
| FC | FRANKLIN COVEY CO COM |
| FC\$ | Franklin Covey Co. Common Stock |
| FCA | FIRST TR EXCH TRD ALPHA FD II CHINA ALPHADIX |
| FCA.A | Freedom Depository LLC / Amherst Securites |
| FCAL | FIRST CALIFORNIA FINANCIAL GRP COM NEW |
| FCAN | FIRST TR EXCH TRD ALPHA FD II CANADA ALPHA |
| FCAP | FIRST CAPITAL INC COM |
| FCBC | FIRST CMNTY BANCSHARES INC NEV COM |
| FCBP | First Community Bancorp - Common Stock |
| FCCO | FIRST CMNTY CORP S C COM |
| FCCY | 1ST CONSTITUTION BANCORP COM |
| FCD | FOCUSSHARES TR MRNSTR CON DEF |
| FCE.A | FOREST CITY ENTERPRISES INC CL A |

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| FCE.B | FOREST CITY ENTERPRISES INC CL B CONV |
| FCEC | FIRST CHESTER CNTY CORP COM |
| FCEL | FUELCELL ENERGY INC COM |
| FCF | FIRST COMWLTH FINL CORP PA COM |
| FCFC | FIRSTCITY FINL CORP COM |
| FCFL | FIRST CMNTY BK CORP AMER COM |
| FCFS | FIRST CASH FINL SVCS INC COM |
| FCG | FIRST TR ISE REVERE NAT GAS IN COM |
| FCGI | First Consulting Group Inc. - Common Stock |
| FCGL | DIREXION SHS ETF TR NAT GS BULL 2X |
| FCGS | DIREXION SHS ETF TR NAT GS BEAR 2X |
| FCH | FELCOR LODGING TR INC COM |
| FCH-A | FELCOR LODGING TR INC PFD CV A \$1.95 |
| FCH-C | FELCOR LODGING TR INC PFD 1/100 C 8% |
| FCHI | ISHARES TR FTSE CHINA ETF |
| FCJ | FORD MOTOR CREDIT CO LLC NT 7.60 2032 |
| FCJ* | FORD MOTOR CREDIT CO LLC NT 7.60 2032 |
| FCL | FOCUSSHARES TR MRNSTR CON CYC |
| FCLF | FIRST CLOVER LEAF FIN CORP COM |
| FCM | FIRST TR FOUR CRNRS SR FLT RTE COM SHS |
| FCMC | Franklin Credit Management Corp - Common Stock |
| FCN | FTI CONSULTING INC COM |
| FCNCA | FIRST CTZNS BANCSHARES INC N C CL A |
| FCO | ABERDEEN GLOBAL INCOME FD INC COM |
| FCPO | Factory Card & Party Outlet Corporation - When-Issued Common Stock |
| FCQ | FOCUSSHARES TR MRNSTR COMM SV |
| FCS | FAIRCHILD SEMICONDUCTOR INTL COM |
| FCSC | FIBROCELL SCIENCE INC COM NEW |
| FCSE | FOCUS Enhancements Inc. - Common Stock |
| FCSX | FCSTONE GROUP INC COM |
| FCT | FIRST TR SR FLG RTE INCM FD II COM |
| FCTR | First Charter Corporation - Common Stock |
| FCTY | 1ST CENTURY BANCSHARES INC COM |
| FCV | FAITHSHARES TR CATHOLIC VALUE |
| FCVA | FIRST CAPITAL BANCORP VA COM |
| FCX | FREEPORT-MCMORAN COPPER & GOLD COM |
| FCX-C* | Freeport-McMoRan Copper & Gold Inc. Depository Shares Series II (Each representing 0.05 of a share of Gold-Denominated Preferred Stock Series II)SY |
| FCX-D | Freeport-McMoRan Copper & Gold Inc. Depository Shares (Each representing 0.003125 of a share of Silver-Denominated Preferred Stock) |
| FCX-M | FREEPORT-MCMORAN COPPER & GOLD PFD CONV |
| FCY | FOREST CITY ENTERPRISES INC SR NT 2034 |
| FCZ | FORD MOTOR CREDIT CO LLC NT SR 7.375 |
| FCZ* | FORD MOTOR CREDIT CO LLC NT SR 7.375 |
| FCZA | FIRST CTZNS BANC CORP COM NO PAR |
| FD | Federated Department Stores Inc. Common Stock |
| FDC | First Data Corporation Common Stock |
| FDC# | First Data Corporation Common Stock |
| FDD | FIRST TR STOXX EURO DIV FD COMMON SHS |
| FDEF | FIRST DEFIANCE FINL CORP COM |
| FDG | Fording Canadian Coal Trust Unit of Income Trust |
| FDI | FORT DEARBORN INCOME SECS INC COM |
| FDL | FIRST TR MORNINGSTAR DIV LEADR SHS |
| FDM | FIRST TR DJS MICROCAP INDEX FD COM SHS ANNUAL |
| FDML | FEDERAL MOGUL CORP COM |
| FDN | FIRST TR EXCHANGE TRADED FD DJ INTERNT IDX |
| FDO | FAMILY DLR STORES INC COM |
| FDP | FRESH DEL MONTE PRODUCE INC ORD |
| FDRY | Foundry Networks Inc. - Common Stock |
| FDS | FACTSET RESH SYS INC COM |
| FDT | FIRST TR EXCH TRD ALPHA FD II DEV MRK EX US |

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| FDTS | FIRST TR EXCH TRD ALPHA FD II EX US SML CP |
| FDUS | FIDUS INVT CORP COM |
| FDV | FIRST TR EXCHANGE TRADED FD STRAT VAL IDX FD |
| FDX | FEDEX CORP COM |
| FE | FIRSTENERGY CORP COM |
| FED | FIRSTFED FINL CORP COM |
| FEED | AGFEED INDUSTRIES INC COM |
| FEEU | BARCLAYS BK PLC BARC ETN EUR50 |
| FEFN | ISHARES TR MSCI FAR EAST |
| FEG | FOCUSSHARES TR MRNSTR ENERGY |
| FEI | FIRST TR MLP & ENERGY INCOME COM |
| FEIC | FEI CO COM |
| FEIM | FREQUENCY ELECTRS INC COM |
| FELE | FRANKLIN ELEC INC COM |
| FEM | FIRST TR EXCH TRD ALPHA FD II EMERG MKT ALPH |
| FEMS | FIRST TR EXCH TRD ALPHA FD II EM SML CP ALPH |
| FEN | FIRST TR ENERGY INCOME & GRW COM |
| FENG | PHOENIX NEW MEDIA LTD SPONSORED ADS |
| FENWD | FAIRCHILD INDS INC |
| FEO | FIRST TR/ABERDEEN EMERG OPT FD COM |
| FEP | FIRST TR EXCH TRD ALPHA FD II EUROPE ALPHA |
| FES | FORBES ENERGY SVCS LTD COM |
| FET | FORUM ENERGY TECHNOLOGIES INC COM |
| FEU | SPDR INDEX SHS FDS STOXX EUR 50 ETF |
| FEV | EATON VANCE NATL MUN INCOME TR SH BEN INT |
| FEX | FIRST TR LRGE CP CORE ALPHA FD COM SHS |
| FEZ | SPDR INDEX SHS FDS EURO STOXX 50 |
| FF | FUTUREFUEL CORPORATION COM |
| FFA | FIRST TR ENHANCED EQTY INC FD COM |
| FFBC | FIRST FINL BANCORP OH COM |
| FFBCW | FIRST FINL BANCORP OH WT EXP 122318 |
| FFBH | FIRST FED BANCSHARES ARK COM NEW |
| FFBHD | FIRST FED BANCSHARES ARK COM NEW |
| FFBI | First Federal Bancshares Inc. - Common Stock |
| FFC | FLAHERTY&CRMN PFD SEC INCOM FD COM |
| FFCH | FIRST FINL HLDGS INC COM |
| FFCO | FEDFIRST FINL CORP NEW COM |
| FFCOD | FEDFIRST FINL CORP NEW COM |
| FFD | MORGAN STANLEY FRNT EMERG FD COM |
| FFDB | FIRSTFED BANCORP I |
| FFDF | FFD FINL CORP COM |
| FFEX | FROZEN FOOD EXPRESS INDS INC COM |
| FFFD | NORTH CENT BANCSHARES INC COM |
| FFFL | Fidelity Bankshares Inc. - Common Stock |
| FFFS | First Federal Financial Services Inc. - Common Stock |
| FFG | FBL FINL GROUP INC CL A |
| FFH | FAIRFAX FINL HLDGS LTD SUB VTG |
| FFHL | FUWEI FILMS HLDGS CO LTD SHS |
| FFHS | FIRST FRANKLIN CORP COM |
| FFI | FORTUNE INDUSTRIES INC COM NEW |
| FFIC | FLUSHING FINL CORP COM |
| FFIN | FIRST FINL BANKSHARES COM |
| FFIV | F5 NETWORKS INC COM |
| FFKT | FARMERS CAP BK CORP COM |
| FFKY | FIRST FINL SVC CORP COM |
| FFL | FOCUSSHARES TR MRNSTR FIN SVC |
| FFN | FRIENDFINDER NETWORKS INC COM IPO |
| FFNM | FIRST FED NORTHN MICH BANCORP COM |
| FFNW | FIRST FINANCIAL NORTHWEST INC COM |
| FFR | FIRST TR FTSE EPRA/NAREIT DEVL COM |
| FFSW | First Federal Banc of the Southwest Inc. - Common Stock |

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| FFSX | FIRST FED BANKSHARES INC DEL COM |
| FFVX | UBS AG LONDON BRH ETRACS 6MT EQT |
| FGB | FIRST TRUST SPECIALTY FINANCE COM BEN INTR |
| FGC | NEXTERA ENERGY CAP HLDGS INC JR SB DB-A 66 |
| FGC* | NEXTERA ENERGY CAP HLDGS INC JR SB DB-A 66 |
| FGD | FIRST TR EXCHANGE TRADED FD II DJ GLBL DIVID |
| FGE | NEXTERA ENERGY CAP HLDGS INC JR SB DB-E 67 |
| FGE* | NEXTERA ENERGY CAP HLDGS INC JR SB DB-E 67 |
| FGEM | EGA EMERGING GLOBAL SHS TR EGSHARE FINL GEM |
| FGF | SUNAMERICA FCS ED ALPHA GRW FD COM |
| FGI | SUNAMERICA FOCUSE ALPHA LC FD COM |
| FGM | FIRST TR EXCH TRD ALPHA FD II GERMANY ALPHA |
| FGP | FERRELLGAS PARTNERS L.P. UNIT LTD PART |
| FGSG | FORTUNE GTY SVGS BANK |
| FGXI | FGX INTERNATIONAL HLDGS LTD ORD SHS |
| FHC | FOCUSSHARES TR MRNSTR HTH CRE |
| FHCO | FEMALE HEALTH CO COM |
| FHI | FIRST TR STRTGC HIGH INCM FD COM |
| FHK | FIRST TR EXCH TRD ALPHA FD II HONG KONG ALPH |
| FHN | FIRST HORIZON NATL CORP COM |
| FHN-A | FIRST HORIZON NATL CORP DEPOSITARY SHS |
| FHO | FIRST TR STRAT HGH INC FD III COM |
| FHR | Fairmont Hotels & Resorts Inc. Common Shares |
| FHRX | First Horizon Pharmaceutical Corporation - Common Stock |
| FHY | FIRST TR STRATEGIC HIGH INC FD COM SHS NEW |
| FIA | Fiat S.p.A. American Depositary Shares(Each representing one Ordinary Share |
| FIA- | Fiat S.p.A. American Depositary Shares(Each representing one Preference Share) |
| FIA-A | Fiat S.p.A. American Depositary Shares (Each representing one Savings Share) |
| FIBK | FIRST INTST BANCYSYSTEM INC COM CL A |
| FIC | FAIR ISAAC CORP COM |
| FICC | Fieldstone Investment Corporation - Common stock |
| FICO | FAIR ISAAC CORP COM |
| FIF | FIRST TR ENERGY INFRASTRCTR FD COM |
| FIFG | 1st Independence Financial Group Inc. - Common Stock |
| FIG | FORTRESS INVESTMENT GROUP LLC CL A |
| FIGI | FORTRESS INTL GROUP INC COM |
| FIGIU | FORTRESS INTL GROUP INC UNIT EX 071209 |
| FIGIW | FORTRESS INTL GROUP INC WT EXP 071209 |
| FIGY | BARCLAYS BK PLC BARC YLD ETN LKD |
| FII | FEDERATED INVS INC PA CL B |
| FIL | FOCUSSHARES TR MRNSTR INDLS |
| FILE | FileNet Corporation - Common Stock |
| FILL | ISHARES INC MSCI GLB ENERG |
| FINB | First Indiana Corporation - Common Stock |
| FINF | PROSHARES TR SHT 30YR TIPS |
| FINL | FINISH LINE INC CL A |
| FINU | PROSHARES TR ULTRAPRO FINLS |
| FINZ | PROSHARES TR UL PROSHTFIN NEW |
| FIO | FUSION-IO INC COM |
| FIRE | SOURCEFIRE INC COM |
| FIS | FIDELITY NATL INFORMATION SVCS COM |
| FIS# | Fidelity National Information Services Inc. Common Stock |
| FISI | FINANCIAL INSTNS INC COM |
| FISN | GLOBAL X FDS FISHING INDSTR |
| FISV | FISERV INC COM |
| FIT | HEALTH FITNESS CORP COM NEW |
| FITB | FIFTH THIRD BANCORP COM |
| FITBP | FIFTH THIRD BANCORP CNV PFD DEP1/250 |
| FIVE | FIVE BELOW INC COM |
| FIVZ | PIMCO ETF TR 3-7YR US TREAS |
| FIW | FIRST TR ISE WATER INDEX FD COM |

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| FIX | COMFORT SYS USA INC COM |
| FIZ | National Beverage Corp |
| FIZZ | NATIONAL BEVERAGE CORP COM |
| FJA | PPLUS TR CTF A 7.995%36 |
| FJC | Fedders Corporation Common Stock (New) |
| FJC-A | Fedders Corporation Series A Cumulative Preferred Stock |
| FJP | FIRST TR EXCH TRD ALPHA FD II JAPAN ALPHAD |
| FKFS | FIRST KEYSTONE FINL INC COM |
| FKL | FAITHSHARES TR LUTHERAN VALUE |
| FKO | FIRST TR EXCH TRD ALPHA FD II STH KOREA ALPH |
| FKU | FIRST TR EXCH TRD ALPHA FD II UNIT KING ALPH |
| FL | FOOT LOCKER INC COM |
| FLA | Florida East Coast Industries Inc. Common Stock |
| FLAG | EXCHANGE TRADED CONCEPTS TR FORENSIC ACCTG |
| FLAT | BARCLAYS BK PLC US TRES FLATT |
| FLC | FLAHERTY & CRUMRINE TOTAL RETU COM |
| FLDM | FLUIDIGM CORP DEL COM |
| FLDR | FLANDERS CORP COM |
| FLE | FLEETWOOD ENTERPRISES |
| FLEX | FLEXTRONICS INTL LTD ORD |
| FLG | FOCUSSHARES TR MRNGSTR LRG CP |
| FLI | CHC Helicopter Corporation Class A Subordinate Voting Shares |
| FLIC | FIRST LONG IS CORP COM |
| FLIR | FLIR SYS INC COM |
| FLL | FULL HOUSE RESORTS INC COM |
| FLM | FIRST TR ISE GLOBAL ENGR & CON COM |
| FLML | FLAMEL TECHNOLOGIES SA SPONSORED ADR |
| FLN | FIRST TR EXCH TRD ALPHA FD II LATIN AMER ALP |
| FLO | FLOWERS FOODS INC COM |
| FLOT | ISHARES TR FLTG RATE NT |
| FLOW | FLOW INTL CORP COM |
| FLPB | Leesport Financial Corporation - Common Stock |
| FLR | FLUOR CORP NEW COM |
| FLR# | Fluor Corporation Common Stock |
| FLRN | SPDR SER TR INV GRD FLT RT |
| FLS | FLOWSERVE CORP COM |
| FLSH | mssystems Ltd. - Ordinary Shares |
| FLT | FLEETCOR TECHNOLOGIES INC COM |
| FLT+ | Flight Safety Technologies Inc |
| FLTR | MARKET VECTORS ETF TR INVT GRD FL RT |
| FLTWS | FLIGHT SAFETY TECH WTS |
| FLTXX | FLEETMATICS GROUP PLC COM |
| FLWS | 1 800 FLOWERS COM CL A |
| FLXS | FLEXSTEEL INDS INC COM |
| FLY | FLY LEASING LTD SPONSORED ADR |
| FLYR | Navigant International Inc. - Common Stock |
| FLYX | DIREXION SHS ETF TR AIRLINE SHS |
| FM | ISHARES INC MSCI FRNTR100ETF |
| FMAR | FIRST MARINER BANCORP COM |
| FMBI | FIRST MIDWEST BANCORP DEL COM |
| FMC | F M C CORP COM NEW |
| FMCN | FOCUS MEDIA HLDG LTD SPONSORED ADR |
| FMCO | FMS Financial Corporation - Common Stock |
| FMCP | FIRSTMERIT CORP DEP SHS |
| FMD | FIRST MARBLEHEAD CORP COM |
| FMDA | Futuremedia Public Limited Company - American Depositary Shares |
| FMDAD | Futuremedia Public Limited Company - American Depositary Shares |
| FMDAY | Futuremedia Public Limited Company - American Depositary Shares |
| FMER | FIRSTMERIT CORP COM |
| FMER-A | FIRSTMERIT CORP DEP SHS |
| FMFC | FIRST M & F CORP COM |

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| FMK | FIRST TR EXCNGE TRD ALPHADDEX MEGA CAP ALPHA |
| FML | MERRILL LYNCH & CO |
| FMM | FOCUSSHARES TR MRNGSTR MID CP |
| FMN | FEDERATED PREM MUN INC FD COM |
| FMNB | FARMERS NATL BANC CORP COM |
| FMO | FIDUCIARY CLAYMORE MLP OPP FD COM |
| FMP | Feldman Mall Properties Inc. Common Stock |
| FMR | FIRST MERCURY FINANCIAL CORP COM |
| FMRX | FAMILYMEDS GROUP INC COM NEW |
| FMRXD | Familymeds Group Inc. New Common Stock |
| FMS | FRESENIUS MED CARE AG&CO KGAA SPONSORED ADR |
| FMS# | Fresenius Medical Care AG American Depository Shares (Each representing 1/3rd of an Ordinary Share) |
| FMS- | FRESENIUS MED CARE AG&CO KGAA SPON ADR PREF |
| FMSB | First Mutual Bancshares Inc. - Common Stock |
| FMT | Fremont General Corporation Common Stock |
| FMT- | Fremont General Financing I 9% Trust Originated Preferred Securities (TOPrS) |
| FMTI | FORBES MEDI-TECH INC NEW COM |
| FMTID | Forbes Medi-Tech Inc. - Common Shares |
| FMU | FOCUSSHARES TR MRNGSTR US MKT |
| FMV | FAITHSHARES TR METHODIST VAL |
| FMX | FOMENTO ECONOMICO MEXICANO SAB SPON ADR UNITS |
| FMY | FIRST TRUST MORTGAGE INCM FD COM SHS |
| FN | FABRINET SHS |
| FNA | FEDERAL NATL MTG ASSN CONV PFD SR 08-1 |
| FNB | FNB CORP PA COM |
| FNBF | FNB Financial Services Corporation - Common Stock |
| FNBN | F N B UNITED CORP COM NEW |
| FNBND | F N B UNITED CORP COM NEW |
| FNBP | FNBPA BANCORP INC COM |
| FNDR | FENDER MUSICAL INSTRS CORP COM |
| FNDT | FUNDTECH LTD ORD |
| FNET | FORTUNET INC COM |
| FNF | FIDELITY NATIONAL FINANCIAL IN CL A |
| FNF# | Fidelity National Financial Inc. Common Stock |
| FNFG | FIRST NIAGARA FINL GP INC COM |
| FNFG-B | FIRST NIAGARA FINL GP INC PFD NON CUM SER |
| FNFI | FIRST NILES FINL INC COM |
| FNG-* | Front Range Capital Trust I |
| FNGN | FINANCIAL ENGINES INC COM |
| FNHC | FEDERATED NATL HLDG CO COM |
| FNI | FIRST TR ISE CHINDIA INDEX FD COM |
| FNIO | ISHARES TR INDL OFF CAP IDX |
| FNK | FIRST TR EXCNGE TRD ALPHADDEX MID CAP VAL FD |
| FNLC | FIRST BANCORP INC ME COM |
| FNLY | Finlay Enterprises Inc. - Common Stock |
| FNM | FEDERAL NATL MTG ASSN COM |
| FNM-F | FEDERAL NATL MTG ASSN PFD F VAR RATE |
| FNM-G | FEDERAL NATL MTG ASSN PFD G VAR RATE |
| FNM-H | FEDERAL NATL MTG ASSN PFD SER H % |
| FNM-I | FEDERAL NATL MTG ASSN PFD I 5.375% |
| FNM-J | Fannie Mae Federal National Mortgage Association-Variable rate Non-Cumulative Preferred Stock Series J no par \$50 liquidation per preference |
| FNM-J* | Fannie Mae Federal National Mortgage Association-Variable rate Non-Cumulative Preferred Stock Series J no par \$50 liquidation per preference |
| FNM-K | Fannie Mae Federal National Mortgage Association-Variable rate Non-Cumulative Preferred Stock Series K no par value \$50 liquidation preference. |
| FNM-K* | Fannie Mae Federal National Mortgage Association-Variable rate Non-Cumulative Preferred Stock Series K no par value \$50 liquidation preference. |
| FNM-L | FEDERAL NATL MTG ASSN PFD L 5.125% |
| FNM-M | FEDERAL NATL MTG ASSN PFD M 4.75% |
| FNM-N | FEDERAL NATL MTG ASSN PFD SER N |

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| FNM-P | FEDERAL NATL MTG ASSN VAR PFD SER P |
| FNM-Q | FEDERAL NATL MTG ASSN PFD6.75% SER Q |
| FNM-R | FEDERAL NATL MTG ASSN PFD7.625%SER R |
| FNM-S | FEDERAL NATL MTG ASSN PFD8.25%SER S |
| FNM-T | FEDERAL NATL MTG ASSN PFD 8.25% SR T |
| FNP | FIFTH & PAC COS INC COM |
| FNSC | FIRST NATL BANCSHARES INC S C COM |
| FNSR | FINISAR CORP COM NEW |
| FNSRD | FINISAR CORP COM NEW |
| FNT | Fidelity National Title Group Inc. Class A Common Stock |
| FNT# | Fidelity National Title Group Inc. Class A Common Stock |
| FNV | FRANCO NEVADA CORP COM |
| FNV= | FIRST CLASS NAVIGATION CORP UNIT EX 000010 |
| FNX | FIRST TR MID CAP CORE ALPHADEX COM SHS |
| FNY | FIRST TR EXCNGE TRD ALPHADEX MID CP GR ALPH |
| FO | FORTUNE BRANDS INC COM |
| FO-A | FORTUNE BRANDS INC PFD CV \$2.67 |
| FOA | MERRILL LYNCH & CO INC STEP FMC071409 |
| FOBB | First Oak Brook Bancshares Inc. - Common Stock |
| FOC | FAITHSHARES TR CHRISTIAN VAL |
| FOE | FERRO CORP COM |
| FOF | COHEN & STEERS CLOSED END OPPO COM |
| FOH | FREDERICKS HOLLYWOOD GROUP INC COM |
| FOIL | BARCLAYS BK PLC IPTH ALUMN ETN |
| FOL | FACTORSHARES S&P CRUDE OIL PRM COM UNT BEN IT |
| FOLD | AMICUS THERAPEUTICS INC COM |
| FONE | FIRST TR NASDAQ SMART PHONE IN COM SHS |
| FONR | FONAR CORP COM NEW |
| FONRD | Fonar Corporation - Common Stock |
| FOOD | VAUGHAN FOODS INC COM |
| FOODU | Vaughan Foods Inc. - Unit |
| FOODW | VAUGHAN FOODS INC WT CL A 062712 |
| FOODZ | VAUGHAN FOODS INC WT CL B 062712 |
| FOOT | Foothill Independent Bancorp - Common Stock |
| FOR | FORESTAR GROUP INC COM |
| FOR# | FORESTAR REAL ESTATE GROUP INC |
| FORD | FORWARD INDS INC N Y COM NEW |
| FORG | Forgent Networks Inc - Common Stock |
| FORM | FORMFACTOR INC COM |
| FORR | FORRESTER RESH INC COM |
| FORTY | FORMULA SYS 1985 LTD SPONSORED ADR |
| FORX | PIMCO ETF TR FORN CURR STRT |
| FOS | FOCUSSHARES TR MRNGSTR SML CP |
| FOSL | FOSSIL GROUP INC COM |
| FOXH | FoxHollow Technologies Inc. - Common Stock |
| FOXX | Fox & Hound Restaurant Group - Common Stock |
| FPA | FIRST TR EXCH TRD ALPHA FD II ASIA EX JAPAN |
| FPB | Fountain Powerboat Industries Inc |
| FPBI | FPB BANCORP INC COM |
| FPBN | 1ST PACIFIC BANK COM |
| FPC-A | FPC CAP I QUIPS A 7.10% |
| FPC-A* | FPC CAP I QUIPS A 7.10% |
| FPE | FIRST TR EXCHANGE-TRADED FD PFD SECS INC ETF |
| FPF | FIRST TR INTER DUR PFD & IN FD COM |
| FPFC | FIRST PL FINL CORP COM |
| FPI | FIRST TR TAX ADVTG PFD INCM FD COM |
| FPIC | FPIC INS GROUP INC COM |
| FPL | NEXTERA ENERGY INC COM |
| FPL-B | FPL Group Inc. 8% Corporate Units |
| FPL-C | FPL GROUP CAP TR I PFD TR 5.875% |
| FPL-F | FPL GROUP CAP INC 8.75%GTD JR SB F |

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| FPO | FIRST POTOMAC RLTY TR COM |
| FPO-A | FIRST POTOMAC RLTY TR CUM RED PFD-A |
| FPP | FIELDPOINT PETROLEUM CORP COM |
| FPP+ | FIELDPOINT PETROLEUM CORP WT EXP 032318 |
| FPT | FEDERATED PREM INTR MUN INC FD COM |
| FPTB | FIRST PACTRUST BANCORP INC COM |
| FPU | FLORIDA PUB UTILS CO COM |
| FPX | FIRST TR US IPO INDEX FD SHS |
| FR | FIRST INDUSTRIAL REALTY TRUST COM |
| FR-C | First Industrial Realty Trust Inc. Depositary Shares (Each representing 1/100th of a share of 8 5/8% Series C Cumulative Preferred Stock) |
| FR-C* | First Industrial Realty Trust Inc. Depositary Shares (Each representing 1/100th of a share of 8 5/8% Series C Cumulative Preferred Stock) |
| FR-J | FIRST INDUSTRIAL REALTY TRUST PFD 1/10000 J |
| FR-J* | FIRST INDUSTRIAL REALTY TRUST PFD 1/10000 J |
| FR-K | FIRST INDUSTRIAL REALTY TRUST PFD K 7.25% |
| FR-K* | FIRST INDUSTRIAL REALTY TRUST PFD K 7.25% |
| FRA | BLACKROCK FLOAT RATE OME STRAT COM |
| FRAC | PLATINUM ENERGY SOLUTIONS INC COM |
| FRAK | MARKET VECTORS ETF TR UNCVTL OIL GAS |
| FRAN | FRANCESCAS HLDGS CORP COM |
| FRB | BLACKROCK FL RATE OME STRA II COM SHS |
| FRBK | REPUBLIC FIRST BANCORP INC COM |
| FRC | FIRST REP BK SAN FRANCISCO CAL COM |
| FRC-A | FIRST REP BK SAN FRANCISCO CAL DEP SH PFD A |
| FRC-B | FIRST REP BK SAN FRANCISCO CAL DEP SHS REPSTG 1 |
| FRC-C | FIRST REP BK SAN FRANCISCO CAL DEP1/40TH PFD C |
| FRC-D | FIRST REP BK SAN FRANCISCO CAL DEP 1/40 PFD D % |
| FRCCO | FIRST REP PFD CAP CORP PFD SER D |
| FRCCP | First Republic Preferred Capital Corporation - Preferred Stock |
| FRD | FRIEDMAN INDS INC COM |
| FRE | FEDERAL HOME LN MTG CORP COM |
| FRE-B | FEDERAL HOME LN MTG CORP PFD VAR RATE |
| FRE-D | Freddie Mac 6.14% Non-Cumulative Preferred Stock |
| FRE-D* | Freddie Mac 6.14% Non-Cumulative Preferred Stock |
| FRE-F | FEDERAL HOME LN MTG CORP PFD |
| FRE-G | FEDERAL HOME LN MTG CORP PFD FLTG RATE |
| FRE-H | FEDERAL HOME LN MTG CORP PFD 5.1% |
| FRE-K | FEDERAL HOME LN MTG CORP PFD 5.79% |
| FRE-L | FEDERAL HOME LN MTG CORP PFD 5.97% |
| FRE-M | FEDERAL HOME LN MTG CORP PFD VAR RATE |
| FRE-N | FEDERAL HOME LN MTG CORP PFD VR RT NCUM |
| FRE-O | FEDERAL HOME LN MTG CORP PFD 5.81% NCUM |
| FRE-P | FEDERAL HOME LN MTG CORP PFD 6% NON-CUM |
| FRE-Q | FEDERAL HOME LN MTG CORP PFD VAR RATE |
| FRE-R | FEDERAL HOME LN MTG CORP PFD 5.70% |
| FRE-S | FEDERAL HOME LN MTG CORP PFD PERP VAR |
| FRE-T | FEDERAL HOME LN MTG CORP PFD PERP 6.42% |
| FRE-U | FEDERAL HOME LN MTG CORP PERP PFD 5.9% |
| FRE-V | FEDERAL HOME LN MTG CORP PFD PERP 5.57% |
| FRE-W | FEDERAL HOME LN MTG CORP PFD CUM 5.66% |
| FRE-X | FEDERAL HOME LN MTG CORP PFD |
| FRE-Y | FEDERAL HOME LN MTG CORP PFD6.55% SER Y |
| FRE-Z | FEDERAL HOME LN MTG CORP PFD 8.375% NCM |
| FRED | FREDS INC CL A |
| FREE | FREESEAS INC SHS PAR.001 2013 |
| FREED | FREESEAS INC SHS NEW |
| FREEW | FREESEAS INC WT EXP 063010 |
| FREEZ | FREESEAS INC WT EXP 081211 |
| FRF | FORTEGRA FINL CORP COM |
| FRG | FRONTEER GOLD INC COM |

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| FRGB | FIRST REGL BANCORP COM |
| FRGI | FIESTA RESTAURANT GROUP INC COM |
| FRGIV | FIESTA RESTAURANT GROUP INC COM |
| FRGO | Fargo Electronics Inc. - Common Stock |
| FRH | Freedom Acquisition Holdings Inc |
| FRH+ | Freedom Acquisition Holdings Inc |
| FRH= | Freedom Acquisition Holdings Inc |
| FRI | FIRST TR S&P REIT INDEX FD COM |
| FRK | Florida Rock Industries Inc. Common Stock |
| FRL | FOCUSSHARES TR MRNST REAL EST |
| FRM | FURMANITE CORPORATION COM |
| FRME | FIRST MERCHANTS CORP COM |
| FRMEP | First Merchants Corporation - First Merchants Capital Trust I - 8.75% Cumulative Trust Preferred Securities |
| FRN | CLAYMORE EXCHANGE TRD FD TR 2 GUGG FRNTR MKT |
| FRNK | FRANKLIN FINL CORP VA COM |
| FRNS | First Avenue Networks Inc. - Common Stock |
| FRNT | Frontier Airlines Holdings Inc. - Common Stock |
| FRO | FRONTLINE LTD SHS |
| FRP | FAIRPOINT COMMUNICATIONS INC COM NEW |
| FRP# | FairPoint Communications Inc. Common Stock |
| FRPT | FORCE PROTECTION INC COM NEW |
| FRS | FRISCHS RESTAURANTS INC COM |
| FRSH | Fresh Brands Inc. Common Stock |
| FRT | FEDERAL REALTY INVT TR SH BEN INT NEW |
| FRT-B | Federal Realty Investment Trust 8 1/2% Series B Cumulative Redeemable Preferred Shares of Beneficial Interest |
| FRT-B* | Federal Realty Investment Trust 8 1/2% Series B Cumulative Redeemable Preferred Shares of Beneficial Interest |
| FRX | FOREST LABS INC COM |
| FRZ | REDDY ICE HLDGS INC COM |
| FS | Four Seasons Hotels Inc. Limited Voting Shares |
| FSA | FACTORSHARES S&P ANTI-EQTY PRE COM UNITS BEN |
| FSB | FINANCIAL SEC ASSURN HLDGS LTD QUIBS 6.875% |
| FSBC | 1ST STATE BNCP INC## |
| FSBI | FIDELITY BANCORP INC COM |
| FSBK | FIRST SOUTH BANCORP INC VA COM |
| FSBW | FS BANCORP INC COM |
| FSC | FIFTH STREET FINANCE CORP COM |
| FSCE | FIFTH STR FIN CORP SR NT 24 |
| FSCFL | FIFTH STR FIN CORP SR NT 6.125% 28 |
| FSCI | FISHER COMMUNICATIONS INC COM |
| FSD | FIRST TR HIGH INCOME L/S FD COM |
| FSE | FACTORSHARES S&P US EQTY PREM COM UNT BEN IT |
| FSF | FINANCIAL SEC ASSURN HLDGS LTD NT 5.60% 2103 |
| FSFG | FIRST SAVINGS FINL GROUP INC COM |
| FSG | FACTORSHARES S&P GOLD PREM COM UNT BEN IT |
| FSGI | FIRST SEC GROUP INC COM NEW |
| FSGID | FIRST SEC GROUP INC COM NEW |
| FSH | Fisher Scientific International Inc. (New) Common Stock |
| FSI | FLEXIBLE SOLUTIONS INTL INC COM |
| FSII | FSI INTL INC COM |
| FSIN | FUSHI COPPERWELD INC COM |
| FSL | FREESCALE SEMICONDUCTOR LTD SHS |
| FSL.B | Freescale Semiconductor Inc. Class B Common Stock \$0.01 par value |
| FSLR | FIRST SOLAR INC COM |
| FSM | FORTUNA SILVER MINES INC COM |
| FSN | FUSION TELECOMM INTL INC COM |
| FSN+ | Fusion Telecommunications International Inc |
| FSNM | FIRST ST BANCORPORATION COM |
| FSNWS | FUSION TELECOM WTS |
| FSP | FRANKLIN STREET PPTYS CORP COM |
| FSR | FLAGSTONE REINSURANCE HOLDINGS COM |
| FSRV | FIRSTSERVICE CORP SUB VTG SH |

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| FSS | FEDERAL SIGNAL CORP COM |
| FST | FOREST OIL CORP COM PAR \$0.01 |
| FST# | FOREST OIL CORP EX DISTRIB/WI |
| FSTF | FIRST ST FINL CORP FLA COM |
| FSTM | FUSIONSTORM GLOBAL INC COM |
| FSTR | FOSTER L B CO COM |
| FSTW | Firstwave Technologies Inc. - Common Stock |
| FSU | FACTORSHARES S&P EQTY ANT-USD COM UNT BEN IT |
| FSYS | FUEL SYS SOLUTIONS INC COM |
| FSZ | FIRST TR EXCH TRD ALPHA FD II SWITZLND ALPHA |
| FT | FRANKLIN UNVL TR SH BEN INT |
| FTA | FIRST TR LRG CP VL ALPHADEX FD COM SHS |
| FTB-A | FIFTH THIRD CAP TR V GTDTR PFD SC67 |
| FTB-A* | FIFTH THIRD CAP TR V GTDTR PFD SC67 |
| FTB-B | FIFTH THIRD CAP TR VI PFD TR GTD 67 |
| FTB-B* | FIFTH THIRD CAP TR VI PFD TR GTD 67 |
| FTB-C | FIFTH THIRD CAP TR VII 8.875% TR PFD |
| FTB-C* | FIFTH THIRD CAP TR VII 8.875% TR PFD |
| FTBK | FRONTIER FINL CORP WASH COM NEW |
| FTBKD | FRONTIER FINL CORP WASH COM NEW |
| FTC | FIRST TR LRG CP GRWTH ALPHADEX COM SHS |
| FTCS | FIRST TR EXCHANGE TRADED FD CAP STRENGTH ETF |
| FTD | FTD Group Inc. Common Stock |
| FTE | FRANCE TELECOM SPONSORED ADR |
| FTEK | FUEL TECH INC COM |
| FTF | FRANKLIN TEMPLETON LTD DUR INC COM |
| FTG | Farmstead Telephone Group Inc |
| FTGX | FIBERNET TELECOM GRP INC COM PAR \$0.001 |
| FTHR | Featherlite Inc. - Common Stock |
| FTI | FMC TECHNOLOGIES INC COM |
| FTI# | FMC Technologies Inc. Common Stock |
| FTK | FLOTEK INDS INC DEL COM |
| FTLK | FUNTALK CHINA HOLDINGS LIMITED SHS |
| FTNT | FORTINET INC COM |
| FTO | FRONTIER OIL CORP COM |
| FTQ | FOCUSSHARES TR MRNSTR TECH |
| FTR | FRONTIER COMMUNICATIONS CORP COM |
| FTSL | FIRST TR EXCHANGE TRADED FD IV SENIOR LN FD |
| FTT | FEDERATED ENHANC TREAS INCM FD COM SH BEN INT |
| FTW | FIRST TR EXCH TRD ALPHA FD II TAIWAN ALPHADE |
| FTWR | FIBERTOWER CORP COM NEW |
| FTWRD | FIBERTOWER CORP COM NEW |
| FTY | ISHARES TR REAL EST 50 IN |
| FU | FAB UNVL CORP COM |
| FUBC | 1ST UNITED BANCORP INC FLA COM |
| FUD | UBS AG JERSEY BRH CMCI FOOD ETN |
| FUE | SWEDISH EXPT CR CORP MLCX BIO ETN23 |
| FUEL | SMF ENERGY CORPORATION COM NEW |
| FUELD | SMF ENERGY CORPORATION COM NEW |
| FUELW | STREICHER MOB WTS S2 |
| FUI | FOCUSSHARES TR MRNSTR UTILS |
| FUJI | FUJIFILM HLDGS CORP ADR 2 ORD |
| FUJIY | FUJIFILM HLDGS CORP ADR 2 ORD |
| FUL | FULLER H B CO COM |
| FULL | FULL CIRCLE CAP CORP COM |
| FULT | FULTON FINL CORP PA COM |
| FUN | CEDAR FAIR L P DEPOSITRY UNIT |
| FUNC | FIRST UTD CORP COM |
| FUND | ROYCE FOCUS TR COM |
| FUQI | FUQI INTERNATIONAL INC COM NEW |
| FUR | WINTHROP RLTY TR SH BEN INT NEW |

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| FUR-A | Winthrop Realty Trust Series A Cumulative Convertible Redeemable Preferred Shares of Beneficial Interest |
| FUR-A* | Winthrop Realty Trust Series A Cumulative Convertible Redeemable Preferred Shares of Beneficial Interest |
| FUR-D | WINTHROP RLTY TR PFD SHS BEN INT |
| FURX | FURIEX PHARMACEUTICALS INC COM |
| FURXV | FURIEX PHARMACEUTICALS INC COM |
| FVD | FIRST TR VALUE LINE DIVID INDX SHS |
| FVE | FIVE STAR QUALITY CARE INC COM |
| FVI | FIRST TR VAL LINE EQ ALLO INDX SHS |
| FVL | FIRST TR VALUE LINE 100 ETF COM SHS |
| FVRL | Favrille Inc. - Common Stock par value \$0.001 per share |
| FWDB | ADVISORSHARES TR MADRONA GLB BD |
| FWDD | ADVISORSHARES TR MADRONA DOMESTIC |
| FWDI | ADVISORSHARES TR MADRONA INTL ETF |
| FWF | WELLS FARGO CAP XI PFD TRUPRS 37 |
| FWF* | WELLS FARGO CAP XI PFD TRUPRS 37 |
| FWJ | Merrill Lynch Depositor Inc. 7 3/4% Public STEERS Trust Certificates Series 1998-TRV-C1 |
| FWL | FABWEL INC |
| FWLT | FOSTER WHEELER AG COM |
| FWLTW | FOSTER WHEELER AG WT A EX 092409 |
| FWLTZ | Foster Wheeler Ltd. - Warrants B 9/24/2007 |
| FWM | FAIRWAY GROUP HLDGS CORP CL A |
| FWRD | FORWARD AIR CORP COM |
| FWT | Morgan Stanley |
| FWT* | MORGAN STANLEY SPARQS 8% WFT8 |
| FWV | FIRST W VA BANCORP INC COM |
| FX | FX ALLIANCE INC COM |
| FXA | CURRENCYSHARES AUSTRALIAN DLR AUSTRALIAN DOL |
| FXB | CURRENCYSHS BRIT POUND STER TR BRIT POUND STE |
| FXC | CURRENCYSHARES CDN DLR TR CDN DOLLAR SHS |
| FXC.A | Morgan Stanley |
| FXCB | FOX CHASE BANCORP INC NEW COM |
| FXCBD | FOX CHASE BANCORP INC NEW COM |
| FXCH | CURRENCYSHARES CHINESE RENMINB CHIN RENMINBI |
| FXCM | FXCM INC COM CL A |
| FXD | FIRST TR EXCHANGE TRADED FD II CONSUMR DISCRE |
| FXE | CURRENCYSHARES EURO TR EURO SHS |
| FXEN | FX ENERGY INC COM |
| FXF | CURRENCYSHARES SWISS FRANC TR SWISS FRANC SH |
| FXG | FIRST TR EXCHANGE TRADED FD II CONSUMR STAPLE |
| FXH | FIRST TR EXCHANGE TRADED FD II HLTH CARE ALPH |
| FXI | ISHARES TR FTSE CHINA25 IDX |
| FXL | FIRST TR EXCHANGE TRADED FD II TECH ALPHADEX |
| FXM | CURRENCYSHARES MEXICAN PESO TR MEXICAN PES SH |
| FXN | FIRST TR EXCHANGE TRADED FD II ENERGY ALPHADX |
| FXO | FIRST TR EXCHANGE TRADED FD II FINLS ALPHADEX |
| FXP | PROSHARES TR ULTSHT CHINA 25 |
| FXR | FIRST TR EXCHANGE TRADED FD II INDLS PROD DUR |
| FXRE | FX REAL ESTATE & ENTMT INC COM |
| FXRER | FX Real Estate and Entertainment Inc. - Rights |
| FXRU | CURRENCYSHARES RUSSIAN RUBLE T SHS |
| FXS | CURRENCYSHARES SWEDISH KRONA T SWEDISH KRONA |
| FXSG | CURRENCYSHARES SINGAPORE DLR T SHS |
| FXU | FIRST TR EXCHANGE TRADED FD II UTILITIES ALPH |
| FXX | Foxby Corp |
| FXY | CURRENCYSHS JAPANESE YEN TR JAPANESE YEN |
| FXZ | FIRST TR EXCHANGE TRADED FD II MATERIALS ALPH |
| FYC | FIRST TR EXCNGE TRD ALPHADEX SML CP GRW ALP |
| FYR | SAPPHIRE INDUSTRIALS CORP COM |
| FYR+ | SAPPHIRE INDUSTRIALS CORP WT EXP 011712 |
| FYR= | SAPPHIRE INDUSTRIALS CORP UNIT EX |
| FYT | FIRST TR EXCNGE TRD ALPHADEX SML CAP VAL AL |

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| FYX | FIRST TR SML CP CORE ALPHA FD COM SHS |
| FZB | FAITHSHARES TR BAPTIST VAL FD |
| FZB- | FCB/NC Capital Trust II |
| FZB-* | FCB/NC Capital Trust II |
| FZN | CUISINE SOLUTIONS INC COM |
| G | GENPACT LIMITED SHS |
| GA | GIANT INTERACTIVE GROUP INC ADR |
| GAB | GABELLI EQUITY TR INC COM |
| GAB# | The Gabelli Equity Trust Inc. Common Stock |
| GAB-B | The Gabelli Equity Trust Inc. 7.2% Tax Advantage Series B Cumulative Preferred Stock |
| GAB-B* | The Gabelli Equity Trust Inc. 7.2% Tax Advantage Series B Cumulative Preferred Stock |
| GAB-D | GABELLI EQUITY TR INC PFD D 5.875% |
| GAB-F | GABELLI EQUITY TR INC PFD SER F 6.2% |
| GAB-F* | GABELLI EQUITY TR INC PFD SER F 6.2% |
| GAB-G | GABELLI EQUITY TR INC PFD-G |
| GAB-H | GABELLI EQUITY TR INC PFD SER H 5.00% |
| GABC | GERMAN AMERN BANCORP INC COM |
| GABFR | GABELLI EQUITY TR INC RT PUR PFD SER G |
| GABFV | GABELLI EQUITY TR INC RT |
| GAC | Geneva Acquisition Corporation |
| GAC+ | Geneva Acquisition Corporation |
| GAC= | Geneva Acquisition Corporation |
| GAF | SPDR INDEX SHS FDS MIDEAST AFRICA |
| GAFC | GREATER ATLANTIC FINANCIAL COM |
| GAGA | LE GAGA HLDGS LTD SPONSORED ADR |
| GAH | GEORGIA PWR CO NT SR X 5.70% |
| GAH* | GEORGIA PWR CO NT SR X 5.70% |
| GAI | GLOBAL TECH ADVANCED INNOVATIO SHS NEW |
| GAIA | GAIAM INC CL A |
| GAIN | GLADSTONE INVT CORP COM |
| GAINP | GLADSTONE INVT CORP PFD A 7.125% |
| GAINR | Gladstone Investment Corporation - Transferable Subscription Rights to purchase shares of common stock at approx. \$9.02 |
| GAIT | LANGER INC COM |
| GAJ | GREAT ATLANTIC & PAC TEA INC QUIBS 9.375% |
| GAL | SSGA ACTIVE ETF TR GLOBL ALLO ETF |
| GALE | GALENA BIOPHARMA INC COM |
| GALT | GALECTIN THERAPEUTICS INC COM NEW |
| GALTU | GALECTIN THERAPEUTICS INC UNIT EX 000017 |
| GALTW | GALECTIN THERAPEUTICS INC WT EXP 032817 |
| GAM | GENERAL AMERN INVS INC COM |
| GAM-B | GENERAL AMERN INVS INC PFD B 5.95% |
| GAME | SHANDA GAMES LTD SP ADR REPTG A |
| GAN | GAINSCO INC COM PAR \$.10 |
| GAP | GREAT ATLANTIC & PAC TEA INC COM |
| GAR | GEORGIA PWR CO SR NT 2007D |
| GAR* | GEORGIA PWR CO SR NT 2007D |
| GARS | GARRISON CAP INC COM |
| GAS | AGL RES INC COM |
| GASL | DIREXION SHS ETF TR NAT GS BULL 3X |
| GASS | STEALTHGAS INC SHS |
| GASX | DIREXION SHS ETF TR NAT GS BEAR 3X |
| GASZ | UBS AG LONDON BRH DLY LNGSHT GAS |
| GAT | GEORGIA PWR CO NT SER2008C 48 |
| GAV | Grubb & Ellis Realty Advisors Inc |
| GAV+ | Grubb & Ellis Realty Advisors Inc |
| GAV= | Grubb & Ellis Realty Advisors Inc |
| GAX | Galaxy Energy Corporation |
| GAZ | BARCLAYS BANK PLC ETN DJUBS NAT37 |
| GB | GREATBATCH INC COM |
| GBAB | GUGGENHEIM BLD AMR BDS MNG DR COM |

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| GBB | BARCLAYS BK PLC IP GBP/USD ETN |
| GBBK | Greater Bay Bancorp - Common Stock |
| GBBK0 | Greater Bay Bancorp GBB Capital V - 9.00% Cumulative Trust Preferred Securities |
| GBC | MORGAN STANLEY NT GBL BAS IND |
| GBCI | GLACIER BANCORP INC NEW COM |
| GBCIP | Glacier Bancorp Inc. Glacier Capital Trust I - 9.40% Cumulative Trust Preferred Securities |
| GBDC | GOLUB CAP BDC INC COM |
| GBE | GRUBB & ELLIS CO COM PAR \$0.01 |
| GBF | ISHARES TR BARCLYS GOVT CR |
| GBG | GREAT BASIN GOLD LTD COM |
| GBH | GREEN BUILDERS INC COM |
| GBI | MORGAN STANLEY NT IDX 022011 |
| GBIM | GLOBEIMMUNE INC COM |
| GBL | GAMCO INVESTORS INC COM |
| GBLI | GLOBAL INDEMNITY PLC SHS |
| GBM | GENERAL MTRS CORP DEB SR CONV B |
| GBN | BANK AMER CORP STARS GOLD 11 |
| GBNK | GUARANTY BANCORP DEL COM NEW |
| GBO | Merrill Lynch |
| GBR | NEW CONCEPT ENERGY INC COM |
| GBT | Advanced Battery Technologies Inc |
| GBTB | GB&T Bancshares - Common Stock |
| GBTS | Gateway Financial Holdings Inc. - Common Stock |
| GBX | GREENBRIER COS INC COM |
| GCA | GLOBAL CASH ACCESS HLDGS INC COM |
| GCAP | GAIN CAP HLDGS INC COM |
| GCBC | GREENE COUNTY BANCORP INC COM |
| GCBS | Greene County Bancshares Inc. - Common Stock |
| GCC | GREENHAVEN CONT CMDTY INDEX FD UNIT BEN INT |
| GCE | GS FIN CORP ETN CLAYMORE37 |
| GCF | GLOBAL INCOME&CURRENCY FD INC COM |
| GCFB | GRANITE CITY FOOD & BREWERY LT COM NEW |
| GCFBD | GRANITE CITY FOOD & BREWERY LT COM NEW |
| GCFBU | GRANITE CITY UTS |
| GCFBW | GRANITE CITY WTS |
| GCGC | GOLDEN CYCLE GOLD CORP COM |
| GCH | GREATER CHINA FD INC COM |
| GCH^ | GREATER CHINA FD INC RT |
| GCH^# | GREATER CHINA FD INC RT |
| GCI | GANNETT INC COM |
| GCO | GENESCO INC COM |
| GCOM | GLOBECOMM SYSTEMS INC COM |
| GCP.A | Royal Bank of Scotland N.V. (The) |
| GCS | DWS ENHANCED COMMDTY STRTGY FD COM |
| GCS\$ | DWS Global Commodities Stock Fund Inc. Common Stock |
| GCSWD | SCUDDER GLOBAL |
| GCT | GMH Communities Trust Common Shares of Beneficial Interest \$0.001 par value |
| GCTS | GCT SEMICONDUCTOR INC COM |
| GCV | GABELLI CONV&INCOM SECS FD INC COM |
| GCV-B | GABELLI CONV&INCOM SECS FD INC PFD SER B |
| GCVRZ | SANOFI CONTGNT VAL RT |
| GD | GENERAL DYNAMICS CORP COM |
| GDAY | PROSHARES TR II PROSHS ULT AUS |
| GDF | WESTERN ASSET GLB PTNRS INCOME COM |
| GDI | GARDNER DENVER INC COM |
| GDI# | Gardner Denver Inc. Common Stock |
| GDL | GDL FUND COM SH BEN IT |
| GDL-A | GDL FUND PFD 8.50% SER A |
| GDL-A* | GDL FUND PFD 8.50% SER A |
| GDL-B | GDL FUND CUM PFD SER B |
| GDLXR | GDL FUND RT |

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| GDLXV | GDL FUND RT |
| GDO | WESTERN ASSET GLOBAL CP DEFINE COM |
| GDOT | GREEN DOT CORP CL A |
| GDP | GOODRICH PETE CORP COM NEW |
| GDP-C | GOODRICH PETE CORP DEP1/1000PFD C |
| GDPAP | Goodrich Petroleum Corporation Series A Preferred Stock |
| GDT | Guidant Corporation Common Stock |
| GDV | GABELLI DIVD & INCOME TR COM |
| GDV-A | GABELLI DIVD & INCOME TR PFD SER A |
| GDV-D | GABELLI DIVD & INCOME TR PFD SER D |
| GDW | Golden West Financial Corporation Common Stock |
| GDX | MARKET VECTORS ETF TR GOLD MINER ETF |
| GDXJ | MARKET VECTORS ETF TR JR GOLD MINERS E |
| GDYS | GOODY'S FAMILY CLOTHING |
| GE | GENERAL ELECTRIC CO COM |
| GE-A | GENERAL ELEC CAP CORP 6.50% INTERNTS48 |
| GEA | GENERAL ELEC CAP CORP PINES 6.625% |
| GEA* | GENERAL ELEC CAP CORP PINES 6.625% |
| GEAC | Geac Computer Corporation Ltd - Common Shares |
| GEB | GENERAL ELEC CAP CORP NT 52 |
| GEC | GENERAL ELEC CAP CORP PINES 6.1% 32 |
| GEC* | GENERAL ELEC CAP CORP PINES 6.1% 32 |
| GED | GENERAL ELEC CAP CORP NT 5.875%2033 |
| GED* | GENERAL ELEC CAP CORP NT 5.875%2033 |
| GEDU | GLOBAL ED & TECHNOLOGY GP LTD ADS |
| GEE | GLOBAL ENTMT CORP COM NEW |
| GEF | GREIF INC CL A |
| GEF.B | GREIF INC CL B |
| GEG | GENERAL ELEC CAP CORP NT 2047 6.05% |
| GEG* | GENERAL ELEC CAP CORP NT 2047 6.05% |
| GEH | GENERAL ELEC CAP CORP NT 53 |
| GEHL | Gehl Company - Common Stock |
| GEJ | GENERAL ELEC CAP CORP PUB INCM NT PI |
| GEJ* | GENERAL ELEC CAP CORP PUB INCM NT PI |
| GEK | GENERAL ELEC CAP CORP NT |
| GEL | GENESIS ENERGY L P UNIT LTD PARTN |
| GEMP | Gemplus International S.A. - American Depositary Shares |
| GEMS | FACTORSHARES TR PFISE DIAM/GEM |
| GEN | GENON ENERGY INC COM |
| GEN+A | MIRANT CORP NEW WT A EX 010311 |
| GEN+B | MIRANT CORP NEW WT B EX 010311 |
| GENC | GENCOR INDS INC COM |
| GENE | GENETIC TECHNOLOGIES LTD SPONSORED ADR |
| GENR | Genaera Corporation - Common Stock |
| GENRD | Genaera Corporation - Common Stock |
| GENT | GENTIUM S P A SPONSORED ADR |
| GENZ | GENZYME CORP COM |
| GEO | GEO GROUP INC COM |
| GEO# | The GEO Group Inc. Common Stock |
| GEOI | GEORESOURCES INC COM |
| GEOID | GeoResources Inc. - Common Stock |
| GEOS | GEOSPACE TECHNOLOGIES CORP COM |
| GEOV | GeoVera Insurance Holdings Ltd. - Common Shares |
| GEOY | GEOEYE INC COM |
| GEP | GENERAL ELEC CAP CORP PINES STP 35 |
| GEP* | GENERAL ELEC CAP CORP PINES STP 35 |
| GEPT | GLOBAL E POINT INC COM |
| GEQ | GUGGENHEIM EQ WEIGHT ENHANC EQ COM SH BEN INT |
| GER | GENERAL ELEC CAP CORP NT 6.45% 61546 |
| GER* | GENERAL ELEC CAP CORP NT 6.45% 61546 |
| GERJ | MARKET VECTORS ETF TR GERMANY SM CAP |

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| GERN | GERON CORP COM |
| GES | GUESS INC COM |
| GES# | Guess ? Inc. Common Stock |
| GET | GAYLORD ENTMT CO NEW COM |
| GETI | GENTEK INC COM NEW |
| GEVA | SYNAGEVA BIOPHARMA CORP COM |
| GEVO | GEVO INC COM |
| GEX | MARKET VECTORS ETF TR GBL ALTER ENRG |
| GF | NEW GERMANY FD INC COM |
| GF\$ | The New Germany Fund Inc. Common Stock |
| GFA | GAFISA S A SPONS ADR |
| GFC | GEROVA FINANCIAL GROUP LTD SHS NEW |
| GFC+ | GEROVA FINANCIAL GROUP LTD WTS ON SHS* |
| GFC= | GEROVA FINANCIAL GROUP LTD UNIT EX 011614 |
| GFED | GUARANTY FED BANCSHARES INC COM |
| GFF | GRIFFON CORP COM |
| GFF^ | Griffon Corporation Rights (Expiring September 19 2008) |
| GFF^# | GRIFFON CORP RT |
| GFG | GUARANTY FINANCIAL GROUP INC. |
| GFG# | GUARANTY FINANCIAL GROUP INC |
| GFI | GOLD FIELDS LTD NEW SPONSORED ADR |
| GFI# | GOLD FIELDS LTD NEW EX DISTRIB WI |
| GFIG | GFI GROUP INC COM |
| GFLB | GREAT FLA BK MIAMI LAKES FLA CL A |
| GFLS | Greater Community Bancorp - Common Stock |
| GFLSO | Greater Community Bancorp - GCB Capital Trust II - 8.45% Trust Preferred Securities |
| GFN | GENERAL FIN CORP DEL COM |
| GFN+ | General Finance Corporation |
| GFN= | General Finance Corporation |
| GFNCL | GENERAL FIN CORP DEL UNIT 1 000013 |
| GFNCP | GENERAL FIN CORP DEL RED PRP PFD C |
| GFNCR | GENERAL FINANCE CORP RTS EXP 061510 |
| GFNCU | GENERAL FINANCE CORP UNIT EX 063010 |
| GFNCW | GENERAL FINANCE CORP WT EXP 063010 |
| GFNCZ | GENERAL FIN CORP DEL WT EXP 062513 |
| GFR | Great American Financial Resources Inc. Common Stock |
| GFRE | GULF RESOURCES INC COM PAR \$0.0005 |
| GFSI | GOLDLEAF FINANCIAL SOLUTIONS COM NEW |
| GFSID | Goldleaf Financial Solutions Inc. - Common Stock |
| GFW | AAG HLDG INC SR DEB 7.5% 33 |
| GFW* | AAG HLDG INC SR DEB 7.5% 33 |
| GFX | Media Sciences International Inc |
| GFY | WESTERN ASSET VAR RT STRG FD COM |
| GFZ | AAG HLDG INC SR DB 7.25% 34 |
| GFZ* | AAG HLDG INC SR DB 7.25% 34 |
| GG | GOLDCORP INC NEW COM |
| GG+ | GOLDCORP INC NEW WT EXP 060911 |
| GG+A | Goldcorp Inc. Series A Warrants (Expiring May 30 2007) |
| GG+C | Goldcorp Inc. Series C Warrants (Expiring May 30 2007) |
| GGA | GSC ACQUISITION COMPANY COM |
| GGA+ | GSC ACQUISITION COMPANY WT EXP 062511 |
| GGA= | GSC ACQUISITION COMPANY UNIT |
| GGAL | GRUPO FINANCIERO GALICIA S A SP ADR 10 SH B |
| GGB | GERDAU S A SPON ADR REP PFD |
| GGBM | Gigabeam Corporation - Common Stock |
| GGBMW | Gigabeam Corporation - Warrant 10/14/2009 |
| GGBMZ | Gigabeam Corporation - Class Z Warrant 1/28/2011 |
| GGC | GEORGIA GULF CORP COM PAR\$0.01 NEW |
| GGE | GUGGENHEIM ENHANCED EQUITY STR COM |
| GGEM | EGA EMERGING GLOBAL SHS TR CONS GOODS GEM |
| GGG | GRACO INC COM |

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| GGGG | GLOBAL X FDS GBX PUREGOLD NEW |
| GGI | The GEO Group Inc. Common Stock |
| GGL | Goodman Global Inc. Common Stock |
| GGN | GAMCO GLOBAL GOLD NAT RES & IN COM SH BEN INT |
| GGN-A | GAMCO GLOBAL GOLD NAT RES & IN 6.625% PFD SER A |
| GGN-A* | GAMCO GLOBAL GOLD NAT RES & IN 6.625% PFD SER A |
| GGN-B | GAMCO GLOBAL GOLD NAT RES & IN PFD SER B 5.00% |
| GGOV | PROSHARES TR GERMAN SOV/SUB |
| GGP | GENERAL GROWTH PPTYS INC NEW COM |
| GGP# | GENERAL GROWTH PPTYS INC NEW EX DISTRIB WI |
| GGP-A | GENERAL GROWTH PPTYS INC NEW PFD SER A 6.375% |
| GGR | GEOGLOBAL RESOURCES INC COM |
| GGS | GLOBAL GEOPHYSICAL SVCS INC COM |
| GGT | GABELLI MULTIMEDIA TR INC COM |
| GGT-B | GABELLI MULTIMEDIA TR INC PFD B 6% |
| GGT^ | GABELLI GLOBAL MULTIMEDIA TR SUBSCRIPT RT |
| GGT^# | GABELLI GLOBAL MULTIMEDIA TR SUBSCRIPT RT |
| GGW | Merrill Lynch |
| GGWSA | GOLDCORP INC NEW WTS |
| GGWSC | GOLDCORP INC NEW WTS |
| GGXY | Golf Galaxy Inc. - common stock |
| GGY | Compagnie Generale de Geophysique American Depositary Shares (Each representing one-fifth of an Ordinary Share) |
| GHC | GLOBAL CONSUMER ACQST CORP COM |
| GHC+ | GLOBAL CONSUMER ACQST CORP WT EXP 112712 |
| GHC= | GLOBAL CONSUMER ACQST CORP UNIT EX 000011 |
| GHCI | Genesis HealthCare Corporation - Common stock |
| GHDX | GENOMIC HEALTH INC COM |
| GHI | GLOBAL HIGH INCOME FUND INC COM |
| GHL | GREENHILL & CO INC COM |
| GHM | GRAHAM CORP COM |
| GHN | Granahan McCourt Acquisition Corporation |
| GHN+ | Granahan McCourt Acquisition Corporation |
| GHN= | Granahan McCourt Acquisition Corporation |
| GHQ | GHL ACQUISITION CORP COM |
| GHQ+ | GHL ACQUISITION CORP WT EXP 021413 |
| GHQ= | GHL ACQUISITION CORP UNIT |
| GHS | GateHouse Media Inc. Common Stock |
| GHY | PRUDENTIAL GLB SHT DUR HG YLD COM |
| GI | Giant Industries Inc. Common Stock |
| GIA | GULFSTREAM INTL GROUP INC COM |
| GIB | GROUPE CGI INC CL A SUB VTG |
| GIC | MORGAN STANLEY NT INTL INDX |
| GIF | Global Income Fund Inc |
| GIFI | GULF ISLAND FABRICATION INC COM |
| GIG | GIGOPTIX INC COM |
| GIGA | GIGA TRONICS INC COM |
| GIGM | GIGAMEDIA LTD ORD |
| GII | SPDR INDEX SHS FDS S&P GBLINF ETF |
| GIII | G-III APPAREL GROUP LTD COM |
| GIL | GILDAN ACTIVEWEAR INC COM |
| GILD | GILEAD SCIENCES INC COM |
| GILT | GILAT SATELLITE NETWORKS LTD SHS NEW |
| GILTF | Gilat Satellite Networks Ltd. - Ordinary Shares |
| GIM | TEMPLETON GLOBAL INCOME FD COM |
| GIMO | GIGAMON INC COM |
| GIS | GENERAL MLS INC COM |
| GISX | Global Imaging Systems Inc. - Common Stock |
| GIT | MORGAN STANLEY CAP PRT DJT 50 |
| GIVE | ADVISORSHARES TR ADVISR GLBECHO |
| GIVN | GIVEN IMAGING ORD SHS |

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| GIW | WILBER CORP COM |
| GIY | CLAYMORE EXCHANGE TRD FD TR GUGG ENH CRE BN |
| GIZ | Lehman Brothers Holdings Inc. 6 1/4% Exchangeable Notes due October 15 2007 |
| GJA | Synthetic Fixed-Income Securities Inc. 6.00% Structured Repackaged Asset-Backed Trust Securities (STRATS) BellSouth Telecommunications Certificates Series 2003-1 |
| GJB | STRATS TR BOEING SECS STRATS 6% A-1 |
| GJB* | STRATS TR BOEING SECS STRATS 6% A-1 |
| GJD | STRATS TR FOR SPRINT SECS STRATS A1 6.5% |
| GJE | STRATS TR FOR DOMINION RES INC STRATS 5.9 A-1 |
| GJE* | STRATS TR FOR DOMINION RES INC STRATS 5.9 A-1 |
| GJF | STRATS TR AT&T CORP 2004-4 CTF A1 |
| GJF* | STRATS TR AT&T CORP 2004-4 CTF A1 |
| GJG | STRATS TR TIME WARNER INC 04-5 A1 6.125% |
| GJG* | STRATS TR TIME WARNER INC 04-5 A1 6.125% |
| GJH | STRATS TR UTD STS CELLULAR CP STRATS 6.375 |
| GJI | STRATS TR FOR IBM CORP SECS 04-7 4.750% |
| GJJ | STRATS TR GOLDMAN SACHS GROUP CTF04-8 FLT RT |
| GJK | STRATS TR J P MORGAN CHASE 04-9 CTF A-1 |
| GJL | STRATS TR DAIMLERCHRYSLER NA STRATS 2004-10 |
| GJM | GMAC INC SR NT 7.35 |
| GJN | STRATS TR JPMORGAN CAP XVII STRATS 05-2 |
| GJO | STRATS TR WAL MART STORES INC STRT CTF 05-4 |
| GJP | STRATS TR FOR DOMINION RES INC STRT CTF 05-6 |
| GJR | STRATS TR FOR PROCTR&GAMBL SEC CTF 2006-1 |
| GJS | STRATS TR GOLDMAN SACHS GROUP STRATS CTF 33 |
| GJT | STRATS TR ALLSTATE CORP 06-3 ASSET BKD |
| GJV | STRATS TR NEWS CORP SECS 2006 CTF 7% CL A-1 |
| GJW | STRATS TR AMBAC FIN GP 2007-1 CL A CTF CALLA |
| GJX | STRATS TR FOR BNSF FDG TR I 07 STRATS 7% 2055 |
| GK | G & K SVCS INC CL A |
| GKA | Ameristock ETF Trust |
| GKB | Ameristock ETF Trust |
| GKC | Ameristock ETF Trust |
| GKD | Ameristock ETF Trust |
| GKE | Ameristock ETF Trust |
| GKH | GREENWICH KAHALA AVIATION LTD SPONSORED ADR |
| GKIS | Gold Kist Inc. - Common Stock |
| GKK | GRAMERCY CAP CORP COM |
| GKK-A | GRAMERCY CAP CORP PFD SER A |
| GKM | GMAC INC NT 7.25% |
| GKNT | GEEKNET INC COM NEW |
| GKNTD | GEEKNET INC COM NEW |
| GKO | MERRILL LYNCH & CO INC PFD 9% GOOG 10 |
| GKSR | G & K SVCS INC CL A |
| GKSRA | G K SVCS INC CL A ## |
| GLA | CLARK HLDGS INC COM |
| GLA+ | CLARK HLDGS INC WT EXP 021511 |
| GLA= | CLARK HLDGS INC UNIT EX 123110 |
| GLAD | GLADSTONE CAPITAL CORP COM |
| GLAD-A | GLADSTONE CAPITAL CORP PFD |
| GLADP | GLADSTONE CAPITAL CORP PFD |
| GLB | Glenborough Realty Trust Incorporated Common Stock |
| GLB-A | Glenborough Realty Trust Incorporated 7 3/4% Series A Convertible Preferred Stock |
| GLB-A* | Glenborough Realty Trust Incorporated 7 3/4% Series A Convertible Preferred Stock |
| GLBC | GLOBAL CROSSING LTD SHS NEW |
| GLBL | GLOBAL INDS LTD COM |
| GLBS | GLOBUS MARITIME LIMITED NEW COM |
| GLBZ | GLEN BURNIE BANCORP COM |
| GLCB | WISDOMTREE TR GLOBL CP BD FD |
| GLCH | GLEACHER & CO INC COM NEW |
| GLD | SPDR GOLD TRUST GOLD SHS |

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| GLDB | Gold Banc Corporation Inc. - Common Stock |
| GLDC | GOLDEN ENTERPRISES INC COM |
| GLDD | GREAT LAKES DREDGE & DOCK CORP COM |
| GLDDW | Great Lakes Dredge & Dock Corporation - Warrants |
| GLDI | CREDIT SUISSE NASSAU BRH GOLD INC LKD32 |
| GLDN | GOLD DYNAMICS CORP COM |
| GLDX | GLOBAL X FDS GBLX GLDEXPL NEW |
| GLE | Glencairn Gold Corporation |
| GLF | GULFMARK OFFSHORE INC CL A NEW |
| GLG | GLG PARTNERS INC COM |
| GLG+ | GLG PARTNERS INC WT EXP 122811 |
| GLG= | GLG PARTNERS INC UNIT EXP 122811 |
| GLGC | Gene Logic Inc. - Common Stock |
| GLGL | GLG LIFE TECH CORP COM NEW |
| GLGS | GlycoGenesys Inc. Common Stock |
| GLH | Gallaher Group Plc American Depositary Shares (Each representing four Ordinary Shares) |
| GLJ | ISHARES TR 10+YR GOVT/CR |
| GLK | Great Lakes Bancorp Inc. Common Stock |
| GLL | PROSHARES TR II ULTRASHRT NEW |
| GLNG | GOLAR LNG LTD BERMUDA SHS |
| GLO | CLOUGH GLOBAL OPPORTUNITIES FD SH BEN INT |
| GLOG | GASLOG LTD SHS |
| GLOI | GLOBALOPTIONS GROUP INC COM NEW |
| GLOV | AHPC Holdings Inc. - Common Stock |
| GLOW | GLOWPOINT INC COM NEW |
| GLP | GLOBAL PARTNERS LP COM UNITS |
| GLPW | GLOBAL POWER EQUIPMENT GRP INC COM PAR \$0.01 |
| GLQ | CLOUGH GLOBAL EQUITY FD COM |
| GLR-A | G & L Realty Corp. 10.25% Series A Cumulative Preferred Stock |
| GLR-A* | G & L Realty Corp. 10.25% Series A Cumulative Preferred Stock |
| GLR-B | G & L Realty Corp. 9.8% Series B Cumulative Preferred Stock |
| GLR-B* | G & L Realty Corp. 9.8% Series B Cumulative Preferred Stock |
| GLRE | GREENLIGHT CAPITAL RE LTD CLASS A |
| GLRP | GLEN ROSE PETE CORP COM |
| GLS | GENESIS LEASE LTD ADR |
| GLT | GLATFELTER COM |
| GLTR | ETFS PRECIOUS METALS BASKET TR PHYS PM BSKT |
| GLU | GABELLI GLOBL UTIL & INCOME TR COM SH BEN INT |
| GLUU | GLU MOBILE INC COM |
| GLUXR | GABELLI GLOBL UTIL & INCOME TR RT |
| GLUXV | GABELLI GLOBL UTIL & INCOME TR RT |
| GLV | CLOUGH GLOBAL ALLOCATION FD COM |
| GLW | CORNING INC COM |
| GLYT | Genlyte Group Incorporated (The) - Common Stock |
| GM | GENERAL MTRS CO COM |
| GM+A | GENERAL MTRS CO WT EXP 071016 |
| GM+B | GENERAL MTRS CO WT EXP 071019 |
| GM-B | GENERAL MTRS CO JR PFD CNV SRB |
| GMA | GMAC INC PINES 7.30% |
| GMAN | GORDMANS STORES INC COM |
| GMB | American Corporate Accruals |
| GMC | GLOBAL MKT GROUP LTD SPONSORED ADS |
| GMCR | GREEN MTN COFFEE ROASTERS INC COM |
| GME | GAMESTOP CORP NEW CL A |
| GME# | GameStop Corp. Class A Common Stock |
| GME.B | GameStop Corp. Class B Common Stock |
| GMED | GLOBUS MED INC CL A |
| GMET | GEOMET INC DEL COM |
| GMETP | GEOMET INC DEL PFD CONV SER A |
| GMETR | GEOMET INC DEL RT PURCH PFD A |
| GMF | SPDR INDEX SHS FDS ASIA PACIF ETF |

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| GMFS | SPDR INDEX SHS FDS S&P SMLCP ASIA |
| GMK | GRUMA SAB DE CV SPON ADR CL B |
| GMKT | GMARKET INC SPON ADR |
| GML | SPDR INDEX SHS FDS LATIN AMER ETF |
| GMLP | GOLAR LNG PARTNERS LP COM UNIT LPI |
| GMM | SPDR INDEX SHS FDS EMERG MKTS ETF |
| GMMB | COLUMBIA ETF TR INTRM MUBD ETF |
| GMO | GENERAL MOLY INC COM |
| GMP | GENERAL MTRS CORP SENIOR DEBEN D |
| GMPWD | GREEN MOUNTAIN PWR CORP |
| GMR | GENERAL MARITIME CORP NEW SHS |
| GMRK | GulfMark Offshore Inc. - Common Stock |
| GMS | GENERAL MTRS CORP SR NT 070144 |
| GMST | Gemstar-TV Guide International Inc. - Common Stock |
| GMT | GATX CORP COM |
| GMT- | GATX CORP PFD CONV \$2.50 |
| GMT-* | GATX CORP PFD CONV \$2.50 |
| GMTB | COLUMBIA ETF TR CORE BD ETF |
| GMTC | GAMETECH INTERNATIONAL INC COM |
| GMTN | GANDER MOUNTAIN CO COM |
| GMW | GENERAL MTRS CORP QUIDS 7.25% 41 |
| GMWD | GENERAL MOTORS CORP |
| GMXR | GMX RES INC COM NEW |
| GMXR- | GMX RES INC PFD SER B 9.25% |
| GMXRP | GMX RES INC PFD SER B 9.25% |
| GMXRW | GMX Resources Inc. Series A Warrants |
| GNA | GERDAU AMERISTEEL CORP COM |
| GNAT | WISDOMTREE TRUST GLB NAT RES FD |
| GNB | NEW GENERATION BIOFUELS HLDG COM |
| GNBT | GENEREX BIOTECHNOLOGY CP DEL COM |
| GNC | GNC HLDGS INC COM CL A |
| GNCMA | GENERAL COMMUNICATION INC CL A |
| GNE | GENIE ENERGY LTD CL B |
| GNE# | GENIE ENERGY LTD CL B |
| GNE-A | GENIE ENERGY LTD PFD-2012-A |
| GNET | GLOBAL TRAFFIC NETWORK INC COM |
| GNH | GLOBAL ENERGY HLDGS GROUP INC COM |
| GNI | GREAT NORTHN IRON ORE PPTYS CTFS BEN INT |
| GNK | GENCO SHIPPING & TRADING LTD SHS |
| GNLB | Genelabs Technologies Inc. - Common Stock |
| GNMA | ISHARES TR GNMA BD FD |
| GNMK | GENMARK DIAGNOSTICS INC COM |
| GNOM | COMPLETE GENOMICS INC COM |
| GNR | SPDR INDEX SHS FDS GLB NAT RESRCE |
| GNRC | GENERAC HLDGS INC COM |
| GNS | MORGAN STANLEY SPARQS |
| GNSS | Genesis Microchip Inc. - Common Stock |
| GNSY | Genesys S.A. - American Depositary Shares |
| GNSYD | Genesys S.A. - American Depositary Shares |
| GNT | GAMCO NAT RES GOLD & INCOME TR SH BEN INT |
| GNTA | Genta Incorporated - Common Stock |
| GNTAD | Genta Incorporated - Common Stock |
| GNTX | GENTEX CORP COM |
| GNV | GSC INVT CORP COM |
| GNVC | GENVEC INC COM NEW |
| GNVCD | GENVEC INC COM NEW |
| GNW | GENWORTH FINL INC COM CL A |
| GNW-E | Genworth Financial Inc. 6.00% Equity Units |
| GOAM | GoAmerica Inc. - Common Stock |
| GOC | MERRILL LYNCH & CO INC ACC RUSS GRW08 |
| GOE | Credit Suisse |

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| GOF | GUGGENHEIM STRATEGIC OPP FD COM SBI |
| GOK | GEOKINETICS INC COM PAR \$0.01 |
| GOL | GOL LINHAS AEREAS INTLG S A SP ADR REP PFD |
| GOLD | RANDGOLD RES LTD ADR |
| GOLF | GOLFSMITH INTL HOLDINGS INC COM |
| GOM | GMAC INC NT 7.375% 2044 |
| GOOD | GLADSTONE COML CORP COM |
| GOODN | GLADSTONE COML CORP PFD SER C 7.125% |
| GOODO | GLADSTONE COML CORP PFD B 7.50% |
| GOODP | GLADSTONE COML CORP PFD SER A |
| GOOG | GOOGLE INC CL A |
| GORO | GOLD RESOURCE CORP COM |
| GORX | GEOPHARMA INC COM |
| GOT | Gottschalks Inc. Common Stock |
| GOV | GOVERNMENT PPTYS INCOME TR COM SHS BEN INT |
| GOVT | ISHARES TR US TREASURY BD |
| GP | Georgia-Pacific Corporation Common Stock |
| GPC | GENUINE PARTS CO COM |
| GPCB | Gpc Biotech Ag - American Depository Shares |
| GPD | GEORGIA PWR CO NT SR O 5.90% |
| GPD* | GEORGIA PWR CO NT SR O 5.90% |
| GPE-A | GEORGIA PWR CO PFD A 6.125% |
| GPE-W | Georgia Power Capital Trust 7 1/8% Trust Preferred Securities Trust V |
| GPE-W* | Georgia Power Capital Trust 7 1/8% Trust Preferred Securities Trust V |
| GPE-X | GEORGIA PWR CAP TR VII PFD TR SECS |
| GPE-X* | GEORGIA PWR CAP TR VII PFD TR SECS |
| GPH | GOLDEN POND HEALTHCARE INC COM |
| GPH+ | GOLDEN POND HEALTHCARE INC WT EXP 110611 |
| GPH= | GOLDEN POND HEALTHCARE INC UNIT EX 000011 |
| GPI | GROUP 1 AUTOMOTIVE INC COM |
| GPIC | GAMING PARTNERS INTL CORP COM |
| GPJ | GEORGIA PWR CO NT SR R 6%2033 |
| GPJ* | GEORGIA PWR CO NT SR R 6%2033 |
| GPK | GRAPHIC PACKAGING HLDG CO COM |
| GPL | GREAT PANTHER SILVER LTD COM |
| GPM | GUGGENHEIM ENHNCD EQTY INCM FD COM |
| GPN | GLOBAL PMTS INC COM |
| GPOR | GULFPORT ENERGY CORP COM NEW |
| GPR | GEOPETRO RESOURCES CO COM |
| GPRC | GUANWEI RECYCLING CORP COM NEW |
| GPRE | GREEN PLAINS RENEWABLE ENERGY COM |
| GPRED | GREEN PLAINS RENEWABLE ENERGY COM |
| GPRO | GEN-PROBE INC NEW COM |
| GPS | GAP INC DEL COM |
| GPT | GRAMERCY PPTY TR INC COM |
| GPT-A | GRAMERCY PPTY TR INC PFD SER A |
| GPTX | Global Payment Technologies Inc. - Common Stock |
| GPU | GEORGIA PWR CO NT W 6% 081544 |
| GPU* | GEORGIA PWR CO NT W 6% 081544 |
| GPW | GEORGIA PWR CO PINES T5.75 44 |
| GPW* | GEORGIA PWR CO PINES T5.75 44 |
| GPX | GP STRATEGIES CORP COM |
| GQN | GLOBAL BRANDS ACQUISITION CORP COM |
| GQN+ | GLOBAL BRANDS ACQUISITION CORP WT EXP 120612 |
| GQN= | GLOBAL BRANDS ACQUISITION CORP UNIT EX 000012 |
| GR | GOODRICH CORP COM |
| GRA | GRACE W R & CO DEL NEW COM |
| GRAF | GRAFTECH INC |
| GRAN | BANK OF GRANITE CORP COM |
| GRB | GERBER SCIENTIFIC INC COM |
| GRC | GORMAN RUPP CO COM |

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| GRD | Credit and Asset Repackaging Vehicle Corporation Public Credit and Repackaging Securities (PCARS) Trust Allstate Financing II Certificates Series 2001-1 |
| GRE | S & P 500 GEARED FD INC COM |
| GRES | S&P 500 GEARED Fund Inc. Common Stock |
| GREK | GLOBAL X FDS FTSE GREECE 20 |
| GRES | INDEXIQ ETF TR IQ GLB RES ETF |
| GRF | EAGLE CAP GROWTH FD INC COM |
| GRFS | GRIFOLS S A SP ADR REP B NVT |
| GRH | GREENHUNTER RES INC COM |
| GRH-C | GREENHUNTER RES INC PFD CUM C 10% |
| GRI | ALPS ETF TR C&S GLOBL ETF |
| GRIC | GoRemote Internet Communications Inc. Common Stock |
| GRID | FIRST TR EXCH TRADED FD II NASDQ CLN EDGE |
| GRIF | GRIFFIN LD & NURSERIES INC CL A |
| GRIL | Grill Concepts Inc. - Common Stock |
| GRIN | SMILE BRANDS GROUP INC COM |
| GRIND | Grand Toys International Inc. - American Depositary Share |
| GRK | Credit and Asset Repackaging Vehicle Corporation Public Credit and Repackaged Securities (PCARS) Trust JPM Capital Trust I 7.125% Certificates Series 2002-2 |
| GRM | GENERAL MTRS CORP SENIOR DEBEN D |
| GRMH | GRAYMARK HEALTHCARE INC COM PAR \$.0001 |
| GRMHD | GRAYMARK HEALTHCARE INC COM PAR \$.0001 |
| GRMN | GARMIN LTD SHS |
| GRN | BARCLAYS BANK PLC ETN GLB CARB38 |
| GRNB | GREEN BANKSHARES INC COM NEW |
| GRO | AGRIA CORP SPONSORED ADR |
| GROW | U S GLOBAL INVS INC CL A |
| GRP | GRANITE REAL ESTATE INC COM |
| GRP= | GRANITE REAL ESTATE INVT TR STAPLED UNIT |
| GRPC | RUSSELL EXCHANGE TRADED FDS TR GWTH REASON PR |
| GRPN | GROUPON INC COM CL A |
| GRR | ASIA TIGERS FD INC COM |
| GRR\$ | ASIA TIGERS FUND |
| GRRF | CHINA GREENTECH CORP LTD ADR |
| GRS | GAMMON GOLD INC COM |
| GRT | GLIMCHER RLTY TR SH BEN INT |
| GRT-F | GLIMCHER RLTY TR PFD F SER 8.75 |
| GRT-F* | GLIMCHER RLTY TR PFD F SER 8.75 |
| GRT-G | GLIMCHER RLTY TR PFD G 8.125% |
| GRT-H | GLIMCHER RLTY TR PFD-H 7.5% |
| GRT-I | GLIMCHER RLTY TR PFD-1 6.875% |
| GRU | SWEDISH EXPT CR CORP MLCX GRN ETN23 |
| GRV | ADVISORSHARES TR MRS HL GLB VAL |
| GRVY | GRAVITY CO LTD SPONSORED ADR |
| GRWN | BARCLAYS BK PLC IPTH SOFTS ETN |
| GRX | GABELLI HLTHCARE & WELLNESS TR SHS |
| GRX# | GABELLI HLTHCARE & WELLNESS TR WHEN ISSUED |
| GRX-A | GABELLI HLTHCARE & WELLNESS TR PFD SER A |
| GRX^ | GABELLI HLTHCARE & WELLNESS TR SUBSCRIPTION RT |
| GRX^# | GABELLI HLTHCARE & WELLNESS TR RT |
| GRZ | GOLD RESV INC CL A |
| GS | GOLDMAN SACHS GROUP INC COM |
| GS-A | GOLDMAN SACHS GROUP INC PFD A 1/1000 |
| GS-B | GOLDMAN SACHS GROUP INC PFD 1/1000 B |
| GS-C | GOLDMAN SACHS GROUP INC PFD 1/1000 C |
| GS-D | GOLDMAN SACHS GROUP INC SHS D 1/1000 |
| GS-I | GOLDMAN SACHS GROUP INC DEPSHS1/1000PF |
| GS-J | GOLDMAN SACHS GROUP INC DEP 1/1000 PFD J |
| GSAT | GLOBALSTAR INC COM |
| GSAX | ALPS ETF TR GS MOM BLDASIA |
| GSB | GLOBALSCAPE INC COM |

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| GSBC | GREAT SOUTHN BANCORP INC COM |
| GSBCP | Great Southern Bancorp Inc. - Great Southern Capital Trust I - 9.00% Cumulative Trust Preferred Securities |
| GSC | GOLDMAN SACHS GROUP INC SP ENHCMD37ETN |
| GSC.A | Goldman Sachs |
| GSD | OLD MUT GLOBAL SHS TR GLBSH DEV CTRY |
| GSD.A | Goldman Sachs |
| GSD.B | Goldman Sachs |
| GSE | GSE HLDG INC COM |
| GSF | GOLDMAN SACHS GROUP INC NT 6.125%60 |
| GSG | ISHARES S&P GSCI COMMODITY IDX UNIT BEN INT |
| GSGO | ALPS ETF TR GM MOMBLDGREQT |
| GSH | GUANGSHEN RY LTD SPONSORED ADR |
| GSI | GENERAL STEEL HOLDINGS INC COM |
| GSIC | GSI COMMERCE INC COM |
| GSIG | GSI GROUP INC CDA NEW COM NEW |
| GSIT | GSI TECHNOLOGY COM |
| GSJ | GOLDMAN SACHS GROUP INC NT 6.5%61 |
| GSJK | COMPRESSCO PARTNERS L P COM UNIT |
| GSK | GLAXOSMITHKLINE PLC SPONSORED ADR |
| GSL | GLOBAL SHIP LEASE INC NEW SHS A |
| GSL+ | GLOBAL SHIP LEASE INC NEW WT EXP 082410 |
| GSL= | GLOBAL SHIP LEASE INC NEW UNIT EX 082410 |
| GSLA | GS FINL CORP COM |
| GSM | GLOBE SPECIALTY METALS INC COM |
| GSMA | ALPS ETF TR GS MOM BLDMULT |
| GSO | OLD MUT GLOBAL SHS TR GLOBSH FTSE US |
| GSOL | GLOBAL SOURCES LTD ORD |
| GSP | BARCLAYS BK PLC IPSPGS TTL ETN |
| GSR | OLD MUT GLOBAL SHS TR GLBSHS FTSE EM |
| GSRA | ALPS ETF TR GS RSKADJRTNLC |
| GSS | GOLDEN STAR RES LTD CDA COM |
| GST | GASTAR EXPL LTD COM NEW |
| GST-A | GASTAR EXPLORATION USA INC PFD-A 8.625% |
| GSTL | Genco Shipping - common stock |
| GSU-B | Entergy Gulf States Inc. \$4.40 DIV PFD |
| GSU-B* | Entergy Gulf States Inc. \$4.40 DIV PFD |
| GSU-D | Entergy Gulf States Inc. Depositary Preferred Shares (Each representing 1/2 share of Adjustable Rate Cumulative Preferred Stock Series B) |
| GSU-D* | Entergy Gulf States Inc. Depositary Preferred Shares (Each representing 1/2 share of Adjustable Rate Cumulative Preferred Stock Series B) |
| GSU-E | Entergy Gulf States Inc. \$5.08 Dividend Preferred Stock |
| GSU-E* | Entergy Gulf States Inc. \$5.08 Dividend Preferred Stock |
| GSU-G | Entergy Gulf States Inc. \$4.52 Dividend Preferred Stock |
| GSU-G* | Entergy Gulf States Inc. \$4.52 Dividend Preferred Stock |
| GSV | GOLD STD VENTURES CORP COM |
| GSVC | GSV CAP CORP COM |
| GSW | OLD MUT GLOBAL SHS TR GLOBSH FTS ALL |
| GSX | GASCO ENERGY INC COM |
| GSY | CLAYMORE EXCHANGE TRD FD TR GUGG ENH SHT DUR |
| GSZ | OLD MUT GLOBAL SHS TR GLOBSH FT JAPN |
| GT | GOODYEAR TIRE & RUBR CO COM |
| GT-A | GOODYEAR TIRE & RUBR CO PFD CONV |
| GTA | GOLF TR AMER INC COM |
| GTAA | ADVISORSHARES TR CAMBRIA GL TAC |
| GTAT | GT ADVANCED TECHNOLOGIES INC COM |
| GTCB | GTC BIOTHERAPEUTICS INC COM NEW |
| GTCBD | GTC BIOTHERAPEUTICS INC COM NEW |
| GTE | GRAN TIERRA ENERGY INC COM |
| GTEC | GLOBAL DEFENSE TECH SYS INC COM |
| GTF | CYTOMEDIX INC COM NEW |
| GTI | GRAFTECH INTL LTD COM |

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| GTIM | GOOD TIMES RESTAURANTS INC COM PAR \$.001NEW |
| GTIMD | GOOD TIMES RESTAURANTS INC COM PAR \$.001NEW |
| GTIP | ISHARES TR GLB INFL LKD |
| GTIV | GENTIVA HEALTH SERVICES INC COM |
| GTK | GTECH Holdings Corporation Common Stock |
| GTLS | CHART INDS INC COM PAR \$0.01 |
| GTN | GRAY TELEVISION INC COM |
| GTN.A | GRAY TELEVISION INC CL A |
| GTOP | GENITOPE CORP COM |
| GTPPP | GOODYEAR TIRE & RUBR CO PFD CONV 5.875% |
| GTRC | Guitar Center Inc. - Common Stock |
| GTS | TRIPLE-S MGMT CORP CL B |
| GTSI | GTSI CORP COM |
| GTT | GLOBAL TELECOM & TECHNOLOGY INC COM |
| GTU | CENTRAL GOLDTRUST TR UNIT |
| GTW | Gateway Inc. Common Stock |
| GTWN | GEORGETOWN BANCORP INC MD COM |
| GTWND | GEORGETOWN BANCORP INC MD COM |
| GTXI | GTX INC DEL COM |
| GTY | GETTY RLTY CORP NEW COM |
| GU | GUSHAN ENVIRONMENTAL ENRGY LTD SPNSRD ADR NEW |
| GUA | GULF POWER CO SR NT-2011A51 |
| GUI | GULF POWER CO NT SR 5.75% 33 |
| GUI* | GULF POWER CO NT SR 5.75% 33 |
| GUID | GUIDANCE SOFTWARE INC COM |
| GUL | GULF POWER CO NT H 5.25% 33 |
| GULF | WISDOMTREE TR MID EAST DIVD |
| GUNR | FLEXSHARES TR MORNSTAR UPSTR |
| GUP-C | Gulf Power Capital Trust III 7.375% Trust Preferred Securities |
| GUP-C* | Gulf Power Capital Trust III 7.375% Trust Preferred Securities |
| GUQ | GULF POWER CO NT SR J 5.875 |
| GUQ* | GULF POWER CO NT SR J 5.875 |
| GUR | SPDR INDEX SHS FDS EUROPE ETF |
| GURE | GULF RESOURCES INC COM PAR \$0.0005 |
| GURU | GLOBAL X FDS GLB X FTSE NOR |
| GUT | GABELLI UTIL TR COM |
| GUT-A | GABELLI UTIL TR PFD A 5.625% |
| GUT^ | GABELLI UTIL TR RT |
| GUT^# | GABELLI UTIL TR RT |
| GV | GOLDFIELD CORP COM |
| GVA | GRANITE CONSTR INC COM |
| GVBK | Greenville First Bancshares Inc. - Common Stock |
| GVHR | GEVITY HR INC COM |
| GVI | ISHARES TR BARCLYS INTER GV |
| GVP | GSE SYS INC COM |
| GVT | COLUMBIA ETF TR SEL LC VAL ETF |
| GW | Grey Wolf Inc |
| GWAY | GREENWAY MED TECHNOLOGIES INC COM |
| GWB-B | GWB Capital Trust II |
| GWF | WELLS FARGO CAP VIII TRUPS 5.625% |
| GWF* | WELLS FARGO CAP VIII TRUPS 5.625% |
| GWL | SPDR INDEX SHS FDS S&P WRLD EX US |
| GWM | MERRILL LYNCH & CO INC |
| GWO | CREDIT SUISSE NASSAU BRH GLB WARM ETN23 |
| GWPH | GW PHARMACEUTICALS PLC ADS |
| GWPHV | GW PHARMACEUTICALS PLC ADS |
| GWR | GENESEE & WYO INC CL A |
| GWR# | Genesee & Wyoming Inc. Class A Common Stock |
| GWRE | GUIDEWIRE SOFTWARE INC COM |
| GWRU | GENESEE & WYO INC UNIT 100115 |
| GWW | GRAINGER W W INC COM |

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| GWX | SPDR INDEX SHS FDS S&P INTL SMLCP |
| GXC | SPDR INDEX SHS FDS S&P CHINA ETF |
| GDX | GENOPTIX INC COM |
| GXF | GLOBAL X FDS FTSE NORDIC REG |
| GXG | GLOBAL X FDS FTSE COLOMBIA20 |
| GXM | GENERAL MTRS CORP DEB SR CONV A |
| GXP | GREAT PLAINS ENERGY INC COM |
| GXP- | Great Plains Energy Incorporated Income PRIDES |
| GXP-A | GREAT PLAINS ENERGY INC PFD 3.80% |
| GXP-D | GREAT PLAINS ENERGY INC PFD 4.35% |
| GXP-E | GREAT PLAINS ENERGY INC PFD 4.50% |
| GXP-F | GREAT PLAINS ENERGY INC CORP UNIT |
| GXU | GLOBAL X FDS FTSE PERU20ETF |
| GXY | Galaxy Nutritional Foods Inc |
| GY | GENCORP INC COM |
| GYA | CABCO SER 2004-1 TR GOLDMAN CTF A1 6.0% 34 |
| GYA* | CABCO SER 2004-1 TR GOLDMAN CTF A1 6.0% 34 |
| GYB | CABCO SER 2004-101 TR GOLDMAN CTF CALL 6.345 |
| GYC | CABCO SER 2004-102 TR SBC CTF FLT RATE |
| GYI | Getty Images Inc. Common Stock |
| GYLD | NORTHERN LTS ETF TR ARROW DJ GLOBL |
| GYMB | GYMBOREE CORP COM |
| GYRO | GYRODYNE CO AMER INC COM |
| GZGBF | GAZIT GLOBE LTD SHS |
| GZT | GAZIT GLOBE LTD SHS |
| GZV | Merrill Lynch |
| H | HYATT HOTELS CORP COM CL A |
| H# | REALLOGY CORPORATION |
| HA | HAWAIIAN HOLDINGS INC COM |
| HABC | HABERSHAM BANCORP INC COM |
| HAC | Harbor Acquisition Corporation |
| HAC+ | Harbor Acquisition Corporation |
| HAC= | Harbor Acquisition Corporation |
| HAE | HAEMONETICS CORP COM |
| HAF | Hallmark Financial Services Inc |
| HAFC | HANMI FINL CORP COM NEW |
| HAFCD | HANMI FINL CORP COM NEW |
| HAIN | HAIN CELESTIAL GROUP INC COM |
| HAL | HALLIBURTON CO COM |
| HAL# | Halliburton Company Common Stock |
| HAL\$ | Halliburton Company Common Stock |
| HALL | HALLMARK FINL SVCS INC EC COM NEW |
| HALO | HALOZYME THERAPEUTICS INC COM |
| HAMP | HAMPSHIRE GROUP LTD COM |
| HAN | Hanson PLC American Depositary Shares (Each representing five Ordinary Shares) |
| HANA | hanarotelecom incorporated - American Depositary Shares |
| HANAD | hanarotelecom incorporated - American Depositary Shares |
| HANS | HANSEN NAT CORP COM |
| HAO | CLAYMORE EXCHANGE TRD FD TR 2 GUGG CHN SML CAP |
| HAP | MARKET VECTORS ETF TR RVE HARD ETF |
| HAQ | Healthcare Acquisition Corp |
| HAQ+ | Healthcare Acquisition Corp |
| HAQWS | HEALTHCARE ACQUISITN WTS |
| HAR | HARMAN INTL INDS INC COM |
| HARB | Harbor Florida Bancshares Inc - Common Stock |
| HARL | HARLEYSVILLE SVGS FINL CORP COM |
| HART | HARVARD APPARATUS REGENER TECH COM |
| HAS | HASBRO INC COM |
| HASI | HANNON ARMSTRONG SUST INFR CAP COM |
| HAST | HASTINGS ENTMT INC COM |
| HAUP | HAUPPAUGE DIGITAL INC COM |

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| HAV | HELIOS ADVANTAGE INCOME FD INC COM NEW |
| HAVNP | HAVEN CAP TR II CAP SECS10.25% |
| HAVS | Havas - American Depositary Shares |
| HAWK | BLACKHAWK NETWORK HLDGS INC CL A |
| HAWKV | SEAHAWK DRILLING INC COM |
| HAXS | HealthAxis Inc. - Common Stock |
| HAYN | HAYNES INTERNATIONAL INC COM NEW |
| HAYZ | HAYES LEMMERZ INTL INC COM NEW |
| HB | Hillenbrand Industries Inc. Common Stock |
| HBA-D | HSBC USA INC NEW PFD D DEP 1/4S |
| HBA-E* | HSBC USA Inc. \$1.8125 Cumulative Preferred Stock |
| HBA-F | HSBC USA INC NEW PFD F FLT RATE |
| HBA-G | HSBC USA INC NEW PFD DEP 1/40 G |
| HBA-H | HSBC USA INC NEW PFD 1/40 SER H |
| HBA-Z | HSBC USA INC NEW PFD \$2.8575 |
| HBAN | HUNTINGTON BANCSHARES INC COM |
| HBANP | HUNTINGTON BANCSHARES INC PFD CONV SER A |
| HBC | HSBC HLDGS PLC SPON ADR NEW |
| HBC- | HARRIS PFD CAP CORP PFD EXCH A |
| HBC-* | HARRIS PFD CAP CORP PFD EXCH A |
| HBC-A | HSBC HLDGS PLC ADR A 1/40PF A |
| HBCP | HOME BANCORP INC COM |
| HBE | HENRY BROS ELECTRONICS INC COM |
| HBG | Hub International Limited Common Shares |
| HBHC | HANCOCK HLDG CO COM |
| HBI | HANESBRANDS INC COM |
| HBI# | HANESBRANDS INC |
| HBIO | HARVARD BIOSCIENCE INC COM |
| HBK | HAMILTON BANCORP INC MD COM |
| HBM | HUDBAY MINERALS INC COM |
| HBMD | HOWARD BANCORP INC COM |
| HBNC | HORIZON BANCORP IND COM |
| HBNK | HAMPDEN BANCORP INC COM |
| HBOS | HERITAGE FINL GROUP INC COM |
| HBOSD | HERITAGE FINL GROUP INC COM |
| HBP | HELIX BIOPHARMA CORP COM |
| HBTA | RUSSELL EXCHANGE TRADED FDS TR 1000 HIGH BETA |
| HBX | Hana Biosciences Inc |
| HC | Hanover Compressor Company Common Stock |
| HCA | HCA HOLDINGS INC COM |
| HCAP | HARVEST CAP CR CORP COM |
| HCBK | HUDSON CITY BANCORP COM |
| HCC | HCC INS HLDGS INC COM |
| HCCI | HERITAGE CRYSTAL CLEAN INC COM |
| HCD | HIGHLAND DISTRESSED OPPORT INC COM |
| HCE | FIDUCIARY CLAYMORE DYNM EQ FD COM |
| HCF | NEXPOINT CR STRATEGIES FD COM |
| HCFC | Home City Financial Corporation - Common Stock |
| HCFA | Highland Credit Strategies Fund Rights (Expiring January 18 2008) |
| HCFA# | HIGHLAND CREDIT STRATEGIES FUND |
| HCH | CP HOLDRS DEP RCPTS CP |
| HCI | HCI GROUP INC COM |
| Hcii | HOMEOWNERS CHOICE INC COM |
| HCIIP | HOMEOWNERS CHOICE INC 7% PFD SER A |
| HCIIU | HOMEOWNERS CHOICE INC UNIT EX 2013 |
| HCIIW | HOMEOWNERS CHOICE INC WT EXP 073113 |
| HCJ | HOMEOWNERS CHOICE INC SR NT 20 |
| HCKT | HACKETT GROUP INC COM |
| HCLP | HI-CRUSH PARTNERS LP COM UNIT LTD |
| HCM | HANOVER CAP MTG HLDGS INC COM |
| Hcn | HEALTH CARE REIT INC COM |

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| HCN-D | HEALTH CARE REIT INC PFD SER D |
| HCN-D* | HEALTH CARE REIT INC PFD SER D |
| HCN-F | HEALTH CARE REIT INC PFD F 7.625% |
| HCN-F* | HEALTH CARE REIT INC PFD F 7.625% |
| HCN-G | HEALTH CARE REIT INC PFD G CNV 7.5% |
| HCN-G* | HEALTH CARE REIT INC PFD G CNV 7.5% |
| HCN-I | HEALTH CARE REIT INC PFD PER CON I |
| HCN-J | HEALTH CARE REIT INC PFD SER J 6.50% |
| HCO | HyperSpace Communications Inc |
| HCO+ | HyperSpace Communications Inc |
| HCOM | HAWAIIAN TELCOM HOLDCO INC COM |
| HCOWS | HYPERSPACE WTS |
| HCP | HCP INC COM |
| HCP-E | HCP INC PFD SR E 7.25% |
| HCP-E* | HCP INC PFD SR E 7.25% |
| HCP-F | HCP INC PFD SER F 7.1% |
| HCP-F* | HCP INC PFD SER F 7.1% |
| HCR | Manor Care Inc. Common Stock |
| HCS | HSBC HLDGS PLC SUB CAP 8.125% |
| HCS-B | HSBC HLDGS PLC PERP PREF SHS |
| HCSG | HEALTHCARE SVCS GRP INC COM |
| HCT | Hector Communications Corp |
| HCTL | Healthcare Technologies Ltd. - Ordinary Shares |
| HD | HOME DEPOT INC COM |
| HDB | HDFC BANK LTD ADR REPS 3 SHS |
| HDG | PROSHARES TR HD REPLICATION |
| HDGE | ADVISORSHARES TR RANGER EQUITY BE |
| HDI | Harley-Davidson Inc. Common Stock |
| HDIV | RUSSELL EXCHANGE TRADED FDS TR HI DIV YLD ETF |
| HDIX | HOME DIAGNOSTICS INC DEL COM |
| HDJ | Merrill Lynch |
| HDJ* | MERRILL LYNCH & CO INC STARS PHLX HSE09 |
| HDL | Handleman Company Common Stock |
| HDNG | HARDINGE INC COM |
| HDP | HD Partners Acquisition Corporation |
| HDP+ | HD Partners Acquisition Corporation - Warrants |
| HDP= | HD Partners Acquisition Corporation |
| HDS | ALPHA SEC GROUP CORP COM |
| HDS+ | ALPHA SEC GROUP CORP WT EXP 032311 |
| HDS= | ALPHA SEC GROUP CORP UNIT |
| HDSN | HUDSON TECHNOLOGIES INC COM |
| HDTV | SpatialLight Inc. - Common Stock |
| HDV | ISHARES TR HGH DIV EQT FD |
| HDY | HYPERDYNAMICS CORP COM |
| HE | HAWAIIAN ELEC INDUSTRIES COM |
| HE-U | HECO CAP TR III QUIPS 6.5% 04 |
| HEAT | SMARTHEAT INC COM NEW |
| HEB | HEMISPHERX BIOPHARMA INC COM |
| HEC | Harken Energy Corp |
| HECO | HUNTINGTON STRATEGY SHS ECOL STRAT ETF |
| HED | Head N.V. NY Registry Shares |
| HEDJ | WISDOMTREE TR EUROPE HEDGED EQ |
| HEES | H & E EQUIPMENT SERVICES INC COM |
| HEI | HEICO CORP NEW COM |
| HEI.A | HEICO CORP NEW CL A |
| HEI | HEI Inc. - Common Shares |
| HEK | HECKMANN CORP COM |
| HEK+ | HECKMANN CORP WT EXP 110911 |
| HEK= | HECKMANN CORP UNIT EX 000011 |
| HELE | HELEN OF TROY CORP LTD COM |
| HELX | Helix Energy Solutions Group Inc. - Common Stock |

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| HEM | HemoSense Inc |
| HEOP | HERITAGE OAKS BANCORP COM |
| HEP | HOLLY ENERGY PARTNERS L P COM UT LTD PTN |
| HEPH | HOLLIS-EDEN PHARMACEUTICALS COM |
| HEQ | JOHN HANCOCK HDG EQ & INC FD COM |
| HERO | HERCULES OFFSHORE INC COM |
| HES | HESS CORP COM |
| HES# | Hess Corporation Common Stock |
| HES- | Hess Corporation 7.00% Mandatory Convertible Preferred Stock Automatically Convertible Equity Securities (ACES) |
| HET | Harrah's Entertainment Inc. Common Stock |
| HEV | ENER1 INC COM NEW |
| HEVY | BARCLAYS BK PLC IPTH INDL MTL5 |
| HEW | HEWITT ASSOCS INC COM |
| HF | HFF INC CL A |
| HFB | MERRILL LYNCH & CO INC RTN NT M.LYN12 |
| HFBC | HOPFED BANCORP INC COM |
| HFBL | HOME FED BANCORP INC LA NEW COM |
| HFBLD | HOME FED BANCORP INC LA NEW COM |
| HFC | HOLLYFRONTIER CORP COM |
| HFC-B | HSBC FINANCE CORP PFD B DEP 1/40 |
| HFF | CINTRA SELECT FUND INC |
| HFFC | HF FINL CORP COM |
| HFWA | HERITAGE FINL CORP WASH COM |
| HGEM | EGA EMERGING GLOBAL SHS TR HLTH CARE GEMS |
| HGG | HHGREGG INC COM |
| HGH | HARTFORD FINL SVCS GROUP INC D DEB FIX/FLT 42 |
| HGI | CLAYMORE EXCHANGE TRD FD TR 2 GUG INTL MLT ASS |
| HGIC | HARLEYSVILLE GROUP INC COM |
| HGM | GENERAL MTRS CORP SR NT7.375% 51 |
| HGO | Houston American Energy Corp |
| HGR | HANGER INC COM NEW |
| HGRD | HEALTH GRADES INC COM |
| HGSH | CHINA HGS REAL ESTATE INC COM |
| HGSI | HUMAN GENOME SCIENCES INC COM |
| HGT | HUGOTON RTY TR TEX UNIT BEN INT |
| HH | HOOPER HOLMES INC COM |
| HHA | HealthShares Inc. HealthShares Autoimmune-Inflammation Exchange-Traded Fund |
| HHB | HealthShares Inc. HealthShares Patient Care Services Exchange-Traded Fund |
| HHC | HOWARD HUGHES CORP COM |
| HHC# | HOWARD HUGHES CORP COM |
| HHD | HealthShares Inc. HealthShares Diagnostics Exchange -Traded Fund |
| HHE | HealthShares Inc. HealthShares Cardio Devices Exchange-Traded Fund |
| HHG | HealthShares Inc. HealthShares Infectious Disease Exchange-Traded Fund |
| HHGP | HUDSON HIGHLAND GROUP INC COM |
| HHH | INTERNET HOLDRS TR DEPOSIT RCPT |
| HHJ | HealthShares Inc. HealthShares Emerging Cancer Exchange-Traded Fund |
| HHK | HealthShares Inc. HealthShares Cancer Exchange-Traded Fund |
| HHM | HealthShares Inc. HealthShares Metabolic-Endocrine Disorders Exchange-Traded Fund |
| HHN | HealthShares Inc. HealthShares Neuroscience Exchange-Traded Fund |
| HHO | ISE B & S WATER INDEXXXX |
| HHP | HealthShares Orthopedic Repair Exchange-Traded Fund Shares of beneficial interest |
| HHQ | HealthShares Inc. HealthShares Composite Exchange-Traded Fund |
| HHR | HealthShares Inc. HealthShares Respiratory/Pulmonary Exchange-Traded Fund |
| HHS | HARTE-HANKS INC COM |
| HHT | HealthShares Inc. HealthShares European Medical Products and Devices Exchange-Traded Fund Shares of Beneficial Interest |
| HHU | HealthShares Inc. HealthShares GI/Gender Health Exchange-Traded Fund |
| HHV | HealthShares Inc. HealthShares Enabling Technologies Exchange-Traded Fund |
| HHY | HELIOS HIGH YIELD FD COM |
| HHZ | HealthShares Inc. HealthShares Ophthalmology Exchange-Traded Fund |

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| HI | HILLENBRAND INC COM |
| HI# | HILLENBRAND INC |
| HI-E | HSBC Finance Corporation 8.875% Adjustable Conversion-Rate Equity Security Units |
| HI-F | Household Capital Trust VI 8 1/4% Trust Preferred Securities due 1/30/2031 |
| HI-F* | Household Capital Trust VI 8 1/4% Trust Preferred Securities due 1/30/2031 |
| HI-V | Household Capital Trust VII 7.50% Trust Preferred Securities |
| HI-V* | Household Capital Trust VII 7.50% Trust Preferred Securities |
| HIA | HIGHLANDS ACQUISITION CORP COM |
| HIA+ | HIGHLANDS ACQUISITION CORP WT EXP 100312 |
| HIA= | HIGHLANDS ACQUISITION CORP UNIT |
| HIBB | HIBBETT SPORTS INC COM |
| HIF | WESTERN ASSET HIGH INCM FD INC COM |
| HIFN | HI / FN INC COM |
| HIFS | HINGHAM INSTN SVGS MASS COM |
| HIG | HARTFORD FINL SVCS GROUP INC COM |
| HIG+ | HARTFORD FINL SVCS GROUP INC WT EXP 062619 |
| HIG-A | HARTFORD FINL SVCS GROUP INC DEP CONV PFD |
| HIG-C | Hartford Capital III 7.45% Trust Preferred Securities Series C ('TOPrS') |
| HIG-C* | Hartford Capital III 7.45% Trust Preferred Securities Series C ('TOPrS') |
| HIG-D | The Hartford Financial Services Group Inc. 7.00% Equity Units |
| HIH | HELIOS HIGH INCOME FD INC COM NEW |
| HIH-A | Highland Hospitality Corporation 7.875% Series A Cumulative Redeemable Preferred Stock Liquidation Preference Stock \$.01 par value |
| HIHO | HIGHWAY HLDGS LTD ORD |
| HII | HUNTINGTON INGALLS INDS INC COM |
| HII# | HUNTINGTON INGALLS INDS INC COM |
| HIIQ | HEALTH INS INNOVATIONS INC COM CL A |
| HIL | HILL INTERNATIONAL INC COM |
| HILL | DOT HILL SYS CORP COM |
| HILO | EGA EMERGING GLOBAL SHS TR LOW VOL EM DIV |
| HIMX | HIMAX TECHNOLOGIES INC SPONSORED ADR |
| HINT | Hill International Inc. - Common Stock |
| HINTU | Hill International Inc. - Unit |
| HINTW | Hill International Inc. - Warrant |
| HIO | WESTERN ASSET HIGH INCM OPP FD COM |
| HIP | HIPOTRONICS INCORPORATED |
| HIRE | HireRight Inc. - Common Stock |
| HIS | BLACKROCK HIGH INCOME SHS SHS BEN INT |
| HIST | GALLERY OF HISTORY INC COM |
| HIT | HITACHI LTD ADR 10 COM |
| HITK | HI-TECH PHARMACAL INC COM |
| HITT | HITTITE MICROWAVE CORP COM |
| HIV | Calypte Biomedical Corporation |
| HIW | HIGHWOODS PPTYS INC COM |
| HIW-B | HIGHWOODS PPTYS INC PFD SER B 8% |
| HIW-B* | HIGHWOODS PPTYS INC PFD SER B 8% |
| HIX | WESTERN ASSET HIGH INCM FD II COM |
| HJA | SATURNS HERTZ CORP 2003-15 UNIT A 7.00%12 |
| HJB | MS Structured Asset Corp.- SATURNS 2003-16 (Altria Group Inc.) 7.125% Class A Callable Units |
| HJD | MS Structured Asset Corp. SATURNS AT&T Corp. Debenture Backed Series 2003-17 7.125% Adjustable Rate Class A Callable Units |
| HJE | SATURNS VERIZON GLOBL FDG 04-1 TR UT A 6.125% |
| HJE* | SATURNS VERIZON GLOBL FDG 04-1 TR UT A 6.125% |
| HJG | SATURNS GOLDMAN SACHS GROUP TR UTS A 5.75% |
| HJG* | SATURNS GOLDMAN SACHS GROUP TR UTS A 5.75% |
| HJH | MS Structured Asset Corp. SATURNS AT&T Corp. Debenture-Backed Series 2004-3 6.75% Adjustable Rate Class A Callable Units |
| HJJ | SATURNS GOLDMAN SACHS GP 04-4 TR UT A 6.0% |
| HJK | MS Structured Asset Corp. SATURNS BellSouth Corporation Debenture Backed Series 2004-5 5.875% Class A Callable Units |
| HJL | SATURNS GOLDMAN SACHS CAP I TR UNIT A 6.00 |

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| HJL* | SATURNS GOLDMAN SACHS CAP I TR UNIT A 6.00 |
| HJM | MS Structured Asset Corp. SATURNS AT&T Corp. Debenture Backed Series 2004-7 7.00% Adjustable Rate Class A Callable Units |
| HJN | SATURNS GOLDMAN SACHS CAP 1 05 TR UT A 6.125 |
| HJO | AON CAP TR A 05-2 UT A6.875 |
| HJO* | AON CAP TR A 05-2 UT A6.875 |
| HJR | SATURNS 2005-3 LTD BRANDS INC CALL UNIT 7%33 |
| HJS | MS Structured Asset Corp. SATURNS Tribune Company Debenture Backed Series 2006-1 7.00% Class A Callable Units |
| HJT | STRUCTURED ASSET TR UT 7.375% 06-2 |
| HJT* | STRUCTURED ASSET TR UT 7.375% 06-2 |
| HJV | SATURNS TR NO 2007-1 NT CL A 7% |
| HK | HALCON RES CORP COM NEW |
| HKAC | HICKS ACQUISITION CO II INC COM |
| HKACU | HICKS ACQUISITION CO II INC UNIT EX 000000 |
| HKACW | HICKS ACQUISITION CO II INC WT EXP 071417 |
| HKF | Hancock Fabrics Inc. Common Stock |
| HKG | NETS TR HANG SENG HK |
| HKK | INDEXIQ ETF TR HONG KONG SMCP |
| HKN | HKN INC COM |
| HKO | AMEX HONG KONG XXX |
| HKTV | HONG KONG TELEVISION NETWK LTD SPONSORED ADR |
| HL | HECLA MNG CO COM |
| HL-B | HECLA MNG CO PFD CV SER B |
| HL-C | HECLA MNG CO 6.5% CONV PFD |
| HLCS | HELICOS BIOSCIENCES CORP COM |
| HLD | SECURE AMER ACQUISITION CORP COM |
| HLD+ | Secure America Acquisition Corporation |
| HLD= | Secure America Acquisition Corporation |
| HLEX | HealthExtras Inc. - Common Stock |
| HLF | HERBALIFE LTD COM USD SHS |
| HLI-B | Hartford Life Capital II 7.625% Trust Preferred Securities Series B (TRuPS) |
| HLI-B* | Hartford Life Capital II 7.625% Trust Preferred Securities Series B (TRuPS) |
| HLIT | HARMONIC INC COM |
| HLK | SALOMON INC COMMON EQTY |
| HLM- | HILLMAN GROUP CAP TR PFD TR 11.6% |
| HLN | Hilton Hotels Corporation 8% Quaterly Interest Bonds due August 15 2031 (QUIBS) |
| HLCD | HILAND PARTNERS L P UT LTD PARTNR |
| HLR | Hollinger International Inc. Class A Common Stock |
| HLS | HEALTHSOUTH CORP COM NEW |
| HLSS | HOME LN SERVICING SOLUTIONS LT ORD SHS |
| HLT | Hilton Hotels Corporation Common Stock |
| HLTH | HLTH CORPORATION COM |
| HLX | HELIX ENERGY SOLUTIONS GRP INC COM |
| HLYS | HEELYS INC COM |
| HMA | HEALTH MGMT ASSOC INC NEW CL A |
| HMB | HomeBanc Corp. Common Stock par value \$.01 per share |
| HMB-A | HomeBanc Corp. 10% Series A Cumulative Redeemable Preferred Stock |
| HMC | HONDA MOTOR LTD AMERN SHS |
| HME | HOME PROPERTIES INC COM |
| HME-F | Home Properties Inc. 9.00% Series F Cumulative Redeemable Preferred Stock |
| HME-F* | Home Properties Inc. 9.00% Series F Cumulative Redeemable Preferred Stock |
| HMG | HMG COURTLAND PPTYS INC COM |
| HMH | HELIOS MULTI SEC HI INC FD INC COM NEW |
| HMIN | HOME INNS & HOTELS MGMT INC SPON ADR |
| HMN | HORACE MANN EDUCATORS CORP NEW COM |
| HMNA | HELIOS & MATHESON NORTH AMERIC COM |
| HMNF | HMN FINL INC COM |
| HMNY | HELIOS & MATHESON ANALYTICS IN COM NEW |
| HMNYD | HELIOS & MATHESON INFORMATION COM NEW |
| HMO | MORGAN STANLEY HLTH XXX |

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| HMPR | HAMPTON ROADS BANKSHARES INC COM NEW |
| HMPRD | HAMPTON ROADS BANKSHARES INC COM NEW |
| HMR | SPORTS PPTYS ACQUISITION CORP COM |
| HMR+ | SPORTS PPTYS ACQUISITION CORP WT EXP 011712 |
| HMR= | SPORTS PPTYS ACQUISITION CORP UNIT EX 000011 |
| HMST | HOMESTREET INC COM |
| HMSY | HMS HLDGS CORP COM |
| HMT | Host Marriott Corporation Common Stock |
| HMT# | Host Marriott Corporation Common Stock |
| HMT-C | Host Marriott Corporation 10 % Class C Cumulative Redeemable Preferred Stock |
| HMT-E | Host Marriott Corporation 8 7/8% Class E Cumulative Redeemable Preferred Stock \$0.01 par value |
| HMTM | RUSSELL EXCHANGE TRADED FDS TR 1000 HGH MOMEN |
| HMTV | HEMISPHERE MEDIA GROUP INC CL A |
| HMX | Hartmarx Corporation Common Stock |
| HMY | HARMONY GOLD MNG LTD SPONSORED ADR |
| HNAB | HANA BIOSCIENCES INC COM |
| HNB | HERALD NATL BK NEW YORK COM |
| HNBC | HARLEYSVILLE NATL CORP PA COM |
| HNH | HANDY & HARMAN LTD COM |
| HNI | HNI CORP COM |
| HNP | HUANENG PWR INTL INC SPON ADR H SHS |
| HNR | HARVEST NATURAL RESOURCES INC COM |
| HNRG | HALLADOR ENERGY COMPANY COM |
| HNSN | HANSEN MEDICAL INC COM |
| HNT | HEALTH NET INC COM |
| HNW | PIONEER DIV HIGH INCOME TRUST COM |
| HNZ | HEINZ H J CO COM |
| HNZ- | HEINZ H J CO PFD 3 CV \$1.70 |
| HOC | HOLLY CORP COM PAR \$0.01 |
| HOFF | Horizon Offshore Inc. - Common Stock |
| HOFT | HOOKER FURNITURE CORP COM |
| HOG | HARLEY DAVIDSON INC COM |
| HOGS | ZHONGPIN INC COM |
| HOKU | HOKU CORP COM |
| HOL | CHINA HLDGS ACQUISITION CORP COM |
| HOL+ | CHINA HLDGS ACQUISITION CORP WT EXP 111612 |
| HOL= | China Holdings Acquisition Corporation |
| HOLI | HOLLYSYS AUTOMATION TECHNOLOGI SHS |
| HOLL | HOLLYWOOD MEDIA CORP COM |
| HOLX | HOLOGIC INC COM |
| HOM | Home Solutions of America Inc |
| HOMB | HOME BANCSHARES INC COM |
| HOME | HOME FED BANCORP INC MD COM |
| HOMED | Home Federal Bancorp Inc. - Common Stock |
| HOMF | Home Federal Bancorp - Common Stock |
| HOMS | TIMIOS NATL CORP COM |
| HON | HONEYWELL INTL INC COM |
| HOO | CASCAL N V COM |
| HOO-A | Glacier Water Trust |
| HOOK | CRAFT BREW ALLIANCE INC COM |
| HORC | Horizon Health Corporation - Common Stock |
| HORT | Hines Horticulture Inc. - Common Stock |
| HOS | HORNBECK OFFSHORE SVCS INC NEW COM |
| HOT | STARWOOD HOTELS&RESORTS WRLDWD COM |
| HOTJ | HOUSE OF TAYLOR JEWELRY INC COM |
| HOTR | CHANTICLEER HLDGS INC COM PAR \$.0001 N |
| HOTRU | CHANTICLEER HLDGS INC UNIT EX 061117 |
| HOTRW | CHANTICLEER HLDGS INC WT EXP 061117 |
| HOTT | HOT TOPIC INC COM |
| HOV | HOVNIANIAN ENTERPRISES INC CL A |
| HOVNP | HOVNIANIAN ENTERPRISES INC PFD DEP1/1000A |

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| HOVU | HOVNANIAN ENTERPRISES INC UNIT 1 021514 |
| HP | HELMERICH & PAYNE INC COM |
| HP# | Helmerich & Payne Inc. Common Stock |
| HPAC | HYDE PK ACQUISITION CORP II COM |
| HPB | MORGAN STANLEY NT PHIL HSG 10 |
| HPC | Hercules Incorporated Common Stock |
| HPCCP | HUNTINGTON PREFERRED CAP INC PFD EX PRP C |
| HPD | Morgan Stanley |
| HPF | HANCOCK JOHN PFD INCOME FD II COM |
| HPG | Morgan Stanley |
| HPGP | HILAND HLDGS GP LP UNIT LP INT |
| HPI | HANCOCK JOHN PFD INCOME FD SH BEN INT |
| HPJ | HIGHPOWER INTL INC COM |
| HPM | Morgan Stanley |
| HPOL | HARRIS INTERACTIVE INC COM |
| HPP | HUDSON PAC PPTYS INC COM |
| HPP-B | HUDSON PAC PPTYS INC CUM RED PFD-B |
| HPQ | HEWLETT PACKARD CO COM |
| HPRT | HEALTHPORT INC COM |
| HPS | HANCOCK JOHN PFD INCOME FD III COM |
| HPT | HOSPITALITY PPTYS TR COM SH BEN INT |
| HPT-B | HOSPITALITY PPTYS TR PFD B 8.875% |
| HPT-B* | HOSPITALITY PPTYS TR PFD B 8.875% |
| HPT-C | HOSPITALITY PPTYS TR PFD C 7% |
| HPT-C* | HOSPITALITY PPTYS TR PFD C 7% |
| HPT-D | HOSPITALITY PPTYS TR REDEEMABLE CUM P |
| HPTX | HYPERION THERAPEUTICS INC COM |
| HPY | HEARTLAND PMT SYS INC COM |
| HQH | H & Q HEALTHCARE INVESTORS SH BEN INT |
| HQL | H & Q LIFE SCIENCES INVS SH BEN INT |
| HQS | HQ SUSTAINABLE MARITIM IND INC COM NEW |
| HR | HEALTHCARE RLTY TR COM |
| HRAY | HURRAY HLDGS CO LTD SPONSORED ADR |
| HRB | BLOCK H & R INC COM |
| HRBN | HARBIN ELECTRIC INC COM |
| HRBR | HARBOR DIVERSIFIED INC COM |
| HRC | HILL ROM HLDGS INC COM |
| HRC# | HILL ROM HLDGS INC EX DISTRIB |
| HRD | HealthShares Inc. HealthShares Cardiology Exchange-Traded Fund |
| HRG | HARBINGER GROUP INC COM |
| HRH | Hilb Rogal & Hobbs Company Common Stock |
| HRJ | HealthShares Inc. HealthShares European Drugs Exchange-Traded Fund |
| HRL | HORMEL FOODS CORP COM |
| HRLY | HERLEY INDS INC DEL COM |
| HRO | MERRILL LYNCH & CO INC STRIDS11% HD10 |
| HRP | HRPT PPTYS TR COM SH BEN INT |
| HRP-A | HRPT Properties Trust 9 7/8% Series A Cumulative Redeemable Preferred Shares |
| HRP-A* | HRPT Properties Trust 9 7/8% Series A Cumulative Redeemable Preferred Shares |
| HRP-B | HRPT PPTYS TR PFD SER B |
| HRP-C | HRPT PPTYS TR PFD CUM SER C |
| HRP-D | HRPT PPTYS TR PFD CONV D |
| HRPN | HRPT PPTYS TR NT SR7.5%19 |
| HRS | HARRIS CORP DEL COM |
| HRSH | HIRSCH INTL CORP CL A |
| HRT | ARRHYTHMIA RESH TECHNOLOGY INC COM PAR \$0.01 |
| HRVE | Harvey Electronics Inc. - Common Stock |
| HRVED | Harvey Electronics Inc. - Common Stock |
| HRW | HealthShares Inc. HealthShares Dermatology and Wound Care Exchange-Traded Fund |
| HRZ | HORIZON LINES INC COM |
| HRZB | HORIZON FINL CORP WASH COM |
| HRZN | HORIZON TECHNOLOGY FIN CORP COM |

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| HS | HEALTHSPRING INC COM |
| HSA | HELIOS STRATEGIC INCOME FD INC COM NEW |
| HSB | TIERS PRINCIPAL PROTECTD |
| HSBC-B | HSBC FINANCE CORP PFD B DEP 1/40 |
| HSC | HARSCO CORP COM |
| HSF | HARTFORD INCOME SHS FD INC COM |
| HSFT | HISOFT TECHNOLOGY INTL LTD SPONSORED ADR |
| HSH | HILLSHIRE BRANDS CO COM |
| HSH# | HILLSHIRE BRANDS CO COM |
| HSIC | SCHEIN HENRY INC COM |
| HSII | HEIDRICK & STRUGGLES INTL INC COM |
| HSJ | MERRILL LYNCH & CO INC NT AMEX HLTH09 |
| HSKA | HESKA CORP COM RESTRC NEW |
| HSKAD | HESKA CORP COM RESTRC NEW |
| HSM | HELIOS STRATEGIC MTG INCOME FD COM |
| HSNI | HSN INC COM |
| HSNIV | HSN INC COM |
| HSOA | Home Solutions of America Inc. - Common Stock |
| HSOL | HANWHA SOLARONE CO LTD SPONSORED ADR |
| HSON | HUDSON GLOBAL INC COM |
| HSP | HOSPIRA INC COM |
| HSR | HI SHEAR TECHNOLOGY CORP COM |
| HST | HOST HOTELS & RESORTS INC COM |
| HST-C | Host Hotels & Resorts Inc. 10 % Class C Cumulative Redeemable Preferred Stock |
| HST-C* | Host Hotels & Resorts Inc. 10 % Class C Cumulative Redeemable Preferred Stock |
| HST-E | HOST HOTELS & RESORTS INC PFD E 8.875% |
| HST-E* | HOST HOTELS & RESORTS INC PFD E 8.875% |
| HSTM | HEALTHSTREAM INC COM |
| HSTX | HARRIS STRATEX NTRK INC COM |
| HSVLY | Highveld Steel and Vanadium Corporation Limited - American Depositary Shares exempt pursuant to 12g3-2(b) |
| HSWI | HSW INTERNATIONAL INC COM NEW |
| HSWID | HSW INTERNATIONAL INC COM NEW |
| HSX | ISE CCM HOMELAND XXX |
| HSY | HERSHEY CO COM |
| HT | HERSHA HOSPITALITY TR SH BEN INT A |
| HT-A | HERSHA HOSPITALITY TR PFD 8% SER A |
| HT-A* | HERSHA HOSPITALITY TR PFD 8% SER A |
| HT-B | HERSHA HOSPITALITY TR PFD SER B |
| HT-C | HERSHA HOSPITALITY TR PFD SER C 6.875% |
| HTA | HEALTHCARE TR AMER INC CL A |
| HTB | HSBC FINANCE CORP NT 6.875% 2033 |
| HTB* | HSBC FINANCE CORP NT 6.875% 2033 |
| HTBI | HOMETRUST BANCSHARES INC COM |
| HTBK | HERITAGE COMMERCE CORP COM |
| HTC | HUGHES TELEMATICS INC COM |
| HTC+ | HUGHES TELEMATICS INC WT EXP 011012 |
| HTC= | HUGHES TELEMATICS INC UNIT EX 011012 |
| HTCH | HUTCHINSON TECHNOLOGY INC COM |
| HTCO | HICKORY TECH CORP COM |
| HTD | HANCOCK JOHN TAX-ADV DIV INCM COM |
| HTE | HARVEST ENERGY TR TRUST UNIT |
| HTF | HORIZON TECHNOLOGY FIN CORP SR NT |
| HTG | Heritage Property Investment Trust Inc. Common Stock |
| HTGC | HERCULES TECH GROWTH CAP INC COM |
| HTGCR | Hercules Technology Growth Capital Inc. - Transferable Rights to Purchase Common Stock |
| HTGY | HERCULES TECH GROWTH CAP INC SR NT 19 |
| HTGZ | HERCULES TECH GROWTH CAP INC SR NT |
| HTH | HILLTOP HOLDINGS INC COM |
| HTH-A | HILLTOP HOLDINGS INC CUM PFD SER A |
| HTH-A* | HILLTOP HOLDINGS INC CUM PFD SER A |
| HTHT | CHINA LODGING GROUP LTD SPONSORED ADR |

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| HTI | Halozyme Therapeutics Inc |
| HTL | Heartland Partners LP |
| HTLD | HEARTLAND EXPRESS INC COM |
| HTLF | HEARTLAND FINL USA INC COM |
| HTM | U S GEOTHERMAL INC COM |
| HTN | HSBC FINANCE CORP NT 113033 |
| HTN* | HSBC FINANCE CORP NT 113033 |
| HTR | BROOKFIELD TOTAL RETURN FD INC COM |
| HTRN | HEALTHTRONICS INC COM |
| HTR^ | HELIOS TOTAL RETURN FD INC RT |
| HTR^# | HELIOS TOTAL RETURN FD INC RT |
| HTS | HATTERAS FINL CORP COM |
| HTS-A | HATTERAS FINL CORP CUM PFD-A 7.625% |
| HTSI | HARRIS TEETER SUPERMARKETS INC COM |
| HTV | HEARST-ARGYLE TELEVISION INC COM |
| HTWO | HF2 FINL MGMT INC CL A |
| HTWR | HEARTWARE INTL INC COM |
| HTX | HUTCHISON TELECOMM INTL LTD SPONSORED ADR |
| HTY | HANCOCK JOHN INV TRUST TAX ADV GLB SH |
| HTZ | HERTZ GLOBAL HOLDINGS INC COM |
| HU | Hudson United Bancorp Common Stock |
| HUB.A | HUBBELL INC CL A |
| HUB.B | HUBBELL INC CL B |
| HUBG | HUB GROUP INC CL A |
| HUG | Hughes Supply Inc. Common Stock |
| HUGH | HUGHES COMMUNICATIONS INC COM |
| HUM | HUMANA INC COM |
| HUMC | Hummingbird Ltd - Common Shares |
| HUN | HUNTSMAN CORP COM |
| HUN- | Huntsman Corporation 5.00% Mandatory Convertible Preferred Stock |
| HURC | HURCO COMPANIES INC COM |
| HURN | HURON CONSULTING GROUP INC COM |
| HUSA | HOUSTON AMERN ENERGY CORP COM |
| HUSE | HUNTINGTON STRATEGY SHS US EQT ROT ETF |
| HUVL | HUDSON VALLEY HOLDING CORP COM |
| HVB | HUDSON VALLEY HOLDING CORP COM |
| HVOL | RUSSELL EXCHANGE TRADED FDS TR 1000 HIGH VOLA |
| HVPW | ALPS ETF TR US EQTHVOLPT WR |
| HVT | HAVERTY FURNITURE INC COM |
| HVT.A | HAVERTY FURNITURE INC CL A |
| HVY | ISE GOLD INDEX XXX |
| HW | HEADWATERS INC COM |
| HWAY | HEALTHWAYS INC COM |
| HWBK | HAWTHORN BANCSHARES INC COM |
| HWCC | HOUSTON WIRE & CABLE CO COM |
| HWD | HARRY WINSTON DIAMOND CORP COM |
| HWFG | HARRINGTON WEST FINL GROUP INC COM |
| HWG | HALLWOOD GROUP INC COM PAR \$0.10 |
| HWI | AMEX COMPUTER XXX |
| HWK | HAWK CORP CL A |
| HWKN | HAWKINS INC COM |
| HX | HALIFAX CORP COM |
| HXFWD | SHELBOURNE PPTYS III IN |
| HXL | HEXCEL CORP NEW COM |
| HXM | DESARROLLADORA HOMEX S A DE CV SPONSORED ADR |
| HY | HYSTER YALE MATLS HANDLING INC CL A |
| HY\$ | HYSTER YALE MATLS HANDLING INC CL A |
| HYA | CORTS TR II VERIZON GLOBL FDG TR A 6.125 30 |
| HYA* | CORTS TR II VERIZON GLOBL FDG TR A 6.125 30 |
| HYB | NEW AMER HIGH INCOME FD INC COM NEW |
| HYB^ | New America High Income Fund Inc. (The) Rights (Expiring August 20 2007) |

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|-------|---|
| HYB^# | NEW AMER HIGH INCOME FD INC RT |
| HYC | HYPERCOM CORP COM |
| HYD | MARKET VECTORS ETF TR HG YLD MUN ETF |
| HYDG | HydroGen Corporation - Common Stock |
| HYDL | Hydril - Common Stock |
| HYEM | MARKET VECTORS ETF TR EMKT HIYLD BD |
| HYF | MANAGED HIGH YIELD PLUS FD INC COM |
| HYG | ISHARES TR HIGH YLD CORP |
| HYGS | HYDROGENICS CORP NEW COM NEW |
| HYGSD | HYDROGENICS CORP NEW COM NEW |
| HYH | CORTS TR WEYERHAEUSER CO TR CTF A 6% 32 |
| HYH* | CORTS TR WEYERHAEUSER CO TR CTF A 6% 32 |
| HYI | WESTERN ASSET HGH YLD DFNDFD COM |
| HYJ | CORTS TR INTL BUSINESS MACHS TR CTF 5.625%A |
| HYJ* | CORTS TR INTL BUSINESS MACHS TR CTF 5.625%A |
| HYK | CORTS TR GOLDMAN SACHS CAP I CORTS A 6% |
| HYK* | CORTS TR GOLDMAN SACHS CAP I CORTS A 6% |
| HYL | CORTS TR II GOLDMAN SACHS CAP TR CTF A 6% 34 |
| HYLD | ADVISORSHARES TR PERITUS HG YLD |
| HYLS | FIRST TR EXCHANGE TRADED FD IV FIRST TR HIYL LS |
| HYM | CORTS TR BOEING CO NTS CORTS 6.125%33 |
| HYM* | CORTS TR BOEING CO NTS CORTS 6.125%33 |
| HYMB | SPDR SERIES TRUST NUV HGHYLD MUN |
| HYP | HIGH YIELD PLUS FD INC COM |
| HYS | PIMCO ETF TR 0-5 HIGH YIELD |
| HYSL | Hyperion Solutions Corporation - Common Stock |
| HYT | BLACKROCK CORPOR HI YLD FD VI COM |
| HYTM | HYTHIAM INC COM |
| HYV | BLACKROCK CORPOR HI YLD FD V COM |
| HYW | CORTS TR III VERIZON GLOBAL CORTS 6.25% 30 |
| HYW* | CORTS TR III VERIZON GLOBAL CORTS 6.25% 30 |
| HZD | CORTS TR V FOR IBM DEBS CORTS 6.40% 96 |
| HZD* | CORTS TR V FOR IBM DEBS CORTS 6.40% 96 |
| HZK | CORTS TR VI IBM DEB CTF CAL 6.375% |
| HZK* | CORTS TR VI IBM DEB CTF CAL 6.375% |
| HZNP | HORIZON PHARMA INC COM |
| HZO | MARINEMAX INC COM |
| I | INTELSAT S A COM |
| I-A | INTELSAT S A MAN CONV JR PFD |
| IAAC | INTERNATIONAL ASSETS HLDG CORP COM |
| IACI | IAC INTERACTIVECORP COM PAR \$.001 |
| IACID | IAC INTERACTIVECORP COM PAR \$.001 |
| IACIV | IAC INTERACTIVECORP COM PAR \$.001 |
| IACIW | IAC/InterActiveCorp - Warrants 2/4/2009 |
| IACIZ | IAC/InterActiveCorp - warrant to purchase 1.93875 common shares |
| IAE | ING ASIA PAC HGH DIVID EQ INCM COM |
| IAF | ABERDEEN AUSTRALIA EQTY FD INC COM |
| IAG | IAMGOLD CORP COM |
| IAH | INTERNET ARCHITECTURE HOLDR TR DEPOSTRY RCPT |
| IAI | ISHARES TR DJ BROKER-DEAL |
| IAK | ISHARES TR DJ INS INDX FD |
| IAL | International Aluminum Corporation Common Stock |
| IAN | INTER ATLANTIC FINANCIAL INC COM |
| IAN+ | INTER ATLANTIC FINANCIAL INC WT EXP 100211 |
| IAN= | INTER ATLANTIC FINANCIAL INC UNIT EX 000011 |
| IAO | IA GLOBAL INC COM |
| IAR | Idearc Inc. Common Stock |
| IAR# | IDEARC INC |
| IART | INTEGRA LIFESCIENCES HLDGS CP COM NEW |
| IAS | IASIS HEALTHCARE CORP |
| IASG | Integrated Alarm Services Group Inc. - Common Stock |

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| IASO | IASO PHARMA INC COM |
| IAT | ISHARES TR DJ REGIONAL BK |
| IAU | ISHARES GOLD TRUST ISHARES |
| IAX | INTERNATIONAL ABSORBENTS INC COM NO PAR |
| IAY | Morgan Stanley |
| IBA | INDUSTRIAS BACHOCO S A B DE CV SPON ADR B |
| IBAS | IBASIS INC COM NEW |
| IBB | ISHARES TR NASDAQ BIO INDX |
| IBCA | INTERVEST BANCSHARES CORP COM |
| IBCB | ISHARES TR 2016 INVTGR BD |
| IBCC | ISHARES TR 2018 INVTGR BD |
| IBCD | ISHARES TR 2020 INVTGR BD |
| IBCE | ISHARES TR 2023 INVTGR BD |
| IBCP | INDEPENDENT BANK CORP MICH COM NEW |
| IBCPD | INDEPENDENT BANK CORP MICH COM NEW |
| IBCPO | IBC CAP FIN II PFD TR SECS |
| IBF | CITIGROUP FDG INC NT LASER 2008 |
| IBI | INTERLINE BRANDS INC COM |
| IBIO | IBIO INC COM |
| IBIS | Ibis Technology Corporation - Common Stock |
| IBKC | IBERIABANK CORP COM |
| IBKR | INTERACTIVE BROKERS GROUP INC COM |
| IBM | INTERNATIONAL BUSINESS MACHS COM |
| IBN | ICICI BK LTD ADR |
| IBN# | ICICI Bank Limited American Depositary Shares(Each representing 2 Equity Shares) |
| IBND | SPDR SERIES TRUST BRCLY INTL CRP |
| IBNK | INTEGRA BK CORP COM |
| IBOC | INTERNATIONAL BANCSHARES CORP COM |
| IBTX | INDEPENDENT BK GROUP INC COM |
| ICA | EMPRESAS ICA S A DE CV SPONS ADR NEW |
| ICAB | i-CABLE Communications Limited - American Depositary Shares |
| ICAD | ICAD INC COM NEW |
| ICB | MORGAN STANLEY TRUSTS INCOME SECS INC |
| ICBC | Independence Community Bank Corp. - Common Stock |
| ICCA | Internet Commerce Corp. - Class A Common Stock |
| ICCC | IMMUCELL CORP COM PAR \$0.10 |
| ICCI | INSIGHT COMM CO CL## |
| ICE | INTERCONTINENTALEXCHANGE INC COM |
| ICF | ISHARES TR COHEN&ST RLTY |
| ICFI | ICF INTL INC COM |
| ICG | IMPERIAL CAP GROUP INC CL A |
| ICGE | ICG GROUP INC COM |
| ICGN | ICAGEN INC COM NEW |
| ICGND | ICAGEN INC COM NEW |
| ICH | INVESTORS CAP HLDGS LTD COM |
| ICI | BARCLAYS BANK PLC CARRY ETN 38 |
| ICLK | INTERCLICK INC COM NEW |
| ICLN | ISHARES TR S&P GLBIDX ETF |
| ICLR | ICON PLC SHS |
| ICN | WISDOMTREE TRUST INDIAN RUP ETF |
| ICO | INTERNATIONAL COAL GRP INC NEW COM |
| ICOC | ICO INC NEW COM |
| ICOCZ | ICO Inc. - Depositary Shares |
| ICOG | ICO GLOBAL COMM HLDGS LTD DEL CL A |
| ICON | ICONIX BRAND GROUP INC COM |
| ICOP | ICOP DIGITAL INC COM NO PAR NEW |
| ICOPD | ICOP DIGITAL INC COM NO PAR NEW |
| ICOPW | ICOP DIGITAL INC WT EXP 070810 |
| ICOPZ | ICOP DIGITAL INC WT EXP 120209 |
| ICOS | ICOS Corporation - Common Stock |
| ICPT | INTERCEPT PHARMACEUTICALS INC COM |

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| ICS | INVESCO CALIF MUN SECS COM |
| ICT | MERRILL LYNCH & CO INC NT AMX IDX 09 |
| ICTG | ICT GROUP INC COM |
| ICTS | ICTS International N.V. - Common Shares |
| ICU | Cenuco Inc |
| ICUI | ICU MED INC COM |
| ICX | THESTREET.COM XXX |
| ICXT | ICX TECHNOLOGIES INC COM |
| ICZ | Citigroup Funding Inc. |
| ID | L-1 IDENTITY SOLUTIONS INC COM |
| IDA | IDACORP INC COM |
| IDC | INTERACTIVE DATA CORP COM |
| IDCC | INTERDIGITAL INC COM |
| IDCCD | InterDigital Inc. - Common Stock |
| IDE | ING INFRASTRUCTURE INDLS & MAT COM |
| IDEV | INDEVUS PHARMACEUTICALS INC COM |
| IDG | ING GROEP N V PER HYB CAP SC |
| IDGR | INDIGO INTL CORP COM |
| IDHB | POWERSHARES ETF TR II S&P INTDEV HIB |
| IDHQ | POWERSHARES GLOBAL ETF TRUST DYN DEVINTLOPP |
| IDI | TIGER MEDIA INC SHS |
| IDI+ | TIGER MEDIA INC WT EXP 122613 |
| IDI= | SEARCHMEDIA HOLDINGS LTD UNIT EX 121713 |
| IDIX | IDENIX PHARMACEUTICALS INC COM |
| IDJ | CITIGROUP GLOBAL MKTS HLDGS IDX DOW 2009 |
| IDLV | POWERSHARES ETF TR II INTL DEV LOWVL |
| IDMI | IDM PHARMA INC COM |
| IDN | INTELLICHECK MOBILISA INC COM |
| IDNX | Identix Incorporated - Common Stock |
| IDP | Idera Pharmaceuticals Inc |
| IDR | Intrawest Corporation Common Shares |
| IDRA | IDERA PHARMACEUTICALS INC COM NEW |
| IDSA | INDUSTRIAL SVCS AMER INC FLA COM |
| IDSY | I D SYSTEMS INC COM |
| IDT | IDT CORP CL B NEW |
| IDT# | IDT CORP EX DISTRIB WI |
| IDT.C | IDT CORP COM NEW |
| IDTI | INTEGRATED DEVICE TECHNOLOGY COM |
| IDU | ISHARES TR DJ US UTILS |
| IDV | ISHARES TR DJ INTL SEL DIVD |
| IDWK | International DisplayWorks Inc - Common Stock |
| IDX | MARKET VECTORS ETF TR INDONESIA ETF |
| IDXC | IDX SYSTEMS CP ## |
| IDXJ | MARKET VECTORS ETF TR INDONESIA S CAP |
| IDXX | IDEXX LABS INC COM |
| IEAM | Industrial Enterprises of America Inc. - Common Stock |
| IEC | IEC ELECTRS CORP NEW COM |
| IED | INVESTools Inc. |
| IEDU | INVESTools Inc. - Common Stock |
| IEF | ISHARES TR BARCLYS 7-10 YR |
| IEFA | ISHARES TR CORE MSCI EAFE |
| IEI | ISHARES TR BARCLYS 3-7 YR |
| IEL | CITIGROUP FDG INC LASERS S&P 500 |
| IELG | ISHARES U S ETF TR ENH US LCP ETF |
| IEM | Merrill Lynch & Co. Inc. S&P 500 Inflation Adjusted Market Index Target-Term Securities due September 24 2007 (MITTS) |
| IEMG | ISHARES INC CORE MSCI EMKT |
| IEO | ISHARES TR DJ OIL&GAS EXP |
| IEP | ICAHN ENTERPRISES LP DEPOSITARY UNIT |
| IEP- | ICAHN ENTERPRISES LP PFD UT CUM 5% |
| IEP-* | ICAHN ENTERPRISES LP PFD UT CUM 5% |

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| IEPRR | ICAHN ENTERPRISES LP RT |
| IES | Integrated Electrical Services Inc. Common Stock |
| IESC | INTEGRATED ELECTRICAL SVC COM |
| IESM | ISHARES U S ETF TR ENH US SCP ETF |
| IEV | ISHARES TR S&P EURO PLUS |
| IEX | IDEX CORP COM |
| IEZ | ISHARES TR DJ OIL EQUIP |
| IF | ABERDEEN INDONESIA FD INC COM |
| IFA.A | International Finance Corp |
| IFAS | ISHARES TR EPRA/NAR DEV ASI |
| IFC | IRWIN FINL CORP COM |
| IFC-M | IFC CAPITAL TRUST VI |
| IFC-N | IFC Capital Trust III 8.75% Cumulative Convertible Trust Preferred Securities |
| IFC-N* | IFC Capital Trust III 8.75% Cumulative Convertible Trust Preferred Securities |
| IFCB | Integrity Financial Corporation - Common Stock |
| IFCJ | Interchange Financial Services Corporation - Common Stock |
| IFEU | ISHARES TR EPRA/NAR DEV EUR |
| IFF | INTERNATIONAL FLAVORS&FRAGRANC COM |
| IFGL | ISHARES TR EPRA/NAR DEV R/E |
| IFIN | Investors Financial Services Corp. - Common Stock |
| IFK | INTERNATIONAL FIN CORP S&P 500 MITTS |
| IFLG | INFOLOGIX INC COM NEW |
| IFLGD | INFOLOGIX INC COM NEW |
| IFLO | I-FLOW CORP COM NEW |
| IFMI | INSTITUTIONAL FINL MKTS INC COM |
| IFN | INDIA FD INC COM |
| IFN\$ | The India Fund Inc. Common Stock |
| IFNA | ISHARES TR EPRA/NAR NA IN |
| IFNY | INFINITY ENERGY RESOURCES INC COM PAR .0001 |
| IFO | CITIGROUP FDG INC NT S&P500RTN12 |
| IFON | INFOSONICS CORP COM |
| IFOX | Infocrossing Inc. - Common Stock |
| IFS | InfraSource Services Inc. Common Stock |
| IFSB | INDEPENDENCE FED SVGS BK COM |
| IFSIA | INTERFACE INC COM |
| IFSM | ISHARES TR DEV SM CP EX-N |
| IFT | IMPERIAL HLDGS INC COM |
| IFUL | Insightful Corporation - Common Stock |
| IFX | INFINEON TECHNOLOGIES AG SPONSORED ADR |
| IG | IGI LABS INC COM |
| IGA | ING GLBL ADV & PREM OPP FUND COM |
| IGC | INDIA GLOBALIZATION CAP INC COM NEW |
| IGC+ | INDIA GLOBALIZATION CAP INC WT EXP 030615 |
| IGC= | INDIA GLOBALIZATION CAP INC UNIT EX 030813 |
| IGD | ING GLOBAL EQTY DIV & PREM OPP COM |
| IGE | ISHARES TR S&P NA NAT RES |
| IGEM | EGA EMERGING GLOBAL SHS TR INDLS GEMS |
| IGF | ISHARES TR S&P GLO INFRAS |
| IGI | WESTERN ASSET INVT GRADE DEFIN COM |
| IGK | ING GROEP N V 8.5% PER HYB CAP |
| IGLD | INTERNET GOLD-GOLDEN LINES LTD ORD |
| IGM | ISHARES TR S&P NA TECH FD |
| IGN | ISHARES TR S&P NA MULTIMD |
| IGO | InterSearch Group Inc |
| IGOI | IGO INC COM NEW |
| IGOV | ISHARES TR S&P CITINT TBD |
| IGR | CBRE CLARION GLOBAL REAL ESTAT COM |
| IGS | PROSHARES TR SHT INV GRD CP |
| IGT | INTERNATIONAL GAME TECHNOLOGY COM |
| IGTE | IGATE CORP COM |
| IGU | PROSHARES TR ULT INV GRD CP |

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| IGV | ISHARES TR S&P NA SOFTWR |
| IGW | ISHARES TR S&P NA SEMICND |
| IHC | INDEPENDENCE HLDG CO NEW COM NEW |
| IHD | ING EMERGING MKTS HGH DIV EQT COM |
| IHE | ISHARES TR DJ PHARMA INDX |
| IHF | ISHARES TR DJ HEALTH CARE |
| IHG | INTERCONTINENTAL HTLS GRP PLC SPON ADR NEW 12 |
| IHI | ISHARES TR DJ MED DEVICES |
| IHM | MERRILL LYNCH & CO INC MITTS INDX2007 |
| IHO | INVITEL HLDGS A/S ADS |
| IHP | IHOP Corp. Common Stock |
| IHR | INTERSTATE HOTELS & RESRTS INC COM |
| IHS | IHS INC CL A |
| IHT | INNSUITES HOSPITALITY TR SH BEN INT |
| IHY | MARKET VECTORS ETF TR INTL HI YLD BD |
| II | Ivivi Technologies Inc. |
| IIA | ING CLARION REAL EST INCOME FD COM SHS |
| IIC | INVESCO CALIF MUN INCOME TR COM |
| IID | ING INTL HIGH DIVD EQTY INC FD COM |
| IIF | MORGAN STANLEY INDIA INVS FD COM |
| IIG | IMERGENT INC COM |
| IIH | INTERNET INFRASTRUCTR HOLDS TR DEPOSTRY RCPT |
| III | INFORMATION SERVICES GROUP INC COM |
| III+ | Information Services Group Inc |
| III= | Information Services Group Inc |
| IIIU | INFORMATION SERVICES GROUP INC UNIT EX 013111 |
| IIIW | INFORMATION SERVICES GROUP INC WT EXP 013111 |
| IIIN | INSTEEL INDUSTRIES INC COM |
| IJI | INTERNET INITIATIVE JAPAN INC SPONSORED ADR |
| IIL | MORGAN STANLEY NT THREE IDX10 |
| IILG | INTERVAL LEISURE GROUP INC COM |
| IILGV | INTERVAL LEISURE GROUP INC COM |
| IIM | INVESCO VALUE MUN INCOME TR COM |
| IIN | INTRICON CORP COM |
| IINT | Indus International Inc. - Common Stock |
| IIO | AMEX INTERACTIVE WEEKXXX |
| IIP | Internap Network Services Corporation |
| IIT | PT INDOSAT TBK SPONSORED ADR |
| IIVI | II VI INC COM |
| IIX | AMEX INTERACTIVE WEEKXXX |
| IJD | INDIANA MICH PWR CO SR NT D 6% 32 |
| IJD* | INDIANA MICH PWR CO SR NT D 6% 32 |
| IJH | ISHARES TR CORE S&P MCP ETF |
| IJJ | ISHARES TR S&P MIDCP VALU |
| IJK | ISHARES TR S&P MC 400 GRW |
| IJR | ISHARES TR CORE S&P SCP ETF |
| IJS | ISHARES TR S&P SMLCP VALU |
| IJT | ISHARES TR S&P SMLCP GROW |
| IKAN | IKANOS COMMUNICATIONS COM |
| IKAR | IKARIA INC COM |
| IKJ | BANK OF AMERICA CORPORATION NT SUB 6.5% |
| IKJ* | BANK OF AMERICA CORPORATION NT SUB 6.5% |
| IKL | BANK OF AMERICA CORPORATION INTRNT 5.5% 33 |
| IKL* | BANK OF AMERICA CORPORATION INTRNT 5.5% 33 |
| IKM | BANK OF AMERICA CORPORATION NT SB 5.875% |
| IKM* | BANK OF AMERICA CORPORATION NT SB 5.875% |
| IKN | IKON Office Solutions Inc. Common Stock |
| IKNX | IKONICS CORP COM |
| IKR | BANK OF AMERICA CORPORATION INTERNOTES 6% |
| IKR* | BANK OF AMERICA CORPORATION INTERNOTES 6% |
| IL | INTRALINKS HLDGS INC COM |

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| ILA | Aquila Inc. Common Stock |
| ILA-P | Aquila Inc. 6.75% Premium Income Equity Securities (PIES) |
| ILB | PIMCO ETF TR GB ADV INF BD |
| ILC | iLinc Communications Inc |
| ILD | Aquila Inc. 7.875% Quarterly Interest Bonds due March 1 2032 (QUIBS) |
| ILD* | Aquila Inc. 7.875% Quarterly Interest Bonds due March 1 2032 (QUIBS) |
| ILE | ISOLAGEN INC COM |
| ILF | ISHARES TR S&P LTN AM 40 |
| ILI | INTERLEUKIN GENETICS INC COM |
| ILMN | ILLUMINA INC COM |
| ILOG | ILOG S.A. - American Depositary Shares |
| ILSE | IntraLase Corp. - Common Stock par value \$0.01 per share |
| ILTB | ISHARES TR CORE L/T USB ETF |
| ILX | ILX Resorts Inc |
| ILY | CITIGROUP GLOBAL MKTS HLDGS LASERS NIKK 08 |
| IM | INGRAM MICRO INC CL A |
| IMA | ALERE INC COM |
| IMA-B | ALERE INC PERP PFD CONV SE |
| IMAX | IMAX CORP COM |
| IMB | Indymac Bancorp Inc. Common Stock |
| IMB- | Indymac Bancorp Inc. Warrants and Income Redeemable Equity Securities (WIRES) Units |
| IMC | INVESCO VALUE MUN BD TR COM |
| IMCB | INTERMOUNTAIN CMNTY BANCORP COM NEW |
| IMCL | ImClone Systems Incorporated - Common Stock |
| IMCO | IMPACO Technologies Inc - Common Stock |
| IMDC | IN MEDIA CORP COM |
| IMF | WESTERN ASSET INFL MGMT FD INC COM |
| IMF\$ | Western Asset Inflation Management Fund Inc. Common Stock \$0.001 par value |
| IMGC | Intermagnetics General Corporation - Common Stock |
| IMGN | IMMUNOGEN INC COM |
| IMH | IMPAC MTG HLDGS INC COM NEW |
| IMH-B | Impac Mortgage Holdings Inc. 9.375% Series B Cumulative Redeemable Preferred Stock |
| IMH-C | Impac Mortgage Holdings Inc. 9.125% Series C Cumulative Redeemable Preferred Stock |
| IMI | INTERMOLECULAR INC COM |
| IMKTA | INGLES MKTS INC CL A |
| IMLP | BARCLAYS BK PLC IPATH S&P MLP |
| IMM | Immtech Pharmaceuticals Inc |
| IMMC | Immunic Corporation - Common Stock |
| IMMR | IMMERSION CORP COM |
| IMMU | IMMUNOMEDICS INC COM |
| IMMY | IMPRIMIS PHARMACEUTICALS INC COM NEW |
| IMN | IMATION CORP COM |
| IMNY | I-MANY INC COM |
| IMO | IMPERIAL OIL LTD COM NEW |
| IMOS | CHIPMOS TECH BERMUDA LTD SHS |
| IMOSD | CHIPMOS TECH BERMUDA LTD SHS NEW |
| IMP | IMPERIAL CAPITAL BANCORP INC. |
| IMPM | IMPAC MTG HLDGS INC COM NEW |
| IMPV | IMPERVA INC COM |
| IMR | KOBEX MINERALS INC COM |
| IMRS | IMRIS INC COM |
| IMRX | ImaRx Therapeutics Inc. - Common Stock |
| IMS | INVESCO VALUE MUN SECS COM |
| IMT | INVESCO VALUE MUN TR COM |
| IMUC | IMMUNOCELLULAR THERAPEUTICS COM |
| IMW | MERRILL LYNCH & CO INC BR ENRGY SEC09 |
| IMX | Implant Sciences Corp |
| IMX+ | Implant Sciences Corp |
| IMXWS | IMPLANT SCIENCES CRP WTS |
| IN | INTERMEC INC COM |
| INAGY | INCAM AG |

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| INAP | INTERNAP NETWORK SVCS CORP COM PAR \$.001 |
| INB | COHEN & STEERS GLOBAL INC BLDR COM |
| INBK | FIRST INTERNET BANCORP COM |
| INBP | INTEGRATED BIOPHARMA INC COM |
| INCB | INDIANA COMMUNITY BANCORP COM |
| INCO | EGA EMERGING GLOBAL SHS TR INDIA CONSUMER |
| INCX | Interchange Corporation - Common Stock par value \$0.00001 |
| INCY | INCYTE CORP COM |
| IND | ING GROEP N V PFD 7.05% |
| INDB | INDEPENDENT BANK CORP MASS COM |
| INDBM | Independent Bank Corp. - Independent Capital Trust IV - 8.375% Cumulative Trust Preferred Securities |
| INDBN | Independent Bank Corp. - Independent Capital Trust III - 8.625% Cumulative Trust Preferred Securities |
| INDL | DIREXION SHS ETF TR INDIA BULL 3X |
| INDM | UNITED AMER INDEMNITY LTD CL A |
| INDY | ISHARES TR INDIA 50 ETF |
| INDZ | DIREXION SHS ETF TR INDIA BEAR 3X |
| INET | INTERNET BRANDS INC COM CLASS A |
| INF | BROOKFIELD GLOBL LISTED INFRAS COM SHS |
| INFA | INFORMATICA CORP COM |
| INFI | INFINITY PHARMACEUTICALS INC COM |
| INFL | DEUTSCHE BK AG LONDON BRH US INFLATN ETN |
| INFN | INFINERA CORPORATION COM |
| INFO | Metro One Telecommunications Inc. - Common Stock |
| INFOD | Metro One Telecommunications Inc. - Common Stock |
| INFS | INFOCUS CORP COM |
| INFT | Inforte Corp. - Common Stock |
| INFU | INFUSYSTEM HLDGS INC COM |
| INFY | INFOSYS LTD SPONSORED ADR |
| ING | ING GROEP N V SPONSORED ADR |
| INGN | Introgen Therapeutics Inc. - Common Stock |
| INGR | INGREDION INC COM |
| INHX | INHIBITEX INC COM |
| ININ | INTERACTIVE INTELLIGENCE GROUP COM |
| INKM | SSGA ACTIVE ETF TR INCOM ALLO ETF |
| INLD | Interland Inc. - Common Stock |
| INMD | INTEGRATED AMER INC COM NEW |
| INN | SUMMIT HOTEL PPTYS COM |
| INN-A | SUMMIT HOTEL PPTYS PFD-A 9.25% |
| INN-B | SUMMIT HOTEL PPTYS PFD B 7.875% |
| INN-C | SUMMIT HOTEL PPTYS PFD SER C 7.125% |
| INNO | INNOCAP INC COM |
| INO | INOVIO PHARMACEUTICALS INC COM |
| INOC | INNOTRAC CORP COM |
| INOD | INNODATA INC COM NEW |
| INOW | INFONOW CORP |
| INP | BARCLAYS BK PLC IPMS INDIA ETN |
| INPC | InPhonic Inc. - Common Stock |
| INPH | INTERPHASE CORP COM |
| INR | MORGAN STANLEY RUPEE/USD ETN |
| INS | INTELLIGENT SYS CORP NEW COM |
| INSD | DIREXION SHS ETF TR LRG CP INSIDER |
| INSG | Insignia Solutions plc - American Depositary Shares |
| INSGE | INSIGNIA SOLUT ADR |
| INSM | INSMED INC COM PAR \$.01 |
| INSMD | INSMED INC COM PAR \$.01 |
| INSP | INFOSPACE INC COM PAR \$.0001 |
| INSU | INSITUFORM TECHNOLOGIES INC CL A |
| INSW | INSWEB CORP COM NEW |
| INSY | INSYS THERAPEUTICS INC NEW COM NEW |
| INT | WORLD FUEL SVCS CORP COM |
| INTC | INTEL CORP COM |

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|-------|---|
| INTG | INTERGROUP CORP COM |
| INTL | INTL FCSTONE INC COM |
| INTN | INTAC International - Common Stock |
| INTT | INTEST CORP COM |
| INTU | INTUIT COM |
| INTV | InterVoice Inc. - Common Stock |
| INTX | INTERSECTIONS INC COM |
| INTZ | INTRUSION INC COM NEW |
| INUV | INUVO INC COM NEW |
| INV | INNOVARO INC COM |
| INVC | Innovative Card Technologies Inc. - Common Stock |
| INVE | IDENTIVE GROUP INC COM |
| INVN | INVENSENSE INC COM |
| INVX | Innovex Inc. - Common Stock |
| INWK | INNERWORKINGS INC COM |
| INXB | INFINITY CROSS BORDER ACQUISIT SHS |
| INXBU | INFINITY CROSS BORDER ACQUISIT UNIT EX 000016 |
| INXBW | INFINITY CROSS BORDER ACQUISIT WT EXP 072516 |
| INXI | INX INC COM |
| INXIW | INX INC WT EXP 050709 |
| INXN | INTERXION HOLDING N.V SHS |
| INXX | EGA EMERGING GLOBAL SHS TR EGS INDI INF ETF |
| INY | SPDR SERIES TRUST NUVN BR NY MUNI |
| INZ | ING GROEP N V PFD PERP DBT % |
| IO | ION GEOPHYSICAL CORP COM |
| IOC | INTEROIL CORP COM |
| IOIL | INDEXIQ ETF TR GLB CRUDE OIL |
| IOM | Iomega Corporation Common Stock |
| IOMI | Iomai Corporation - Common stock |
| ION | ION Media Networks Inc |
| IONA | IONA Technologies PLC - American Depositary Shares |
| IOO | ISHARES TR S&P GLB100INDX |
| IOP | Innospec Inc. Common Stock |
| IOSP | INNOSPEC INC COM |
| IOT | INCOME OPPORTUNITY RLTY INVS COM |
| IOTN | Ionatron Inc. - Common Stock |
| IOX | Iomed Inc |
| IP | INTL PAPER CO COM |
| IPA | Interpharm Holdings Inc. |
| IPAL | CREDIT SUISSE NASSAU BRH 2X INVERS PALL |
| IPAR | INTER PARFUMS INC COM |
| IPAS | IPASS INC COM |
| IPB | INDEXPLUS TR SER 03-1 TR |
| IPCC | INFINITY PPTY & CAS CORP COM |
| IPCI | INTELLIPHARMACEUTICS INTL INC COM |
| IPCM | IPC THE HOSPITALIST CO INC COM |
| IPCR | IPC HLDGS LTD ORD |
| IPCS | IPCS INC COM NEW |
| IPD | SPDR INDEX SHS FDS S&P INTL CONS |
| IPDN | PROFESSIONAL DIVERSITY NET INC COM |
| IPE | SPDR SERIES TRUST BARCLYS TIPS ETF |
| IPF | SPDR INDEX SHS FDS INTL FINL ETF |
| IPFF | ISHARES TR INT PFD STK FD |
| IPG | INTERPUBLIC GROUP COS INC COM |
| IPG-A | The Interpublic Group of Companies Inc. 5.375% Series A Mandatory Convertible Preferred Stock |
| IPGP | IPG PHOTONICS CORP COM |
| IPHI | INPHI CORP COM |
| IPHS | INNOFOS HOLDINGS INC COM |
| IPI | INTREPID POTASH INC COM |
| IPII | IMPERIAL INDS INC COM NEW |
| IPIX | IPIX Corporation - Common Stock |

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| IPJ.A | Credit Suisse (USA) Inc. |
| IPJ.B | Credit Suisse (USA) Inc. |
| IPK | SPDR INDEX SHS FDS INTL TECH ETF |
| IPL-B | INTERSTATE PWR & LT CO PFD B 8.375 |
| IPL-B* | INTERSTATE PWR & LT CO PFD B 8.375 |
| IPL-C | INTERSTATE PWR & LT CO PFD C 7.10% |
| IPL-C* | INTERSTATE PWR & LT CO PFD C 7.10% |
| IPL-D | INTERSTATE PWR & LT CO PERP PFD SER D |
| IPLT | CREDIT SUISSE NASSAU BRH 2X INVER PLATI |
| IPMT | iPayment Inc. - Common Stock |
| IPN | SPDR INDEX SHS FDS INTL INDS ETF |
| IPR | International Power plc American Depositary Shares(Each representing Ten Ordinary Shares) |
| IPS | SPDR INDEX SHS FDS CONSM SPLS ETF |
| IPSU | IMPERIAL SUGAR CO NEW COM NEW |
| IPSUW | Imperial Sugar Company - Warrants |
| IPT | IPARTY CORP COM |
| IPU | SPDR INDEX SHS FDS INTL UTILT ETF |
| IPW | SPDR INDEX SHS FDS INTL ENRGY ETF |
| IPX | Interpool Inc. Common Stock |
| IPXL | IMPAX LABORATORIES INC COM |
| IPZ | INTERPOOL LIMITED |
| IQC | INVESCO CALI QLTY MUNI SEC COM |
| IQDE | FLEXSHARES TR INTL QLTDV DEF |
| IQDF | FLEXSHARES TR INTL QLTDV IDX |
| IQDY | FLEXSHARES TR INT QLTDVDYNAM |
| IQE | NETS TR ISEQ 20 IR ETF |
| IQI | INVESCO QUALITY MUNI INC TRST COM |
| IQM | INVESCO QUALITY MUN SECS COM |
| IQN | INVESCO NY QUALITY MUNI SEC COM |
| IQNT | NEUTRAL TANDEM INC COM |
| IQT | INVESCO QUALITY MUN INVT TR COM |
| IQW | Quebecor World Inc. Subordinate Voting Shares |
| IR | INGERSOLL-RAND PLC SHS |
| IRBT | IROBOT CORP COM |
| IRC | INLAND REAL ESTATE CORP COM NEW |
| IRC-A | INLAND REAL ESTATE CORP PFD SER A |
| IRDM | IRIDIUM COMMUNICATIONS INC COM |
| IRDMU | IRIDIUM COMMUNICATIONS INC UNIT EX 021413 |
| IRDMW | IRIDIUM COMMUNICATIONS INC WT EXP 021413 |
| IRDMZ | IRIDIUM COMMUNICATIONS INC WT EXP 021415 |
| IRE | IRELAND BK SPNSRD ADR NEW |
| IRET | INVESTORS REAL ESTATE TR SH BEN INT |
| IRET- | INVESTORS REAL ESTATE TR PFD SER A 8.25% |
| IRET-B | INVESTORS REAL ESTATE TR PFD-B 7.95% |
| IRETP | INVESTORS REAL ESTATE TR PFD A CM 8.25% |
| IRETS | Investors Real Estate Trust - Shares of Beneficial Interest |
| IRF | INTERNATIONAL RECTIFIER CORP COM |
| IRG | IGNITE RESTAURANT GROUP INC COM |
| IRIS | IRIS INTL INC COM |
| IRIX | IRIDEX CORP COM |
| IRL | NEW IRELAND FUND INC COM |
| IRM | IRON MTN INC COM |
| IRN | Rewards Network Inc |
| IRO | CLAYMORE EXCHANGE TRADED FD TR ZACKS DIVD ETF |
| IRON | Iron Leaf Capital Corporation - Common Stock |
| IROQ | IF BANCORP INC COM |
| IRR | ING RISK MANAGED NAT RES FD COM |
| IRS | IRSA INVERSIONES Y REP S A GLOBL DEP RCPT |
| IRSN | IRVINE SENSORS CORP COM PAR \$ |
| IRSND | IRVINE SENSORS CORP COM PAR \$ |
| IRV | SPDR INDEX SHS FDS INTL MTRLS SEC |

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| IRW | IBT Bancorp Inc |
| IRWD | IRONWOOD PHARMACEUTICALS INC COM CL A |
| IRY | SPDR INDEX SHS FDS INTL HLTH ETF |
| ISB | TIERS PRINCIPAL PROTECTD |
| ISBC | INVESTORS BANCORP INC COM |
| ISCA | INTERNATIONAL SPEEDWAY CORP CL A |
| ISD | PRUDENTIAL SHT DURATION HG YLD COM |
| ISE | International Securities Exchange Holdings Inc. Class A Common Stock |
| ISF | ING GROEP N V PERP HYB6.375% |
| ISG | ING GROEP N V PERP DBT 6.125 |
| ISH | INTERNATIONAL SHIPHOLDING CORP COM NEW |
| ISH- | International Shipholding Corporation 6.0% Convertible Exchangeable Preferred Stock \$1.00 par value |
| ISH-A | INTERNATIONAL SHIPHOLDING CORP CUMRED PER PFD A |
| ISHG | ISHARES TR S&PCIT11-3YRTB |
| ISI | ISHARES TR S&P 1500 INDEX |
| ISIG | INSIGNIA SYS INC COM |
| ISIL | INTERSIL CORP CL A |
| ISIS | ISIS PHARMACEUTICALS INC COM |
| ISL | ABERDEEN ISRAEL FUND INC COM |
| ISLE | ISLE OF CAPRI CASINOS INC COM |
| ISLN | ISILON SYS INC COM |
| ISM | SLM CORP NT A CPI LINK |
| ISNS | IMAGE SENSING SYS INC COM |
| ISO | ISCO International Inc |
| ISON | Isonics Corporation - Common Stock |
| ISOND | Isonics Corporation - Common Stock |
| ISONL | Isonics Corporation - Class B Warrants |
| ISONZ | Isonics Corporation - Class C Warrants |
| ISOT | IsoTis Inc. - common stock |
| ISP | ING GROEP N V PERP DEBT 6.2% |
| ISPH | INSPIRE PHARMACEUTICALS INC COM |
| ISR | ISORAY INC COM |
| ISR+ | INX Inc. |
| ISRG | INTUITIVE SURGICAL INC COM NEW |
| ISRL | ISRAMCO INC COM NEW |
| ISRWS | INX INC WTS |
| ISS | ISOFTSTONE HLDGS LTD SPONSORED ADS |
| ISSC | INNOVATIVE SOLUTIONS & SUPPORT COM |
| ISSI | INTEGRATED SILICON SOLUTION COM |
| ISSX | Internet Security Systems Inc - Common Stock |
| IST | SPDR INDEX SHS FDS INTL TELECOM ETF |
| ISTA | ISTA PHARMACEUTICALS INC COM NEW |
| ISTB | ISHARES TR CORE STRM USBD |
| ISV | Insite Vision Inc |
| ISWI | Interactive Systems Worldwide Inc. - Common Stock |
| ISYS | INTEGRAL SYS INC MD COM |
| IT | GARTNER INC COM |
| ITA | ISHARES TR DJ AEROSPACE |
| ITB | ISHARES TR DJ HOME CONSTN |
| ITC | ITC HLDGS CORP COM |
| ITCD | ITC DeltaCom Inc. - Common Stock |
| ITE | SPDR SERIES TRUST BRCLYS INTER ETF |
| ITF | ISHARES TR S&P/TOPIX 150 |
| ITG | INVESTMENT TECHNOLOGY GRP NEW COM |
| ITI | ITERIS INC COM |
| ITIC | INVESTORS TITLE CO COM |
| ITIP | ISHARES TR INTL INFL LKD |
| ITK | INFINITE TECHNOLOGY |
| ITL | NETS TR S&P MIB ETF |
| ITL* | MORGAN STANLEY SPARQS 9% INTC |
| ITLA | ITLA Capital Corporation - Common Stock |

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| ITLN | INTELLON CORP COM |
| ITLT | DEUTSCHE BK AG LONDON BRH PWSH 3X ITL TR |
| ITLY | DEUTSCHE BK AG LONDON BRH PWSH ITAL TRES |
| ITM | MARKET VECTORS ETF TR MKTVEC INTMUETF |
| ITM.A | Morgan Stanley |
| ITMN | INTERMUNE INC COM |
| ITOT | ISHARES TR CORE S&P TTL STK |
| ITP | INTERTAPE POLYMER GROUP INC COM |
| ITR | SPDR SERIES TRUST INTR TRM CORP BD |
| ITRA | Intraware Inc. - Common Stock |
| ITRI | ITRON INC COM |
| ITRN | ITURAN LOCATION AND CONTROL SHS |
| ITT | ITT CORP NEW COM NEW |
| ITT# | ITT CORP NEW COM NEW |
| ITU | ITAU UNIBANCO BANCO MULTIPL SA SPONS ADR |
| ITUB | ITAU UNIBANCO HLDG SA SPON ADR REP PFD |
| ITW | ILLINOIS TOOL WKS INC COM |
| ITW# | Illinois Tool Works Inc. Common Stock |
| ITWO | I2 TECHNOLOGIES INC COM NEW |
| ITY | Imperial Tobacco Group PLC American Depositary Shares (Each representing two Ordinary Shares 10p par value) |
| ITYC | Integrity Bancshares Inc. - Common Stock |
| IUSA | INFOGROUP INC COM |
| IVA | VALUERICH INC COM |
| IVAC | INTEVAC INC COM |
| IVAN | IVANHOE ENERGY INC COM NEW |
| IVC | INVACARE CORP COM |
| IVD | IVAX DIAGNOSTICS INC COM |
| IVE | ISHARES TR S&P 500 VALUE |
| IVGN | Invitrogen Corporation - Common Stock |
| IVH | IVY HIGH INC OPPORTUNITIES FD COM |
| IVII | Intervideo Inc. - Common Stock |
| IVIL | iVillage Inc. Common Stock (\$0.01 Par Value) |
| IVIS | ICOS Vision Systems Corporation N.V. - Common Stock |
| IVN | IVANHOE MINES LTD COM |
| IVN^ | IVANHOE MINES LTD RT |
| IVN^# | IVANHOE MINES LTD RT |
| IVO | BARCLAYS BK PLC INV 500 SHT FT |
| IVOG | VANGUARD ADMIRAL FDS INC MIDCP 400 GRTH |
| IVOO | VANGUARD ADMIRAL FDS INC MIDCP 400 IDX |
| IVOP | BARCLAYS BK PLC IPATH LN ENHAN |
| IVOV | VANGUARD ADMIRAL FDS INC MIDCP 400 VAL |
| IVOW | iVOW Inc. - Common Stock |
| IVR | INVESCO MORTGAGE CAPITAL INC COM |
| IVR-A | INVESCO MORTGAGE CAPITAL INC PFD SER A 7.75% |
| IVTA | InfoVista S.A. - American Depositary Shares |
| IVV | ISHARES TR CORE S&P500 ETF |
| IVVI | Ivivi Technologies Inc. - Common Stock |
| IVW | ISHARES TR S&P500 GRW |
| IVX | IVAX CORP |
| IVZ | INVESCO LTD SHS |
| IW | Imageware Systems Inc |
| IWA | IOWA TELECOMM SERVICES INC COM |
| IWB | ISHARES TR RUSSELL 1000 |
| IWC | ISHARES TR RSSL MCRCP IDX |
| IWD | ISHARES TR RUSSELL1000VAL |
| IWF | ISHARES TR RUSSELL1000GRW |
| IWK | AB SVENSK EXPORTKREDIT NT TCHSELSEC09 |
| IWL | ISHARES TR RUS200 IDX ETF |
| IWM | ISHARES TR RUSSELL 2000 |
| IWN | ISHARES TR RUSL 2000 VALU |
| IWO | ISHARES TR RUSL 2000 GROW |

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| IWOV | Interwoven Inc. - Common Stock |
| IWP | ISHARES TR RUSSELL MCP GR |
| IWR | ISHARES TR RUSSELL MIDCAP |
| IWS | ISHARES TR RUSSELL MCP VL |
| IWV | ISHARES TR RUSSELL 3000 |
| IWW | ISHARES TR RUSL 3000 VALU |
| IWX | ISHARES TR RUS200 VAL IDX |
| IWY | ISHARES TR RUS200 GRW IDX |
| IWZ | ISHARES TR RUSL 3000 GROW |
| IX | ORIX CORP SPONSORED ADR |
| IXC | ISHARES TR S&P GBL ENER |
| IXG | ISHARES TR S&P GBL FIN |
| IXJ | ISHARES TR S&P GBL HLTHCR |
| IXK | ISE 50 INDEX XXX |
| IXN | ISHARES TR S&P GBL INF |
| IXP | ISHARES TR S&P GBL TELCM |
| IXUS | ISHARES TR CORE MSCITOTAL |
| IXX | ISE 100 INDEX XXX |
| IXYS | IXYS CORP COM |
| IXZ | ISE 250 INDEX |
| IYC | ISHARES TR CONS SRVC IDX |
| IYE | ISHARES TR DJ US ENERGY |
| IYF | ISHARES TR DJ US FINL SEC |
| IYG | ISHARES TR DJ US FINL SVC |
| IYH | ISHARES TR DJ US HEALTHCR |
| IYJ | ISHARES TR DJ US INDUSTRI |
| IYK | ISHARES TR CONS GOODS IDX |
| IYM | ISHARES TR DJ US BAS MATL |
| IYR | ISHARES TR DJ US REAL EST |
| IYT | ISHARES TR TRANSP AVE IDX |
| IYW | ISHARES TR DJ US TECH SEC |
| IYY | ISHARES TR DJ US INDEX FD |
| IYZ | ISHARES TR DJ US TELECOMM |
| IZZIW | INTEGRATED SEC SYS WTS |
| JACK | JACK IN THE BOX INC COM |
| JACO | JACO ELECTRS INC COM |
| JACQ | COLLABRIUM JAPAN ACQUISITN CP SHS |
| JACQU | COLLABRIUM JAPAN ACQUISITN CP UNIT EX 000017 |
| JACQW | COLLABRIUM JAPAN ACQUISITN CP WT EXP 010019 |
| JADE | LJ INTL INC ORD |
| JAG | JAGUAR MNG INC COM |
| JAH | JARDEN CORP COM |
| JAKK | JAKKS PAC INC COM |
| JAMS | Jameson Inns Inc. - Common Stock |
| JAS | JO-ANN STORES INC COM |
| JASO | JA SOLAR HOLDINGS CO LTD SPON ADR REPSORD |
| JAV | JAVELIN PHARMACEUTICALS INC COM |
| JAVA | SUN MICROSYSTEMS INC COM NEW |
| JAVAD | Sun Microsystems Inc. - Common Stock |
| JAX | J ALEXANDERS CORP COM |
| JAXB | JACKSONVILLE BANCORP INC FLA COM |
| JAZ | Jazz Technologies Inc |
| JAZ+ | Jazz Technologies Inc |
| JAZ= | Jazz Technologies Inc |
| JAZZ | JAZZ PHARMACEUTICALS PLC SHS USD |
| JBD | Lehman ABS Corporation Corporate Backed Trust Certificates BellSouth Debenture Backed Series 2003-2 Corporate Backed Trust Certificates |
| JBHT | HUNT J B TRANS SVCS INC COM |
| JBI | CORPORATE BACKED TR CTFS NT 7.875%A1 32 |
| JBJ | CORPORATE BACKED TR CTFS 03-4 6.25% 97 |
| JBK | CORPORATE BACKED TR CTFS 04-6 A1 3.50 |

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| JBL | JABIL CIRCUIT INC COM |
| JBLU | JETBLUE AIRWAYS CORP COM |
| JBN | CORPORATE BACKED CALL TR CTFS CORTS A-1 7% |
| JBO | CORPORATE BACKED TR CTFS 04-7 A1 6.3%34 |
| JBOH | J B OXFORD HLDGS INC |
| JBP | CBTC DaimlerChrysler Debenture-Backed Series 2004-8 Trust 6.875% Class A-1 Certificates |
| JBP* | Lehman ABS Corporation 6.875% Corporate-Backed Trust Certificates DaimlerChrysler Debenture-Backed Series 2004-8 Class A-1 (Issued by Chrysler Corporation predecessor to DaimlerChrysler Corporation) |
| JBR | CORPORATE BACKED CALL TR CTFS JCP 06-1CTF A1 |
| JBS | CORPORATE BACKED CALL TR CTFS CORTS A-1 7% |
| JBSS | SANFILIPPO JOHN B & SON INC COM |
| JBT | JOHN BEAN TECHNOLOGIES CORP COM |
| JBT# | JOHN BEAN TECHNOLOGIES CORPORATION |
| JBX | Jack In The Box Inc. Common Stock |
| JBX# | Jack In The Box Inc. Common Stock |
| JCC | Jilin Chemical Industrial Company Limited American Depositary Shares (Each representing 100 Class H Ordinary Shares) |
| JCDA | JACADA LTD SHS NEW |
| JCDAD | JACADA LTD SHS NEW |
| JCE | NUVEEN CORE EQUITY ALPHA FUND COM |
| JCG | J CREW GROUP INC COM |
| JCI | JOHNSON CTLS INC COM |
| JCI# | Johnson Controls Inc. Common Stock |
| JCI-Z | JOHNSON CTLS INC CORP UNIT |
| JCI-Z* | JOHNSON CTLS INC CORP UNIT |
| JCO | JAVELIN EXCHANGE-TRADED TR JETS CNTRA OPS |
| JCOM | J2 GLOBAL INC COM |
| JCP | PENNEY J C INC COM |
| JCS | COMMUNICATIONS SYS INC COM |
| JCTCF | JEWETT CAMERON TRADING LTD COM NEW |
| JDAS | JDA SOFTWARE GROUP INC COM |
| JDD | NUVEEN DIVERSIFIED DIV INCM FD COM |
| JDO | JED Oil Inc |
| JDSU | JDS UNIPHASE CORP COM PAR \$0.001 |
| JDSUD | JDS Uniphase Corporation - Common Stock |
| JE | JUST ENERGY GROUP INC COM |
| JEC | JACOBS ENGR GROUP INC DEL COM |
| JEC# | Jacobs Engineering Group Inc. Common Stock |
| JEF | JEFFERIES GROUP INC NEW COM |
| JEF# | Jefferies Group Inc. Common Stock |
| JEM | BARCLAYS BANK PLC IPATH GEMS INDEX |
| JEN | JENNIFER CONVS INC COM |
| JEQ | JAPAN EQUITY FD INC COM |
| JFBC | JEFFERSONVILLE BANCORP CDT-COM |
| JFBI | JEFFERSON BANCSHARES INC TENN COM |
| JFC | J F CHINA REGION FD INC COM |
| JFP | NUVEEN TAX ADV FLTG RATE FUND COM |
| JFR | NUVEEN FLOATING RATE INCOME FD COM |
| JFT | JPMORGAN CHASE & CO ETN 130/30 23 |
| JGBD | DEUTSCHE BK AG LONDON BRH 3X INV JAP GOV |
| JGBL | DEUTSCHE BK AG LONDON BRH PWRSH JAP GOVT |
| JGBO | JIANGBO PHARMACEUTICALS INC COM |
| JGBS | DEUTSCHE BK AG LONDON BRH INV JAP GOV BD |
| JGBT | DEUTSCHE BK AG LONDON BRH PWSH 3X JAP GV |
| JGG | NUVEEN GBL INCOME OPPORTUN FD COM |
| JGT | NUVEEN DIVER CURRENCY OPPOR FD COM |
| JGV | NUVEEN GBL VL OPPORTUNITIES FD COM |
| JH | John H. Harland Company Common Stock |
| JHFT | John Hancock Financial Trends Fund Inc. - Closed End Fund |
| JHI | HANCOCK JOHN INVS TR COM |
| JHP | NUVEEN QUALITY PFD INC FD 3 COM |

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| JHS | HANCOCK JOHN INCOME SECS TR COM |
| JHX | JAMES HARDIE INDS PLC SPONSORED ADR |
| JILL | J. Jill Group Inc. (The) - Common Stock |
| JIVE | JIVE SOFTWARE INC COM |
| JJA | BARCLAYS BANK PLC ETN DJUBS AGRI37 |
| JJC | BARCLAYS BK PLC ETN DJUBS COPR37 |
| JJE | BARCLAYS BANK PLC ETN DJUBS ENRG37 |
| JJG | BARCLAYS BANK PLC ETN DJUBS GRNS37 |
| JJM | BARCLAYS BK PLC ETN DJUBS IND MT |
| JJN | BARCLAYS BK PLC ETN DJUBS NCKL37 |
| JJP | BARCLAYS BANK PLC ETN DJUBS PMET38 |
| JJS | BARCLAYS BANK PLC ETN DJUBSSOFT 38 |
| JJSF | J & J SNACK FOODS CORP COM |
| JJT | BARCLAYS BANK PLC ETN DJUBS TIN 38 |
| JJU | BARCLAYS BANK PLC ETN DJUBSALUMI38 |
| JJZ | Jacuzzi Brands Inc. Common Stock (Holding Company) |
| JKA | JK Acquisition Corp |
| JKA+ | JK Acquisition Corp |
| JKA= | JK Acquisition Corp |
| JKD | ISHARES TR LRGE CORE INDX |
| JKE | ISHARES TR LRGE GRW INDX |
| JKF | ISHARES TR LARGE VAL INDX |
| JKG | ISHARES TR MID CORE INDEX |
| JKH | ISHARES TR MID GRWTH INDX |
| JKHY | HENRY JACK & ASSOC INC COM |
| JKI | ISHARES TR MID VAL INDEX |
| JKJ | ISHARES TR SMLL CORE INDX |
| JKK | ISHARES TR SMLL GRWTH IDX |
| JKL | ISHARES TR SMLL VAL INDX |
| JKS | JINKOSOLAR HLDG CO LTD SPONSORED ADR |
| JLA | NUVEEN EQUITY PREM ADV FD COM |
| JLG | JLG Industries Inc. Common Shares |
| JLG# | JLG Industries Inc. Common Shares |
| JLI | JESUP & LAMONT INC COM |
| JLL | JONES LANG LASALLE INC COM |
| JLN | Jaclyn Inc |
| JLO | ISE US REGIONAL BANKSXXX |
| JLS | NUVEEN MTG OPPORTUNITY TERM FD COM |
| JMAR | JMAR Technologies Inc. - Common Stock |
| JMBA | JAMBA INC COM NEW |
| JMBAU | JAMBA INC UNIT EXP 062809 |
| JMBAW | JAMBA INC WT EXP 062809 |
| JMBI | James Monroe Bancorp Inc - Common Stock |
| JMDT | JAMDAT Mobile Inc. Common Stock |
| JMF | NUVEEN ENERGY MLP TOTL RTRNFD COM |
| JMG | JMG EXPL INC COM |
| JMG+ | JMG EXPL INC WT EXP 011509 |
| JMI | JAVELIN MTG INVT CORP COM |
| JMP | JMP GROUP INC COM |
| JMPB | JMP GROUP INC SR NT 23 |
| JMS.A | Morgan Stanley |
| JMT | NUVEEN MTG OPPTY TERM FD 2 COM |
| JNB | NETS TR FTSE JSE40 ETF |
| JNC | Nuveen Investments Inc. Class A Common Stock |
| JNGW | JINGWEI INTL LTD COM NEW |
| JNJ | JOHNSON & JOHNSON COM |
| JNK | SPDR SERIES TRUST BRC HGH YLD BD |
| JNP | MORGAN STANLEY STK PARTN |
| JNPR | JUNIPER NETWORKS INC COM |
| JNR | Claymore Exchange-Traded Fund Trust 2 |
| JNS | JANUS CAP GROUP INC COM |

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| JNY | JONES GROUP INC COM |
| JO | BARCLAYS BANK PLC ETN DJUBSCOFFE38 |
| JOB | GENERAL EMPLOYMENT ENTERPRISES COM |
| JOBS | |
| JOBS | 51JOB INC SP ADR REP COM |
| JOE | ST JOE CO COM |
| JOEZ | JOES JEANS INC COM |
| JOF | JAPAN SMALLER CAPTLZTN FD INC COM |
| JOF^ | JAPAN SMALLER CAPTLZTN FD INC RT EXP 072211 |
| JOF^# | JAPAN SMALLER CAPTLZTN FD INC RT EXP 072211 |
| JOR | Earle M. Jorgensen Company Common Stock \$0.001 par value |
| JOSB | JOS A BANK CLOTHIERS INC COM |
| JOUT | JOHNSON OUTDOORS INC CL A |
| JOY | JOY GLOBAL INC COM |
| JOYG | JOY GLOBAL INC COM |
| JP | Jefferson-Pilot Corporation Common Stock |
| JPC | NUVEEN PFD INCOME OPPRTNY FD COM |
| JPG | NUVEEN EQUITY PREM & GROWTH FD COM |
| JPI | NUVEEN PFD & INCOME TERM FD COM |
| JPI.A | JPMorgan Chase & Co. |
| JPK | MORGAN STANLEY PLUS 063009 |
| JPL.A | JP Morgan Chase |
| JPL.B | JP Morgan Chase |
| JPL.C | JPMorgan Chase & Co. |
| JPL.D | JPMorgan Chase & Co. |
| JPL.E | JPMorgan Chase & Co. |
| JPL.F | JPMorgan Chase & Co. |
| JPL.G | JPMorgan Chase & Co. |
| JPL.H | JPMorgan Chase & Co. |
| JPL.I | JPMorgan Chase & Co. |
| JPM | JPMORGAN CHASE & CO COM |
| JPM+ | JPMORGAN CHASE & CO WT EXP 102818 |
| JPM-A | JPMORGAN CHASE & CO DEP 1/400 PFD P |
| JPM-B | JPMORGAN CHASE CAP XXVIII GTD SEC 7.2%BB |
| JPM-B* | JPMORGAN CHASE CAP XXVIII GTD SEC 7.2%BB |
| JPM-C | JPMORGAN CHASE CAP XXIX GTD CAP SECS |
| JPM-D | JPMORGAN CHASE & CO DEP1/400 PFD O |
| JPM-E | JPMORGAN CHASE & CO DEP 1/4PFD 6.15% |
| JPM-E* | JPMORGAN CHASE & CO DEP 1/4PFD 6.15% |
| JPM-F | JPMORGAN CHASE & CO DEP 1/4PFD 5.72% |
| JPM-F* | JPMORGAN CHASE & CO DEP 1/4PFD 5.72% |
| JPM-G | JPMORGAN CHASE & CO DEP 1/4PFD 5.49% |
| JPM-G* | JPMORGAN CHASE & CO DEP 1/4PFD 5.49% |
| JPM-H | JPMorgan Chase & Co. (New) Depositary Shares(Each representing 1/10th of a share of 6 5/8% Cumulative Preferred Stock) |
| JPM-H* | JPMorgan Chase & Co. (New) Depositary Shares(Each representing 1/10th of a share of 6 5/8% Cumulative Preferred Stock) |
| JPM-I | JPMORGAN CHASE & CO DEP 1/400 SR J |
| JPM-J | JP MORGAN CHASE CAP X PFD TR SECS 7% |
| JPM-J* | JP MORGAN CHASE CAP X PFD TR SECS 7% |
| JPM-K | J P MORGAN CHASE CAP XI PFD K 5.875% |
| JPM-K* | J P MORGAN CHASE CAP XI PFD K 5.875% |
| JPM-O | BANK ONE CAPITAL VI PFD SECS 7.2% |
| JPM-O* | BANK ONE CAPITAL VI PFD SECS 7.2% |
| JPM-P | JPMORGAN CHASE CAP XVI TR PFD 6.35% 35 |
| JPM-P* | JPMORGAN CHASE CAP XVI TR PFD 6.35% 35 |
| JPM-S | JPMORGAN CHASE CAP XIX 6.625%CAPSEC S |
| JPM-S* | JPMORGAN CHASE CAP XIX 6.625%CAPSEC S |
| JPM-W | JPMORGAN CHASE CAP XXIV PFD CAP SECS X |
| JPM-W* | JPMORGAN CHASE CAP XXIV PFD CAP SECS X |
| JPM-X | J P MORGAN CHASE CAP XII PFD TR 6.250% |

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| JPM-X* | J P MORGAN CHASE CAP XII PFD TR 6.250% |
| JPM-Y | JPMORGAN CHASE CAP XIV CAP SEC N 6.20 |
| JPM-Y* | JPMORGAN CHASE CAP XIV CAP SEC N 6.20 |
| JPM-Z | JPMORGAN CHASE CAP XXVI CAP 8% SER Z 48 |
| JPM-Z* | JPMORGAN CHASE CAP XXVI CAP 8% SER Z 48 |
| JPN | AMEX JAPAN INDEX XXX |
| JPO | J P MORGAN INDEX FDG |
| JPP | SPDR INDEX SHS FDS RUSS NOMURA PR |
| JPS | NUVEEN QUALITY PFD INCOME FD 2 COM |
| JPT | J.P. Morgan Chase Capital IX 7.50% Capital Securities Series I Due 2/15/2031 |
| JPT* | J.P. Morgan Chase Capital IX 7.50% Capital Securities Series I Due 2/15/2031 |
| JPX | PROSHARES TR ULTRSH MSCI PAC |
| JPZ | NUVEEN EQUITY PREM INCOME FD COM |
| JQC | NUVEEN CR STRATEGIES INCM FD COM SHS |
| JRC | Journal Register Company Common Stock |
| JRCC | JAMES RIVER COAL CO COM NEW |
| JRE | NETS TR TOKYO REIT ETF |
| JRI | NUVEEN REAL ASSET INC & GROWTH COM |
| JRJC | CHINA FIN ONLINE CO LTD SPONSORED ADR |
| JRN | JOURNAL COMMUNICATIONS INC CL A |
| JRO | NUVEEN FLTNG RTE INCM OPP FD COM SHS |
| JRS | NUVEEN REAL ESTATE INCOME FD COM |
| JRT | JER INVT TR INC COM NEW |
| JRVR | James River Group Inc. - common stock |
| JSB | TIERS PRINCIPAL PROTECTD |
| JSC | SPDR INDEX SHS FDS RUSS NOM SC JP |
| JSD | NUVEEN SHT DUR CR OPP FD COM |
| JSDA | JONES SODA CO COM |
| JSM | SLM CORP SR NT 6% 121543 |
| JSN | NUVEEN EQTY PRM OPPORTUNITYFD COM |
| JST | JINPAN INTL LTD ORD |
| JTA | NUVEEN TX ADV TOTAL RET STRGY COM |
| JTD | NUVEEN TAX ADVANTAGED DIV GRWT COM |
| JTP | NUVEEN QUALITY PFD INCOME FD COM |
| JTX | JACKSON HEWITT TAX SVCS INC COM |
| JUNR | GLOBAL X FDS GBLX JR MNRS NEW |
| JUPM | Jupitermedia Corporation - Common Stock |
| JVA | COFFEE HLDGS INC COM |
| JVI | Velocity Asset Management Inc |
| JVI- | Velocity Asset Management Inc |
| JVS | JAVELIN EXCHANGE-TRADED TR DJ ISLAMIC ETF |
| JW.A | WILEY JOHN & SONS INC CL A |
| JW.B | WILEY JOHN & SONS INC CL B |
| JWF | WELLS FARGO CAP IX TOPRS 5.625% |
| JWF* | WELLS FARGO CAP IX TOPRS 5.625% |
| JWN | NORDSTROM INC COM |
| JXI | ISHARES TR S&P GL UTILITI |
| JXSB | JACKSONVILLE BANCORP INC MD COM |
| JXSBD | JACKSONVILLE BANCORP INC MD COM |
| JYF | WISDOMTREE TRUST JAPANESE YEN F |
| JYN | BARCLAYS BANK PLC IPTH JPY/USD ETN |
| JYP- | Jersey Central Power & Light Company Cumulative Preferred 4% Series |
| JYP-* | Jersey Central Power & Light Company Cumulative Preferred 4% Series |
| JZC | CORPORATE BACKED TR CTFS 04-4 CL A-1 6% |
| JZD | Lehman ABS Corporation Floating Rate Corporate Backed Trust Certificates DaimlerChrysler Debenture-Backed Series 2004-3 |
| JZD* | Lehman ABS Corporation Floating Rate Corporate Backed Trust Certificates DaimlerChrysler Debenture-Backed Series 2004-3 |
| JZE | CORPORATE BACKED TR CTFS 04-2 A-1 6.75% |
| JZE* | CORPORATE BACKED TR CTFS 04-2 A-1 6.75% |
| JZH | CORPORATE BACKED TR CTFS NT BKD A-1 6% |

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| JZH* | CORPORATE BACKED TR CTFS NT BKD A-1 6% |
| JZJ | CORPORATE BACKED TR CTFS 03-18 A1 7.125 |
| JZK | CORPORATE BACKED TR CTFS 03-17SPRINT A1 |
| JZL | CORPORATE BACKED TR CTFS 03-16 A1 6.25 |
| JZO | Lehman ABS Corporation 7.25% Corporate Backed Trust Certificates DaimlerChrysler Debenture-Backed Series 2003-15 Class A-1 |
| JZO* | Lehman ABS Corporation 7.25% Corporate Backed Trust Certificates DaimlerChrysler Debenture-Backed Series 2003-15 Class A-1 |
| JZR | Lehman ABS Corporation 6.125% Corporate Backed Trust Certificates BellSouth Telecommunications Debenture-Backed Series 2003-14 Class A-1 |
| JZS | CORPORATE BACKED TR CTFS NT A1 5.80 12 |
| JZS* | CORPORATE BACKED TR CTFS NT A1 5.80 12 |
| JZT | CORPORATE BACKED TR CTFS 03-11 5.875%31 |
| JZV | CORPORATE BACKED TR CTFS 03-10 A-1 7%23 |
| JZY | Lehman ABS 2003-8 (Philip Morris Companies) 6.25% Coproate Backed Trust Certificates Altria Debenture-Backed Series 2003-8 Class A-1 |
| JZY* | Lehman ABS 2003-8 (Philip Morris Companies) 6.25% Coproate Backed Trust Certificates Altria Debenture-Backed Series 2003-8 Class A-1 |
| JZZ | Lehman ABS Corporation 6.75% Corporate Backed Trust Certificates CIT Capital Trust I Securities -Backed Series 2003-9 Class A-1 |
| JZZ* | Lehman ABS Corporation 6.75% Corporate Backed Trust Certificates CIT Capital Trust I Securities -Backed Series 2003-9 Class A-1 |
| K | KELLOGG CO COM |
| KAD | ARCADIA RES INC COM |
| KAI | KADANT INC COM |
| KAL | Callisto Pharmaceuticals Inc |
| KALU | KAISER ALUMINUM CORP COM PAR \$0.01 |
| KAMN | KAMAN CORP COM |
| KAP | KCAP FINL INC SR NT 19 |
| KAR | KAR AUCTION SVCS INC COM |
| KAZ | BMB MUNAI INC COM |
| KB | KB FINANCIAL GROUP INC SPONSORED ADR |
| KBALB | KIMBALL INTL INC CL B |
| KBAY | Kanbay International Inc. - Common Stock |
| KBB | BEAR STEARNS COS INC |
| KBE | SPDR SERIES TRUST S&P BK ETF |
| KBH | KB HOME COM |
| KBIO | KALOBIOUS PHARMACEUTICALS INC COM |
| KBR | KBR INC COM |
| KBR# | KBR Inc. Common Stock |
| KBW | KBW INC COM |
| KBWB | POWERSHARES ETF TR II KBW BK PORT |
| KBWC | POWERSHARES ETF TR II KBW CP MKT PRT |
| KBWD | POWERSHARES ETF TRUST II KBW HG YLD FIN |
| KBWI | POWERSHARES ETF TR II KBW INS PORT |
| KBWP | POWERSHARES ETF TRUST II PRP CAS INS PT |
| KBWR | POWERSHARES ETF TR II KBW RG BK PORT |
| KBWX | POWERSHARES ETF TRUST II KBW GLB FIN SC |
| KBWY | POWERSHARES ETF TRUST II KBW YIELD REIT |
| KBX | KIMBER RES INC COM |
| KB^ | KB FINANCIAL GROUP INC RT |
| KB^# | KB FINANCIAL GROUP INC RT |
| KCAP | KCAP FINL INC COM |
| KCAPR | Kohlberg Capital Corporation - Transferable Rights to Common Stock |
| KCC | CORTS TR II PROVIDENT FING CORTS 8.20% |
| KCE | SPDR SERIES TRUST S&P CAP MKTS |
| KCG | KNIGHT CAP GROUP INC CL A COM |
| KCH | Structured Products Corp. 7% Corporate Backed Trust Securities (CorTS) Certificates (Issued by BellSouth Debentures) due 12/1/2095 |
| KCI | KINETIC CONCEPTS INC COM NEW |

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| KCJ | Structured Products Corp. 7.125% Corporate Backed Trust II Securities (CoRTS) Certificates (Issued by IBM Debentures) due 12/1/2096 |
| KCJ* | Structured Products Corp. 7.125% Corporate Backed Trust II Securities (CoRTS) Certificates (Issued by IBM Debentures) due 12/1/2096 |
| KCLI | KANSAS CITY LIFE INS CO COM |
| KCN | Structured Products Corp. 8.0% Corporate Backed Trust Securities (CoRTS) Certificates (Issued by Chrysler Debentures) due 2/1/2097 |
| KCN* | Structured Products Corp. 8.0% Corporate Backed Trust Securities (CoRTS) Certificates (Issued by Chrysler Debentures) due 2/1/2097 |
| KCO | Structured Products Corp. Corporate-Backed Trust Securities (CoRTS) Certificates (Issued by BellSouth Capital Funding Debentures) due 7/15/2097 |
| KCP | COLE KENNETH PRODTNS INC CL A |
| KCS | KCS Energy Inc. Common Stock |
| KCT | CORTS TR SHERWIN WILLIAMS DEBS CORTS 7.50% |
| KCT* | CORTS TR SHERWIN WILLIAMS DEBS CORTS 7.50% |
| KCV | Structured Products Corp. 7.875% Corporate-Backed Trust Securities (CoRTS) Certificates (Issued by Chrysler Debentures) due 8/1/2097 |
| KCV* | Structured Products Corp. 7.875% Corporate-Backed Trust Securities (CoRTS) Certificates (Issued by Chrysler Debentures) due 8/1/2097 |
| KCW | CORTS TR US WEST COMMUNICATNS CORTS 7.5% |
| KCW* | CORTS TR US WEST COMMUNICATNS CORTS 7.5% |
| KCX | Structured Products Corp. 7.5% Corporate-Backed Trust Securities (CoRTS) Certificates (Issued by First Union Capital I) due 1/15/2027 |
| KCX* | Structured Products Corp. 7.5% Corporate-Backed Trust Securities (CoRTS) Certificates (Issued by First Union Capital I) due 1/15/2027 |
| KDE | 4 KIDS ENTMT INC COM |
| KDN | KAYDON CORP COM |
| KEA | Keane Inc. Common Stock |
| KED | KAYNE ANDERSON ENERGY DEV CO COM |
| KEF | KOREA EQUITY FD INC COM |
| KEF^ | Korea Equity Fund Inc. Rights (Expiring February 16 2007) |
| KEF^# | KOREA EQUITY FD INC RT |
| KEG | KEY ENERGY SVCS INC COM |
| KEI | KEITHLEY INSTRS INC COM |
| KELYA | KELLY SVCS INC CL A |
| KELYB | KELLY SVCS INC CL B |
| KEM | KEMET CORP COM NEW |
| KENT | KENT FINL SVCS INC COM NEW |
| KEP | KOREA ELECTRIC PWR SPONSORED ADR |
| KEQU | KEWAUNEE SCIENTIFIC CORP COM |
| KERX | KERYX BIOPHARMACEUTICALS INC COM |
| KEX | KIRBY CORP COM |
| KEX# | Kirby Corporation Common Stock |
| KEY | KEYCORP NEW COM |
| KEY-A | KEYCORP CAP V PFD TR 5.875% |
| KEY-A* | KEYCORP CAP V PFD TR 5.875% |
| KEY-B | KEYCORP CAP VI PFD TR 6.125% |
| KEY-B* | KEYCORP CAP VI PFD TR 6.125% |
| KEY-D | KEYCORP CAPITAL VIII PFD 7% ENHC TR |
| KEY-D* | KEYCORP CAPITAL VIII PFD 7% ENHC TR |
| KEY-E | KEYCORP CAP IX PFD TR 6.75% |
| KEY-E* | KEYCORP CAP IX PFD TR 6.75% |
| KEY-F | KEYCORP CAP X ENH TRUPS 8.0% |
| KEY-F* | KEYCORP CAP X ENH TRUPS 8.0% |
| KEY-G | KEYCORP NEW PFD 7.75% SR A |
| KEYN | KEYNOTE SYS INC COM |
| KEYP | KEYUAN PETROCHEMICALS INC COM |
| KEYS | Keystone Automotive Industries Inc. - Common Stock |
| KEYW | KEYW HLDG CORP COM |
| KF | KOREA FD COM NEW |
| KF\$ | The Korea Fund Inc. Common Stock |

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| KFED | K FED BANCORP COM |
| KFFB | KENTUCKY FIRST FED BANCORP COM |
| KFFG | KAISER FED FINL GROUP INC COM |
| KFH | KKR FINL HLDGS LLC SR NT 8.375%41 |
| KFI | KKR FINL HLDGS LLC SR NT |
| KFN | KKR FINL HLDGS LLC COM |
| KFN- | KKR FINL HLDGS LLC PFD SER A LLC |
| KFP | KKR FINL HLDGS LLC PFD SER A LLC |
| KFRC | KFORCE INC COM |
| KFS | KINGSWAY FINL SVCS INC COM NEW |
| KFT | KRAFT FOODS INC CL A |
| KFT# | Kraft Foods Inc. Class A Common Stock |
| KFT\$ | Kraft Foods Inc. Class A Common Stock |
| KFX | KFX Inc |
| KFY | KORN FERRY INTL COM NEW |
| KG | KING PHARMACEUTICALS INC COM |
| KGC | KINROSS GOLD CORP COM NO PAR |
| KGJI | KINGOLD JEWELRY INC COM NEW |
| KGN | KEEGAN RES INC COM |
| KGS | QUICKSILVER GAS SVCS LP COM UNITS LPI |
| KH | CHINA KANGHUI HLDGS SPONSORED ADR |
| KHA | KBL HEALTHCARE ACQUIS CORP III COM |
| KHA+ | KBL HEALTHCARE ACQUIS CORP III WT EXP 071811 |
| KHA= | KBL HEALTHCARE ACQUIS CORP III UNIT |
| KHD | KHD HUMBOLDT WEDAG INTL LTD COM |
| KHDH | KHD Humboldt Wedag International Ltd. - Common Stock |
| KHI | DWS HIGH INCOME TR SHS NEW |
| KHK | Kitty Hawk Inc |
| KID | KID BRANDS INC COM |
| KIDS | Parent Company (The) - Common Stock |
| KIE | SPDR SERIES TRUST S&P INS ETF |
| KIM | KIMCO RLTY CORP COM |
| KIM-F | KIMCO RLTY CORP PFD 1/10 F 6.65% |
| KIM-F* | KIMCO RLTY CORP PFD 1/10 F 6.65% |
| KIM-G | KIMCO RLTY CORP PFD DP G 1/100 |
| KIM-G* | KIMCO RLTY CORP PFD DP G 1/100 |
| KIM-H | KIMCO RLTY CORP DEP 1/100PFD-H |
| KIM-I | KIMCO RLTY CORP DEP 1/1000 PFD I |
| KIM-J | KIMCO RLTY CORP DEP 1/1000 PFD J |
| KIM-K | KIMCO RLTY CORP DEP1/1000PFD K% |
| KINDW | Kindred Healthcare Inc. - Series A Warrants |
| KINDZ | Kindred Healthcare Inc. - Series B Warrants |
| KINS | KINGSTONE COS INC COM |
| KIOR | KIOR INC CL A |
| KIPO | KEATING CAPITAL INC COM |
| KIPS | KIPS BAY MED INC COM |
| KIRK | KIRKLANDS INC COM |
| KITD | KIT DIGITAL INC COM NEW |
| KKD | KRISPY KREME DOUGHNUTS INC COM |
| KKR | KKR & CO L P DEL COM UNITS |
| KLAC | KLA-TENCOR CORP COM |
| KLD | ISHARES TR MSCI ESG SEL SOC |
| KLIC | KULICKE & SOFFA INDS INC COM |
| KMA | KMG America Corporation Common Stock |
| KMB | KIMBERLY CLARK CORP COM |
| KMDA | KAMADA LTD SHS |
| KME | SPDR SERIES TRUST S&P MTG FIN |
| KMF | KAYNE ANDERSON MDSTM ENERGY FD COM |
| KMG | KMG CHEMICALS INC COM |
| KMG# | Kerr-McGee Corporation Common Stock |
| KMGB | KMG CHEMICALS INC COM |

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| KMH | KANSAS CITY SOUTHERN |
| KMI | KINDER MORGAN INC DEL COM |
| KMI+ | KINDER MORGAN INC DEL WT EXP 052517 |
| KMI+# | KINDER MORGAN INC DEL WT EXP 021517 |
| KMM | DWS MULTI MKT INCOME TR SHS |
| KMP | KINDER MORGAN ENERGY PARTNERS UT LTD PARTNER |
| KMPR | KEMPER CORP DEL COM |
| KMR | KINDER MORGAN MANAGEMENT LLC SHS |
| KMT | KENNAMETAL INC COM |
| KMT# | Kennametal Inc. Capital Stock |
| KMX | CARMAX INC COM |
| KNAP | Knape & Vogt Manufacturing Company - Common Stock |
| KNBT | KNBT Bancorp Inc. - Common Stock |
| KNBWY | KIRIN HLDGS COMPANY LTD SPON ADR |
| KND | KINDRED HEALTHCARE INC COM |
| KND# | Kindred Healthcare Inc. Common Stock par value \$0.25 per share |
| KNDI | KANDI TECHNOLOGIES GROUP INC COM |
| KNDL | KENDLE INTERNATIONAL INC COM |
| KNH | Structured Products Corp. 8.072% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by Trust III for SAFECO Capital Trust I the Trust) |
| KNH* | Structured Products Corp. 8.072% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by Trust III for SAFECO Capital Trust I the Trust) |
| KNL | KNOLL INC COM NEW |
| KNM | KONAMI CORP SPONSORED ADR |
| KNO | CORTS TR SUNAMERICA DEBS CORTS 6.7% 97 |
| KNO* | CORTS TR SUNAMERICA DEBS CORTS 6.7% 97 |
| KNOL | KNOLOGY INC COM |
| KNOP | KNOT OFFSHORE PARTNERS LP COM UNITS |
| KNOT | KNOT INC COM |
| KNOW | DIREXION SHS ETF TR ALL CP INSIDER |
| KNR | CORTS TR BRISTOL MYERS SQUIBB CORTS A 6.8% |
| KNR* | CORTS TR BRISTOL MYERS SQUIBB CORTS A 6.8% |
| KNSY | KENSEY NASH CORP COM |
| KNTA | Kintera Inc. - Common Stock |
| KNW | Structured Products Corp. (8.25-8.375)% Corporate-Backed Trust Certificates (CorTS) Certificates (Issued by Trust for W.R. Berkley Capital Trust the Trust) |
| KNW* | Structured Products Corp. (8.25-8.375)% Corporate-Backed Trust Certificates (CorTS) Certificates (Issued by Trust for W.R. Berkley Capital Trust the Trust) |
| KNX | KNIGHT TRANSN INC COM |
| KNX# | Knight Transportation Inc. Common Stock \$0.01 par value |
| KNXA | KENEXA CORP COM |
| KO | COCA COLA CO COM |
| KOB | CORTS TR II SHERWIN WILLIAMS CORTS 7.625% |
| KOB* | CORTS TR II SHERWIN WILLIAMS CORTS 7.625% |
| KOE | Structured Products Corp. 7.75% Corporate-Backed Trust Securities (CorTS) Class A Certificates (Issued by Trust II for Aon Capital A) |
| KOE* | Structured Products Corp. 7.75% Corporate-Backed Trust Securities (CorTS) Class A Certificates (Issued by Trust II for Aon Capital A) |
| KOF | COCA COLA FEMSA S A B DE C V SPON ADR REP L |
| KOG | KODIAK OIL & GAS CORP COM |
| KOH | Structured Products Corp. 8.0% Corporate-Backed Trust Securities (CorTS) Class A Certificates (Issued by Trust for Corning Notes) |
| KOH* | Structured Products Corp. 8.0% Corporate-Backed Trust Securities (CorTS) Class A Certificates (Issued by Trust for Corning Notes) |
| KOK | Structured Products Corp. 7.0% Corporate-Backed Trust Securities (CorTS) Class A Certificates (Issued by Trust for BankAmerica Institutional Capital B) |
| KOK* | Structured Products Corp. 7.0% Corporate-Backed Trust Securities (CorTS) Class A Certificates (Issued by Trust for BankAmerica Institutional Capital B) |
| KOL | MARKET VECTORS ETF TR COAL ETF |
| KOLD | PROSHARES TR II UL DJUBSNATG NEW |
| KOMG | Komag Inc. - Common Stock |

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| KONA | KONA GRILL INC COM |
| KONE | KINGTONE WIRELESSINFO SOL HLDG SPONSORED ADR NE |
| KONG | KONGZHONG CORP SPONSORED ADR |
| KOOL | THERMOGENESIS CORP COM PAR \$0.001 |
| KOOLD | THERMOGENESIS CORP COM PAR \$0.001 |
| KOP | KOPPERS HOLDINGS INC COM |
| KOPN | KOPIN CORP COM |
| KOR | Koor Industries Limited American Depositary Shares (Each representing 0.20 of an Ordinary Share) |
| KORS | MICHAEL KORS HLDGS LTD SHS |
| KORU | DIREXION SHS ETF TR DRX DLYSOKOR3X |
| KORZ | DIREXION SHS ETF TR S KOREA BEAR3X |
| KOS | KOSMOS ENERGY LTD SHS |
| KOS* | CORTS TR III SHERWIN WILLIAMS CORTS A 7.25% |
| KOSN | Kosan Biosciences Incorporated - Common Stock |
| KOSP | Kos Pharmaceuticals Inc. - Common Stock |
| KOSS | KOSS CORP COM |
| KOW | KOWABUNGA INC COM |
| KPA | Innkeepers USA Trust Common Shares of Beneficial Interest |
| KPA-C | Innkeepers USA Trust 8.0% Series C Cumulative Preferred Shares of Beneficial Interest |
| KPN | Royal KPN N.V. American Depositary Shares (Each representing one Ordinary Share) |
| KPPC | KAPSTONE PAPER & PACKAGING CRP COM |
| KPPCW | KAPSTONE PAPER & PACKAGING CRP WT EX 081509 |
| KR | KROGER CO COM |
| KRA | KRATON PERFORMANCE POLYMERS COM |
| KRB | MBNA Corporation Common Stock |
| KRB-A* | MBNA CORP PFD A |
| KRB-B* | MBNA CORP PFD B ADJ RATE |
| KRB-C | MBNA Capital C 8.25% Trust Originated Preferred Securities Series C due 4/15/2046 |
| KRB-C* | MBNA Capital C 8.25% Trust Originated Preferred Securities Series C due 4/15/2046 |
| KRB-D | MBNA CAP D TRUPS D 8.125% |
| KRB-D* | MBNA CAP D TRUPS D 8.125% |
| KRB-E | MBNA CAP E TOPRS E 8.1% |
| KRB-E* | MBNA CAP E TOPRS E 8.1% |
| KRC | KILROY RLTY CORP COM |
| KRC-E | KILROY RLTY CORP PFD E 7.80% |
| KRC-E* | KILROY RLTY CORP PFD E 7.80% |
| KRC-F | KILROY RLTY CORP PFD F 7.50% |
| KRC-F* | KILROY RLTY CORP PFD F 7.50% |
| KRC-G | KILROY RLTY CORP PFD SER G |
| KRC-H | KILROY RLTY CORP PFD-H |
| KRD | Structured Products Corp. 7.5% Corporate-Backed Trust Securities (CorTS) Class A Certificates (Issued by First Union Institutional Capital II) due January 1 2027 |
| KRD* | Structured Products Corp. 7.5% Corporate-Backed Trust Securities (CorTS) Class A Certificates (Issued by First Union Institutional Capital II) due January 1 2027 |
| KRE | SPDR SERIES TRUST S&P REGL BKG |
| KRFT | KRAFT FOODS GROUP INC COM |
| KRFTV | KRAFT FOODS GROUP INC COM |
| KRG | KITE RLTY GROUP TR COM |
| KRG-A | KITE RLTY GROUP TR PERP PFD SER A |
| KRH | CORTS TR AFC CAPITAL CORTS CL A |
| KRH* | CORTS TR AFC CAPITAL CORTS CL A |
| KRI | Knight-Ridder Inc. Common Stock |
| KRJ | CORTS TR 111 PROVIDENT FING CORTS 8.10% |
| KRJ* | CORTS TR 111 PROVIDENT FING CORTS 8.10% |
| KRK | Structured Products Corp. 7.20% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by IBM Debentures) due 12/1/2096 |
| KRK* | Structured Products Corp. 7.20% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by IBM Debentures) due 12/1/2096 |
| KRL | Structured Products Corp. 8.70% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by Trust II for SAFECO Capital Trust I) due July 15 2037 |

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| KRL* | Structured Products Corp. 8.70% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by Trust II for SAFECO Capital Trust I) due July 15 2037 |
| KRNY | KEARNY FINL CORP COM |
| KRO | KRONOS WORLDWIDE INC COM |
| KRON | Kronos Incorporated - Common Stock |
| KROO | INDEXIQ ETF TR AUST SM CP ETF |
| KRS | PROSHARES TR SHT KBW REGBNK |
| KRSL | Kreislser Manufacturing Corporation - Common Stock |
| KRU | PROSHARES TR ULT KBW REGBNK |
| KRV | Structured Products Corp. 7.625% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by Trust for Great Western Financial Trust II) due February 1 2027 |
| KRV* | Structured Products Corp. 7.625% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by Trust for Great Western Financial Trust II) due February 1 2027 |
| KRY | CRYSTALLEX INTL CORP COM |
| KS | KAPSTONE PAPER & PACKAGING CRP COM |
| KSA | CORTS TR PROVIDENT FING TR I CORTS 8.50% |
| KSA* | CORTS TR PROVIDENT FING TR I CORTS 8.50% |
| KSE | KeySpan Corporation Common Stock |
| KSF | Claymore Exchange-Traded Fund Trust |
| KSJ | Structured Products Corp. 8% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by Countrywide Capital I) |
| KSJ* | Structured Products Corp. 8% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by Countrywide Capital I) |
| KSK | CORTS TR FORD DEBS CORTS 7.4% |
| KSK* | CORTS TR FORD DEBS CORTS 7.4% |
| KSM | DWS STRATEGIC MUN INCOME TR COM |
| KSO | Structured Products Corp. 7.125% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by IBM Debentures) |
| KSO* | Structured Products Corp. 7.125% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by IBM Debentures) |
| KSP | K SEA TRANSN PARTNERS LP COM |
| KSS | KOHL'S CORP COM |
| KST | DWS STRATEGIC INCOME TR SHS |
| KSU | KANSAS CITY SOUTHERN COM NEW |
| KSU- | KANSAS CITY SOUTHERN PFD 4% |
| KSW | KSW INC COM |
| KSWs | K-SWISS INC CL A |
| KT | KT CORP SPONSORED ADR |
| KTB | Structured Products Corp. Corporate-Backed Trust Securities(CorTS) Certificates(Relating to BellSouth Telecommunications |
| KTC | KT CORP SPONSORED ADR |
| KTCC | KEY TRONICS CORP COM |
| KTE | Structured Products Corp. 8.0% Corporate-Backed Trust Securities(Credit-Enhanced CortS Certificates with a principal amount of \$25 |
| KTE* | Structured Products Corp. 8.0% Corporate-Backed Trust Securities(Credit-Enhanced CortS Certificates with a principal amount of \$25 |
| KTEC | KEY TECHNOLOGY INC COM |
| KTF | DWS MUN INCOME TR COM |
| KTH | CORTS TR PECO ENERGY CAP TRIII CORTS 8.00% |
| KTII | K TRON INTL INC COM |
| KTJ | Structured Products Corp. 8.75% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by Safeco Capital Trust I) due 7/15/2037 |
| KTJ* | Structured Products Corp. 8.75% Corporate-Backed Trust Securities (CorTS) Certificates (Issued by Safeco Capital Trust I) due 7/15/2037 |
| KTK | Structured Products Corp. 8.0% Corporate-Backed Trust Securities (CorTS) Certificates(Issued by Fleet Capital Trust II) due 12/11/2026 |
| KTK* | Structured Products Corp. 8.0% Corporate-Backed Trust Securities (CorTS) Certificates(Issued by Fleet Capital Trust II) due 12/11/2026 |
| KTN | CREDIT-ENHANCED CORTS TR AON CORTS 8.205% |
| KTO | K2 Inc. Common Stock |
| KTOS | KRATOS DEFENSE & SEC SOLUTIONS COM NEW |

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| KTOSD | KRATOS DEFENSE & SEC SOLUTIONS COM NEW |
| KTP | CORTS TR J C PENNEY CORTS 7.625% |
| KTS | STRUCTURED PRODUCTS CORP (KTS) |
| KTS* | Structured Products Corp. CorTS Trust for Southern Company Capital Trust I 8.19% Exchange Capital Securities |
| KTV | CORTS TR FIRST UN INSTL CAP I CORTS 8.20% |
| KTX | CORTS XEROX CAPITAL TR I CRP-BKD CTF 8% |
| KTZ | Structured Products Corp. CorTSK Trust for Countrywide Capital I Corporate-Backed Trust Securities (CorTSK) Certificates due 12/15/2026 |
| KTZ* | Structured Products Corp. CorTSK Trust for Countrywide Capital I Corporate-Backed Trust Securities (CorTSK) Certificates due 12/15/2026 |
| KUB | KUBOTA CORP ADR |
| KUL | Kuhlman Company Inc |
| KUN | CHINA SHENGHUO PHARM HLDGS INC COM |
| KUTV | KU6 MEDIA CO LTD SPONSORED ADR |
| KV.A | K V PHARMACEUTICAL CO CL A |
| KV.B | K V PHARMACEUTICAL CO CL B CONV |
| KVF | CORTS TR III AON CAP A CORTS A 7.75% |
| KVHI | KVH INDS INC COM |
| KVJ | CORTS TR DISNEY NTS CORTS A 6.875% |
| KVJ* | CORTS TR DISNEY NTS CORTS A 6.875% |
| KVL | Structured Products Corp. 7.375% Corporate Backed Trust Securities (CorTS) Class A Certificates (Issued by CorTS Trust for Verizon Global Funding Notes the Trust) |
| KVL* | Structured Products Corp. 7.375% Corporate Backed Trust Securities (CorTS) Class A Certificates (Issued by CorTS Trust for Verizon Global Funding Notes the Trust) |
| KVM | CORTS TR IV IBM DEBS CORTS A 7% |
| KVM* | CORTS TR IV IBM DEBS CORTS A 7% |
| KVN | CORTS TR UNUM NTS PFD TR 7.5% |
| KVN* | CORTS TR UNUM NTS PFD TR 7.5% |
| KVO | Structured Products Corp. 8.375% Corporate-Backed Trust Securites (CorTs) Certificates (Isued by CorTS Trust IV for SAFECO Capital Trust I the Trust) |
| KVO* | Structured Products Corp. 8.375% Corporate-Backed Trust Securites (CorTs) Certificates (Isued by CorTS Trust IV for SAFECO Capital Trust I the Trust) |
| KVR | CORTS TR GEN ELEC CAP CORP NTS CORTS A 6% 32 |
| KVR* | CORTS TR GEN ELEC CAP CORP NTS CORTS A 6% 32 |
| KVT | CORTS TR DOW CHEM CO CORTS 6.375%29 |
| KVT* | CORTS TR DOW CHEM CO CORTS 6.375%29 |
| KVU | CORTS TR II FORD NTS CORTS CTF 8% |
| KVU* | CORTS TR II FORD NTS CORTS CTF 8% |
| KVW | CORTS TR IV AON CAP A CORTS A 8% 27 |
| KVW* | CORTS TR IV AON CAP A CORTS A 8% 27 |
| KVZ | Verizon New England Inc. 7% Debentures Series B due May 15 2042 (Quarterly Interest Bonds)(QUIBS) |
| KVZ* | Verizon New England Inc. 7% Debentures Series B due May 15 2042 (Quarterly Interest Bonds)(QUIBS) |
| KW | KENNEDY-WILSON HLDGS INC COM |
| KWD | Kellwood Company Common Stock |
| KWIC | KENNEDY-WILSON HLDGS INC COM |
| KWIC+ | KENNEDY-WILSON HLDGS INC WT EXP 111413 |
| KWK | QUICKSILVER RESOURCES INC COM |
| KWK# | Quicksilver Resources Inc. Common Stock |
| KWN | KENNEDY-WILSON INC SR NT 42 |
| KWR | QUAKER CHEM CORP COM |
| KWT | MARKET VECTORS ETF TR SOLAR ENRG NEW |
| KXI | ISHARES TR S&P GL C STAPL |
| KXM | KOBEX MINERALS INC COM |
| KYAK | KAYAK SOFTWARE CORP CL A |
| KYE | KAYNE ANDERSON ENRGY TTL RT FD COM |
| KYN | KAYNE ANDERSON MLP INVSMNT CO COM |
| KYN-D | KAYNE ANDERSON MLP INVSMNT CO PFD |
| KYN-D* | KAYNE ANDERSON MLP INVSMNT CO PFD |
| KYN-E | KAYNE ANDERSON MLP INVSMNT CO PFD CL E 4.25% |
| KYN-F | KAYNE ANDERSON MLP INVSMNT CO PFD 3.50 SER F |
| KYO | KYOCERA CORP ADR |

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| KYPH | Kyphon Inc. - Common Stock |
| KYTH | KYTHERA BIOPHARMACEUTICALS INC COM |
| KZL | Kerzner International Limited Ordinary Shares |
| L | LOEWS CORP COM |
| LAB | LABRANCHE & CO INC COM |
| LABC | LOUISIANA BANCORP INC NEW COM |
| LABL | MULTI COLOR CORP COM |
| LACO | LAKES ENTMNT INC COM |
| LAD | LITHIA MTRS INC CL A |
| LAEC | LOYALTY ALLIANCE ENTERPRISE CP SPONSORED ADR |
| LAF | Lafarge North America Inc. Common Stock |
| LAG | SPDR SERIES TRUST BRCLYS AGG ETF |
| LAKE | LAKELAND INDS INC COM |
| LAMR | LAMAR ADVERTISING CO CL A |
| LAN | Lancer Corp |
| LANC | LANCASTER COLONY CORP COM |
| LAND | GLADSTONE LD CORP COM |
| LANV | LanVision Systems Inc. - Common Stock |
| LAQ | ABERDEEN LATIN AMER EQTY FD COM |
| LARK | LANDMARK BANCORP INC COM |
| LARL | Laurel Capital Group Inc. - Common Stock |
| LAS | LENTUO INTL INC SPONSORED ADS |
| LATM | MARKET VECTORS ETF TR LAT AM SML CAP |
| LAUR | Laureate Education Inc. - Common Stock |
| LAVA | MAGMA DESIGN AUTOMATION COM |
| LAWS | LAWSON PRODS INC COM |
| LAYN | LAYNE CHRISTENSEN CO COM |
| LAZ | LAZARD LTD SHS A |
| LB | LA BARGE INC COM |
| LBAI | LAKELAND BANCORP INC COM |
| LBBB | Liberty Bell Bank (NJ) - Common Stock |
| LBC | LEHMAN BROTHERS/ FIRST TRUST INCOME OPPORTUNITY FUND |
| LBCP | LIBERTY BANCORP INC COM |
| LBF | DWS GLOBAL HIGH INCOME FD COM |
| LBIX | LEADING BRANDS INC COM NEW |
| LBIXD | LEADING BRANDS INC COM NEW |
| LBJ | DIREXION SHS ETF TR LATN AM BULL3X |
| LBM.A | Lehman Brothers |
| LBM.B | Lehman Brothers |
| LBM.C | Lehman Brothers |
| LBN.A | Lehman Brothers |
| LBN.B | Lehman Brothers |
| LBND | DEUTSCHE BK AG LONDON BRH DB 3X LONG UST |
| LBTA | RUSSELL EXCHANGE TRADED FDS TR 1000 LOW BETA |
| LBTYA | LIBERTY GLOBAL PLC SHS CL A |
| LBTYB | LIBERTY GLOBAL PLC SHS CL B |
| LBTYK | LIBERTY GLOBAL PLC SHS CL C |
| LBY | LIBBEY INC COM |
| LC | The Liberty Corporation Common Stock |
| LCAPA | LIBERTY MEDIA CORPORATION LIB CAP COM A |
| LCAPB | LIBERTY MEDIA CORPORATION LIB CAP COM B |
| LCAV | LCA-VISION INC COM PAR \$.001 |
| LCBM | Lifecore Biomedical Inc. - Common Stock |
| LCC | U S AIRWAYS GROUP INC COM |
| LCCI | LCC International Inc. - Class A Common Stock |
| LCG | LADDER CAPITAL REALTY FIN INC COM |
| LCGI | LEARNING CARE GROUP |
| LCI | LANNET INC COM |
| LCM | ADVENT CLAYMORE ENH GRW & INC COM |
| LCNB | LCNB CORP COM |
| LCNTU | LOUISIANA CENTL OIL& GAS |

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| LCPAD | LIBERTY MEDIA CORPORATION LIB CAP COM A |
| LCPBD | LIBERTY MEDIA CORPORATION LIB CAP COM B |
| LCPR | CREDIT SUISSE NASSAU BRH ETN LKD 32 |
| LCRD | LASERCARD CORP COM |
| LCRY | LECROY CORP COM |
| LCUT | LIFETIME BRANDS INC COM |
| LD | BARCLAYS BANK PLC ETN DJUBSLEAD 38 |
| LDB | MERRILL LYNCH & CO INC NT IND15 IDX10 |
| LDF | LATIN AMERN DISCOVERY FD INC COM |
| LDG | Longs Drug Stores Corporation Common Stock |
| LDIS | LEADIS TECHNOLOGY INC COM |
| LDK | LDK SOLAR CO LTD SPONSORED ADR |
| LDL | LYDALL INC DEL COM |
| LDN | NETS Trust |
| LDP | COHEN & STEERS LTD DUR PFD INC COM |
| LDR | LANDAUER INC COM |
| LDSH | LADISH INC COM NEW |
| LDX | BANK AMER CORP RTN S&P500 12 |
| LDZ | Lazard Ltd 6.625% Equity Security Units |
| LEA | LEAR CORP COM NEW |
| LEA# | LEAR CORP COM NEW |
| LEAP | LEAP WIRELESS INTL INC COM NEW |
| LECO | LINCOLN ELEC HLDGS INC COM |
| LEDD | BARCLAYS BK PLC IPH LEAD ETN |
| LEDR | MARKET LEADER INC COM |
| LEDS | SEMILEDS CORP COM |
| LEE | LEE ENTERPRISES INC COM |
| LEG | LEGGETT & PLATT INC COM |
| LEGC | LEGACY BANCORP INC CL A |
| LEH | Lehman Brothers Holdings Inc. Common Stock |
| LEH# | Lehman Brothers Holdings Inc. Common Stock |
| LEH-C | Lehman Brothers Holdings Inc. Depositary Shares (Each Representing One-Tenth Interest in a Share of 5.94% Cumulative Preferred Stock Series C) |
| LEH-D | Lehman Brothers Holdings Inc. Depositary Shares (Each representing 1/100th of a share of 5.67% Cumulative Preferred Stock Series D) |
| LEH-F | LEHMAN BROS HLDGS INC PFD SER F |
| LEH-G | Lehman Brothers Holdings Inc. Depositary Shares (Each representing 1/100th of a share of Floating Rate Cumulative Preferred Stock Series G) |
| LEH-J | Lehman Brothers Holdings Inc. Depositary Shares (Each Representing One One-Hundredth of a share of 7.95% Non-Cumulative Perpetual Preferred Stock Series J) |
| LEH-K | Lehman Brothers Holdings Capital Trust III 6.375% Preferred Securities Series K |
| LEH-L | Lehman Brothers Holdings Capital Trust IV 6.375% Preferred Securities Series L |
| LEH-M | Lehman Brothers Holdings Capital Trust V 6.00% Preferred Securities Series M |
| LEH-N | Lehman Brothers Holdings Capital Trust VI 6.24% Preferred Securities Series N |
| LEH-P | Lehman Brothers Holdings Inc. 7.25% Non-Cumulative Perpetual Convertible Preferred Stock Series P |
| LEI | LUCAS ENERGY INC COM NEW |
| LEIX | Lowrance Electronics Inc. - Common Stock |
| LEMB | ISHARES INC EMRG MRK LC BD |
| LEN | LENNAR CORP CL A |
| LEN.B | LENNAR CORP CL B |
| LEND | Accredited Home Lenders Holding Co. - Common Stock |
| LENS | Concord Camera Corp. - Common Stock |
| LENSD | Concord Camera Corp. - Common Stock |
| LEO | DREYFUS STRATEGIC MUNS INC COM |
| LER | Merrill Lynch & Co. Inc. - LIRN Linked to the Nikkei 225 Index |
| LEV | Levitt Corporation Class A Common Stock |
| LEXG | LITHIUM EXPL GROUP INC COM |
| LEXR | Lexar Media Inc. - Common Stock |
| LF | LEAPFROG ENTERPRISES INC CL A |
| LFB | Longview Fibre Company (REIT) Common Stock |
| LFC | CHINA LIFE INS CO LTD SPON ADR REP H |

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| LFG | LandAmerica Financial Group Inc. Common Stock |
| LFINP | International Bancshares Corporation - Local Financial Capital Trust I - 9.00% Cumulative Trust Preferred Securities |
| LFL | LATAM AIRLS GROUP S A SPONSORED ADR |
| LFT | LONGTOP FINL TECHNOLOGIES LTD ADR |
| LFUS | LITTELFUSE INC COM |
| LFVN | LIFEVANTAGE CORP COM |
| LG | LACLEDE GROUP INC COM |
| LG-A | Laclede Capital Trust I 7.70% Trust Originated Preferred Securities (TOPrS) |
| LG-A* | Laclede Capital Trust I 7.70% Trust Originated Preferred Securities (TOPrS) |
| LGBT | PLANETOUT INC COM NEW |
| LGBTD | PlanetOut Inc. - Common Stock |
| LGCY | LEGACY RESERVES LP UNIT LP INT |
| LGEM | EGA EMERGING GLOBAL SHS TR BSC MATLS GEM |
| LGF | LIONS GATE ENTMNT CORP COM NEW |
| LGI | LAZARD GLB TTL RET&INCM FD INC COM |
| LGL | LGL GROUP INC COM |
| LGLV | SPDR SER TR RUSS1000LOWVOL |
| LGN | LODGIAN INC COM PAR \$.01 |
| LGND | LIGAND PHARMACEUTICALS INC COM NEW |
| LGND | LIGAND PHARMACEUTICALS INC COM NEW |
| LGP | LEHIGH GAS PARTNERS LP UT LTD PTN INT |
| LGTY | LOGILITY INC COM |
| LGVN | LOGICVISION INC COM NEW |
| LGVND | LogicVision Inc. - Common Stock |
| LGZ | LEGALZOOM COM INC COM |
| LH | LABORATORY CORP AMER HLDGS COM NEW |
| LHB | DIREXION SHS ETF TR LATN AM BEAR3X |
| LHCG | LHC GROUP INC COM |
| LHO | LASALLE HOTEL PPTYS COM SH BEN INT |
| LHO-A | LaSalle Hotel Properties 10 1/4% Series A Cumulative Redeemable Preferred Shares of Beneficial Interest |
| LHO-A* | LaSalle Hotel Properties 10 1/4% Series A Cumulative Redeemable Preferred Shares of Beneficial Interest |
| LHO-B | LASALLE HOTEL PPTYS PFD B 8.375% |
| LHO-B* | LASALLE HOTEL PPTYS PFD B 8.375% |
| LHO-D | LASALLE HOTEL PPTYS PFD D 7.5% |
| LHO-D* | LASALLE HOTEL PPTYS PFD D 7.5% |
| LHO-E | LASALLE HOTEL PPTYS PFD SER E SBI |
| LHO-E* | LASALLE HOTEL PPTYS PFD SER E SBI |
| LHO-G | LASALLE HOTEL PPTYS PFD SBI G 7.25 |
| LHO-H | LASALLE HOTEL PPTYS PFD SHS BEN IN |
| LHO-I | LASALLE HOTEL PPTYS PFD SER I SHS |
| LI | Laidlaw International Inc. Common Stock |
| LIA | LIBERTY ACQUISITION HLDGS CORP COM |
| LIA+ | LIBERTY ACQUISITION HLDGS CORP WT EXP 121213 |
| LIA= | LIBERTY ACQUISITION HLDGS CORP UNIT EX 000012 |
| LICB | LONG ISLAND FIN ## |
| LIFC | LifeCell Corporation - Common Stock |
| LIFE | LIFE TECHNOLOGIES CORP COM |
| LIHR | LIHIR GOLD LTD SPONSORED ADR |
| LIHRY | Lihir Gold Limited - American Depositary Shares |
| LII | LENNOX INTL INC COM |
| LIMC | LIMCO PIEDMONT INC COM |
| LIME | LIME ENERGY CO COM NEW |
| LIMS | STARLIMS TECHNOLOGIES LTD SHS |
| LIN | Linens`N Things Inc. Common Stock |
| LINC | LINCOLN EDL SVCS CORP COM |
| LINE | LINN ENERGY LLC UNIT LTD LIAB |
| LINKE | Interlink Electronics - Common Stock |
| LINTA | LIBERTY INTERACTIVE CORP INT COM SER A |
| LINTB | LIBERTY INTERACTIVE CORP INT COM SER B |
| LION | FIDELITY SOUTHERN CORP NEW COM |

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| LIOX | LIONBRIDGE TECHNOLOGIES INC COM |
| LIPD | LIPID SCIENCES INC ARIZ COM |
| LIPO | LIPOSCIENCE INC COM |
| LIS | NETS TR PSI 20 PORTUGA |
| LIT | GLOBAL X FDS GLB X LITHIUM |
| LITB | LIGHTINTHEBOX HLDG CO LTD SPONSORED ADR |
| LIV | Samaritan Pharmaceuticals Inc |
| LIVE | LIVEDEAL INC COM NEW |
| LIVED | LIVEDEAL INC COM NEW |
| LIWA | LIHUA INTL INC COM |
| LIZ | LIZ CLAIBORNE INC COM |
| LIPC | LA JOLLA PHARMACEUTICAL CO COM PAR NEW |
| LIPCD | La Jolla Pharmaceutical Company New Common Stock |
| LKFN | LAKELAND FINL CORP COM |
| LKI | LAZARE KAPLAN INTL INC COM |
| LKQ | LKQ CORP COM |
| LKQX | LKQ CORP COM |
| LL | LUMBER LIQUIDATORS HLDGS INC COM |
| LLACU | LIBERTY LANE ACQUISITION CORP UNIT EX 000013 |
| LLEN | L & L ENERGY INC COM |
| LLGX | LINC LOGISTICS CO COM |
| LLL | L-3 COMMUNICATIONS HLDGS INC COM |
| LLL# | L-3 COMMUNICATIONS HLDGS INC EX DISTRIB |
| LLNW | LIMELIGHT NETWORKS INC COM |
| LLTC | LINEAR TECHNOLOGY CORP COM |
| LLY | LILLY ELI & CO COM |
| LM | LEGG MASON INC COM |
| LMAT | LEMAITRE VASCULAR INC COM |
| LMC | LUNDIN MINING CORP COM |
| LMC\$ | Lundin Mining Corporation When Distributed |
| LMC.B | Liberty Media Corporation Series B Common Stock |
| LMCA | LIBERTY MEDIA CORP DELAWARE CL A |
| LMCAD | LIBERTY MEDIA CORP DELAWARE CL A |
| LMCAV | LIBERTY MEDIA CORP DELAWARE CL A |
| LMCB | LIBERTY MEDIA CORP DELAWARE CL B |
| LMCBD | LIBERTY MEDIA CORP DELAWARE CL B |
| LMCBV | LIBERTY MEDIA CORP DELAWARE CL B |
| LMDAV | Liberty Media Corporation - Series A Liberty Entertainment When Issued |
| LMDBV | Liberty Media Corporation - Series B Liberty Entertainment When Issued |
| LM DIA | LIBERTY MEDIA CORP NEW ENT COM SER A |
| LM DIB | LIBERTY MEDIA CORP NEW ENT COM SER B |
| LMI | LEGG MASON INC CORP UNIT |
| LMIA | LMI AEROSPACE INC COM |
| LMLP | LML PMT SYS INC COM |
| LMNR | LIMONEIRA CO COM |
| LMNX | LUMINEX CORP DEL COM |
| LMOS | LUMOS NETWORKS CORP COM |
| LMOSV | LUMOS NETWORKS CORP COM |
| LMRA | Lumera Corporation - Common Stock |
| LMS | The Lamson & Sessions Co. Common Shares |
| LMT | LOCKHEED MARTIN CORP COM |
| LMZ | BANK AMER CORP LEV S&P500 12 |
| LNBB | LNB BANCORP INC COM |
| LNC | LINCOLN NATL CORP IND COM |
| LNC# | Lincoln National Corporation Common Stock |
| LNC+ | LINCOLN NATL CORP IND WT EXP 071019 |
| LNC- | LINCOLN NATL CORP IND PFD A CONV \$3 |
| LNC.* | LINCOLN NATL CORP IND PFD A CONV \$3 |
| LNC-F | LINCOLN NATL CAP VI PFD TR F 6.75% |
| LNC-F* | LINCOLN NATL CAP VI PFD TR F 6.75% |
| LNC-G | LINCOLN NATL CORP IND CAP SECS 2066 |

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| LNC-G* | LINCOLN NATL CORP IND CAP SECS 2066 |
| LNC-V | Lincoln National Capital V 7.65% Trust Preferred Securities Series E |
| LNC-V* | Lincoln National Capital V 7.65% Trust Preferred Securities Series E |
| LNCB | Lincoln Bancorp - Common Stock |
| LNCE | SNYDERS-LANCE INC COM |
| LNCO | LINNCO LLC COMSHS LTD INT |
| LNCR | LINCARE HLDGS INC COM |
| LND | BRASILAGRO BRAZILIAN AGRIC REA SPONSORED ADR |
| LNDC | LANDEC CORP COM |
| LNDU | MERRILL LYNCH & CO INC NT LK DOW 2009 |
| LNET | LODGENET INTERACTIVE CORP COM |
| LNG | CHENIERE ENERGY INC COM NEW |
| LNKD | LINKEDIN CORP COM CL A |
| LNN | LINDSAY CORP COM |
| LNOP | LanOptics Ltd. - Ordinary Shares |
| LNT | ALLIANT ENERGY CORP COM |
| LNUX | GEEKNET INC COM |
| LNX | Lenox Group Inc. Common Stock |
| LNYS | LANDRYS RESTAURANTS INC COM |
| LO | LORILLARD INC COM |
| LO# | Lorillard Inc. Common Stock \$0.01 Par Value |
| LOAN | MANHATTAN BRIDGE CAPITAL INC COM |
| LOCK | LIFELock INC COM |
| LOCM | LOCAL CORP COM |
| LODE | COMSTOCK MNG INC COM |
| LOGC | LOGIC DEVICES INC COM |
| LOGI | LOGITECH INTL S A SHS |
| LOGM | LOGMEIN INC COM |
| LOJN | LO-JACK CORP COM |
| LON | LONCOR RESOURCES INC COM |
| LONG | ELONG INC SPONSORED ADR |
| LOOK | LOOKSMART LTD COM NEW |
| LOOP | LOOPNET INC COM |
| LOPE | GRAND CANYON ED INC COM |
| LOR | LAZARD WORLD DIVID & INCOME FD COM |
| LORL | LORAL SPACE & COMMUNICATNS INC COM |
| LOUD | Loudeye Corporation - Common Stock |
| LOUDD | Loudeye Corporation - Common Stock |
| LOV | SPARK NETWORKS INC COM |
| LOW | LOWES COS INC COM |
| LOW# | Lowe's Companies Inc. Common Stock |
| LPA | LaPolla Industries Inc |
| LPAL | CREDIT SUISSE NASSAU BRH 2X LONG PALLAD |
| LPDX | LIPOSCIENCE INC COM |
| LPH | LONGWEI PETROLEUM INV HLDG LTD COM |
| LPHI | LIFE PARTNERS HOLDINGS INC COM |
| LPI | LAREDO PETE HLDGS INC COM |
| LPL | LG DISPLAY CO LTD SPONS ADR REP |
| LPLA | LPL FINL HLDGS INC COM |
| LPLT | CREDIT SUISSE NASSAU BRH 2X LONG PLATIN |
| LPMA | Lipman Electronic Engineering Ltd. - Ordinary Shares |
| LPNT | LIFEPOINT HOSPITALS INC COM |
| LPR | LONE PINE RES INC COM |
| LPR# | LONE PINE RES INC WHEN ISSUED |
| LPS | LENDER PROCESSING SVCS INC COM |
| LPS# | LENDER PROCESSING SVCS INC COM |
| LPSB | LAPORTE BANCORP INC MD COM |
| LPSBD | LAPORTE BANCORP INC MD COM |
| LPSN | LIVEPERSON INC COM |
| LPTH | LIGHTPATH TECHNOLOGIES INC CL A NEW |
| LPTN | LPATH INC COM NEW |

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| LPX | LOUISIANA PAC CORP COM |
| LQ | QUINENCO S.A. American Depositary Shares (Each representing 10 shares of Common Stock) |
| LQD | ISHARES TR IBOXX INV CPBD |
| LQDT | LIQUIDITY SERVICES INC COM |
| LQI | LA QUINTA CORP PAIRED |
| LQI- | La Quinta Properties Inc. Depositary Shares (Each representing 1/10th of a share of 9% Series A Cumulative Redeemable Preferred Stock) |
| LQU | Quilmes Industrial (Quinsa) Societe Anonyme (New) American Depositary Shares (Each representing two class B common shares) |
| LR | Lafarge American Depositary Shares (Each representing 1/4th of an ordinary share) |
| LRAD | LRAD CORP COM |
| LRCX | LAM RESEARCH CORP COM |
| LRE | LRR ENERGY LP COM |
| LRN | K12 INC COM |
| LRNSE | Excelligence Learning Corporation Common Stock |
| LRP | LEGACY HEALTHCARE PPTYS TR INC COM |
| LRT | LL & E RTY TR UNIT BEN INT |
| LRW | Labor Ready Inc. Common Stock |
| LRY | LIBERTY PPTY TR SH BEN INT |
| LSB | TIERS PRINCIPAL PROTECTD |
| LSBCD | LARGE SCALE BIOL NEW |
| LSBI | LSB FINL CORP COM |
| LSBK | LAKE SHORE BANCORP INC COM |
| LSBX | LSB CORP COM |
| LSC | HSBC USA INC S&P CTI ETN 23 |
| LSCC | LATTICE SEMICONDUCTOR CORP COM |
| LSCO | LESCO Inc. - Common Stock |
| LSCP | Laserscope - Common Stock |
| LSE | CAPLEASE INC COM |
| LSE-A | CAPLEASE INC PFD SER A |
| LSE-B | CAPLEASE INC PFD B 8.375% |
| LSE-C | CAPLEASE INC PFD SER C 7.25% |
| LSG | LAKE SHORE GOLD CORP COM |
| LSI | LSI CORPORATION COM |
| LSKY | UBS AG LONDON BRH 2XLV ISE CLOUD |
| LSM | MORGAN STANLEY SPARQS |
| LSO | Credit Suisse |
| LSON | Light Sciences Oncology Inc. - Common Stock |
| LSQ.B | Lehman Brothers |
| LSQ.C | Lehman Brothers Holdings Inc. |
| LSQ.D | Lehman Brothers Holdings Inc. |
| LSR | LIFE SCIENCES RESH INC COM |
| LSS | Lone Star Technologies Inc. Common Stock |
| LSTAD | LIBERTY MEDIA CORPORATION LIB STAR COM A |
| LSTAV | LIBERTY MEDIA CORP NEW LIB STAR COM A |
| LSTBD | LIBERTY MEDIA CORPORATION LIB STAR COM B |
| LSTBV | LIBERTY MEDIA CORP NEW LIB STAR COM B |
| LSTK | BARCLAYS BK PLC IPTH LIVESTK |
| LSTR | LANDSTAR SYS INC COM |
| LSTZA | LIBERTY MEDIA CORPORATION LIB STAR COM A |
| LSTZB | LIBERTY MEDIA CORPORATION LIB STAR COM B |
| LSV | SOUND SURGICAL |
| LTBG | Lightbridge Inc. - Common Stock |
| LTBR | LIGHTBRIDGE CORP COM |
| LTC | LTC PPTYS INC COM |
| LTC-E | LTC PPTYS INC PFD E CV 8.5% |
| LTC-E* | LTC PPTYS INC PFD E CV 8.5% |
| LTC-F | LTC PPTYS INC PFD SER F |
| LTC-F* | LTC PPTYS INC PFD SER F |
| LTD | L BRANDS INC COM |
| LTEC | LOUD Technologies Inc. - Common Stock |

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| LTL | PROSHARES TR PSHS UL TELE ETF |
| LTM | LIFE TIME FITNESS INC COM |
| LTON | LINKTONE LTD ADR |
| LTPZ | PIMCO ETF TR 15+ YR US TIPS |
| LTR | Loews Corporation Common Stock |
| LTR# | Loews Corporation Common Stock |
| LTR\$ | Loews Corporation Common Stock |
| LTRE | LEARNING TREE INTL INC COM |
| LTRX | LANTRONIX INC COM NEW |
| LTRXD | LANTRONIX INC COM NEW |
| LTS | LADENBURG THALMAN FIN SVCS INC COM |
| LTS-A | LADENBURG THALMAN FIN SVCS INC PFD SER A % |
| LTXC | LTX-CREDENCE CORP COM NEW |
| LTXCD | LTX-CREDENCE CORP COM NEW |
| LTXX | LTX Corporation - Common Stock |
| LU | Lucent Technologies Inc. Common Stock |
| LUB | LUBYS INC COM |
| LUCA | LUCA TECHNOLOGIES INC COM |
| LUFK | LUFKIN INDS INC COM |
| LUK | LEUCADIA NATL CORP COM |
| LULU | LULULEMON ATHLETICA INC COM |
| LULUV | lululemon athletica inc. - Common Stock |
| LUM | Luminent Mortgage Capital Inc. Common Stock |
| LUNA | LUNA INNOVATIONS COM |
| LUV | SOUTHWEST AIRLS CO COM |
| LUX | LUXOTTICA GROUP S P A SPONSORED ADR |
| LVB | STEINWAY MUSICAL INSTRS INC COM |
| LVL | CLAYMORE EXCHANGE TRD FD TR GUG S&PG DIV OPP |
| LVLT | LEVEL 3 COMMUNICATIONS INC COM NEW |
| LVNAR | LIBERTY INTERACTIVE CORP RT |
| LVNTA | LIBERTY INTERACTIVE CORP LBT VENT COM A |
| LVNTB | LIBERTY INTERACTIVE CORP LBT VENT COM B |
| LVOL | RUSSELL EXCHANGE TRADED FDS TR 1000 LOW VOLAT |
| LVS | LAS VEGAS SANDS CORP COM |
| LVWR | LIVEWIRE MOBILE INC COM NEW |
| LWAY | LIFEWAY FOODS INC COM |
| LWC | SPDR SERIES TRUST LNG TRM CORP BD |
| LWPE | RUSSELL EXCHANGE TRADED FDS TR LOW P/E ETF |
| LWSN | LAWSON SOFTWARE INC NEW COM |
| LXA | LCA GROUP INC |
| LXBK | LSB Bancshares Inc. - Common Stock |
| LXFR | LUXFER HLDGS PLC SPONSORED ADR |
| LXK | LEXMARK INTL NEW CL A |
| LXP | LEXINGTON REALTY TRUST COM |
| LXP-B | LEXINGTON REALTY TRUST PFD B 8.05% |
| LXP-B* | LEXINGTON REALTY TRUST PFD B 8.05% |
| LXP-C | LEXINGTON REALTY TRUST PFD CONV SER C |
| LXP-D | LEXINGTON RLTY TR PFD D 7.55% |
| LXP-D* | LEXINGTON RLTY TR PFD D 7.55% |
| LXRX | LEXICON PHARMACEUTICALS INC COM |
| LXU | LSB INDS INC COM |
| LYB | LYONDELLBASELL INDUSTRIES N V SHS - A - |
| LYB.B | LYONDELLBASELL INDUSTRIES N V SHS - B - |
| LYG | LLOYDS BANKING GROUP PLC SPONSORED ADR |
| LYG-A | LLOYDS BANKING GROUP PLC PINES 7.75%50 |
| LYO | Lyondell Chemical Company Common Stock |
| LYTS | LSI INDS INC COM |
| LYV | LIVE NATION ENTERTAINMENT INC COM |
| LYV# | CCE SPINCO INC WI |
| LZ | LUBRIZOL CORP COM |
| LZB | LA Z BOY INC COM |

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| LZEN | LIZHAN ENVIRONMENTAL CORP SHS |
| LZR | EMERGENT GROUP INC NEV COM NEW |
| M | MACYS INC COM |
| MA | MASTERCARD INC CL A |
| MAA | MID-AMER APT CMNTYS INC COM |
| MAA-F | Mid-America Apartment Communities Inc. 9 1/4 % Series F Cumulative Redeemable Preferred Stock |
| MAA-F* | Mid-America Apartment Communities Inc. 9 1/4 % Series F Cumulative Redeemable Preferred Stock |
| MAA-H | MID-AMER APT CMNTYS INC PFD H 8.3% |
| MAA-H* | MID-AMER APT CMNTYS INC PFD H 8.3% |
| MAAL | MARKETING ALLIANCE INC COM |
| MAB | EATON VANCE MASS MUN BD FD COM |
| MAC | MACERICH CO COM |
| MACC | MACC PRIVATE EQUITIES INC COM |
| MACE | MACE SEC INTL INC COM NEW |
| MACK | MERRIMACK PHARMACEUTICALS INC COM |
| MAD | MADECO SA SPONS ADR NEW |
| MAF | PIMCO MUN ADVANTAGE FD INC COM |
| MAFB | MAF Bancorp Inc. - Common Stock |
| MAG | MAGNETEK INC COM NEW |
| MAGS | MAGAL SECURITY SYS LTD ORD |
| MAIL | INCREDIMAIL LTD SHS |
| MAIN | MAIN STREET CAPITAL CORP COM |
| MAIR | MAIR Holdings Inc. - Common Stock |
| MAJC | MAJESTIC CAPITAL LTD SHS |
| MAJCD | MAJESTIC CAPITAL LTD SHS |
| MAKO | MAKO SURGICAL CORP COM |
| MALL | PC MALL INC COM |
| MAM | MAINE & MARITIMES CORP COM |
| MAMA | Mamma.com Inc - Common Stock |
| MAMS | MAM SOFTWARE GROUP INC COM NEW |
| MAN | MANPOWERGROUP INC COM |
| MANA | Manatron Inc. - Common Stock |
| MANH | MANHATTAN ASSOCS INC COM |
| MANT | MANTECH INTL CORP CL A |
| MANU | MANCHESTER UTD PLC NEW ORD CL A |
| MAO | MERRILL LYNCH & CO INC NT MSCI EAFE09 |
| MAO* | MORGAN STANLEY SPARQ MON 8%08 |
| MAPP | MAP PHARMACEUTICALS INC COM |
| MAPS | MapInfo Corporation - Common Stock |
| MAQ | Marathon Acquisition Corp |
| MAQ+ | Marathon Acquisition Corp |
| MAQ= | Marathon Acquisition Corp |
| MAR | MARRIOTT INTL INC NEW CL A |
| MAR# | MARRIOTT INTL INC NEW EX DISTRIB WI |
| MARK | REMARK MEDIA INC COM |
| MARPS | MARINE PETE TR UNIT BEN INT |
| MARSA | Marsh Supermarkets Inc. - Class A Common Stock |
| MARSB | Marsh Supermarkets Inc. - Class B Common Stock |
| MAS | MASCO CORP COM |
| MASB | MASSBANK Corp. - Common Stock |
| MASC | MATERIAL SCIENCES CORP COM |
| MASI | MASIMO CORP COM |
| MAT | MATTEL INC COM |
| MATH | ADVISORSHARES TR MEIDELL TCT AD |
| MATHD | MATHSTAR INC COM NEW |
| MATK | MARTEK BIOSCIENCES CORP COM |
| MATL | DIREXION SHS ETF TR BAS MAT BULL3X |
| MATR | MATTERSIGHT CORP COM |
| MATS | DIREXION SHS ETF TR BAS MAT BEAR3X |
| MATV | Matav-Cable Systems Media Ltd. - American Depositary Shares |
| MATW | MATTHEWS INTL CORP CL A |

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| MATX | MATSON INC COM |
| MATX# | MATSON INC COM |
| MAV | PIONEER MUN HIGH INCOME ADV TR COM |
| MAW | INTRA ASIA ENTMT CORP |
| MAX | |
| MAXC | MAXCO INC COM |
| MAXE | MAXWELL RES INC NEV COM |
| MAXM | MAXIM PHARMACEUTIC## |
| MXY | MXYGEN INC COM |
| MAY | MALAYSIA FD INC COM |
| MAYS | MAYS J W INC COM |
| MBA | CIBT EDUCATION GROUP INC COM |
| MBAY | MEDIABAY INC COM NEW |
| MBB | ISHARES TR BARCLYS MBS BD |
| MBC | CITIGROUP FDG INC 3% PPN RUS2000 |
| MBE* | MBIA Inc. 8% Public Income NotES(PINES) due December 15 2040 |
| MBF | CITIGROUP FDG INC CPN3% S&PMID14 |
| MBFI | MB FINANCIAL INC NEW COM |
| MBFIP | MB Financial Inc. - MB Financial Capital Trust I -8.60% Cumulative Trust Preferred Securities |
| MBG | SPDR SERIES TRUST BRC MTG BCKD BD |
| MBH | MBF HEALTHCARE ACQUISITION CRP COM |
| MBH+ | MBF HEALTHCARE ACQUISITION CRP WT EXP 041611 |
| MBH= | MBF HEALTHCARE ACQUISITION CRP UNIT |
| MBHI | MIDWEST BANC HOLDINGS INC COM |
| MBHIP | MIDWEST BANC HOLDINGS INC PFD CONV A |
| MBI | MBIA INC COM |
| MBIS | MEDIABISTRO INC COM |
| MBJ | MORGAN STANLEY STARS 8% 2010 |
| MBK | MORGAN STANLEY BRIDGES 083009 |
| MBL | BANK AMER CORP MITTS IDX DJ13 |
| MBLA | National Mercantile Bancorp - Common Stock |
| MBLX | METABOLIX INC COM |
| MBND | MULTIBAND CORP COM NEW |
| MBNDD | Multiband Corporation - Common Stock |
| MBP | Mid Penn Bancorp Inc |
| MBR | MERCANTILE BANCORP INC ILL COM |
| MBRG | MIDDLEBURG FINANCIAL CORP COM |
| MBRK | MIDDLEBROOK PHARMACEUTICAL INC COM |
| MBRX | METABASIS THERAPEUTICS INC COM |
| MBS | MORGAN STANLEY STRAT EX IDX09 |
| MBT | MOBILE TELESYSTEMS OJSC SPONSORED ADR |
| MBTF | MBT FINL CORP COM |
| MBVA | Millennium Bankshares Corporation - Common Stock |
| MBVT | MERCHANTS BANCSHARES COM |
| MBWM | MERCANTILE BANK CORP COM |
| MC | Matsushita Electric Industrial Co. Ltd. American Depositary Shares (Each representing One share of Common Stock) |
| MCA | BLACKROCK MUNIYIELD CALI QLTY COM |
| MCB | MORGAN STANLEY BRIDGES 073009 |
| MCBC | MACATAWA BK CORP COM |
| MCBF | MONARCH CMNTY BANCORP INC COM |
| MCBI | METROCORP BANCSHARES INC COM |
| MCBK | MADISON CNTY FINL INC COM |
| MCC | MEDLEY CAP CORP COM |
| MCCC | MEDIACOM COMMUNICATIONS CORP CL A |
| MCD | MCDONALDS CORP COM |
| MCD\$ | McDonald's Corporation Common Stock |
| MCDT | McDATA Corporation - Class B Common Stock |
| MCDTA | McDATA Corporation - Class A Common Stock |
| MCEL | Millennium Cell Inc. - Common Stock |
| MCEP | MID CON ENERGY PARTNERS LP COM UNIT REPST |

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| MCF | CONTANGO OIL & GAS COMPANY COM NEW |
| MCG | Claymore Exchange-Traded Fund Trust |
| MCGC | MCG CAPITAL CORP COM |
| MCGCR | MCG Capital Corporation - Rights to Purchase Common Stock -- 1 right exercisable for 1 share of Common Stock; one right issued for every 7 shares of common stock held |
| MCHI | ISHARES TR MSCI CHINA IDX |
| MCHP | MICROCHIP TECHNOLOGY INC COM |
| MCHX | MARCHEX INC CL B |
| MCHXP | Marchex Inc. - Convertible Exchangeable Preferred Stock |
| MCI | BABSON CAP CORPORATE INVS COM |
| MCIP | MCI INC |
| MCK | MCKESSON CORP COM |
| MCM | Controladora Comercial Mexicana S.A. de C.V. Global Depository Shares (Each representing 20 Units each of which consists of three Series B Shares and one Series C Share) |
| MCN | MADISON CVRED CALL & EQ STR FD COM |
| MCO | MOODYS CORP COM |
| MCOX | MECOX LANE LIMITED SPON ADR REP 35 |
| MCP | MOLYCORP INC DEL COM |
| MCP-A | MOLYCORP INC DEL PFD CONV SER A |
| MCQ | MEDLEY CAP CORP SR NT |
| MCR | MFS CHARTER INCOME TR SH BEN INT |
| MCRI | MONARCH CASINO & RESORT INC COM |
| MCRL | MICREL INC COM |
| MCRO | INDEXIQ ETF TR HDG MACTRK ETF |
| MCRS | MICROS SYS INC COM |
| MCS | MARCUS CORP COM |
| MCU | Medicare Inc |
| MCV | MEDLEY CAP CORP SR NT 23 |
| MCX | MC Shipping Inc |
| MCY | MERCURY GENL CORP NEW COM |
| MCZ | MAD CATZ INTERACTIVE INC COM |
| MD | MEDNAX INC COM |
| MDAS | MEDASSETS INC COM |
| MDC | M D C HLDGS INC COM |
| MDCA | MDC PARTNERS INC CL A SUB VTG |
| MDCC | Molecular Devices Corporation - Common Stock |
| MDCI | MEDICAL ACTION INDS INC COM |
| MDCO | MEDICINES CO COM |
| MDCV | MedicalCV Inc. - Common Stock |
| MDD | SPDR INDEX SHS FDS S&PINTL MC ETF |
| MDF | METROPOLITAN HEALTH NETWORKS COM |
| MDG | Meridian Gold Inc. Common Share |
| MDGN | MEDGENICS INC COM NEW |
| MDGN+ | MEDGENICS INC WT EXP 033116 |
| MDH | MHI HOSPITALITY CORP COM |
| MDII | MDI Inc. - Common Stock |
| MDIV | FIRST TR EXCHANGE TRADED FD VI MULTI ASSET DI |
| MDJ | MERRILL LYNCH & CO PFD |
| MDLK | MEDIALINK WORLDWIDE INC COM |
| MDLZ | MONDELEZ INTL INC CL A |
| MDLZV | MONDELEZ INTL INC COM |
| MDM | MOUNTAIN PROV DIAMONDS INC COM NEW |
| MDMD | MEDIAMIND TECHNOLOGIES INC COM |
| MDNU | MEDICAL NUTRITION USA INC COM |
| MDP | MEREDITH CORP COM |
| MDQ= | MADISON SQUARE CAPITAL INC UNIT EX 000011 |
| MDR | MCDERMOTT INTL INC COM |
| MDR# | MCDERMOTT INTL INC EX DISTRIB/WI |
| MDRX | ALLSCRIPTS HEALTHCARE SOLUTNS COM |
| MDRXD | ALLSCRIPT MISYS HEALTCAR SOLNS COM |
| MDS | MIDAS GROUP INC COM |

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| MDSO | MEDIDATA SOLUTIONS INC COM |
| MDST | MINDESTA INC COM |
| MDT | MEDTRONIC INC COM |
| MDTC | MediaTech Investment Corp. - Common Stock |
| MDTH | MEDCATH CORP COM |
| MDTL | MEDIS TECHNOLOGIES LTD COM |
| MDU | MDU RES GROUP INC COM |
| MDU# | MDU Resources Group Inc. Common Stock |
| MDV | Medivation Inc |
| MDVN | MEDIVATION INC COM |
| MDW | MIDWAY GOLD CORP COM |
| MDWV | Medwave Inc. - Common Stock |
| MDXG | MIMEDX GROUP INC COM |
| MDY | SPDR S&P MIDCAP 400 ETF TR UTSER1 S&PDCRP |
| MDYG | SPDR SERIES TRUST S&P 400 MDCP GRW |
| MDYV | SPDR SERIES TRUST S&P 400 MDCP VAL |
| MDZ | MDS INC COM |
| ME | MARINER ENERGY INC COM |
| ME# | MARINER ENERGY INC |
| MEA | METALICO INC COM |
| MEAD | MEADE INSTRUMENTS CORP COM NEW |
| MEADD | MEADE INSTRUMENTS CORP COM NEW |
| MEAS | MEASUREMENT SPECIALTIES INC COM |
| MECA | Magna Entertainment Corporation - Class A Subordinate Voting Stock |
| MECAD | MAGNA ENTMT CORP SUB VTG CL A NEW |
| MED | MEDIFAST INC COM |
| MEDC | Med-Design Corporation (The) - Common Stock |
| MEDE | MEDecision Inc. - Common Stock |
| MEDH | MEDQUIST HLDGS INC COM |
| MEDI | MedImmune Inc. - Common Stock |
| MEDQ | MEDQUIST INC COM |
| MEDW | MEDIWARE INFORMATION SYS INC COM |
| MEDX | MEDAREX INC COM |
| MEE | MASSEY ENERGY COMPANY COM |
| MEET | MEETME INC COM |
| MEG | MEDIA GEN INC CL A |
| MEH | Midwest Air Group Inc |
| MEI | METHODE ELECTRS INC COM |
| MEIL | METHES ENERGIES INTL LTD COM |
| MEILU | METHES ENERGIES INTL LTD UNIT 1 101217 |
| MEILW | METHES ENERGIES INTL LTD WT A EX 101217 |
| MEILZ | METHES ENERGIES INTL LTD WT B EX 101217 |
| MEIP | MEI PHARMA INC COM NEW |
| MEJ | SANTA MONICA MEDIA CORP COM |
| MEJ+ | SANTA MONICA MEDIA CORP WT EX 032711 |
| MEJ= | SANTA MONICA MEDIA CORP UNIT |
| MEK | Metrotek Technology Inc |
| MEL | Mellon Financial Corporation Common Stock |
| MELA | MELA SCIENCES INC COM |
| MELI | MERCADOLIBRE INC COM |
| MEM | MCF Corp |
| MEMP | MEMORIAL PRODTN PARTNERS LP COM U REP LTD |
| MEMS | MEMSIC INC COM |
| MEMY | Memory Pharmaceuticals Corp. - Common Stock |
| MEN | BLACKROCK MUNIENHANCED FD INC COM |
| MEND | MICRUS-ENDOVASCULAR CORP COM |
| MENT | MENTOR GRAPHICS CORP COM |
| MEOH | METHANEX CORP COM |
| MER | MERRILL LYNCH & CO INC COM |
| MER# | Merrill Lynch & Co. Inc. Common Stock |
| MER-B | Merrill Lynch Preferred Capital Trust 1 7 3/4% Trust Originated Preferred Securities (TOPrs) |

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| MER-B* | Merrill Lynch Preferred Capital Trust I 7 3/4% Trust Originated Preferred Securities (TOPrS) |
| MER-C | Merrill Lynch Preferred Capital Trust II 8% Trust Originated Preferred Securities (TOPrS) |
| MER-C* | Merrill Lynch Preferred Capital Trust II 8% Trust Originated Preferred Securities (TOPrS) |
| MER-D | MERRILL LYNCH PFD CAP TR III TOPRS 7% |
| MER-E | MERRILL LYNCH PFD CAP TR IV TOPRS |
| MER-F | MERRILL LYNCH PFD CAP TR V TOPRS 7.28% |
| MER-G | MERRILL LYNCH & CO DEPOSITARY SHARES |
| MER-H | MERRILL LYNCH & CO. DPSTRY SHRS (1/1200TH INTERST IN SHR OF FLTNG RT NON-CUM PRFRD STCK SER2) |
| MER-I | MERRILL LYNCH & CO INC PFD 1/1200SER3 |
| MER-J | ML DEP. SHRS. (1/1200TH INT. IN SHARE OF FLOATING RATE NON-CUM. PRFRD. STOCK SER. 4) |
| MER-K | MERRILL LYNCH CAP TR I GTD CAP 6.45% |
| MER-L | MERRILL LYNCH & CO DEP SHS SER 5 |
| MER-M | MERRILL LYNCH CAP TR II PFD GDR TR |
| MER-N | MERRILL LYNCH & CO INC PFD SR 6 6.7% |
| MER-O | MERRILL LYNCH & CO INC PFD SR 7 6.25% |
| MER-P | MERRILL LYNCH CAP TR III PFD GTD TR2062 |
| MER-Q | MERRILL LYNCH & CO. |
| MERB | Merrill Merchants Bancshares Inc. - Common Stock |
| MERC | MERCER INTL INC COM |
| MERCS | Mercer International Inc. - Shares of Beneficial Interest |
| MERQE | MERCURY INTERACT ## |
| MERR | MERRIMAN HLDGS INC COM |
| MERRD | MERRIMAN HLDGS INC COM |
| MERU | MERU NETWORKS INC COM |
| MERX | MERIX CORP COM |
| MES | MARKET VECTORS ETF TR GULF STS ETF |
| MESA | MESA AIR GROUP INC COM |
| MET | METLIFE INC COM |
| MET\$ | MetLife Inc. Common Stock |
| MET-A | METLIFE INC PFD A FLT RATE |
| MET-B | METLIFE INC PFD B 6.50 |
| METH | Methode Electronics Inc. - Common Stock |
| METR | METRO BANCORP INC PA COM |
| MEU | METLIFE INC COM EQ UT6.375 |
| MEXS | GLOBAL X FDS GLB X MEX SMCP |
| MF | MF GLOBAL HLDGS LTD COM |
| MFA | MFA FINL INC COM |
| MFA-A | MFA FINL INC PFD A 8.50% |
| MFA-A* | MFA FINL INC PFD A 8.50% |
| MFA-B | MFA FINL INC PFD SER B |
| MFB | MAIDENFORM BRANDS INC COM |
| MFBC | MFB Corp. - Common Stock |
| MFC | MANULIFE FINL CORP COM |
| MFCO | MICROWAVE FILTER CO INC COM |
| MFD | MACQUARIE FT TR GB INF UT DIV COM |
| MFE | MCAFFEE INC COM |
| MFG | MIZUHO FINL GROUP INC SPONSORED ADR |
| MFI | MICROFINANCIAL INC COM |
| MFL | BLACKROCK MUNIHLDs INVSTM QLTY COM |
| MFLA | BARCLAYS BK PLC EAFE 3X LNG |
| MFLO | Moldflow Corporation - Common Stock |
| MFLR | MAYFLOWER BANCORP INC COM |
| MFLX | MULTI FINELINE ELECTRONIX INC COM |
| MFM | MFS MUN INCOME TR SH BEN INT |
| MFN | MINEFINDERS CORP LTD COM |
| MFNC | MACKINAC FINL CORP COM |
| MFO | MFA FINL INC SR NT 42 |
| MFP | MORGAN STANLEY PLUS PHLX INDX |
| MFR | MFRESIDENTIAL INVESTMENTS INC |
| MFRI | MFRI INC COM |
| MFRM | MATTRESS FIRM HLDG CORP COM |

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| MFSA | BARCLAYS BK PLC MSCI EAFE SH ETN |
| MFSF | MUTUALFIRST FINL INC COM |
| MFT | BLACKROCK MUNIYLD INVST QLTY COM |
| MFV | MFS SPL VALUE TR SH BEN INT |
| MFW | M & F WORLDWIDE CORP COM |
| MFY | MERRILL LYNCH & CO INC NT BABY BMR 11 |
| MG | MISTRAS GROUP INC COM |
| MGA | MAGNA INTL INC COM |
| MGAM | MULTIMEDIA GAMES HLDG CO INC COM |
| MGB | MORGAN STANLEY GBL OPP BOND FD COM |
| MGC | VANGUARD WORLD FD MEGA CAP INDEX |
| MGCD | MGC DIAGNOSTICS CORP COM |
| MGE.A | Morgan Stanley |
| MGEE | MGE ENERGY INC COM |
| MGF | MFS GOVT MKTS INCOME TR SH BEN INT |
| MGFS | MFS Government Markets Income Trust Common Shares of Beneficial Interest |
| MGG | MAGELLAN MIDSTREAM HLDGS LP COM LP INTS |
| MGH | MINCO GOLD CORPORATION COM |
| MGH# | Minco Gold Corporation When Issued |
| MGI | MONEYGRAM INTL INC COM NEW |
| MGIC | MAGIC SOFTWARE ENTERPRISES LTD ORD |
| MGJ | BANK AMER CORP MITTS SP500 14 |
| MGK | VANGUARD WORLD FD MEGA GRWTH IND |
| MGLN | MAGELLAN HEALTH SVCS INC COM NEW |
| MGM | MGM RESORTS INTERNATIONAL COM |
| MGM\$ | MGM MIRAGE Common Stock |
| MGN | MINES MGMT INC COM |
| MGP | Merchants Group Inc |
| MGPI | MGP INGREDIENTS INC NEW COM |
| MGR | AFFILIATED MANAGERS GROUP SR NT 42 |
| MGRC | MCGRATH RENTCORP COM |
| MGRM | MONOGRAM BIOSCIENCES INC COM NEW |
| MGRMD | MONOGRAM BIOSCIENCES INC COM NEW |
| MGS | METROGAS INC SPON ADR B |
| MGT | MGT CAPITAL INVTS INC COM NEW |
| MGU | MACQUARIE GLBL INFRA TOTL RETN COM |
| MGV | VANGUARD WORLD FD MEGA CAP VAL ETF |
| MGYR | MAGYAR BANCORP INC COM |
| MH-A | MAIDEN HOLDINGS LTD PREF SHS SER A |
| MHA | Manhattan Pharmaceuticals Inc |
| MHC | CITIGROUP FDG INC 2%CPN S&P500 14 |
| MHD | BLACKROCK MUNIHOLDINGS FD INC COM |
| MHE | MASSACHUSETTS HEALTH & ED TXEX SH BEN INT |
| MHF | WESTERN ASSET MUN HI INCM FD COM |
| MHFI | MCGRAW HILL FINL INC COM |
| MHG | AB SVENSK EXPORTKREDIT RTN S&P MID 09 |
| MHGC | MORGANS HOTEL GROUP CO COM |
| MHGCR | MORGANS HOTEL GROUP CO RT |
| MHH | MASTECH HOLDINGS INC COM |
| MHH# | MASTECH HOLDINGS INC COM |
| MHI | PIONEER MUN HIGH INCOME TR COM SHS |
| MHJ | MAN SANG INTERNATIONAL B V I L SHS |
| MHK | MOHAWK INDS INC COM |
| MHL | MORTGAGEIT HOLDINGS INC |
| MHLD | MAIDEN HOLDINGS LTD SHS |
| MHM | BANK AMER CORP MITTS S&P500 15 |
| MHN | BLACKROCK MUNIHLDGS NY QLTY FD COM |
| MHNA | MAIDEN HLDGS NORTH AMER LTD PFD |
| MHNB | MAIDEN HLDGS NORTH AMER LTD GTD NT 42 |
| MHO | M/I HOMES INC COM |
| MHO-A | M/I HOMES INC PFD 1/1000 A |

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| MHP | MCGRAW HILL FINL INC COM |
| MHR | MAGNUM HUNTER RES CORP DEL COM |
| MHR-C | MAGNUM HUNTER RES CORP DEL PFD PRP C 10.25% |
| MHR-D | MAGNUM HUNTER RES CORP DEL CUM PFD-D 8% |
| MHR-E | MAGNUM HUNTER RES CORP DEL DEP 1/1000 PFD |
| MHS | MEDCO HEALTH SOLUTIONS INC COM |
| MHS# | Medco Health Solutions Inc. Common Stock \$.01 par value |
| MHT | MORGAN STANLEY MPS 061510 |
| MHU | Merrill Lynch |
| MHW | BANK AMER CORP MITTS DOW 15 |
| MHX | MeriStar Hospitality Corporation Common Stock |
| MHY | WESTERN ASSET MGD HI INCM FD COM |
| MI | MARSHALL & ILSLEY CORP NEW COM |
| MI# | Marshall & Ilsley Corporation Common Stock |
| MI-B | Marshall & Ilsley Corporation 6.50% Common SPACES |
| MIB | MORGAN STANLEY NT 4YRCAP 2010 |
| MIC | MACQUARIE INFRASTR CO LLC MEMBERSHIP INT |
| MICC | MILLICOM INTL CELLULAR S A SHS NEW |
| MICT | MICRONET ENERTEC TECH INC COM |
| MICTW | MICRONET ENERTEC TECH INC WT EXP 041518 |
| MID | MIDCAP INDEX XXX |
| MIDD | MIDDLEBY CORP COM |
| MIDU | DIREXION SHS ETF TR DLY MIDCAP ETF3X |
| MIDZ | DIREXION SHS ETF TR DLY MC BEAR3XNEW |
| MIE | COHEN & STEERS MLP INC & ENRGY COM SHS |
| MIF | MERRILL LYNCH & CO INC NT INDL 15 IND |
| MIG | MEADOWBROOK INS GROUP INC COM |
| MIGP | MERCER INS GROUP INC COM |
| MII | Microslet Inc |
| MIK | Michaels Stores Inc. Common Stock |
| MIKR | Mikron Infrared Inc. - Common Stock |
| MIL | MFC INDL LTD COM |
| MILL | MILLER ENERGY RES INC COM |
| MILL-C | MILLER ENERGY RES INC 10.75% PFD SER C |
| MIM | MI DEVS INC COM |
| MIN | MFS INTER INCOME TR SH BEN INT |
| MINC | ADVISORSHARES TR NEWFLT MULSINC |
| MIND | MITCHAM INDS INC COM |
| MINI | MOBILE MINI INC COM |
| MINT | PIMCO ETF TR ENHAN SHRT MAT |
| MION | MIRION TECHNOLOGIES INC COM |
| MIPI | MOLECULAR INSIGHT PHARM INC COM |
| MIPS | MIPS TECHNOLOGIES INC COM |
| MIR | MIRANT CORP NEW COM |
| MIR\$ | Mirant Corporation Common Stock |
| MIR+A | MIRANT CORP NEW WT A EX 010311 |
| MIR+B | MIRANT CORP NEW WT B EX 010311 |
| MIRWA | MIRANT CORP NEW WTS |
| MIRWB | MIRANT CORP NEW WTS |
| MIS | AB SVENSK EXPORTKREDIT ACC RTN MSCI09 |
| MITI | MICROMET INC COM |
| MITK | MITEK SYS INC COM NEW |
| MITL | MITEL NETWORKS CORP COM |
| MITSY | mitsui & co ltd adr |
| MITT | AG MTG INVT TR INC COM |
| MITT-A | AG MTG INVT TR INC 8.25% PFD SER A |
| MITT-B | AG MTG INVT TR INC PFD SER B 8.00% |
| MITY | MITY Enterprises Inc. - Common Stock |
| MIVA | MIVA INC COM |
| MIW | EATON VANCE MICH MUN BD FD COM |
| MIX | MERRILL LYNCH & CO INC STRIDES 10%XOM |

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| MIY | BLACKROCK MUNIYLD MICH QLTY FD COM |
| MJB | MSDW Structured Asset Corp. SATURNS IBM Corporation-Backed Series 2001-1 7.125% Callable Units due 12/1/2096 |
| MJC | CITIGROUP FDG INC 3%MIN CPN RUSS14 |
| MJD | MSDW Structured Asset Corp. SATURNS Citizens Communications Company Debenture-Backed Series 2001-2 Callable Units due October 1 2046 |
| MJE | MSDW Structured Asset Corp. SATURNS BellSouth Capital Debenture-Backed Series 2001-3 Callable Units due July 15 2097 |
| MJF | SATURNS CUMMINS ENGINE CO INC TR UN9.25%2098 |
| MJF* | SATURNS CUMMINS ENGINE CO INC TR UN9.25%2098 |
| MJH | SATURNS BANKAMERCA DB BK 01-06 TR UNIT 7.25% |
| MJI | BLACKROCK MUNIYIELD NJ QLTY FD COM |
| MJM | MSDW Structured Asset Corp. SATURNS SAFECO Capital Security Backed Series 2001-7 8.25% Callable Units |
| MJN | MEAD JOHNSON NUTRITION CO COM |
| MJO | MSDW Structured Asset Corp. SATURNS Aon Capital Security-Backed Series 2002-1 7.50% Class A Callable Units |
| MJP | MORGAN STANLEY MPS LKD NIKK |
| MJT | SATURNS DPL INC 2002-03 TR TR UT A 7.875% |
| MJT* | SATURNS DPL INC 2002-03 TR TR UT A 7.875% |
| MJV | SATURNS DPL CAP TR II SER 2004 TR UN A 8%2031 |
| MJV* | SATURNS DPL CAP TR II SER 2004 TR UN A 8%2031 |
| MJW | MSDW Structured Asset Corp. SATURNS SAFECO Capital Security-Backed Series 2002-5 8.25% Callable Units |
| MJX | MSDW Structured Asset Corp. SATURNS JP Morgan Chase Capital Security-Backed Series 2002-6 7.125% Class a Callable Units |
| MJY | SATURNS DPL CAP TR SER 2002-1 TR UNIT 7.875% |
| MJY* | SATURNS DPL CAP TR SER 2002-1 TR UNIT 7.875% |
| MJZ | MSDW Structured Asset Corp. SATURNS AT&T Wireless Debenture-Backed Series 2002-8 9.25% Callable Units |
| MKC | MCCORMICK & CO INC COM NON VTG |
| MKC.V | MCCORMICK & CO INC COM VTG |
| MKE | AB SVENSK EXPORTKREDIT LIRN MSCI 10 |
| MKF | BANK AMER CORP IDX S&P500 13 |
| MKH | MARKET 2000+ HOLDERS TR DEPOSITARY RCT |
| MKI | MERRILL LYNCH & CO INC NT MSCIERMG 10 |
| MKK | MSDW Structured Asset Corp. SATURNS CSFB USA Debenture-Backed Series 2002-10 7.00% Class A Callable Units |
| MKL | MARKEL CORP COM |
| MKN | CITIGROUP FDG INC DJ AIG COMMDTY |
| MKO | MERRILL LYNCH & CO INC MITTS DJ080709 |
| MKP | MERRILL LYNCH & CO INC MITTS S&P 09 |
| MKR.A | Merrill Lynch |
| MKS | SATURNS AMERN GEN INSTL CAP A TR UN A 6% 45 |
| MKSI | MKS INSTRUMENT INC COM |
| MKTAY | MAKITA CORP ADR NEW |
| MKTG | RESPONSYS INC COM |
| MKTO | MARKETO INC COM |
| MKTS | DIRECT MKTS HLDGS CORP COM |
| MKTX | MARKETAXESS HLDGS INC COM |
| MKTY | MECHANICAL TECHNOLOGY INC COM NEW |
| MKTYD | MECHANICAL TECHNOLOGY INC COM NEW |
| MKV | MARKEL CORP 7.5% SR DB 46 |
| MKV* | MARKEL CORP 7.5% SR DB 46 |
| MKY | MERRILL LYNCH & CO INC NT MSCI IDX 2009 |
| MKZ | CITIGROUP FDG INC DJCOMMD 3%CP14 |
| MLA | BANK AMER CORP MITTS S&P 13 |
| MLAB | MESA LABS INC COM |
| MLAN | Midland Company (The) - Common Stock |
| MLB | MERRILL LYNCH & CO INC MITTS DJ 2010 |
| MLD | Merrill Lynch |
| MLD.A | Merrill Lynch |
| MLEA | Millea Holdings Inc. ADR - American Depositary Shares |
| MLG | METLIFE INC SR NT 5.875% |
| MLHR | MILLER HERMAN INC COM |
| MLI | MUELLER INDS INC COM |

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| MLIN | Micro Linear Corporation - Common Stock |
| MLJ | MERRILL LYNCH & CO INC MITTS NIKKEI00 |
| MLM | MARTIN MARIETTA MATLS INC COM |
| MLMT | Merrill Lynch & Co. Inc. - S&P 500 Market Index Target-Term Securities (MITTS) |
| MLN | MARKET VECTORS ETF TR MKTVEC LMUNETF |
| MLNK | MODUSLINK GLOBAL SOLUTIONS INC COM |
| MLNM | Millennium Pharmaceuticals Inc. - Common Stock |
| MLNX | MELLANOX TECHNOLOGIES LTD SHS |
| MLP | MAUI LD & PINEAPPLE INC COM |
| MLPA | GLOBAL X FDS GLBL X MLP ETF |
| MLPG | UBS AG JERSEY BRH LKD ALRN NTGAS |
| MLPI | UBS AG JERSEY BRH ALERIAN INFRST |
| MLPJ | GLOBAL X FDS GLOBL X JR MLP |
| MLPL | UBS AG JERSEY BRANCH 2XMN ALR MLP INF |
| MLPN | CREDIT SUISSE NASSAU BRH ETN LKD 30 MLP |
| MLPS | UBS AG JERSEY BRH AG MNTH SHR EX |
| MLPW | UBS AG JERSEY BRANCH LNK WELLS FRGO |
| MLPY | MORGAN STANLEY CUSHNG MLP ETN |
| MLQ | Morgan Stanley |
| MLQ* | MORGAN STANLEY SPARQS LYON 9% |
| MLR | MILLER INDS INC TENN COM NEW |
| MLS | The Mills Corporation Common Stock |
| MLS-B | Mills Corporation The 9% Series B Cumulative Redeemable Preferred Stock (liquidation preference \$25.00 pershare) par value \$0.01 per share |
| MLS-C | Mills Corporation The 9.00% Series C Cumulative Redeemable Preferred Stock (Liquidation Preference \$25 Per Share) |
| MLS-E | Mills Corporation The 8.75% Series E Cumulative Redeemable Preferred Stock |
| MLS-G | Mills Corporation The Depository Shares (Each representing a 1/100th fractional interest in a share of 7.875% Series G Cumulative Redeemable Preferred Stock |
| MLU | METLIFE INC COM EQTY UNIT |
| MLV | MERRILL LYNCH & CO INC NT C VAL SL 30 |
| MLVF | MALVERN BANCORP INC COM |
| MLVFD | MALVERN BANCORP INC COM |
| MLW | MERRILL LYNCH & CO INC MITTS S&P 2009 |
| MM | MILLENNIAL MEDIA INC COM |
| MMA | Municipal Mortgage & Equity LLC Growth Shares |
| MMC | MARSH & MCLENNAN COS INC COM |
| MMCE | MMC ENERGY INC COM NEW |
| MMD | MAINSTAY DEFINEDTERM MN OPP FD COM |
| MMF | BANK AMER CORP MITTS DJIA 14 |
| MMG | METALLINE MINING INC COM |
| MMI | MOTOROLA MOBILITY HLDGS INC COM |
| MMI# | MOTOROLA MOBILITY HLDGS INC COM |
| MMK | Minco Mining and Metals Corporation |
| MML | MERRILL LYNCH & CO INC |
| MMLP | MARTIN MIDSTREAM PRTRNS L P UNIT L P INT |
| MMM | 3M CO COM |
| MMP | MAGELLAN MIDSTREAM PRTRNS LP COM UNIT RP LP |
| MMPI | Meruelo Maddux Properties Inc. - Common Stock |
| MMR | MCMORAN EXPLORATION CO COM |
| MMR-M | MCMORAN EXPLORATION CO PFD MAND CNV |
| MMS | MAXIMUS INC COM |
| MMSI | MERIT MED SYS INC COM |
| MMT | MFS MULTIMARKET INCOME TR SH BEN INT |
| MMTM | SPDR SER TR S&P1500MOMTILT |
| MMU | WESTERN ASST MNGD MUN FD INC COM |
| MMUS | MAKEMUSIC INC COM NEW |
| MMV | EATON VANCE MA MUNI INCOME TR SH BEN INT |
| MMW.A | Morgan Stanley |
| MMX+ | Montana Mills Bread Co Inc |
| MMXWS | MONTANA MILLS BREAD WTS |

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| MMY | CITIGROUP FDG INC 2%RUSSL2000 14 |
| MMYT | MAKEMYTRIP LIMITED MAURITIUS SHS |
| MN | MANNING & NAPIER INC CL A |
| MNA | INDEXIQ ETF TR IQ MRGR ARB ETF |
| MNC | MONACO COACH CORPORATION |
| MNCP | Motient Corporation - Common Stock |
| MNDL | MANDALAY DIGITAL GROUP INC COM NEW |
| MNDO | MIND C T I LTD ORD |
| MNDX | MORGAN STANLEY MPS 033009 |
| MNE | BLACKROCK MUNI N Y INTER DURAT COM |
| MNEL | MISSION NEWENERGY LTD SHS NEW |
| MNG | Miramar Mining Corp |
| MNGA | MAGNEGAS CORP COM NEW |
| MNGL | BLUE WOLF MONGOLIA HOLDINGS CP SHS |
| MNGLU | BLUE WOLF MONGOLIA HOLDINGS CP UNIT 1 COM&1WT |
| MNGLW | BLUE WOLF MONGOLIA HOLDINGS CP WT EXP 072016 |
| MNI | MCCLATCHY CO CL A |
| MNK | MERRILL LYNCH & CO INC MITTS NIKK225 |
| MNK# | MALLINCKRODT PUB LTD CO SHS |
| MNKD | MANNKIND CORP COM |
| MNL | MERRILL LYNCH & CO INC MITTS NIKKE 10 |
| MNM | MORGAN STANLEY SPARQS12.5%TGT |
| MNNY | MERRILL LYNCH & CO INC MITTS NIKKEI 11 |
| MNOV | MEDICINOVA INC COM NEW |
| MNP | WESTERN ASST MN PRT FD INC COM |
| MNP\$ | Western Asset Municipal Partners Fund Inc. Common Stock |
| MNR | MONMOUTH REAL ESTATE INVT CORP CL A |
| MNR-A | MONMOUTH REAL ESTATE INVT CORP PFD SER A |
| MNR-B | MONMOUTH REAL ESTATE INVT CORP PFD-B |
| MNRK | MONARCH FINANCIAL HOLDINGS INC COM |
| MNRKP | MONARCH FINANCIAL HOLDINGS INC PERP CONV SER B |
| MNRO | MONRO MUFFLER BRAKE INC COM |
| MNRTA | MONMOUTH REAL ESTATE INVT CORP CL A |
| MNRTP | MONMOUTH REAL ESTATE INVT CORP PFD SER A |
| MNST | MONSTER BEVERAGE CORP COM |
| MNT | MENTOR CORP MINN COM |
| MNTA | MOMENTA PHARMACEUTICALS INC COM |
| MNTG | MTR GAMING GROUP INC COM |
| MNTX | MANITEX INTL INC COM |
| MNV.A | Merrill Lynch |
| MO | ALTRIA GROUP INC COM |
| MO# | Altria Group Inc. Common Stock |
| MOAT | MARKET VECTORS ETF TR MKT VECTR WIDE |
| MOB | RICHMOND HONAN MED PPTYS INC COM |
| MOBE | Mobility Electronics Inc. - Common Stock |
| MOBI | SKY-MOBI LTD SPONSORED ADS |
| MOC | COMMAND SEC CORP COM |
| MOCC | Moscow CableCom Corp. - Common Stock |
| MOCO | MOCON INC COM |
| MOD | MODINE MFG CO COM |
| MODL | MMODAL INC COM |
| MODN | MODEL N INC COM |
| MODT | Modtech Holdings Inc. - Common Stock |
| MOFG | MIDWESTONE FINL GROUP INC NEW COM |
| MOG.A | MOOG INC CL A |
| MOG.B | MOOG INC CL B |
| MOGN | MGI PHARMA Inc. - Common Stock |
| MOH | MOLINA HEALTHCARE INC COM |
| MOL | CITIGROUP FDG INC NT 2% GOLD2014 |
| MOLX | MOLEX INC COM |
| MOLXA | MOLEX INC CL A |

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| MOM | FQF TR QUANTSHARE MOM |
| MON | MONSANTO CO NEW COM |
| MON# | Monsanto Company Common Stock |
| MONE | MatrixOne Inc. - Common Stock |
| MONM | Monmouth Capital Corporation - Common Stock |
| MONY | ISHARES TR FINANCIALS SEC |
| MOO | MARKET VECTORS ETF TR AGRIBUS ETF |
| MOR | MORGAN STANLEY NT 100% S&P500 |
| MORL | UBS AG LONDON BRH ETRACS MTH2XRE |
| MORN | MORNINGSTAR INC COM |
| MORT | MARKET VECTORS ETF TR MTG REIT ETF |
| MOS | MOSAIC CO NEW COM |
| MOS# | MOSAIC CO NEW COM |
| MOS-M | Mosaic Company The 7.50% Mandatory Convertible Preferred Shares |
| MOSS | Mossimo Inc. - Common Stock |
| MOSY | MOSYS INC COM |
| MOT | MOTOROLA INC COM |
| MOTR | MOTRICITY INC COM |
| MOTRR | MOTRICITY INC RT |
| MOTVE | Motive Inc. - Common Stock |
| MOU | CITIGROUP FDG INC NT RUSS2000 14 |
| MOV | MOVADO GROUP INC COM |
| MOVE | MOVE INC COM NEW |
| MOVED | MOVE INC COM NEW |
| MOVI | Movie Gallery Inc. - Common Stock |
| MOX | MORGAN STANLY XXX |
| MP-D | MISSISSIPPI POWER CO PFD 1/4 5.25% |
| MP-E | Mississippi Power Capital Trust II 7.20% Trust Originated Preferred Securities (TOPrs) |
| MPA | BLACKROCK MUNIYIELD PA QLTY FD COM |
| MPAA | MOTORCAR PTS AMER INC COM |
| MPAC | MOD PAC CORP COM |
| MPB | MID PENN BANCORP INC COM |
| MPC | MARATHON PETE CORP COM |
| MPC# | MARATHON PETE CORP COM |
| MPD | BANK AMER CORP STEP S&P500 12 |
| MPE | BANK AMER CORP MITTS S&P500 14 |
| MPEL | MELCO CROWN ENTMT LTD ADR |
| MPET | MAGELLAN PETE CORP COM |
| MPF | MERRILL LYNCH & CO INC |
| MPG | MPG OFFICE TR INC COM |
| MPG-A | MPG OFFICE TR INC PFD A 7.625% |
| MPJ | MISSISSIPPI POWER CO NT SR E 050133 |
| MPL | MERRILL LYNCH & CO INC NT PHLX HSG 07 |
| MPLJ | GLOBAL X FDS GLOBL X JR MLP |
| MPLX | MPLX LP COM UNIT REP LTD |
| MPN-A | Monongahela Power Company - Preferred Stock |
| MPN-A* | Monongahela Power Company - Preferred Stock |
| MPN-C | Monongahela Power Co - 4.5% Preferred Stock |
| MPN-C* | Monongahela Power Co - 4.5% Preferred Stock |
| MPO | MIDSTATES PETE CO INC COM |
| MPP | MTS Medication Technologies Inc |
| MPQ | Morgan Stanley |
| MPR | MET PRO CORP COM |
| MPS | MPS GROUP INC COM |
| MPT | Western Asset Municipal Partners Fund II Inc Common Stock |
| MPV | BABSON CAP PARTN INVS TR SH BEN INT |
| MPW | MEDICAL PPTYS TRUST INC COM |
| MPWG | MPW Industrial Services Group Inc. - Common Stock |
| MPWR | MONOLITHIC PWR SYS INC COM |
| MPWRE | Monolithic Power Systems Inc. - Common Stock |
| MPX | MARINE PRODS CORP COM |

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| MPY | Maytag Corporation 7.875% Public Income NotES (PINES) due August 1 2031 |
| MPZ | MPC Corporation |
| MPZ+ | MPC Corporation |
| MQC | BANK AMER CORP MKT S&P500 13 |
| MQC+ | Millennium India Acquisition Company Inc |
| MQC= | Millennium India Acquisition Company Inc |
| MQD | MIDCAP INDEX XXX |
| MQT | BLACKROCK MUNIY QUALITY FD II COM |
| MQY | BLACKROCK MUNIYIELD QUALITY FD COM |
| MR | MINDRAY MEDICAL INTL LTD SPON ADR |
| MRA | Merrill Lynch |
| MRAE | Mirae Corporation - American Depositary Shares |
| MRB | Metallica Resources Inc |
| MRBK | Mercantile Bankshares Corporation - Common Stock |
| MRC | MRC GLOBAL INC COM |
| MRCC | MONROE CAP CORP COM |
| MRCIY | MARCONI CP PLC ADS## |
| MRCY | MERCURY SYS INC COM |
| MRD | MacDermid Incorporated Common Stock |
| MRF | AMERICAN INCOME FD INC COM |
| MRGE | MERGE HEALTHCARE INC COM |
| MRGO | Margo Caribe Inc. - Common Stock |
| MRH | MONTPELIER RE HOLDINGS LTD SHS |
| MRH-A | MONTPELIER RE HOLDINGS LTD PFD NON CUM |
| MRI | Merrill Lynch |
| MRIN | MARIN SOFTWARE INC COM |
| MRK | MERCK & CO INC NEW COM |
| MRK-B | MERCK & CO INC NEW PFD CONV 6% |
| MRLN | MARLIN BUSINESS SVCS CORP COM |
| MRRM | MERRIMAC INDS INC COM |
| MRN | Medical Staffing Network Holdings Inc. Common Stock |
| MRNA | MARINA BIOTECH INC COM NEW |
| MRNAD | MARINA BIOTECH INC COM NEW |
| MRO | MARATHON OIL CORP COM |
| MRO# | MARATHON OIL CORP EX DISTRIBUTED |
| MROE | MONROE BANCORP COM |
| MROI | MRO Software Inc. - Common Stock |
| MRP | MORGAN STANLEY MPS 103008 |
| MRS.A | CIBC World Markets Corp. |
| MRS.B | CIBC World Markets Corp. |
| MRS.C | CIBC World Markets Corp. |
| MRS.D | CIBC World Markets Corp. |
| MRS.E | Canadian Imperial Bank of Commerce |
| MRS.F | Canadian Imperial Bank of Commerce |
| MRS.G | Canadian Imperial Bank of Commerce |
| MRS.H | Canadian Imperial Bank of Commerce |
| MRS.I | Canadian Imperial Bank of Commerce |
| MRS.J | CIBC World Markets Corp. |
| MRS.K | CIBC World Markets Corp. |
| MRS.L | CIBC World Markets Corp. |
| MRS.M | CIBC World Markets Corp. |
| MRS.N | CIBC World Markets Corp. |
| MRS.O | Canadian Imperial Bank of Commerce |
| MRS.P | CIBC World Markets Corp. |
| MRS.Q | CIBC World Markets Corp. |
| MRS.R | CIBC World Markets Corp. |
| MRS.S | CIBC World Markets Corp. |
| MRS.T | CIBC World Markets Corp. |
| MRS.V | CIBC World Markets Corp. |
| MRS.W | Canadian Imperial Bank of Commerce |
| MRS.X | Canadian Imperial Bank of Commerce |

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| MSS+ | Milestone Scientific Inc |
| MSSR | MCCORMICK & SCHMICKS SEAFD RES COM |
| MSSWS | MILESTONE SCIENTIFIC WTS |
| MST | MORGAN STANLEY NT SEP MC 1% |
| MSTR | MICROSTRATEGY INC CL A NEW |
| MSTRW | MicroStrategy Incorporated - Warrants to Purchase Class A Common Stock |
| MSTX | MAST THERAPEUTICS INC COM |
| MSU | MORGAN STANLEY MPS RUSSL 2000 |
| MSW | MISSION WEST PPTYS INC COM |
| MSXX | FACTORSHARES TR PF ISE MINING |
| MSY | INVESCO HIGH YIELD INVST FD COM |
| MSZ | MORGAN STANLEY CAP TR VII CAP SECS 6.60% |
| MT | ARCELORMITTAL SA LUXEMBOURG NY REGISTRY SH |
| MTA | MAGYAR TELEKOM TELECOMMUNS PLC SPONSORED ADR |
| MTB | M & T BK CORP COM |
| MTB+ | M & T BK CORP WT EXP 122318 |
| MTB- | M & T BK CORP PERP PFD-A |
| MTB-A | M&T CAPITAL TRUST IV ENH TRUPS 8.5% |
| MTB-C | M & T BK CORP PERP PFD-C |
| MTC | ALLIED IRISH BKS P L C EXCH NT M&T |
| MTCN | ARCELORMITTAL SA LUXEMBOURG MAND CV NT 16 |
| MTCT | MTC Technologies Inc. - COMMON STOCK |
| MTD | METTLER TOLEDO INTERNATIONAL COM |
| MTDB | Merrill Lynch & Co. Inc. - Dow Jones Industrial Average Market Index Target-Term Securities (MITTS) due January 16 2009 |
| MTDR | MATADOR RES CO COM |
| MTDW | Merrill Lynch & Co. Inc. - Dow Jones Industrial Average Market Index Target-Term Securities (MITTS) |
| MTE | MAHANAGAR TEL NIGAM LTD SPONS ADR 2001 |
| MTEX | MANNATECH INC COM NEW |
| MTG | MGIC INVT CORP WIS COM |
| MTGE | AMERICAN CAP MTG INVT CORP COM |
| MTH | MERITAGE HOMES CORP COM |
| MTIC | MTI Technology Corporation - Common Stock |
| MTIX | MICRO THERAPEUTICS## |
| MTK | SPDR SERIES TRUST MORGAN TECH ETF |
| MTL | MECHEL OAO SPONSORED ADR |
| MTL- | MECHEL OAO SPON ADR PFD |
| MTLG | Metrologic Instruments Inc. - Common Stock |
| MTLK | METALINK LTD SHS |
| MTLKD | METALINK LTD SHS NEW |
| MTLM | Metal Management Inc. - Common Stock |
| MTLMW | Metal Management Inc. - Series A Warrants |
| MTMC | MTM TECHNOLOGIES INC COM NEW |
| MTMCD | MTM TECHNOLOGIES INC COM NEW |
| MTMD | Microtek Medical Holdings Inc - Common Stock |
| MTN | VAIL RESORTS INC COM |
| MTNK | MERRILL LYNCH & CO INC MITTS NIKK 225 |
| MTOR | MERITOR INC COM |
| MTOX | MEDTOX SCIENTIFIC INC COM NEW |
| MTP | MLP & STRATEGIC EQUITY FD INC COM |
| MTR | MESA RTY TR UNIT BEN INT |
| MTRN | MATERION CORP COM |
| MTRX | MATRIX SVC CO COM |
| MTS | MONTGOMERY STR INCOME SECS INC COM |
| MTSC | MTS SYS CORP COM |
| MTSI | MA COM TECHNOLOGY SOLUTIONS COM |
| MTSL | MER TELEMAGEMENT SOLUTIONS SHS |
| MTSLD | MER TELEMAGEMENT SOLUTIONS SHS NEW |
| MTSM | MERRILL LYNCH & CO INC MITTS S&P 2010 |
| MTSN | MATTSON TECHNOLOGY INC COM |
| MTSP | Merrill Lynch & Co. Inc. - S&P 500 Market Index Target-Term Securities (MITTS) |

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| MTSX | Metal Storm Limited - American Depositary Shares |
| MTT | WESTERN ASSET MUN DEF OPP TR COM |
| MTTT | MERRILL LYNCH & CO INC NT C SP500MITT |
| MTTX | MERRILL LYNCH & CO INC TARGET S&P 500 |
| MTU | MITSUBISHI UFJ FINL GROUP INC SPONSORED ADR |
| MTUM | ISHARES TR MSCI USAMOMFCT |
| MTVB | MOUNTAIN-VALLEY BANCSHARES INC CDT-COM |
| MTW | MANITOWOC INC COM |
| MTW# | The Manitowoc Company Inc. Common Stock |
| MTX | MINERALS TECHNOLOGIES INC COM |
| MTXC | Matrix Bancorp Inc Common Stock |
| MTXCP | United Western Bancorp Inc. - Matrix Bancorp Capital Trust I - 10.0% Trust Preferred Securities |
| MTXX | MATRIX INITIATIVES INC COM |
| MTY | CITIGROUP FDG INC 3% PRIN GLD 14 |
| MTZ | MASTEC INC COM |
| MU | MICRON TECHNOLOGY INC COM |
| MUA | BLACKROCK MUNIASSETS FD INC COM |
| MUAA | ISHARES TR 2012 S&P AMTFR |
| MUAB | ISHARES TR 2013 S&P AMTFR |
| MUAC | ISHARES TR 2014 S&P AMTFR |
| MUAD | ISHARES TR 2015 S&P AMTFR |
| MUAE | ISHARES TR 2016 S&P AMTFR |
| MUAF | ISHARES TR 2017 S&P AMTFR |
| MUAG | ISHARES TR ISHS2018S&PAMT |
| MUB | ISHARES TR S&P NTL AMTFREE |
| MUC | BLACKROCK MUNIHLDNCS CALI QLTY COM |
| MUE | BLACKROCK MUNIHLDNCS QLTY II COM |
| MUH | BLACKROCK MUNIHLDNCS FD II INC COM |
| MUI | BLACKROCK MUNI INTER DR FD INC COM |
| MUJ | BLACKROCK MUNIHLDNCS NJ QLTY FD COM |
| MUK | CITIGROUP FDG INC 3%NT S&P500 14 |
| MUNI | PIMCO ETF TR INTER MUN BD ST |
| MUO | Pioneer Interest Shares Common Stock |
| MUR | MURPHY OIL CORP COM |
| MUS | BLACKROCK MUNIHOLDNCS QLTY INC COM |
| MUSA | METALS USA HLDGS CORP COM |
| MUSE | Micromuse Inc. Common Stock |
| MUX | MCEWEN MNG INC COM |
| MUX^ | MCEWEN MNG INC RT |
| MUX^# | MCEWEN MNG INC RT |
| MUY | LEHMAN BROS HLDGS MICRON |
| MV | METAVANTE TECHNOLOGIES INC COM |
| MV# | METAVANTE HLDG CO COM |
| MVC | MVC CAPITAL INC COM |
| MVCB | MVC CAPITAL INC SR NT 23 |
| MVCO | Meadow Valley Corporation - Common Stock |
| MVE | Smart Move Inc |
| MVE+ | Smart Move Inc |
| MVE= | Smart Move Inc |
| MVF | BLACKROCK MUNIVEST FD INC COM |
| MVG | MAG SILVER CORP COM |
| MVI | MERRILL LYNCH & CO INC NT VAL30 2011 |
| MVIS | MICROVISION INC DEL COM NEW |
| MVISW | MICROVISION INC DEL WT EXP 072313 |
| MVK | Maverick Tube Corporation Common Stock |
| MVL | MARVEL ENTERTAINMENT INC COM |
| MVO | MV OIL TR TR UNITS |
| MVSN | MACROVISION SOLUTIONS CORP COM |
| MVSND | MACROVISION SOLUTIONS CORP COM |
| MVT | BLACKROCK MUNIVEST FD II INC COM |
| MVV | PROSHARES TR PSHS ULT MCAP400 |

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| MW | MENS WEARHOUSE INC COM |
| MWA | MUELLER WTR PRODS INC COM SER A |
| MWA.B | MUELLER WTR PRODS INC COM SER B |
| MWA.B# | MUELLER WATER PRODUCTS INC SER B |
| MWAV | M-WAVE Inc. - Common Stock |
| MWAVD | M-WAVE Inc. - Common Stock |
| MWB.A | Morgan Stanley |
| MWD | Morgan Stanley Common Stock |
| MWE | MARKWEST ENERGY PARTNERS L P UNIT LTD PARTN |
| MWE# | MarkWest Energy Partners L.P. Common units representing limited partner interests |
| MWF.A | Merrill Lynch |
| MWG | MORGAN STANLEY CAP TR IV GTD CAP 6.25%33 |
| MWH | Morgan Stanley |
| MWIV | MWI VETERINARY SUPPLY INC COM |
| MWJ | DIREXION SHS ETF TR DLY MIDCAP ETF3X |
| MWJ* | Morgan Stanley Capital Trust II 7 1/4% Capital Securities |
| MWL | MERRILL LYNCH & CO INC ACC RT MSCI 09 |
| MWN | DIREXION SHS ETF TR DLY MC3X SHS NEW |
| MWO | MORGAN STANLEY CAP TR V CAP SECS.75%33 |
| MWP | MarkWest Hydrocarbon Inc |
| MWR | MORGAN STANLEY CAP TR III CAP SECS 6.25% |
| MWRK | Mothers Work Inc. - Common Stock |
| MWT.A | Morgan Stanley |
| MWV | MEADWESTVACO CORP COM |
| MWV# | MEADWESTVACO CORP EX DISTRIB WI |
| MWW | MONSTER WORLDWIDE INC COM |
| MWY | MIDWAY GAMES INC. |
| MX | MAGNACHIP SEMICONDUCTOR CORP N COM |
| MXA | MINNESOTA MUN INCOME PTFL INC COM |
| MXB | MSCI INC CL A |
| MXC | MEXCO ENERGY CORP COM |
| MXE | MEXICO EQUITY & INCOME FD COM |
| MXE- | MEXICO EQUITY & INCOME FD PFD |
| MXE-\$ | MEXICO EQUITY AND INCOME FUND |
| MXEWD | MEXICO EQUITY&INCOME FD |
| MXF | MEXICO FD INC COM |
| MXF\$ | The Mexico Fund Inc. Common Stock |
| MXFWD | MEXICO FUND |
| MXFA | The Mexico Fund Inc. Rights (Expiring April 20 2007) |
| MXGL | MAX CAPITAL GROUP LTD SHS |
| MXH | MERRILL LYNCH & CO INC RTN NT LYNCH12 |
| MXI | ISHARES TR S&P GLB MTRLS |
| MXIC | Macronix International Co. Ltd - American Depositary Shares |
| MXICD | Macronix International Co. Ltd - American Depositary Shares |
| MXICY | Macronix International Co. Ltd - American Depositary Shares |
| MXIM | MAXIM INTEGRATED PRODS INC COM |
| MXL | MAXLINEAR INC CL A |
| MXM | MAXXAM INC COM |
| MXN | FIRST AMERN MINN MUN INC FD II COM |
| MXO | Maxtor Corporation Common Stock |
| MXRE | Max Re Capital Ltd. - Common Stock |
| MXT | MAXCOM TELECOMUNICACIONES SA ADR REP PR CTF |
| MXWL | MAXWELL TECHNOLOGIES INC COM |
| MXY | AMEX MEXICO INDEX XXX |
| MY | CHINA MING YANG WIND PWR GROUP SPONSORED ADR |
| MYC | BLACKROCK MUNIYIELD CALIF FD I COM |
| MYD | BLACKROCK MUNIYIELD FD INC COM |
| MYE | MYERS INDS INC COM |
| MYF | BLACKROCK MUNIYIELD INVST FD COM |
| MYG | Maytag Corporation Common Stock |
| MYGN | MYRIAD GENETICS INC COM |

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| MYH | Morgan Stanley |
| MYI | BLACKROCK MUNIYIELD QLTY FD 3 COM |
| MYJ | BLACKROCK MUNIYIELD N J FD INC COM |
| MYL | MYLAN INC COM |
| MYL-A | MYLAN INC. |
| MYLNP | MYLAN INC PFD CONV |
| MYM | BLACKROCK MUNIYLD MICH QLTY II COM |
| MYN | BLACKROCK MUNIYIELD NY QLTY FD COM |
| MYOG | Myogen Inc. - Common Stock |
| MYP | CITIGROUP FDG INC PRIN3% S&P500 14 |
| MYRG | MYR GROUP INC DEL COM |
| MYRX | MYREXIS INC COM |
| MYRXV | MYRIAD PHARMACEUTICALS INC COM |
| MYS | Masisa S.A. American Depositary Shares (each representing 50 shares Common Stock) |
| MYX | MERRILL LYNCH & CO INC STRID12% MON10 |
| MYZ | PROSHARES TR PSHS SH MDCAP400 |
| MZ | Milacron Inc. Common Stock |
| MZA | BLACKROCK MUNIYIELD ARIZ FD IN COM |
| MZF | MANAGED DURATION INVT GRD FUND COM |
| MZG | CLAYMORE EXCHANGE TRADED FD TR MFG SUPER SECT |
| MZJ | MERRILL LYNCH & CO INC NT LK 08172009 |
| MZN | CLAYMORE EXCHANGE TRADED FD TR INFO SUPER SEC |
| MZO | CLAYMORE EXCHANGE TRADED FD TR SVCS SUPER SEC |
| MZOR | MAZOR ROBOTICS LTD SPONSORED ADS |
| MZP | MERRILL LYNCH & CO INC NT MSCI EAFE08 |
| MZT | MZT Holdings Inc |
| MZW | BANK AMER CORP STP S&P500 11 |
| MZZ | PROSHARES TR PSHS ULSHT MD400 |
| N | NETSUITE INC COM |
| NA | MORGAN STANLEY BRIDGES 083008 |
| NAB | National Australia Bank Limited American Depositary Shares (Representing five Ordinary Stock Units) |
| NABI | NABI BIOPHARMACEUTICALS COM |
| NAC | NUVEEN CA DIVIDEND ADV MUN FD COM |
| NAD | NUVEEN DIVID ADVANTAGE MUN FD COM |
| NAD-C | NUVEEN DIVID ADVANTAGE MUN FD MF TM PFD 2015 |
| NADX | NATIONAL DENTEX CORP COM |
| NAFC | NASH FINCH CO COM |
| NAGS | TEUCRIUM COMMODITY TR NATURAL GAS FD |
| NAHC | National Atlantic Holdings Corporation - Common Stock |
| NAI | ALLIANZGI INTL & PREM STRATEGY COM |
| NAII | NATURAL ALTERNATIVES INTL INC COM NEW |
| NAK | NORTHERN DYNASTY MINERALS LTD COM NEW |
| NAL | NEWALLIANCE BANCSHARES INC COM |
| NAN | NUVEEN NY DIVID ADVNTG MUN FD COM |
| NAN-C | NUVEEN NY DIVID ADVNTG MUN FD PFD SER 2015 |
| NAN-D | NUVEEN NY DIVID ADVNTG MUN FD PFD SER 2016 |
| NANO | NANOMETRICS INC COM |
| NANX | NANOPHASE TECHNOLOGIES CORP COM |
| NAO | North American Insurance Leaders Inc |
| NAO+ | North American Insurance Leaders Inc |
| NAO= | North American Insurance Leaders Inc |
| NAPS | Napster Inc. - Common Stock |
| NAPX | Morgan Stanley - NASDAQ - 100 Index PLUS due June 20 2008 |
| NAQ | RETAIL OPPORTUNITY INVTS CORP COM |
| NAQ+ | RETAIL OPPORTUNITY INVTS CORP WT EXP 102314 |
| NAQ= | RETAIL OPPORTUNITY INVTS CORP UNIT EX 102314 |
| NAR | Merrill Lynch |
| NARA | NARA BANCORP INC COM |
| NAS | TIERS PRINCIPAL PROTECTED TR TIERS 2003-13 |
| NASB | NASB FINL INC COM |
| NASI | PAX WORLD FDS TR II MSCI NOAM ESG |

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| NASM | NORTH AMERN SCIENTIFIC INC COM NEW |
| NAT | NORDIC AMERICAN TANKERS LIMITE COM |
| NATH | NATHANS FAMOUS INC NEW COM |
| NATI | NATIONAL INSTRS CORP COM |
| NATL | NATIONAL INTERSTATE CORP COM |
| NATR | NATURES SUNSHINE PRODUCTS INC COM |
| NATRE | Nature's Sunshine Products Inc. - Common Stock |
| NAU | National Australia Bank Limited Exchangeable Capital Units (ExCaps) |
| NAU* | National Australia Bank Limited Exchangeable Capital Units (ExCaps) |
| NAUH | NATIONAL AMERN UNIV HLDGS INC COM |
| NAV | NAVISTAR INTL CORP NEW COM |
| NAV-D | NAVISTAR INTL CORP PFD SR D CONV |
| NAVB | NAVIDEA BIOPHARMACEUTICALS INC COM |
| NAVG | NAVIGATORS GROUP INC COM |
| NAVI | NAVISITE INC COM NEW |
| NAVR | NAVARRE CORP COM |
| NAZ | NUVEEN ARIZ PREM INCOME MUN FD COM |
| NAZ-C | NUVEEN ARIZ PREM INCOME MUN FD PFD-2015 2.05% |
| NAZ-D | NUVEEN ARIZ PREM INCOME MUN FD PFD-2016 2.9% |
| NBAN | North Bay Bancorp - Common Stock |
| NBB | NUVEEN BUILD AMER BD FD COM |
| NBBC | NEWBRIDGE BANCORP CL A NO PAR |
| NBCB | FIRST NBC BK HLDG CO COM |
| NBD | NUVEEN BUILD AMER BD OPPTNY FD COM |
| NBD* | NB Capital Corporation Depository Shares (Each representing 1/40th of a share of 8.35% Noncumulative Exchangeable Preferred Stock Series A) due 12/31/2199 |
| NBF | Nova Biosource Fuels Inc |
| NBG | NATIONAL BK GREECE S A SPN ADR REP 1 SH |
| NBG-A | NATIONAL BK GREECE S A ADR PRF SER A |
| NBH | NEUBERGER BERMAN INTER MUNI FD COM |
| NBH\$ | |
| NBHC | NATIONAL BK HLDGS CORP CL A |
| NBI | NASDAQ BIOTECH INDEX XXX |
| NBIX | NEUROCRINE BIOSCIENCES INC COM |
| NBJ | NUVEEN OH DIV ADV MUNI FD 2 COM SH BEN INT |
| NBJ-A | NUVEEN OH DIV ADV MUNI FD 2 MUNFD TRM 2014 |
| NBJPRA | |
| NBL | NOBLE ENERGY INC COM |
| NBM | Merrill Lynch |
| NBN | NORTHEAST BANCORP COM NEW |
| NBO | NEUBERGER BERMAN NY INT MUN FD COM |
| NBO\$ | |
| NBP | NATIONAL BEEF INC CL A |
| NBR | NABORS INDUSTRIES LTD SHS |
| NBR# | Nabors Industries Ltd. Common Shares |
| NBS | NEOSTEM INC COM NEW |
| NBS+ | NEOSTEM INC WT EXP 071612 |
| NBS= | NeoStem Inc |
| NBSC | New Brunswick Scientific Co. Inc. - Common Stock |
| NBTB | NBT BANCORP INC COM |
| NBTF | NB & T FINL GROUP INC COM |
| NBW | NEUBERGER BERMAN CA INT MUN FD COM |
| NBW\$ | |
| NBXH | MORGAN STANLEY SRATS 103011 |
| NBXZ | MORGAN STANLEY STRAT IDX 2011 |
| NBY | NOVABAY PHARMACEUTICALS INC COM |
| NC | NACCO INDS INC CL A |
| NC# | NACCO INDS INC EX DISTRIB WI |
| NCA | NUVEEN CALIF MUN VALUE FD COM |
| NCB | NUVEEN CALIF MUNICIPAL VALU FD2 COM |
| NCBC | NEW CENTRY BANCORP INC DUNN NC COM |

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| NCC | NATIONAL CITY CORP COM |
| NCC\$ | National City Corporation Common Stock |
| NCC-A | NATIONAL CITY CAP TR II PFD GTD 6.625% |
| NCC-A* | NATIONAL CITY CAP TR II PFD GTD 6.625% |
| NCC-B | NATIONAL CITY CAP TR III PFD SEC |
| NCC-B* | NATIONAL CITY CAP TR III PFD SEC |
| NCC-C | NATIONAL CITY CAP TR IV PFD TR ENH2067 |
| NCC-C* | NATIONAL CITY CAP TR IV PFD TR ENH2067 |
| NCC-F | NATIONAL CITY CORP DEP SHS PFD F |
| NCE | MERRILL LYNCH & CO INC CAP LEV INX 10 |
| NCEM | Nevada Chemicals Inc. - Common Stock |
| NCF- | National Commerce Capital Trust II 7.70% Trust Preferred Securities |
| NCF-* | National Commerce Capital Trust II 7.70% Trust Preferred Securities |
| NCI | NAVIGANT CONSULTING INC COM |
| NCIT | NCI INC CL A |
| NCJ | NATIONAL COML BK JAMAICA LTD SPONSORED ADR |
| NCL | NUVEEN INSD CA PREM INCOME 2 COM |
| NCLH | NORWEGIAN CRUISE LINE HLDGS LT SHS |
| NCMI | NATIONAL CINEMEDIA INC COM |
| NCO | NUVEEN CA MUN MKT OPPORTUNT FD COM |
| NCOC | NATIONAL COAL CORP COM PAR \$.0001 |
| NC OCD | NATIONAL COAL CORP COM PAR \$.0001 |
| NCOG | NCO Group Inc. - Common Stock |
| NCP | NUVEEN CALIF PERFORM PLUS MUN COM |
| NCQ | NOVACOPPER INC COM |
| NCQ# | NOVACOPPER INC COM |
| NCR | NCR CORP NEW COM |
| NCR# | NCR Corporation Common Stock |
| NCS | NCI BUILDING SYS INC COM NEW |
| NCST | NUCRYST PHARMACEUTICALS CORP COM |
| NCT | NEWCASTLE INVT CORP COM |
| NCT# | NEWCASTLE INVT CORP EX DISTRIB WI |
| NCT-B | NEWCASTLE INVT CORP PFD B 9.75% |
| NCT-C | NEWCASTLE INVT CORP PFD SER C |
| NCT-D | NEWCASTLE INVT CORP PFD D 8.375% |
| NCTY | THE9 LTD ADR |
| NCU | NUVEEN CALIF PREM INCOME MUN COM |
| NCU-C | NUVEEN CALIF PREM INCOME MUN MFD PFD SHS 15 |
| NCV | ALLIANZGI CONV & INCOME FD COM |
| NCX | NOVA CHEMICALS CORP COM |
| NCZ | ALLIANZGI CONV & INCOME FD II COM |
| NDAQ | NASDAQ OMX GROUP INC COM |
| NDC | NDHealth Corporation Common Stock |
| NDD | NEUBERGER BERMAN DIV ADVANT FD COM |
| NDD\$ | |
| NDDM | Morgan Stanley - Nasdaq-100 PLUS Due November 20 2008 |
| NDE | Indymac Bancorp Inc. Common Stock |
| NDE- | Indymac Bancorp Inc. Warrants and Income Redeemable Equity Securities (WIRES) Units |
| NDG.A | Citigroup Global Markets |
| NDLT | Morgan Stanley - NASDAQ - 100 Index PLUS due August 20 2008 |
| NDMX | NanoDynamics Inc. - Common Stock |
| NDN | 99 CENTS ONLY STORES COM |
| NDP | TORTOISE ENERGY INDEPENDENC FD COM |
| NDPL | Morgan Stanley - Performance Leveraged Upside Securities Linked to Nasdaq 100 Index |
| NDPR | Morgan Stanley - Bear Market Performance Leveraged Upside Securities Linked to Nasdaq 100 Index due January 20 2008 |
| NDPS | Morgan Stanley - Performance Leveraged Upside Securities Linked to Nasdaq 100 Index |
| NDPX | Morgan Stanley - Performance Leveraged Upside Securities Linked to Nasdaq 100 Index due January 20 2008 |
| NDRO | ENDURO RTY TR TR UNIT |
| NDSN | NORDSON CORP COM |
| NDXP | Morgan Stanley - Performance Leveraged Upside Securities Linked to Nasdaq 100 Index |

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| NDZ | NORDION INC COM |
| NE | NOBLE CORPORATION BAAR NAMEN -AKT |
| NE# | Noble Corporation Ordinary Shares |
| NEA | NUVEEN AMT-FREE MUN INCOME FD COM |
| NEA-C | NUVEEN AMT-FREE MUN INCOME FD PFD SER 2015 |
| NEBS | NEW ENGLAND BANCSHARES INC CT COM NEW |
| NEBSD | New England Bancshares Inc. Common Stock |
| NECB | NORTHEAST CMNTY BANCORP INC COM |
| NED | NOAH ED HLDGS LTD ADR |
| NEE | NEXTERA ENERGY INC COM |
| NEE-C | FPL GROUP CAP TR I PFD TR 5.875% |
| NEE-F | NEXTERA ENERGY CAP HLDGS INC GTD SD-F 8.75% |
| NEE-G | NEXTERA ENERGY CAP HLDGS INC GTD DEB-G |
| NEE-H | NEXTERA ENERGY CAP HLDGS INC JR DEB-H 72 |
| NEE-I | NEXTERA ENERGY CAP HLDGS INC SUB DEB 72 |
| NEE-J | NEXTERA ENERGY CAP HLDGS INC SUB DEB SER J 73 |
| NEE-O | NEXTERA ENERGY INC CORP UNIT |
| NEH | AB SVENSK EXPORTKREDIT ACC RT NIKK 09 |
| NEH* | MORGAN STANLEY SPARQS 8% NOBL |
| NEI | NETWORK ENGINES INC COM |
| NEM | NEWMONT MINING CORP COM |
| NEN | NEW ENGLAND RLTY ASSOC LTD PAR DEPOSITRY RCPT |
| NENG | NETWORK ENGINES INC COM |
| NEO | NEOGENOMICS INC COM NEW |
| NEOF | Neoforma Inc. - Common Stock |
| NEOG | NEOGEN CORP COM |
| NEOL | INSYS THERAPEUTICS INC NEW COM NEW |
| NEON | NEONODE INC COM NEW |
| NEOP | NEOPROBE CORP COM |
| NEP | CHINA NORTH EAST PETE HLDG LTD COM |
| NEPT | NEPTUNE TECHNOLOGIES BIORESOUR COM |
| NERX | NeoRx Corporation - Common Stock |
| NES | NUVERRA ENVIRONMENTAL SOLUTION COM |
| NEST | Nestor Inc. - Common Stock |
| NETC | NET SERVICOS DE COMUNICACAO SA SPONSD ADR NEW |
| NETCD | NET Servicos de Comunicacao S.A. New American Depositary Shares |
| NETE | NET ELEMENT INTL INC COM |
| NETED | NET ELEMENT INTL INC COM |
| NETL | NETLOGIC MICROSYSTEMS INC COM |
| NETM | NetManage Inc. - Common Stock |
| NEU | NEWMARKET CORP COM |
| NEV | NUVEEN ENHANCED MUN VALUE FD COM |
| NEW | New Century Financial Corporation Common Stock \$0.01 par value |
| NEW-A | New Century Financial Corporation 9.125% Series A Cumulative Redeemable Preferred Stock |
| NEW-B | New Century Financial Corporation 9.75% Series B Cumulative Redeemable Preferred Stock |
| NEWL | NEWLEAD HOLDINGS LTD SHS |
| NEWLD | NEWLEAD HOLDINGS LTD SHS |
| NEWN | NEW ENERGY SYS GROUP COM |
| NEWP | NEWPORT CORP COM |
| NEWS | NEWSTAR FINANCIAL INC COM |
| NEWT | NEWTEK BUSINESS SVCS INC COM |
| NEX | AMEX NATWEST ENERGY XXX |
| NEXC | NexCen Brands Inc. - Common Stock |
| NEXM | NEXMED INC COM NEW |
| NEXMD | NEXMED INC COM NEW |
| NEXS | NEXXUS LIGHTING INC COM |
| NEXT | NEXT INNOVATION CORP COM |
| NFB | North Fork Bancorporation Inc. Capital Stock |
| NFBK | NORTHFIELD BANCORP INC DEL COM |
| NFC | NUVEEN CT DIVID ADVANTAGE MUN COM SH BEN INT |
| NFC-C | NUVEEN CT DIVID ADVANTAGE MUN MF TM PFD 2015 |

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| NFEC | NF ENERGY SAVING CORP COM PAR \$0.001 |
| NFG | NATIONAL FUEL GAS CO N J COM |
| NFI | NovaStar Financial Inc. Common Stock |
| NFI-C | NovaStar Financial Inc. 8.90% Series C Cumulative Redeemable Preferred Stock |
| NFJ | ALLIANZGI NFJ DIVID INT & PREM COM |
| NFL | NUVEEN INSD FLA PREM INCOME FD COM |
| NFLD | NORTHFIELD LABS INC COM |
| NFLX | NETFLIX INC COM |
| NFM | NUVEEN MD DIVID ADVANTAGE MUN COM SH BEN INT |
| NFM-C | NUVEEN MD DIVID ADVANTAGE MUN MTP SER 2015 |
| NFO | CLAYMORE EXCHANGE TRD FD TR GUGG INSDR SENT |
| NFP | NATIONAL FINL PARTNERS CORP COM |
| NFS | NATIONWIDE FINL SVCS INC CL A |
| NFSB | NEWPORT BANCORP INC COM |
| NFX | NEWFIELD EXPL CO COM |
| NFZ | NUVEEN ARIZ DIVID ADVANTAG MUN COM SH BEN INT |
| NFZ-C | NUVEEN ARIZ DIVID ADVANTAG MUN MTP2.05% 2015 |
| NG | NOVAGOLD RES INC COM NEW |
| NG# | NOVAGOLD RES INC EX DISTRIB |
| NGA | NORTH AMERN GALVANZNG & CTNGS COM |
| NGAS | NGAS RESOURCES INC COM |
| NGB | NUVEEN VA DIVID ADVANTAGE MUN COM SH BEN INT |
| NGB-C | NUVEEN VA DIVID ADVANTAGE MUN MUNIFD TRM PFD14 |
| NGBF | NEW GENERATION BIOFUELS HLDG COM |
| NGD | NEW GOLD INC CDA COM |
| NGD# | |
| NGE | GLOBAL X FDS GLOBAL X NIGER |
| NGEN | NANOGEN INC COM |
| NGG | NATIONAL GRID PLC SPON ADR NEW |
| NGI | NEON Communications Group Inc |
| NGK | NUVEEN CONN DIVID ADVANTAGE COM |
| NGK-C | NUVEEN CONN DIVID ADVANTAGE MF TM PFD 2015 |
| NGL | NGL ENERGY PARTNERS LP COM UNIT REPST |
| NGLS | TARGA RESOURCES PARTNERS LP COM UNIT |
| NGO | NUVEEN CT DIV ADV MUN FD 3 COM |
| NGO-C | NUVEEN CT DIV ADV MUN FD 3 MUN PFD SER 15 |
| NGPC | NGP CAP RES CO COM |
| NGPS | NovAtel Inc. - Common Shares |
| NGRU | netGuru inc - Common Stock |
| NGRUD | netGuru inc - Common Stock |
| NGS | NATURAL GAS SERVICES GROUP COM |
| NGSX | NEUROGESX INC COM |
| NGT | EASTERN AMERN NAT GAS TR SPERS RCT UNIT |
| NGVC | NATURAL GROCERS BY VITAMIN COT COM |
| NGX | NUVEEN MASS AMT-FREE MUN INCO COM |
| NGX-C | NUVEEN MASS AMT-FREE MUN INCO MUN PFD SER 15 |
| NGZ | ALLIANZGI GLOBAL EQUITY & CONV COM |
| NHB | NYSE BETA INDEX XXX |
| NHC | NATIONAL HEALTHCARE CORP COM |
| NHC-A | NATIONAL HEALTHCARE CORP PFD CONV SER A |
| NHF | NEXPOINT CR STRATEGIES FD COM |
| NHHC | National Home Health Care Corp. - Common Stock |
| NHI | NATIONAL HEALTH INVS INC COM |
| NHP | NATIONWIDE HEALTH PPTYS INC COM |
| NHP-A | Nationwide Health Properties Inc. 7.677% Series A Cumulative Preferred Step-Up REIT Securities (StREITs) |
| NHP-A* | Nationwide Health Properties Inc. 7.677% Series A Cumulative Preferred Step-Up REIT Securities (StREITs) |
| NHP-B | NATIONWIDE HEALTH PPTYS INC PFD CV B 7.75% |
| NHP-B* | NATIONWIDE HEALTH PPTYS INC PFD CV B 7.75% |
| NHPI | Neuro-Hitech Inc. - Common Stock |
| NHR | NORTH ASIA INVESTMENT CORP COM |
| NHR+ | NORTH ASIA INVESTMENT CORP WT EXP 072313 |

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| NHR= | NORTH ASIA INVESTMENT CORP UNIT EX 2012 |
| NHRX | NationsHealth Inc. - Common Stock |
| NHRXU | NationsHealth Inc. - Units Expiring 8/24/2007 |
| NHRXW | NationsHealth Inc. - Warrant 8/24/2007 |
| NHS | NEUBERGER BERMAN HGH YLD FD COM |
| NHTB | NEW HAMPSHIRE THRIFT BANCSHS COM |
| NHWK | NIGHTHAWK RADIOLOGY HLDGS INC COM |
| NHY | Norsk Hydro ASA American Depository Shares (Each Representing One Ordinary Share) |
| NHY# | NORSK HYDRO A S EX-DISTRIBUT |
| NI | NISOURCE INC COM |
| NI- | Northern Indiana Public Service Co - 4.25% Preferred Stock |
| NI-* | Northern Indiana Public Service Co - 4.25% Preferred Stock |
| NI-A | Northern Indiana Public Service Company Adjustable Rate Cumulative Preferred Stock Series A |
| NI-A* | Northern Indiana Public Service Company Adjustable Rate Cumulative Preferred Stock Series A |
| NIB | BARCLAYS BANK PLC ETN DJUBSCOCO 38 |
| NICE | NICE SYS LTD SPONSORED ADR |
| NICH | Nitches Inc. - Common Stock |
| NICK | NICHOLAS FINANCIAL INC COM NEW |
| NID | NUVEEN INTER DURATION MN TMFD COM |
| NIE | ALLIANZGI EQUITY & CONV INCOME COM |
| NIF | NUVEEN PREMIER OPPURTUNITY FD COM |
| NIHD | NII HLDGS INC CL B NEW |
| NII | NUVEEN NC DIV ADV MUN FD 3 COM |
| NII-C | NUVEEN NC DIV ADV MUN FD 3 MUN PFD SER 15 |
| NILE | BLUE NILE INC COM |
| NIM | NUVEEN SELECT MAT MUN FD SH BEN INT |
| NIN | Morgan Stanley |
| NINE | NINETOWNS INTERNET TECH GRP ADR |
| NINI | BARCLAYS BK PLC IPT NICKEL ETN |
| NIO | NUVEEN MUN OPPORTUNITY FD INC COM |
| NIPNY | NEC Corporation - American Depository Shares |
| NIQ | NUVEEN INT DUR QUAL MUN TRM FD COM |
| NIS | NIS Group Co. Ltd. American Depository Shares (Each representing one-half of a share of common stock) |
| NITE | KNIGHT CAPITAL GROUP INC CL A |
| NIV | NIVS INTELLIMEDIA TECH GP INC COM |
| NJ | NIDEC CORP SPONSORED ADR |
| NJR | NEW JERSEY RES COM |
| NJV | NUVEEN NEW JERSEY MUN VALUE FD COM |
| NKA | NISKA GAS STORAGE PARTNERS LLC UNIT LTD LIABI |
| NKB | MERRILL LYNCH & CO INC NT NIKKE225 08 |
| NKBP | CHINA NUOKANG BIO-PHARM INC SPONSORED ADS |
| NKBS | Newtek Business Services Inc - Common Stock |
| NKD | Morgan Stanley |
| NKE | NIKE INC CL B |
| NKE# | NIKE Inc. Class B Common Stock |
| NKG | NUVEEN GA DIV ADV MUN FD 2 COM |
| NKG-C | NUVEEN GA DIV ADV MUN FD 2 MFD PFD2.65%SH15 |
| NKG-D | NUVEEN GA DIV ADV MUN FD 2 MUNIFUND TERM PF |
| NKG-E | NUVEEN GA DIV ADV MUN FD 2 MUNPFD2015 2.625 |
| NKI | MORGAN STANLEY PERF |
| NKI+ | Eksportfinans ASA |
| NKL | NUVEEN INSD CALIF DIVID COM |
| NKM | MERRILL LYNCH & CO INC NT NIKKEI 2008 |
| NKN | Merrill Lynch |
| NKO | NUVEEN NEW YORK DIV ADV MUNI COM |
| NKP | MORGAN STANLEY PLUS NIKKEI 08 |
| NKR | NUVEEN ARIZ DIVID ADVANTAGE COM |
| NKR-C | NUVEEN ARIZ DIVID ADVANTAGE MUNI PFD SER15 |
| NKS | MERRILL LYNCH & CO INC NIKK 225 IDX09 |
| NKSH | NATIONAL BANKSHARES INC VA COM |
| NKT | Newkirk Realty Trust Inc. Common Stock |

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| NKTR | NEKTAR THERAPEUTICS COM |
| NKV | Merrill Lynch |
| NKW | MERRILL LYNCH & CO INC 50/150 NIKI 09 |
| NXX | NUVEEN CAL AMT-FREE MUN INC FD COM |
| NKY | PRECIDIAN ETFS TR MAXIS NIKKEI |
| NKZ+ | Lehman Brothers |
| NKZWS | LEHMAN BROTHERS WTS |
| NL | NL INDS INC COM NEW |
| NLC | NALCO HOLDING COMPANY COM |
| NLCI | NOBEL LEARNING CMNTYS INC COM |
| NLN | National Lampoon Inc |
| NLNK | NEWLINK GENETICS CORP COM |
| NLP | NTS RLTY HLDGS LTD PARTNERSHIP PARTSHIP UNITS |
| NLR | MARKET VECTORS ETF TR URAN NUCLR ENRGY |
| NLS | NAUTILUS INC COM |
| NLSN | NIELSEN HOLDINGS N V COM |
| NLST | NETLIST INC COM |
| NLTX | NILE THERAPEUTICS INC COM |
| NLTXW | NILE THERAPEUTICS INC WT EXP 000020 |
| NLX | OVERTURE ACQUISITION CORP SHS |
| NLX+ | OVERTURE ACQUISITION CORP WT EXP 013013 |
| NLX= | OVERTURE ACQUISITION CORP UNIT EX 000012 |
| NLY | ANNALY CAP MGMT INC COM |
| NLY-A | ANNALY CAP MGMT INC PFD A 7.875% |
| NLY-C | ANNALY CAP MGMT INC PFD STK C 7.625% |
| NLY-D | ANNALY CAP MGMT INC PFD SER D % |
| NM | NAVIOS MARITIME HOLDINGS INC COM |
| NM+ | Navios Maritime Holdings Inc. Common Stock Purchase Warrants (Expiring December 9 2008) |
| NMA | NUVEEN MUN ADVANTAGE FD INC COM |
| NMAR | NAUTILUS MARINE ACQUISIT CORP SHS |
| NMARU | NAUTILUS MARINE ACQUISIT CORP UNIT 1COM&1WT |
| NMARW | NAUTILUS MARINE ACQUISIT CORP WT EXP 061716 |
| NMB | NUVEEN MASS DIVID ADVANTAG MUN COM SH BEN INT |
| NMB-C | NUVEEN MASS DIVID ADVANTAG MUN MUNFD PFD 2015 |
| NMD | NUVEEN MUN HIGH INC OPPTY FD 2 COM |
| NMFC | NEW MTN FIN CORP COM |
| NMGC | NeoMagic Corporation - Common Stock |
| NMHC | National Medical Health Card Systems Inc. - Common Stock |
| NMI | NUVEEN MUN INCOME FD INC COM |
| NMIL | NewMil Bancorp Inc. - Common Stock |
| NMK-B | NIAGARA MOHAWK PWR CORP PFD 3.60% |
| NMK-C | NIAGARA MOHAWK PWR CORP PFD 3.90% |
| NML | NEUBERGER BERMAN MLP INCOME FD COM |
| NMM | NAVIOS MARITIME PARTNERS L P UNIT LPI |
| NMO | NUVEEN MUN MKT OPPORTUNITY FD COM |
| NMP | NUVEEN MICH PREM INCOME MUN FD COM |
| NMQ | MERRILL LYNCH & CO INC ACC RTN S&P 09 |
| NMR | NOMURA HLDGS INC SPONSORED ADR |
| NMRX | NUMEREX CORP PA CL A |
| NMSS | NMS Communications Corporation - Common Stock |
| NMT | NUVEEN MASS PREM INCOME MUN FD COM |
| NMT-C | NUVEEN MASS PREM INCOME MUN FD MTP SHS SR2015 |
| NMT-D | NUVEEN MASS PREM INCOME MUN FD PFD SHS S-2016 |
| NMTI | NMT MED INC COM |
| NMX | NYMEX Holdings Inc. Common Stock |
| NMY | NUVEEN MD PREM INCOME MUN FD COM |
| NMY-C | NUVEEN MD PREM INCOME MUN FD MFD PFD2.65%15 |
| NMY-D | NUVEEN MD PREM INCOME MUN FD MTP SHS SR2016 |
| NMY-E | NUVEEN MD PREM INCOME MUN FD MTP 2.6 2015 |
| NMY-F | NUVEEN MD PREM INCOME MUN FD MTP 2.6 2015-1 |
| NMY-G | NUVEEN MD PREM INCOME MUN FD MTP 2.65 2015-1 |

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| NMY-H | NUVEEN MD PREM INCOME MUN FD MTP 2.85 2016 |
| NMZ | NUVEEN MUN HIGH INCOME OPP FD COM |
| NNA | NAVIOS MARITIME ACQUIS CORP SHS |
| NNA+ | NAVIOS MARITIME ACQUIS CORP WT EXP 062513 |
| NNA= | NAVIOS MARITIME ACQUIS CORP UNIT EX 000013 |
| NNB | NUVEEN VA DIV ADV MUNI FD 2 COM |
| NNB-C | NUVEEN VA DIV ADV MUNI FD 2 MTP SHS SR2014 |
| NNBR | NN INC COM |
| NNC | NUVEEN N C PREM INCOME MUN FD COM |
| NNC-C | NUVEEN N C PREM INCOME MUN FD MTP SHS SR2015 |
| NNC-D | NUVEEN N C PREM INCOME MUN FD MF PFD SHS2016 |
| NNC-E | NUVEEN N C PREM INCOME MUN FD 2.60% SER 2015 |
| NNC-F | NUVEEN N C PREM INCOME MUN FD 2.60% SER 2015-1 |
| NNC-G | NUVEEN N C PREM INCOME MUN FD 2.65% SER 2015-1 |
| NNDS | NDS Group plc. - American Depositary Shares |
| NNF | NUVEEN N Y PREM INCOME MUN FD COM |
| NNI | NELNET INC CL A |
| NNJ | NUVEEN NJ PREM INCOME MUN FD COM |
| NNL | Merrill Lynch |
| NNN | NATIONAL RETAIL PPTYS INC COM |
| NNN-A | National Retail Properties Inc. 9% Series A Non-Voting Preferred Stock |
| NNN-A* | National Retail Properties Inc. 9% Series A Non-Voting Preferred Stock |
| NNN-C | NATIONAL RETAIL PROPERTIES INC PFD C 7.375% |
| NNN-C* | NATIONAL RETAIL PPTYS INC PFD C 7.375% |
| NNN-D | NATIONAL RETAIL PPTYS INC PFD SER D |
| NNN-E | NATIONAL RETAIL PPTYS INC DEP SHS REP1/100 |
| NNO | NUVEEN N C DIV ADV FD 2 COM |
| NNO-C | NUVEEN N C DIV ADV FD 2 MUN PFD SER 15 |
| NNP | NUVEEN NY PERFORM PLUS MUN FD COM |
| NNY | NUVEEN NY MUN VALUE FD COM |
| NOA | NORTH AMERN ENERGY PARTNERS COM |
| NOA# | North American Energy Partners Inc. Common Shares |
| NOAH | NOAH HLDGS LTD SPONSORED ADS |
| NOBH | NOBILITY HOMES INC COM |
| NOBL | NOBLE INTL LTD COM |
| NOC | NORTHROP GRUMMAN CORP COM |
| NOC# | NORTHROP GRUMMAN CORP EX-DISTRIB/WI |
| NOC-B | Northrop Grumman Corporation Series B Preferred Stock |
| NOC-B* | Northrop Grumman Corporation Series B Preferred Stock |
| NOEC | NEW ORIENTAL ENERGY & CHEM CRP COM |
| NOG | NORTHERN OIL & GAS INC NEV COM |
| NOIZ | MICRONETICS INC DEL COM |
| NOK | NOKIA CORP SPONSORED ADR |
| NOLG | NUOASIS LAUGHLIN INC |
| NOLV | NUOASIS LAS VEGAS INC |
| NOM | NUVEEN MO PREM INCOME MUN FD COM |
| NOM-C | NUVEEN MO PREM INCOME MUN FD MFD PFD SHS |
| NOMO | FQF TR QUANTSHAR ANTI |
| NOOF | NEW FRONTIER MEDIA INC COM |
| NOR | NORANDA ALUM HLDG CORP COM |
| NORW | GLOBAL X FDS GLOB X NOR ETF |
| NOV | NATIONAL OILWELL VARCO INC COM |
| NOV# | National Oilwell Varco Inc. Common Stock |
| NOVA | NOVAMED INC DEL COM NEW |
| NOVAD | NOVAMED INC DEL COM NEW |
| NOVB | NORTH VALLEY BANCORP COM NEW |
| NOVBD | NORTH VALLEY BANCORP COM NEW |
| NOVC | NOVATION COS INC COM |
| NOVL | NOVELL INC COM |
| NOVN | NOVEN PHARMACEUTICALS INC COM |
| NOVT | Novoste Corporation - Common Stock |

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| NOW | SERVICENOW INC COM |
| NOX | NEUBERGER BERMAN INCOME OPP FD COM SHS |
| NOXS | |
| NP | NEENAH PAPER INC COM |
| NPBC | NATIONAL PENN BANCSHARES INC COM |
| NPBCO | NPB CAP TR II PFD GTD TR SEC |
| NPC | NUVEEN INSD CALIF PREM INCOME COM |
| NPD | CHINA NEPSTAR CHAIN DRUGSTORE SPONSORED ADR |
| NPF | NUVEEN PREMIER MUN INCOME FD COM |
| NPG | NUVEEN GA PREM INCOME MUN FD SH BEN INT |
| NPG-C | NUVEEN GA PREM INCOME MUN FD MTP SHS SR2015 |
| NPI | NUVEEN PREM INCOME MUN FD COM |
| NPK | NATIONAL PRESTO INDS INC COM |
| NPLA | InPlay Technologies Inc. - Common Stock |
| NPLU | Morgan Stanley - Performance Leveraged Upside Securities Linked to Nasdaq 100 Index due August 20 2007 |
| NPM | NUVEEN PREM INCOME MUN FD 2 COM |
| NPN | NUVEEN PA MUN VALUE FD COM |
| NPO | ENPRO INDS INC COM |
| NPP | NUVEEN PERFORMANCE PLUS MUN FD COM |
| NPS | MORGAN STANLEY NT S&P500 2011 |
| NPSI | North Pittsburgh Systems Inc. - Common Stock |
| NPSN | Naspers Limited - Sponsored American Depositary Receipt Representing Class N Shares (South Africa) |
| NPSP | NPS PHARMACEUTICALS INC COM |
| NPT | NUVEEN PREM INCOME MUN FD 4 COM |
| NPTE | North Pointe Holdings Corporation - Common Stock |
| NPTH | NORTHERN POTASH CO COM |
| NPTN | NEOPHOTONICS CORP COM |
| NPV | NUVEEN VA PREM INCOME MUN FD COM |
| NPV-A | NUVEEN VA PREM INCOME MUN FD MTP SHS SR2016 |
| NPV-C | NUVEEN VA PREM INCOME MUN FD MTP SHS SR2015 |
| NPV-D | NUVEEN VA PREM INCOME MUN FD MTP 2.80 2014 |
| NPV-E | NUVEEN VA PREM INCOME MUN FD MTP 2.80 2014 |
| NPX | NUVEEN PREM INCOME MUN OPPTY F COM |
| NPY | NUVEEN PA PREM INCOME MUN FD 2 COM |
| NQ | NQ MOBILE INC ADR REPSTG CL A |
| NQC | NUVEEN CA INVT QUALITY MUN FD COM |
| NQF | NUVEEN FLA INVT QUALITY MUN FD COM |
| NQH | TIERS PRINCIPAL PRTCTD |
| NQI | NUVEEN QUALITY MUN FD INC COM |
| NQJ | NUVEEN NJ INVT QUALITY MUN FD COM |
| NQL | TIERS PRINCIPAL PROTECTED TR SER 2002-6 TR |
| NQM | NUVEEN INVT QUALITY MUN FD INC COM |
| NQN | NUVEEN N Y INVT QUALITY MUN FD COM |
| NQP | NUVEEN PA INVT QUALITY MUN FD COM |
| NQS | NUVEEN SELECT QUALITY MUN FD COM |
| NQU | NUVEEN QUALITY INCOME MUN FD COM |
| NR | NEWPARK RES INC COM PAR \$.01NEW |
| NRB | NUVEEN NC DIVID ADVANTAGE MUN COM SH BEN INT |
| NRB-C | NUVEEN NC DIVID ADVANTAGE MUN MUN PFD SER 15 |
| NRC | NATIONAL RURAL UTILS COOP FIN SU NT 44DTD6.1 |
| NRC* | NATIONAL RURAL UTILS COOP FIN SU NT 44DTD6.1 |
| NRCI | NATIONAL RESH CORP COM |
| NRCIA | NATIONAL RESH CORP CL A |
| NRCIB | NATIONAL RESH CORP CL B |
| NRCIV | NATIONAL RESH CORP CL A |
| NRE | NOBAO RENEWABLE ENRGY HLDG LTD SPONSORED ADR |
| NREB | Northern Empire Bancshares - Common Stock |
| NRF | NORTHSTAR RLTY FIN CORP COM |
| NRF-A | NORTHSTAR RLTY FIN CORP PFD A 8.75% |
| NRF-B | NORTHSTAR RLTY FIN CORP PFD B 8.25% |
| NRF-C | NORTHSTAR RLTY FIN CORP PFD SER C % |

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| NRF-D | NORTHSTAR REALTY FINANCE CORP PFD-D |
| NRG | NRG ENERGY INC COM NEW |
| NRG-A | NRG ENERGY INC PFD CONV MAND |
| NRGM | INERGY MIDSTREAM LP U LTD PARTNERS |
| NRGN | NEUROGEN CORP COM |
| NRGP | INERGY HLDGS L P COM |
| NRGY | INERGY L P UNIT LTD PTNR |
| NRGY# | INERGY L P EX DISTRIB WI |
| NRI | Neuberger Berman Realty Income Fund Inc. Common Stock |
| NRIM | NORTHRIM BANCORP INC COM |
| NRK | NUVEEN NY AMT-FREE MUN INCOME COM |
| NRK-C | NUVEEN NY AMT-FREE MUN INCOME MUN PFD SER 15 |
| NRKM | ENERKEM INC COM |
| NRL | Neuberger Berman Real Estate Income Fund Inc. Common Stock |
| NRMX | Neurochem Inc - Common Shares |
| NRN | NATIONAL RURAL UTILS COOP FIN NT SUB 6.75%43 |
| NRN* | NATIONAL RURAL UTILS COOP FIN NT SUB 6.75%43 |
| NRO | NEUBERGER BERMAN RE ES SEC FD COM |
| NRO\$ | |
| NRP | NATURAL RESOURCE PARTNERS L P COM UNIT L P |
| NRP# | Natural Resource Partners L.P. Common Stock |
| NRPH | New River Pharmaceuticals Inc. - Common Stock |
| NRS | National Rural Utilities Cooperative Finance Corporation 7.40% Quarterly Income Capital Securities |
| NRS* | National Rural Utilities Cooperative Finance Corporation 7.40% Quarterly Income Capital Securities |
| NRT | NORTH EUROPEAN OIL RTY TR SH BEN INT |
| NRU | NATIONAL RURAL UTILS COOP FIN NT 5.95% 2045 |
| NRU* | NATIONAL RURAL UTILS COOP FIN NT 5.95% 2045 |
| NRVN | NATURE VISION INC COM |
| NRY | National Rural Utilities Cooperative Finance Corporation 7.625% Quarterly Income Capital Securities (QUICS) (Subordinated Deferrable Interest Debentures due June 15 |
| NRY* | National Rural Utilities Cooperative Finance Corporation 7.625% Quarterly Income Capital Securities (QUICS) (Subordinated Deferrable Interest Debentures due June 15 |
| NRZ | NEW RESIDENTIAL INVT CORP COM |
| NRZ# | NEW RESIDENTIAL INVT CORP COM |
| NS | NUSTAR ENERGY LP UNIT COM |
| NSANY | NISSAN MOTORS SPONSORED ADR |
| NSC | NORFOLK SOUTHERN CORP COM |
| NSD | Morgan Stanley |
| NSE | NEW SOURCE ENERGY CORP COM |
| NSEC | NATIONAL SEC GROUP INC COM |
| NSFC | NORTHERN STS FINL CORP COM |
| NSH | NUSTAR GP HOLDINGS LLC UNIT RESTG LLC |
| NSHA | NASHUA CORP COM |
| NSIT | INSIGHT ENTERPRISES INC COM |
| NSL | NUVEEN SR INCOME FD COM |
| NSLP | NEW SOURCE ENERGY PARTNERS L P CM UNT LTD PRT |
| NSM | NATIONSTAR MTG HLDGS INC COM |
| NSP | INSPERITY INC COM |
| NSP# | Natural Resource Partners L.P. Subordinated Units representing limited partnership interests |
| NSPH | NANOSPHERE INC COM |
| NSPR | INSPIREMD INC COM NEW |
| NSR | NEUSTAR INC CL A |
| NSS | NUSTAR LOGISTICS L P SB NT FX/FL 43 |
| NSSC | NAPCO SEC TECHNOLOGIES INC COM |
| NST | NSTAR COM |
| NSTC | NESS TECHNOLOGIES INC COM |
| NSTK | Nastech Pharmaceutical Company Inc. - Common Stock |
| NSTR | NORTHSTAR NEUROSCIENCE INC COM |
| NSU | NEVSUN RES LTD COM |
| NSUR | INSURE COM INC COM |
| NSYS | NORTECH SYS INC COM |

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| NT | NORTEL NETWORKS CORPORATION |
| NTAP | NETAPP INC COM |
| NTBK | Net.B@nk Inc. - Common Stock |
| NTC | NUVEEN CONN PREM INCOME MUN FD COM |
| NTC-C | NUVEEN CONN PREM INCOME MUN FD PFD SHS SER 2015 |
| NTC-D | NUVEEN CONN PREM INCOME MUN FD MTP SHS SR2016 |
| NTC-E | NUVEEN CONN PREM INCOME MUN FD MUNIFUND TERM PF |
| NTC-F | NUVEEN CONN PREM INCOME MUN FD MUNIFUND TERM PF |
| NTC-G | NUVEEN CONN PREM INCOME MUN FD MUNIFUND TERM PF |
| NTCT | NETSCOUT SYS INC COM |
| NTE | NAM TAI ELECTRS INC COM PAR \$0.02 |
| NTEC | Neose Technologies Inc. - Common Stock |
| NTES | NETEASE INC SPONSORED ADR |
| NTG | TORTOISE MLP FD INC COM |
| NTGR | NETGEAR INC COM |
| NTI | NORTHERN TIER ENERGY LP COM UN REPR PART |
| NTIC | NORTHERN TECH INTL CORP COM |
| NTII | NEUROBIOLOGICAL TECH INC COM NEW |
| NTIID | Neurobiological Technologies Inc. - Common Stock |
| NTIQ | NetIQ Corporation - Common Stock |
| NTK | NORTEK INC COM NEW |
| NTL | NORTEL INVERSORA S A SPON ADR PFD B |
| NTLI | NTL Incorporated - Common Stock |
| NTLID | NTL Incorporated - Common Stock |
| NTLIW | NTL Incorporated - Series A Warrants |
| NTLS | NTELOS HLDGS CORP COM NEW |
| NTLSD | NTELOS HLDGS CORP COM NEW |
| NTLSV | NTELOS HLDGS CORP COM NEW |
| NTMD | NITROMED INC COM |
| NTN | NTN BUZZTIME INC COM NEW |
| NTO | Northern Orion Resources Inc |
| NTOL | Natrol Inc. - Common Stock |
| NTOP | Net2Phone - Common Stock |
| NTPA | Netopia Inc. - Common Stock |
| NTQ | NTR Acquisition Co |
| NTQ+ | NTR Acquisition Co |
| NTQ= | NTR Acquisition Co |
| NTR | New York Mortgage Trust Inc. Common Stock |
| NTRI | NUTRI SYS INC NEW COM |
| NTRS | NORTHERN TR CORP COM |
| NTRT | NetRatings Inc. - Common Stock |
| NTS | NTS INC NEV COM |
| NTSC | NATIONAL TECHNICAL SYS INC COM |
| NTSP | NETSPEND HLDGS INC COM |
| NTST | Netsmart Technologies Inc. - Common Stock |
| NTSX | New 360 - Common Stock no par |
| NTSXV | New 360 - Common Stock no par |
| NTT | NIPPON TELEG & TEL CORP SPONSORED ADR |
| NTWK | NETSOL TECHNOLOGIES INC COM PAR \$.001 |
| NTX | NUVEEN TEX QUALITY INCOME MUN COM |
| NTX-C | NUVEEN TEX QUALITY INCOME MUN MUNI PDF SER13 |
| NTY | NBTY INC COM |
| NTZ | NATUZZI S P A ADR |
| NU | NORTHEAST UTILS COM |
| NUAN | NUANCE COMMUNICATIONS INC COM |
| NUC | NUVEEN CALIF QUALITY INCM MUN COM |
| NUCL | ISHARES TR S&P NUCIDX ETF |
| NUCO | NuCo2 Inc. - Common Stock |
| NUE | NUCOR CORP COM |
| NUE# | Nucor Corporation Common Stock |
| NUF | NUVEEN FLA QUALITY INCOME MUN COM |

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| NUGT | DIREXION SHS ETF TR DLY GLMNRBU3XNEW |
| NUHC | NU HORIZONS ELECTRS CORP COM |
| NUJ | NUVEEN NEW JERSEY DIVID COM |
| NUJ-C | NUVEEN NEW JERSEY DIVID MTP SHS SR2015 |
| NUM | NUVEEN MICH QUALITY INCOME MUN COM |
| NUM-C | NUVEEN MICH QUALITY INCOME MUN 2.3% SHS SR2015 |
| NUN | NUVEEN NY QUALITY INCM MUN FD COM |
| NUO | NUVEEN OHIO QUALITY INCOME MUN COM |
| NUO-A | NUVEEN OHIO QUALITY INCOME MUN PFD-2014 2.35% |
| NUO-C | NUVEEN OHIO QUALITY INCOME MUN PFD-2015 2.35% |
| NUO-D | NUVEEN OHIO QUALITY INCOME MUN PFD-2016 2.95% |
| NURO | NEUROMETRIX INC COM NEW |
| NUROD | NEUROMETRIX INC COM NEW |
| NUS | NU SKIN ENTERPRISES INC CL A |
| NUT | ML Macadamia Orchards L.P. Depository Receipts (Representing Class A Units of Limited Partner's Interests) |
| NUTR | NUTRACEUTICAL INTL CORP COM |
| NUV | NUVEEN MUN VALUE FD INC COM |
| NUVA | NUVASIVE INC COM |
| NUVO | Nuvelo Inc. - Common Stock |
| NUW | NUVEEN AMT-FREE MUN VALUE FD COM |
| NVAX | NOVAVAX INC COM |
| NVC | NUVEEN CA SELECT QUALITY MUN COM |
| NVD | NOVADEL PHARMA INC COM |
| NVDA | NVIDIA CORP COM |
| NVDQ | NOVADAQ TECHNOLOGIES INC COM |
| NVE | NV ENERGY INC COM |
| NVEC | NVE CORP COM NEW |
| NVEEU | NVS HLDGS INC UNIT1 COM 000013 |
| NVG | NUVEEN DIVID ADVANTAGE MUN INC COM |
| NVG-C | NUVEEN DIVID ADVANTAGE MUN INC MTP SHS SR2014 |
| NVGN | NOVOGEN LIMITED SPON ADR 1:25 SH |
| NVGND | NOVOGEN LIMITED SPON ADR 1:25 SH |
| NVH | National R.V. Holdings Inc. Common Stock \$.01 par value |
| NVJ | NUVEEN OHIO DIVID ADVANTAGE COM |
| NVJ-A | NUVEEN OHIO DIVID ADVANTAGE MTP SHS SR2014 |
| NVL | Novelis Inc. Common Stock |
| NVLS | NOVELLUS SYS INC COM |
| NVMI | NOVA MEASURING INSTRUMENTS LTD COM |
| NVN | NUVEEN NY SELECT QUALITY MUN COM |
| NVO | NOVO-NORDISK A S ADR |
| NVP- | NVP Capital I 8.20% Cumulative Quarterly Income Preferred Securities Series A (QUIPS) |
| NVP-* | NVP Capital I 8.20% Cumulative Quarterly Income Preferred Securities Series A (QUIPS) |
| NVP-B | NVP Capital III 7 3/4% Trust Issued Preferred Securities |
| NVP-B* | NVP Capital III 7 3/4% Trust Issued Preferred Securities |
| NVR | NVR INC COM |
| NVS | NOVARTIS A G SPONSORED ADR |
| NVSL | NAUGATUCK VY FINL CORP MD COM |
| NVSLD | NAUGATUCK VY FINL CORP MD COM |
| NVT | NAVTEQ Corporation Common Stock \$0.001 par value |
| NVTL | NOVATEL WIRELESS INC COM NEW |
| NVX | NUVEEN CA DIV ADVANTG MUN FD 2 COM |
| NVX-A | NUVEEN CA DIV ADVANTG MUN FD 2 MTP SHS SR2014 |
| NVX-C | NUVEEN CA DIV ADVANTG MUN FD 2 MUNI PFD SER15 |
| NVY | NUVEEN PA DIVID ADVANTAGE MUN COM |
| NVY-C | NUVEEN PA DIVID ADVANTAGE MUN MTP SHS SR2015 |
| NW-B | National Westminster Bank Plc American Depository Shares Series B (Each representing one Non-cumulative Dollar Preference Share Series B) |
| NW-B* | National Westminster Bank Plc American Depository Shares Series B (Each representing one Non-cumulative Dollar Preference Share Series B) |
| NW-C | NATIONAL WESTMINSTER BK PLC SPON ADR C |
| NWA | Northwest Airlines Corporation Common Stock |

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| NWA# | NORTHWEST AIRLINES CORPORATION WI |
| NWBI | NORTHWEST BANCSHARES INC MD COM |
| NWBO | NORTHWEST BIOTHERAPEUTICS INC COM PAR \$0.001 |
| NWBOW | NORTHWEST BIOTHERAPEUTICS INC WT EXP 000017 |
| NWCIX | NATIONWIDE MUT FDS NEW CORE PLUS INST |
| NWD | NEW DRAGON ASIA CORP CL A |
| NWE | NORTHWESTERN CORP COM NEW |
| NWEC | NorthWestern Corporation - Common stock |
| NWECW | NorthWestern Corporation - Warrant for 1 common stock at an exer. price of \$28.48 |
| NWF | NUVEEN INS FL TX FR ADV MUN FD COM |
| NWFI | Northway Financial Inc. - Common Stock |
| NWFL | NORWOOD FINANCIAL CORP COM |
| NWG | INCO Limited Warrants(Expiring on August 21 |
| NWI | NUVEEN MD DIV ADV MUN FD 3 COM |
| NWI-C | NUVEEN MD DIV ADV MUN FD 3 MTP SHS SR2015 |
| NWI-D | NUVEEN MD DIV ADV MUN FD 3 PFD SER 2016-1 |
| NWIR | NWH Inc. - Common Stock |
| NWK | NETWORK EQUIP TECHNOLOGIES COM |
| NWL | NEWELL RUBBERMAID INC COM |
| NWLI | NATIONAL WESTN LIFE INS CO CL A |
| NWLIA | National Western Life Insurance Company - Class A Common Stock |
| NWMO | NEW MOTION INC COM |
| NWN | NORTHWEST NAT GAS CO COM |
| NWP | NEWPAGE HOLDINGS CORPORATION |
| NWPX | NORTHWEST PIPE CO COM |
| NWRE | Neoware Inc. - Common Stock |
| NWS | NEWS CORP CL B |
| NWS.A | NEWS CORPORATION - CLASS A SHARES |
| NWSA | NEWS CORP CL A |
| NWSB | NORTHWEST BANCORP INC PA COM |
| NWSBP | Northwest Bancorp Inc. - Northwest Capital Trust I - 8.75% Cumulative Trust Preferred Securities |
| NWW# | INCO LIMITED |
| NWX | AMEX NETWORKING INDEXXXX |
| NWX-A | National Westminster Bank Plc Exchangeable Capital Securities Series A |
| NWY | NEW YORK & CO INC COM |
| NX | QUANEX BUILDING PRODUCTS CORP COM |
| NX# | Quanex Corporation Common Stock |
| NXC | NUVEEN CA SELECT TAX FREE PRTF SH BEN INT |
| NXE | NUVEEN AZ DIV ADV MUN FD 3 COM |
| NXE-C | NUVEEN AZ DIV ADV MUN FD 3 MTP SER 2016 |
| NXG | NORTHGATE MINERALS CORP COM |
| NXGN | Nexgen Biofuels Ltd. - ordinary shares |
| NXI | NUVEEN OH DIV ADVANTAGE MUN FD COM |
| NXI-C | NUVEEN OH DIV ADVANTAGE MUN FD MFD PFD SHS 15 |
| NXI-D | NUVEEN OH DIV ADVANTAGE MUN FD MTP SHS SR2016 |
| NXJ | NUVEEN NJ DIV ADVANTAGE MUN FD COM |
| NXJ-A | NUVEEN NJ DIV ADVANTAGE MUN FD PFD SER 2014 |
| NXK | NUVEEN NY DIV ADVANTG MUN FD 2 COM |
| NXK-C | NUVEEN NY DIV ADVANTG MUN FD 2 MUN PFD SER 15 |
| NXL | New Plan Excel Realty Trust Inc. Common Stock |
| NXL-E | New Plan Excel Realty Trust Inc. Depositary Shares representing a 1/10% interest of a share of 7.625% Series E Cum. Redeemable Pfd. Stock (liq. preference \$25) |
| NXM | NUVEEN PA DIV ADVANTAGE MUN FD COM |
| NXM-C | NUVEEN PA DIV ADVANTAGE MUN FD MTP SHS SR2015 |
| NXN | NUVEEN NY SELECT TAX FREE PRTF SH BEN INT |
| NXP | NUVEEN SELECT TAX FREE INCM PT SH BEN INT |
| NXPI | NXP SEMICONDUCTORS N V COM |
| NXPL | Morgan Stanley - Performance Leveraged Upside Securities Linked to Nasdaq 100 Index |
| NXQ | NUVEEN SELECT TAX FREE INCM PT SH BEN INT |
| NXR | NUVEEN SELECT TAX FREE INCM 3 SH BEN INT |
| NXSN | NEXSAN CORP COM NEW |

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| NXST | NEXSTAR BROADCASTING GROUP INC CL A |
| NXT | ZIEGLER EXCHANGE TRADED TR NYSE ARCA TECH |
| NXTM | NXSTAGE MEDICAL INC COM |
| NXTP | Nextel Partners Inc. - Class A Common Stock |
| NXTY | Nexity Financial Corporation - Common Stock par value \$0.01 per share |
| NXUS | Nexus Telocation Systems Limited Ordinary Shares (Israel) |
| NXXI | NUTRITION 21 INC COM |
| NXY | NEXEN INC COM |
| NXY-B | NEXEN INC SUB NT 7.35%43 |
| NXY-B* | NEXEN INC SUB NT 7.35%43 |
| NXZ | NUVEEN DIV ADVANTAGE MUN FD 2 COM |
| NY | ISHARES TR NYSE 100INX FD |
| NYA | NEW YORK AVERAGE XXX |
| NYB | NEW YORK CMNTY BANCORP INC COM |
| NYB-U | NEW YORK CMNTY CAP TR V BUNUSES UNIT |
| NYC | ISHARES TR NYSE COMP INDX |
| NYCB | NEW YORK CMNTY BANCORP INC COM |
| NYCB-U | NEW YORK CMNTY CAP TR V BUNUSES UNIT |
| NYER | NYER MED GROUP INC COM |
| NYF | ISHARES TR S&P AMTFREE MUNI |
| NYFX | NYFIX INC COM |
| NYH | EATON VANCE N Y MUN BD FD II COM |
| NYM | NYMAGIC INC COM |
| NYMT | NEW YORK MTG TR INC COM PAR \$.02 |
| NYMTP | NEW YORK MTG TR INC RED PFD B 7.75% |
| NYMX | NYMOX PHARMACEUTICAL CORP COM |
| NYNY | EMPIRE RESORTS INC COM NEW |
| NYNYD | EMPIRE RESORTS INC COM NEW |
| NYT | NEW YORK TIMES CO CL A |
| NYV | NUVEEN NEW YORK MUN VALUE FD 2 COM |
| NYW | MERRILL LYNCH & CO INC NT NIKK IDX 09 |
| NYX | NYSE EURONEXT COM |
| NZ | NETEZZA CORP COM |
| NZF | NUVEEN DIV ADV MUNI FD 3 COM SH BEN INT |
| NZF-C | NUVEEN DIV ADV MUNI FD 3 PFD SHS 5-2016 |
| NZH | NUVEEN CA DIV ADV MUNI FD 3 COM SH BEN INT |
| NZH-A | NUVEEN CA DIV ADV MUNI FD 3 MTP SHS SR2014 |
| NZH-B | NUVEEN CA DIV ADV MUNI FD 3 PFD-2014-I |
| NZH-C | NUVEEN CA DIVIDEND ADV MUN FD PFD SER 2015 |
| NZR | NUVEEN MD DIV ADV MUNI FD 2 COM SH BEN INT |
| NZR-C | NUVEEN MD DIV ADV MUNI FD 2 MTP SER 2015 |
| NZT | TELECOM CORP NEW ZEALAND LTD SPONSORED ADR |
| NZW | NUVEEN MI DIV ADV MUNI FD COM SH BEN INT |
| NZW-C | NUVEEN MI DIV ADV MUNI FD MUN PFD SHS2015 |
| NZX | NUVEEN GA DIV ADV MUNI FD COM |
| NZX-C | NUVEEN GA DIV ADV MUNI FD MTF PFD SE2015 |
| O | REALTY INCOME CORP COM |
| O-D | REALTY INCOME CORP PFD D 7.375% |
| O-D* | REALTY INCOME CORP PFD D 7.375% |
| O-E | REALTY INCOME CORP PFD CL E 6.75% |
| O-F | REALTY INCOME CORP MONTHLY INCOME F |
| OABC | OMNIAMERICAN BANCORP INC COM |
| OAK | OAKTREE CAP GROUP LLC UNIT CL A |
| OAKF | Oak Hill Financial Inc. - Common Stock |
| OAKS | FIVE OAKS INVT CORP COM |
| OAS | OASIS PETE INC NEW COM |
| OATS | Wild Oats Markets Inc. - Common Stock |
| OB | ONEBEACON INSURANCE GROUP LTD CL A |
| OBAF | OBA FINL SVCS INC COM |
| OBAS | OPTIBASE LTD SHS NEW NIS0.13 |
| OBCI | OCEAN BIO CHEM INC COM |

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| OBT | ORBITAL CORP SPONSORED ADR NE |
| OC | OWENS CORNING NEW COM |
| OC# | OWENS CORNING |
| OC+B | OWENS CORNING NEW WT SER B 103113 |
| OCAS | Ohio Casualty Corporation - Common Stock |
| OCC | OPTICAL CABLE CORP COM NEW |
| OCCF | OPTICAL CABLE CORP COM NEW |
| OCCH | COCA COLA HELLENIC BTTLG CO SA SPONSORED ADR |
| OCCX | OccuLogix Inc. - Common Stock |
| OCCXD | OCCULOGIX INC COM NEW |
| OCENY | OCE N V ADR |
| OCFC | OCEANFIRST FINL CORP COM |
| OCLR | OCLARO INC COM NEW |
| OCLRD | OCLARO INC COM NEW |
| OCLS | OCULUS INNOVATIVE SCIENCES INC COM NEW |
| OCN | OCWEN FINL CORP COM NEW |
| OCNB | OCONOMOWOC BANCSHARES INC CDT COM |
| OCNF | OCEANFREIGHT INC SHS A |
| OCNFD | OCEANFREIGHT INC SHS A NEW |
| OCNW | OCCAM NETWORKS INC COM NEW |
| OCPI | Optical Communication Products Inc. - Common Stock |
| OCR | OMNICARE INC COM |
| OCR-A | OMNICARE CAP TR I PIERS |
| OCR-B | OMNICARE CAP TR II PFD B TR 4.00% |
| OCZ | OCZ TECHNOLOGY GROUP INC COM |
| ODC | OIL DRI CORP AMER COM |
| ODFL | OLD DOMINION FGHT LINES INC COM |
| ODMO | ODIMO INC COM |
| ODP | OFFICE DEPOT INC COM |
| ODSY | ODYSSEY HEALTHCARE INC COM |
| ODY | AB SVENSK EXPORTKREDIT ACC RTN S&P100 |
| OEC-A | Ohio Edison Company 3.90% Preferred Stock |
| OEC-A* | Ohio Edison Company 3.90% Preferred Stock |
| OEC-B | Ohio Edison Company 4.40% Preferred Stock |
| OEC-B* | Ohio Edison Company 4.40% Preferred Stock |
| OEC-C | Ohio Edison Company 4.44% Preferred Stock |
| OEC-C* | Ohio Edison Company 4.44% Preferred Stock |
| OEC-D | Ohio Edison Company 4.56% Preferred Stock |
| OEC-D* | Ohio Edison Company 4.56% Preferred Stock |
| OEF | ISHARES TR S&P 100 IDX FD |
| OEH | ORIENT-EXPRESS HOTELS LTD CL A |
| OESX | ORION ENERGY SYSTEMS INC COM |
| OFC | CORPORATE OFFICE PPTYS TR SH BEN INT |
| OFC-E | Corporate Office Properties Trust 10.25% Series E Cumulative Redeemable Preferred Shares of Beneficial Interest |
| OFC-F | Corporate Office Properties Trust Series F Cumulative Redeemable Preferred shares |
| OFC-F* | Corporate Office Properties Trust Series F Cumulative Redeemable Preferred shares |
| OFC-G | CORPORATE OFFICE PPTYS TR PFD SER G 8% |
| OFC-G* | CORPORATE OFFICE PPTYS TR PFD SER G 8% |
| OFC-H | CORPORATE OFFICE PPTYS TR PFD H 7.50% |
| OFC-J | CORPORATE OFFICE PPTYS TR PFD J 7.625% |
| OFC-J* | CORPORATE OFFICE PPTYS TR PFD J 7.625% |
| OFC-L | CORPORATE OFFICE PPTYS TR PFD SER L |
| OFED | OCONEE FED FINL CORP COM |
| OFF | UBS AG LONDON BRH FISH GR RK OFF |
| OFG | OFG BANCORP COM |
| OFG-A | OFG BANCORP PFD A 7.125% |
| OFG-B | OFG BANCORP PFD SER B 7.0% |
| OFG-D | OFG BANCORP PERP PFD-D |
| OFI | OVERHILL FARMS INC COM |
| OFIX | ORTHOFIX INTL N V COM |

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| OFLX | OMEGA FLEX INC COM |
| OFS | OFS CAP CORP COM |
| OFSI | Omni Financial Services Inc. - Common Stock |
| OGAR | O GARA GROUP COM |
| OGE | OGE ENERGY CORP COM |
| OGEM | EGA EMERGING GLOBAL SHS TR EGSARE ENGY GEM |
| OGEN | ORAGENICS INC COM NEW |
| OGN | MERRILL LYNCH & CO INC NT LKD OIL 07 |
| OGXI | ONCOGENEX PHARMACEUTICALS INC COM |
| OHB | ORLEANS HOMEBUILDERS INC COM |
| OHI | OMEGA HEALTHCARE INVS INC COM |
| OHI-D | OMEGA HEALTHCARE INVS INC PFD D 8.375% |
| OHI-D* | OMEGA HEALTHCARE INVS INC PFD D 8.375% |
| OHRP | OHR PHARMACEUTICAL INC COM NEW |
| OI | OWENS ILL INC COM NEW |
| OI-A | Owens-Illinois Inc. \$2.375 Convertible Preferred Stock |
| OI-A* | Owens-Illinois Inc. \$2.375 Convertible Preferred Stock |
| OIA | INVESCO MUNI INCOME OPP TRST COM |
| OIB | INVESCO MUNI INCM OPP TRST II COM |
| OIBR | OI S.A. SPN ADR REP PFD |
| OIBR.C | OI S.A. SPONSORED ADR |
| OIC | INVESCO MUNI INC OPP TRS III COM |
| OICO | O I CORP COM |
| OIH | MARKET VECTORS ETF TR OIL SVCS ETF |
| OII | OCEANEERING INTL INC COM |
| OII# | Oceaneering International Inc. Common Stock |
| OIIM | O2MICRO INTERNATIONAL LTD SPONS ADR |
| OIL | BARCLAYS BK PLC IPSP CROIL ETN |
| OILT | OILTANKING PARTNERS L P UNIT LTD |
| OILZ | UBS AG LONDON BRH DLY LNGSHT OIL |
| OINK | TIANLI AGRITECH INC SHS |
| OIS | OIL STS INTL INC COM |
| OKE | ONEOK INC NEW COM |
| OKE-A | ONEOK Inc. Equity Units (in the form of Corporate Units) |
| OKN | OCEANAUT INC COM |
| OKN+ | OCEANAUT INC WT EXP 010111 |
| OKN= | OCEANAUT INC UNIT EX 010111 |
| OKS | ONEOK PARTNERS LP UNIT LTD PARTN |
| OKSB | SOUTHWEST BANCORP INC OKLA COM |
| OKSBP | SOUTHWEST CAP TR II GTD TR PFD SECS |
| OLA | OLD MUTUAL CLAYMORE LNG SHT FD COM |
| OLAB | Oralabs Holding Corp. - Common Stock |
| OLBK | OLD LINE BANCSHARES INC COM |
| OLCB | OHIO LEGACY CORP COM NEW |
| OLE | MERRILL LYNCH & CO INC STRIDE 9.25%ORCL |
| OLED | Cambridge Display Technology Inc. - Common Stock |
| OLEM | BARCLAYS BK PLC IPTH CRUDE OIL |
| OLG | Offshore Logistics Inc. Common stock |
| OLGC | Orthologic Corp. - Common Stock |
| OLGR | Oilgear Company (The) - Common Stock |
| OLN | OLIN CORP COM PAR \$1 |
| OLO | DEUTSCHE BK AG LONDON BRH PS CR OIL LG ETN |
| OLP | ONE LIBERTY PPTYS INC COM |
| OMAB | GRUPO AEROPORTUARIO CTR NORTE SPON ADR |
| OMC | OMNICOM GROUP INC COM |
| OMC# | Omnicom Group Inc. Common Stock |
| OMCL | OMNICELL INC COM |
| OME | OMEGA PROTEIN CORP COM |
| OMEF | Omega Financial Corporation - Common Stock |
| OMER | OMEROS CORP COM |
| OMEX | ODYSSEY MARINE EXPLORATION INC COM |

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| OMG | OM GROUP INC COM |
| OMGI | ORION MARINE GROUP INC COM |
| OMI | OWENS & MINOR INC NEW COM |
| OMM | Omi Corporation Common Stock |
| OMN | OMNOVA SOLUTIONS INC COM |
| OMNI | OMNI ENERGY SERVICES COM NEW |
| OMPI | OBAGI MEDICAL PRODUCTS INC COM |
| OMR | Odyssey Marine Exploration Inc |
| OMRI | Omrix Biopharmaceuticals Inc. - Common Stock |
| OMTH | OMTHERA PHARMACEUTICALS INC COM |
| OMTL | Omtool Ltd. - Common Stock |
| OMTR | OMNITURE INC COM |
| OMX | OFFICEMAX INC DEL COM |
| OMXWD | OFFICEMAX INC DE |
| ONAV | OMEGA NAVIGATION ENTERPRISES CLASS A |
| ONB | OLD NATL BANCORP IND COM |
| ONB-B | ONB CAP TR II PFD TR 8% |
| ONB-B* | ONB CAP TR II PFD TR 8% |
| ONCY | ONCOLYTICS BIOTECH INC COM |
| ONE | HIGHER ONE HLDGS INC COM |
| ONE-V | Bank One Capital V 8% Preferred Securities |
| ONE-V* | Bank One Capital V 8% Preferred Securities |
| ONE-W | BANK ONE CAPITAL VI PFD SECS 7.2% |
| ONEF | RUSSELL EXCHANGE TRADED FDS TR EQUITY ETF |
| ONEQ | FIDELITY COMWLTH TR NDQ CP IDX TRK |
| ONFC | ONEIDA FINL CORP MD COM |
| ONFCD | ONEIDA FINL CORP MD COM |
| ONG | BARCLAYS BK PLC IPTH ENRGY ETN |
| ONH | Orion HealthCorp Inc. |
| ONI | Oragenics Inc |
| ONN | UBS AG LONDON BRH ETRACS FIS GART |
| ONNN | ON SEMICONDUCTOR CORP COM |
| ONP | ORIENT PAPER INC COM NEW |
| ONSM | ONSTREAM MEDIA CORP COM NEW |
| ONSMD | ONSTREAM MEDIA CORP COM NEW |
| ONT | ON2 TECHNOLOGIES INC COM |
| ONTY | ONCOTHYREON INC COM |
| ONVI | ONVIA INC COM NEW |
| ONXS | ONYX Software Corporation - Common Stock |
| ONXX | ONYX PHARMACEUTICALS INC COM |
| OO | Oakley Inc. Common Stock |
| OOG | ISE OIL & GAS SERVICEXXX |
| OOK | OOK INC COM |
| OOO | STREAM GLOBAL SVCS INC COM |
| OOO\$ | |
| OOO+ | STREAM GLOBAL SVCS INC WT EXP 101711 |
| OOO= | STREAM GLOBAL SVCS INC UNIT EX |
| OPAY | OFFICIAL PMTS HLDGS INC COM |
| OPEN | OPENTABLE INC COM |
| OPHC | OPTIMUMBANK HOLDINGS INC COM PAR \$0.01 |
| OPHCD | OPTIMUMBANK HOLDINGS INC COM NEW |
| OPK | OPKO HEALTH INC COM |
| OPK# | Opko Health Inc When Issued |
| OPLK | OPLINK COMMUNICATIONS INC COM NEW |
| OPMR | OPTIMAL GROUP INC CL A SHS NEW |
| OPMRD | OPTIMAL GROUP INC CL A SHS NEW |
| OPNT | OPNET TECHNOLOGIES INC COM |
| OPOF | OLD POINT FINL CORP COM |
| OPSW | Opware Inc. - Common Stock |
| OPT | OptiCare Health Systems Inc |
| OPTC | OPTELECOM NKF INC COM PAR \$0.03 |

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| OPTM | Optium Corporation - Common Stock |
| OPTN | OPTION CARE Inc. - Common Stock |
| OPTR | OPTIMER PHARMACEUTICALS INC COM |
| OPTT | OCEAN PWR TECHNOLOGIES INC COM NEW |
| OPTV | OPENTV CORP CL A |
| OPWV | OPENWAVE SYS INC COM NEW |
| OPX | Opteum Inc. Class A Common Stock |
| OPXA | OPEXA THERAPEUTICS INC COM NEW |
| OPXAW | OPEXA THERAPEUTICS INC WT EXP 021913 |
| OPXT | OPNEXT INC COM |
| OPY | OPPENHEIMER HLDGS INC CL A NON VTG |
| ORA | ORMAT TECHNOLOGIES INC COM |
| ORB | ORBITAL SCIENCES CORP COM |
| ORBC | ORBCOMM INC COM |
| ORBK | ORBOTECH LTD ORD |
| ORBT | ORBIT INTL CORP COM NEW |
| ORC | ORCHID IS CAP INC COM |
| ORCC | ONLINE RES CORP COM |
| ORCD | ORCHARD ENTERPRISES INC COM NEW |
| ORCH | ORCHID CELLMARK INC COM |
| ORCI | Opinion Research Corporation - Common Stock |
| ORCL | ORACLE CORP COM |
| ORCT | ORCKIT COMMUNICATIONS LTD SHS |
| OREX | OREXIGEN THERAPEUTICS INC COM |
| ORGN | ORIGEN FINL INC COM |
| ORH | ODYSSEY RE HLDGS CORP COM |
| ORH-A | ODYSSEY RE HLDGS CORP PFD SER A |
| ORH-A* | ODYSSEY RE HLDGS CORP PFD SER A |
| ORH-B | ODYSSEY RE HLDGS CORP PFD PERP B FLT |
| ORH-B* | ODYSSEY RE HLDGS CORP PFD PERP B FLT |
| ORI | OLD REP INTL CORP COM |
| ORIG | OCEAN RIG UDW INC SHS |
| ORIGV | OCEAN RIG UDW INC SHS |
| ORIT | ORITANI FINL CORP DEL COM |
| ORITD | ORITANI FINL CORP DEL COM |
| ORLY | O REILLY AUTOMOTIVE INC NEW COM |
| ORMP | ORAMED PHARM INC COM NEW |
| ORN | ORION MARINE GROUP INC COM |
| ORNG | ORANGE 21 INC COM |
| ORRF | ORRSTOWN FINL SVCS INC COM |
| ORS | ORSUS XELENT TECHNOLOGIES INC COM NEW |
| ORXE | ORE PHARMACEUTICAL HLDGS INC COM |
| ORXED | ORE PHARMACEUTICALS INC COM NEW |
| OS | Oregon Steel Mills Inc. Common Stock |
| OSBC | OLD SECOND BANCORP INC ILL COM |
| OSBCP | OLD SECOND CAP TR I PFD TR SEC |
| OSBK | OSAGE BANCSHARES INC COM |
| OSCI | OSCIENT PHARMACEUTICALS CORP COM NEW |
| OSCID | Oscient Pharmaceuticals Corporation - Common Stock |
| OSG | OVERSEAS SHIPHOLDING GROUP INC COM |
| OSH | ORCHARD SUPPLY HARDWARE STORES CL A |
| OSHC | OCEAN SHORE HLDG CO NEW COM |
| OSHCD | OCEAN SHORE HLDG CO NEW COM |
| OSI | OSI Restaurant Partners Inc. Common Stock |
| OSIP | OSI PHARMACEUTICALS INC COM |
| OSIR | OSIRIS THERAPEUTICS INC NEW COM |
| OSIS | OSI SYSTEMS INC COM |
| OSK | OSHKOSH CORP COM |
| OSKY | MidWestOne Financial Group Inc - Common Stock |
| OSM | SLM CORP NT LKD FLT RT |
| OSN | OSSEN INNOVATION CO LTD SPONSORED ADR |

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| OSP | OSG AMER L P COM UNIT LPI |
| OSQ | MORGAN STANLEY PLUS |
| OSTE | OSTEOTECH INC COM |
| OSTK | OVERSTOCK COM INC DEL COM |
| OSUR | ORASURE TECHNOLOGIES INC COM |
| OTD | O2Diesel Corporation |
| OTE | HELLENIC TELECOM ORGANIZATN SA SPONSORED ADR |
| OTEL | OTELCO INC CL A NEW |
| OTEX | OPEN TEXT CORP COM |
| OTIV | ON TRACK INNOVATION LTD SHS |
| OTIX | OTIX GLOBAL INC COM NEW |
| OTIXD | OTIX GLOBAL INC COM NEW |
| OTL | Octel Corporation Common Stock |
| OTN | S&P TRANSPORTATION XXX |
| OTP | CLAYMORE EXCHANGE TRD FD TR GUG OCN TOMO PAT |
| OTR | CLAYMORE EXCHANGE TRD FD TR GUG OCN TOMO GWT |
| OTT | OTELCO INC INCME DEP SECS |
| OTTR | OTTER TAIL CORP COM |
| OTV | OneTravel Holdings Inc |
| OUI | Realty Income Corporation 8 1/4% Monthly Income Senior Notes due November 15 2008 |
| OUTD | OUTDOOR CHANNEL HLDGS INC COM NEW |
| OUTL | Outlook Group Corp. - Common Stock |
| OVAS | OVASCIENCE INC COM |
| OVBC | OHIO VY BANC CORP COM |
| OVEN | TurboChef Technologies Inc. - Common Stock |
| OVIP | OPEN JT STK CO-VIMPEL COMMUNIC SPONSORED ADR |
| OVLY | OAK VALLEY BANCORP OAKDALE CAL COM |
| OVRL | OVERLAND STORAGE INC COM NEW |
| OVRLD | OVERLAND STORAGE INC COM NEW |
| OVTI | OMNIVISION TECHNOLOGIES INC COM |
| OWW | ORBITZ WORLDWIDE INC COM |
| OXBT | OXYGEN BIOTHERAPEUTICS INC COM PAR \$0.0001 |
| OXF | OXFORD RESOURCE PARTNERS LP COM UNIT RP LP |
| OXGN | OXIGENE INC COM PAR\$.001 |
| OXGND | OXIGENE INC COM NEW |
| OXLC | OXFORD LANE CAP CORP COM |
| OXLCP | OXFORD LANE CAP CORP PFD 2017 |
| OXLCR | OXFORD LANE CAP CORP RT |
| OXM | OXFORD INDS INC COM |
| OXPS | OPTIONSPRESS HLDGS INC COM |
| OXY | OCCIDENTAL PETE CORP DEL COM |
| OXY# | Occidental Petroleum Corporation Common Shares |
| OYOG | OYO GEOSPACE CORP COM |
| OZM | OCH ZIFF CAP MGMT GROUP CL A |
| OZN | Orezone Resources Inc |
| OZRK | BANK OF THE OZARKS INC COM |
| P | PANDORA MEDIA INC COM |
| PA | PanAmSat Holding Corporation Common Stock |
| PAA | PLAINS ALL AMERN PIPELINE L P UNIT LTD PARTN |
| PAAS | PAN AMERICAN SILVER CORP COM |
| PAB | Citigroup Funding Inc. |
| PABK | PAB BANKSHARES INC COM |
| PAC | GPO AEROPORTUARIO DEL PAC SAB SPON ADR B |
| PACB | PACIFIC BIOSCIENCES CALIF INC COM |
| PACD | PACIFIC DRILLING SA LUXEMBOURG REG SHS |
| PACQ | PRIME ACQUISITION CORP SHS |
| PACQU | PRIME ACQUISITION CORP UNITS |
| PACQW | PRIME ACQUISITION CORP WT EXP 033016 |
| PACR | PACER INTL INC TENN COM |
| PACT | PACTERA TECHNOLOGY INTL LTD SPONSORED ADR |
| PACTV | PACTERA TECHNOLOGY INTL LTD SPONSORED ADR |

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| PACW | PACWEST BANCORP DEL COM |
| PAE | Peace Arch Entertainment Group Inc |
| PAET | PAETEC HOLDING CORP COM |
| PAF | POWERSHARES GLOBAL ETF TRUST ASIA PAC EX-JP |
| PAG | PENSKE AUTOMOTIVE GRP INC COM |
| PAGG | POWERSHARES ETF TRUST II GLOBL AGRI ETF |
| PAGI | Pemco Aviation Group Inc. - Common Stock |
| PAI | WESTERN ASSET INCOME FD COM |
| PAL | NORTH AMERN PALLADIUM LTD COM |
| PAL+ | NORTH AMERN PALLADIUM LTD WT EXP 121309 |
| PALL | ETFS PALLADIUM TR SH BEN INT |
| PALM | PALM INC NEW COM |
| PAM | PAMPA ENERGIA S A SPONS ADR LVL I |
| PAMT | PARAMETRIC SOUND CORP COM NEW |
| PANC | Panacos Pharmaceuticals Inc. - Common Stock |
| PANL | UNIVERSAL DISPLAY CORP COM |
| PANW | PALO ALTO NETWORKS INC COM |
| PAO | POWERSHARES ETF TRUST II BLNCD GRWTH PORT |
| PAP | PACIFIC ASIA PETROLEUM INC COM |
| PAR | PAR TECHNOLOGY CORP COM |
| PARD | PONIARD PHARMACEUTICALS INC COM PAR \$0.02 |
| PARDD | PONIARD PHARMACEUTICALS INC COM PAR \$0.02 |
| PARL | PARLUX FRAGRANCES INC COM |
| PARS | PHARMOS CORP COM PAR \$.03 |
| PAS | PEPSIAMERICAS INC COM |
| PATH | NUPATHE INC COM |
| PATK | PATRICK INDS INC COM |
| PATR | PATRIOT TRANSN HLDG INC COM |
| PAX | PROSPECT ACQUISITION CORP COM |
| PAX+ | PROSPECT ACQUISITION CORP WT EXP 111412 |
| PAX= | PROSPECT ACQUISITION CORP UNIT EX 000012 |
| PAY | VERIFONE SYS INC COM |
| PAYX | PAYCHEX INC COM |
| PB | PROSPERITY BANCSHARES INC COM |
| PBA | PEMBINA PIPELINE CORP COM |
| PBAL | PEPPERBALL TECHNOLOGIES INC COM |
| PBALW | PEPPERBALL TECHNOLOGIES INC WT EXP 071810 |
| PBCI | PAMRAPO BANCORP INC COM |
| PBCP | POLONIA BACORP INC MD COM |
| PBCT | PEOPLES UNITED FINANCIAL INC COM |
| PBCTD | People's United Financial Inc. - Common Stock |
| PBD | POWERSHARES GLOBAL ETF TRUST GBL CLEAN ENER |
| PBE | POWERSHARES ETF TRUST DYN BIOT & GEN |
| PBF | PBF ENERGY INC CL A |
| PBG | PEPSI BOTTLING GROUP INC COM |
| PBH | PRESTIGE BRANDS HLDGS INC COM |
| PBHC | PATHFINDER BANCORP INC COM |
| PBI | PITNEY BOWES INC COM |
| PBI- | PITNEY BOWES INC PREF CV \$2.12 |
| PBI-A | PITNEY BOWES INC NT 22 |
| PBI-B | PITNEY BOWES INC NT 43 |
| PBIB | PORTER BANCORP INC COM |
| PBIO | PRESSURE BIOSCIENCES INC COM |
| PBIP | PRUDENTIAL BANCORP INC PA COM |
| PBIZ | Private Business Inc. - Common Stock |
| PBJ | POWERSHARES ETF TRUST DYN FD & BEV |
| PBKS | PROVIDENT BANKSHARES CORP COM |
| PBM | PACIFIC BOOKER MINERALS INC COM |
| PBMD | PRIMA BIOMED LTD SPON ADR LVL II |
| PBN | CITIGROUP FDG INC NTS S&P BUYWRT |
| PBNC | PFS BNCORP INC ## |

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| PBNY | PROVIDENT NEW YORK BANCORP COM |
| PBP | POWERSHARES GLOBAL ETF FD S&P 500 BUYWRT |
| PBR | PETROLEO BRASILEIRO SA PETROBR SPONSORED ADR |
| PBR.A | PETROLEO BRASILEIRO SA PETROBR SP ADR NON VGT |
| PBS | POWERSHARES ETF TRUST DYN MEDIA PORT |
| PBSK | POAGE BANKSHARES INC COM |
| PBT | PERMIAN BASIN RTY TR UNIT BEN INT |
| PBTC | Peoples BancTrust Company Inc. (The) - Common Stock |
| PBTH | PROLOR BIOTECH INC COM |
| PBTQ | POWERSHARES ETF TRUST II GLOBL BIOT ETF |
| PBW | POWERSHARES ETF TRUST WNDRHLL CLN EN |
| PBY | PEP BOYS MANNY MOE & JACK COM |
| PBYI | PUMA BIOTECHNOLOGY INC COM |
| PC | PANASONIC CORP ADR |
| PCA | POWERSHARES ETF TRUST II GRW & INC PORT |
| PCAP | PATRIOT CAPITAL FUNDING INC COM |
| PCAR | PACCAR INC COM |
| PCBC | PACIFIC CAP BANCORP NEW COM NEW |
| PCBCD | PACIFIC CAP BANCORP NEW COM NEW |
| PCBI | PEOPLES CMNTY BANCORP INC COM |
| PCBK | PACIFIC CONTINENTAL CORP COM |
| PCBS | PROVIDENT CMNTY BANCSHARES INC COM |
| PCC | PMC COML TR SH BEN INT |
| PCCC | P C CONNECTION COM |
| PCE | PACIFIC OFFICE PPTYS TR INC COM |
| PCE- | Provident Capital Trust III 10 1/4% Trust Preferred Securities |
| PCE-A | Provident Capital Trust IV 9.45% Trust Preferred Securities due 3/30/2031 |
| PCE-A* | Provident Capital Trust IV 9.45% Trust Preferred Securities due 3/30/2031 |
| PCEF | POWERSHARES ETF TRUST II CEF INC COMPST |
| PCF | PUTMAN HIGH INCOME SEC FUND SHS BEN INT |
| PCF\$ | Putnam High Income Securities Fund Shares of Beneficial Interest |
| PCG | PG&E CORP COM |
| PCG-A | PACIFIC GAS & ELEC CO PFD 1ST 6% |
| PCG-B | PACIFIC GAS & ELEC CO PFD 1ST 5.50% |
| PCG-C | PACIFIC GAS & ELEC CO PFD 1ST 5% |
| PCG-D | PACIFIC GAS & ELEC CO PFD 1ST 5% |
| PCG-E | PACIFIC GAS & ELEC CO PFD 1 SER A 5% |
| PCG-G | PACIFIC GAS & ELEC CO PFD 1ST 4.80% |
| PCG-H | PACIFIC GAS & ELEC CO PFD 1ST 4.50% |
| PCG-I | PACIFIC GAS & ELEC CO PFD 1ST 4.36% |
| PCGR | PC GROUP INC COM |
| PCH | POTLATCH CORP NEW COM |
| PCH# | POTLATCH CORP NEW EX DISTRIB |
| PCI | PIMCO DYNAMIC CR INCOME FD COM SHS |
| PCIS | Precis Inc. - Common Stock |
| PCK | PIMCO CALIF MUN INCOME FD II COM |
| PCL | PLUM CREEK TIMBER CO INC COM |
| PCLN | PRICELINE COM INC COM NEW |
| PCM | PCM FUND INC COM |
| PCMI | PCM INC COM |
| PCN | PIMCO CORPORATE INCOME STRATEG COM |
| PCNTF | Pacific Internet Limited - Ordinary Shares |
| PCO | PENDRELL CORP COM |
| PCOM | POINTS INTL LTD COM NEW |
| PCOP | Pharmacopeia Inc. - Common Stock |
| PCP | PRECISION CASTPARTS CORP COM |
| PCQ | PIMCO CA MUNICIPAL INCOME FD COM |
| PCR | PERINI CORP COM |
| PCR- | Perini Corp |
| PCR-* | Perini Corp |
| PCRX | PACIRA PHARMACEUTICALS INC COM |

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| PCS | METROPCS COMMUNICATIONS INC COM |
| PCTI | PC-TEL INC COM |
| PCTY | PARTY CITY CP ## |
| PCU | SOUTHERN COPPER CORP COM |
| PCV | Citigroup Funding Inc. |
| PCV* | CITIGROUP FDG INC PACERS 2008 |
| PCW | PCCW Limited American Depositary Shares (Each representing 10 Ordinary Shares) |
| PCX | PATRIOT COAL CORP COM |
| PCX# | PATRIOT COAL CORPORATION WI |
| PCY | POWERSHARES GLOBAL ETF TRUST SOVEREIGN DEBT |
| PCYC | PHARMACYCLICS INC COM |
| PCYG | PARK CITY GROUP INC COM NEW |
| PCYO | PURECYCLE CORP COM NEW |
| PCZ | PETRO-CDA COM |
| PD | Phelps Dodge Corporation Common Shares |
| PD# | Phelps Dodge Corporation Common Shares |
| PDA | BRF-BRASIL FOODS S A SPONSORED ADR |
| PDC | PIONEER DRILLING CO COM |
| PDCE | PDC ENERGY INC COM |
| PDCO | PATTERSON COMPANIES INC COM |
| PDD | CITIGROUP GLOBAL MKTS HLDGS NT 2% LK DJ 10 |
| PDE | PRIDE INTL INC DEL COM |
| PDE# | PRIDE INTL INC DEL EX DISTRIB |
| PDEX | PRO-DEX INC COLO COM NEW |
| PDEXD | PRO-DEX INC COLO COM NEW |
| PDF | John Hancock Patriot Premium Dividend Fund I Common Shares |
| PDFS | PDF SOLUTIONS INC COM |
| PDG | Placer Dome Inc. Common Shares |
| PDGI | PHARMANET DEV GROUP INC COM |
| PDH | PETROLOGISTICS LP UNIT LTD PTH INT |
| PDI | PIMCO DYNAMIC INCOME FD SHS |
| PDII | PDI INC COM |
| PDJ | MORGAN STANLEY PROPELS 2011 |
| PDL.A | PRESIDENTIAL RLTY CORP NEW CL A |
| PDL.B | PRESIDENTIAL RLTY CORP NEW CL B |
| PDLI | PDL BIOPHARMA INC COM |
| PDM | PIEDMONT OFFICE REALTY TR INC COM CL A |
| PDN | POWERSHARES GLOBAL ETF TRUST EX US SML PORT |
| PDNT | MERRILL LYNCH & CO INC NT LK DOW 2011 |
| PDO | PYRAMID OIL CO COM |
| PDP | POWERSHARES ETF TRUST DWA TECH LDRS |
| PDQ | POWERSHARES GLOBAL ETF TRUST ASIA PC EX JAP |
| PDRT | PARTICLE DRILLING TECHNOLOGIES COM |
| PDS | PRECISION DRILLING CORP COM 2010 |
| PDSN | PowerDsine Ltd. - Ordinary Shares |
| PDS^ | PRECISION DRILLING TR RT |
| PDS^# | PRECISION DRILLING TR RT |
| PDT | HANCOCK JOHN PREMUIIM DIV FD COM SH BEN INT |
| PDT\$ | John Hancock Patriot Premium Dividend Fund II Common Shares |
| PDW | CITIGROUP GLOBAL MKTS HLDGS NT DOW 1.5% 09 |
| PDX | PEDIATRIX MEDICAL GROUP INC. |
| PDY | CITIGROUP GLOBAL MKTS HLDGS NT S&P 1.5% 09 |
| PE-A | PECO ENERGY CO PFD \$3.80 |
| PE-A* | PECO ENERGY CO PFD \$3.80 |
| PE-B | PECO ENERGY CO PFD \$4.30 |
| PE-B* | PECO ENERGY CO PFD \$4.30 |
| PE-C | PECO ENERGY CO PFD \$4.40 |
| PE-C* | PECO ENERGY CO PFD \$4.40 |
| PE-D | PECO ENERGY CO PFD \$4.68 |
| PE-D* | PECO ENERGY CO PFD \$4.68 |
| PEAK | PEAK RESORTS INC COM |

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| PEB | PEBBLEBROOK HOTEL TR COM |
| PEB-A | PEBBLEBROOK HOTEL TR PFD-A 7.875% |
| PEB-B | PEBBLEBROOK HOTEL TR PFD SER B |
| PEB-C | PEBBLEBROOK HOTEL TR PFD SER C 6.50% |
| PEBK | PEOPLES BANCORP N C INC COM |
| PEBO | PEOPLES BANCORP INC COM |
| PEC | PIKE ELECTRIC CORPORATION |
| PED | PETROFLOW ENERGY LTD COM |
| PED+ | SmartPros Ltd |
| PEDE | Great Pee Dee Bancorp Inc. - Common Stock |
| PEDH | PEOPLES EDL HLDGS INC COM |
| PEDWS | SMARTPROS LTD WTS |
| PEER | INTELEPEER INC COM |
| PEET | PEETS COFFEE & TEA INC COM |
| PEF | POWERSHARES GLOBAL ETF TRUST EUROPE PORTFOL |
| PEFX | BlackRock S&P 500 Protected Equity Fund Inc. (The) - Closed End Fund |
| PEG | PUBLIC SVC ENTERPRISE GROUP COM |
| PEG# | Public Service Enterprise Group Incorporated Common Stock |
| PEG-A | PUBLIC SVC ELEC & GAS CO PFD 4.08% |
| PEG-A* | PUBLIC SVC ELEC & GAS CO PFD 4.08% |
| PEG-B | PUBLIC SVC ELEC & GAS CO PFD 4.18% |
| PEG-B* | PUBLIC SVC ELEC & GAS CO PFD 4.18% |
| PEG-C | PUBLIC SVC ELEC & GAS CO PFD 4.30% |
| PEG-C* | PUBLIC SVC ELEC & GAS CO PFD 4.30% |
| PEG-D | PUBLIC SVC ELEC & GAS CO PFD 5.05% |
| PEG-D* | PUBLIC SVC ELEC & GAS CO PFD 5.05% |
| PEG-E | PUBLIC SVC ELEC & GAS CO PFD 5.28% |
| PEG-E* | PUBLIC SVC ELEC & GAS CO PFD 5.28% |
| PEG-U | PSEG Funding Trust II 8.75% Preferred Securities |
| PEG-U* | PSEG Funding Trust II 8.75% Preferred Securities |
| PEGA | PEGASYSTEMS INC COM |
| PEGS | Pegasus Solutions Inc - Common Stock |
| PEH | POWERSHARES GLOBAL ETF TRUST DYN EUROPE PRT |
| PEI | PENNSYLVANIA RL ESTATE INVT TR SH BEN INT |
| PEI-A | PENNSYLVANIA RL ESTATE INVT TR 8.25% PFD CL A |
| PEI-A* | Pennsylvania Real Estate Investment Trust 11% Cumulative Non-convertible Senior Preferred Shares of Beneficial Interest |
| PEI-B | PENNSYLVANIA RL ESTATE INVT TR CUM RED PERP PFD |
| PEIX | PACIFIC ETHANOL INC COM PAR \$.001 |
| PEIXD | PACIFIC ETHANOL INC COM NEW |
| PEJ | POWERSHARES ETF TRUST DYN LSR & ENT |
| PEK | MARKET VECTORS ETF TR CHINA A SHS ETF |
| PEL | MORGAN STANLEY PROPEL.5%SP500 |
| PEM | PRINCIPLED EQUITY MARKET FD SH BEN INT |
| PENN | PENN NATL GAMING INC COM |
| PENX | PENFORD CORP COM |
| PEO | PETROLEUM & RES CORP COM |
| PEOP | PEOPLES FED BANCSHARES INC COM |
| PEP | PEPSICO INC COM |
| PER | SANDRIDGE PERMIAN TR COM UNIT BEN INT |
| PERF | PERFUMANIA HLDGS INC COM NEW |
| PERI | PERION NETWORK LTD SHS |
| PERM | GLOBAL X FDS GLB X PERMETF |
| PERY | ELLIS PERRY INTL INC COM |
| PES | PIONEER ENERGY SVCS CORP COM |
| PESI | PERMA-FIX ENVIRONMENTAL SVCS COM |
| PET-A | PACIFIC ENTERPRISES PFD \$4.36 |
| PET-A* | PACIFIC ENTERPRISES PFD \$4.36 |
| PET-B | PACIFIC ENTERPRISES PFD \$4.40 |
| PET-B* | PACIFIC ENTERPRISES PFD \$4.40 |
| PET-C | PACIFIC ENTERPRISES PFD \$4.50 |

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| PET-C* | PACIFIC ENTERPRISES PFD \$4.50 |
| PET-D | PACIFIC ENTERPRISES PFD \$4.75 |
| PET-D* | PACIFIC ENTERPRISES PFD \$4.75 |
| PETC | PETCO Animal Supplies Inc. - Common Stock |
| PETD | PDC ENERGY INC COM |
| PETDE | PETROLEUM DEV CP ## |
| PETM | PETSMART INC COM |
| PETS | PETMED EXPRESS INC COM |
| PETX | ARATANA THERAPEUTICS INC COM |
| PEX | Proshares Global Listed Private Equity ETF |
| PEX+ | APEX BIOVENTURES ACQ CORP WT EX 060711 |
| PEX= | APEX BIOVENTURES ACQ CORP UNIT |
| PEY | POWERSHARES ETF TRUST HI YLD EQ DVDN |
| PEZ | POWERSHARES ETF TRUST CON DISCRE SEC |
| PF | PINNACLE FOODS INC DEL COM |
| PFA | POWERSHARES GLOBAL ETF TRUST DEV INTL OPP |
| PFACP | PRO-FAC COOP INC PFD CL A |
| PFB | PFF Bancorp Inc. Common Stock |
| PFBC | PREFERRED BK LOS ANGELES CA COM NEW |
| PFBCD | PREFERRED BK LOS ANGELES CA COM NEW |
| PFB | PREMIER FINL BANCORP INC COM |
| PFBIP | Premier Financial Bancorp Inc. - PFB Capital Trust - 9.75% Preferred Securities |
| PFBX | PEOPLES FINL CORP MISS COM |
| PFCB | P F CHANGS CHINA BISTRO INC COM |
| PFCO | PAULA Financial - Common Stock |
| PFD | FLAHERTY & CRUMRINE PFD INC FD COM |
| PFDC | Peoples Bancorp - Common Stock |
| PFE | PFIZER INC COM |
| PFED | PARK BANCORP INC COM |
| PFEM | POWERSHARES ETF TRUST II FDMTL EMKLODBT |
| PFF | ISHARES TR US PFD STK IDX |
| PFG | PRINCIPAL FINL GROUP INC COM |
| PFG-B | PRINCIPAL FINL GROUP INC PFD B 6.518% |
| PFGC | Performance Food Group Company - Common Stock |
| PFH | CABCO TR FOR J C PENNEY DEBS CTF TR 7.625% |
| PFI | POWERSHARES ETF TRUST FINL SECT PORT |
| PFIG | POWERSHARES ETF TR II FND INV GR CP |
| PFIN | P & F INDS INC CL A NEW |
| PFK | PRUDENTIAL FINL INC NT FLT RETL 18 |
| PFL | PIMCO INCOME STRATEGY FUND COM |
| PFLT | PENNANTPARK FLOATING RATE CAP COM |
| PFL^ | PIMCO INCOME STRATEGY FUND RT |
| PFL^# | PIMCO INCOME STRATEGY FUND RT |
| PFM | POWERSHARES ETF TRUST DIV ACHV PRTF |
| PFMT | PERFORMANT FINL CORP COM |
| PFN | PIMCO INCOME STRATEGY FUND II COM |
| PFN^ | PIMCO INCOME STRATEGY FUND II RT |
| PFN^# | PIMCO INCOME STRATEGY FUND II RT |
| PFO | FLAHERTY & CRUMRINE PFD INC OP COM |
| PFP | POWERSHARES GLOBAL ETF TRUST INTL EQTY PORT |
| PFPT | PROOFPOINT INC COM |
| PFS | PROVIDENT FINL SVCS INC COM |
| PFSB | PennFed Financial Services Inc. - Common Stock |
| PFSI | PENNYMAC FINL SVCS INC CL A |
| PFSL | Pocahontas Bancorp Inc. - Common Stock |
| PFSW | PFSWEB INC COM NEW |
| PFSWD | PFSWEB INC COM NEW |
| PFT | CITIGROUP FDG INC NT 1.75%NIKK09 |
| PFV | Provident Financial Group Inc. 8.375% Senior Notes due July 15 2032 |
| PFV* | Provident Financial Group Inc. 8.375% Senior Notes due July 15 2032 |
| PFWD | PHASE FORWARD INC COM |

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| PFX | PHOENIX COS INC NEW QUIBS 2032 |
| PFXF | MARKET VECTORS ETF TR PFD SEC EXFINL |
| PG | PROCTER & GAMBLE CO COM |
| PG\$ | The Procter & Gamble Company Common Stock |
| PGC | PEAPACK-GLADSTONE FINL CORP COM |
| PGD | BARCLAYS BANK PLC IPATH AS GLF CUR |
| PGE-B | PRIME GROUP REALTY TRUST PFD SER B |
| PGEB | MERRILL LYNCH & CO INC NT BSK 97%2012 |
| PGEM | PLY GEM HLDGS INC COM |
| PGF | POWERSHARES ETF TRUST FINL PFD PTFL |
| PGG.A | Morgan Stanley |
| PGG.A* | Morgan Stanley |
| PGH | PENGROWTH ENERGY CORP COM |
| PGI | PREMIERE GLOBAL SVCS INC COM |
| PGIC | Progressive Gaming International Corporation - Common Stock |
| PGICD | PROGRESSIVE GAMING INTL CORP COM NEW |
| PGJ | POWERSHARES ETF TRUST GOLDEN DRG CHINA |
| PGL | Peoples Energy Corporation Common Shares |
| PGLA | PROGEN PHARMACEUTICALS LIMITED SHS |
| PGLAF | Progen Industries Limited - Ordinary Shares |
| PGLAW | PROGEN PHARMACEUTICALS LIMITED WT EXP 052810 |
| PGM | BARCLAYS BANK PLC ETN DJUBSPLATM38 |
| PGM\$ | Putnam Investment Grade Municipal Trust Common Shares of Beneficial Interest |
| PGN | PROGRESS ENERGY INC COM |
| PGNX | PROGENICS PHARMACEUTICALS INC COM |
| PGO | POLYMER GROUP INC CL A |
| PGP | PIMCO GLOBAL STOCKSPLS INCM FD COM |
| PGR | PROGRESSIVE CORP OHIO COM |
| PGR# | The Progressive Corporation Common Shares |
| PGRX | PROSPECT GLOBAL RES INC COM |
| PGS | Petroleum Geo-Services ASA American Depositary Shares each representing one ordinary share of nominal value NOK 8.00 per share |
| PGTI | PGT INC COM |
| PGV | VELOCITY PORTFOLIO GROUP INC COM NEW |
| PGV- | VELOCITY PORTFOLIO GROUP INC PFD CV SER A NEW |
| PGWC | Pegasus Wireless Corp. (NV) - Common Stock |
| PGX | POWERSHARES GLOBAL ETF TRUST AGG PFD PORT |
| PGZ | POWERSHARES ETF TRUST AGGRESV GROWTH |
| PH | PARKER HANNIFIN CORP COM |
| PHA | PULTE GROUP INC 7.375% NT 2046 |
| PHB | POWERSHARES GLOBAL ETF TRUST FDM HG YLD RAFI |
| PHC | PHC INC MASS CL A |
| PHD | PIONEER FLOATING RATE TR COM |
| PHDG | POWERSHARES ACTIVE MNG ETF TR S&P500 DWNHDGE |
| PHE | Merrill Lynch |
| PHEL | PETROLEUM HELICPT |
| PHELK | PETROLEUM HELICPT |
| PHF | PACHOLDER HIGH YIELD FD INC COM |
| PHG | KONINKLIJKE PHILIPS N V NY REG SH NEW |
| PHH | PHH CORP COM NEW |
| PHHM | PALM HARBOR HOMES COM |
| PHI | PHILIPPINE LONG DISTANCE TEL SPONSORED ADR |
| PHI-A | Philippine Long Distance Telephone Company Global Depositary Shares (Each representing one share of Series III Convertible Preferred Stock) |
| PHI | PHI INC COM VTG |
| PHI | PHI INC COM NON VTG |
| PHJ | POWERSHARES ETF TRUST HI GRW RT DIV |
| PHK | PIMCO HIGH INCOME FD COM SHS |
| PHLY | Philadelphia Consolidated Holding Corp. - Common Stock |
| PHM | PULTE GROUP INC COM |
| PHMD | PHOTOMEDEX INC COM PAR \$0.01 |

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| PHMDD | PHOTOMEDEX INC COM PAR \$0.01 |
| PHO | POWERSHARES ETF TRUST WATER RESOURCE |
| PHR | PRUDENTIAL FINL INC JR SUB 9% 68 |
| PHR* | PRUDENTIAL FINL INC JR SUB 9% 68 |
| PHRM | Pharmion Corporation - Common Stock |
| PHS | PacifiCare Health Systems Inc. Common Stock Par Value \$0.01 |
| PHST | Pharsight Corporation - Common Stock |
| PHT | PIONEER HIGH INCOME TR COM |
| PHTN | Photon Dynamics Inc. - Common Stock |
| PHW | POWERSHARES ETF TRUST DYNAMIC HARDWA |
| PHWT | Photowatt Technologies Inc. - Common Shares |
| PHX | PANHANDLE OIL AND GAS INC CL A |
| PHY | Prospect Street High Income Portfolio Inc. Common Stock |
| PHYS | SPROTT PHYSICAL GOLD TRUST UNIT |
| PIA | INVESCO MUNI PREM INC TRST COM |
| PIC | POWERSHARES ETF TRUST DYN INS PTF |
| PICB | POWERSHARES ETF TRUST II INTL CORP BOND |
| PICK | ISHARES INC MSCI GL SL MET |
| PICO | PICO HLDGS INC COM NEW |
| PID | POWERSHARES ETF TRUST INTL DIV ACHV |
| PIE | POWERSHARES ETF TRUST II DWA EMRG MKTS |
| PIF | SPECIAL OPPORTUNITIES FD INC COM |
| PII | POLARIS INDS INC COM |
| PIII | PECO II INC COM NEW |
| PIIID | PECO II INC COM NEW |
| PIJ | PREFERRED PLUS TR FRD-1 TR 7.4% |
| PIJ* | PREFERRED PLUS TR FRD-1 TR 7.4% |
| PIK | Water Pik Technologies Inc. Common Stock |
| PIKE | PIKE ELEC CORP COM |
| PIL | Merrill Lynch Depositor Inc. PreferredPLUS 7.875% Trust Certificates Series BLC-1 |
| PILL | ProxyMed Inc. - Common Stock |
| PIM | PUTNAM MASTER INTER INCOME TR SH BEN INT |
| PIM\$ | Putnam Master Intermediate Income Trust Shares of Beneficial Interest |
| PIN | POWERSHARES INDIA ETF TR INDIA PORT |
| PINN | PINNACLE GAS RESOURCES INC COM |
| PIO | POWERSHARES GLOBAL ETF TRUST GBL WTR PORT |
| PIP | PHARMATHENE INC COM |
| PIP+ | PHARMATHENE INC WT EXP 072709 |
| PIQ | POWERSHARES ETF TRUST MAGNIQUANT POR |
| PIR | PIER 1 IMPORTS INC COM |
| PIS | PREFERRED PLUS TR LMG-1 TR CTF |
| PIS* | PREFERRED PLUS TR LMG-1 TR CTF |
| PIV | POWERSHARES ETF TRUST S&P 500 HGH QLTY |
| PIXR | Pixar - Common Stock |
| PIY | PREFERRED PLUS TR CZN-1 TR CTF |
| PIZ | POWERSHARES ETF TRUST II DWA DEVEL MKTS |
| PJA | PREFERRED PLUS TR QWS-2 TR CTF |
| PJB | POWERSHARES ETF TRUST BNKING SEC POR |
| PJC | PIPER JAFFRAY COS COM |
| PJE | PREFERRED PLUS TR FMC-1 8.25% |
| PJE* | PREFERRED PLUS TR FMC-1 8.25% |
| PJF | POWERSHARES ETF TRUST DYNAM LRGCP PT |
| PJG | POWERSHARES ETF TRUST DYNAM MIDCP PT |
| PJH | PRUDENTIAL FINL INC JR SUB NT 52 |
| PJI | PPLUS TR CTF GSG-1 A 6% |
| PJI* | PPLUS TR CTF GSG-1 A 6% |
| PJJ | PREFERRED PLUS TR ELP-1 TR CTF A |
| PJJ* | PREFERRED PLUS TR ELP-1 TR CTF A |
| PJK | Merrill Lynch Depositor Inc. PreferredPLUS Class A 7.05% Trust Certificates Series MSD-1 |
| PJL | PREFERRED PLUS TR VER 1 A TR CTF |
| PJM | POWERSHARES ETF TRUST DYNAM SML CAP |

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| PJO | POWERSHARES GLOBAL ETF TRUST JAPAN PORTFOLI |
| PJP | POWERSHARES ETF TRUST DYN PHRMA PORT |
| PJR | PREFERRED PLUS TR UPC-1 7.4% 28 |
| PJR* | PREFERRED PLUS TR UPC-1 7.4% 28 |
| PJS | PREFERRED PLUS TR FAR-1 7.55%28 |
| PJT | PREFERRED PLUS TR GEC-1 A 6.05% |
| PJT* | PREFERRED PLUS TR GEC-1 A 6.05% |
| PJV | Merrill Lynch Depositor Inc. PreferredPlus Trust Series GRC-1 (Goodrich Corporation) PreferredPlus 7.875% Trust Certificates |
| PJW | Merrill Lynch Depositor Inc. PPLUS Trust Series PMC-1 (Philip Morris Companies Inc.) PPLUS Class A 6.50% Trust Certificates |
| PJZ | PPLUS TR CTF VAL7.25%32 |
| PJZ* | PPLUS TR CTF VAL7.25%32 |
| PKB | POWERSHARES ETF TRUST DYN BLDG CNSTR |
| PKBK | PARKE BANCORP INC COM |
| PKD | PARKER DRILLING CO COM |
| PKDY | Packaging Dynamics Corporation - When-Issued Common Stock |
| PKE | PARK ELECTROCHEMICAL CORP COM |
| PKG | PACKAGING CORP AMER COM |
| PKH | PREFERRED PLUS TR QWS-1 TR CTF |
| PKI | PERKINELMER INC COM |
| PKJ | PREFERRED PLUS TR CTR-1 8% 2009 |
| PKK | PREFERRED PLUS TR LMG-2 TR CTF |
| PKK* | PREFERRED PLUS TR LMG-2 TR CTF |
| PKM | PREFERRED PLUS TR ALL-1 CTF A |
| PKM* | PREFERRED PLUS TR ALL-1 CTF A |
| PKN | POWERSHARES ETF TR II GLB NUCLR ENRG |
| PKO | PIMCO INCOME OPPORTUNITY FD COM |
| PKOH | PARK OHIO HLDGS CORP COM |
| PKOL | POWERSHARES ETF TRUST II GLOBL COAL ETF |
| PKS | Six Flags Inc. Common Stock |
| PKS-B | Six Flags Inc. Preferred Income Equity Redeemable Shares(PIERS) consisting of Depositary Shares |
| PKT | PROCERA NETWORKS INC COM NEW |
| PKTR | Packeteer Inc. - Common Stock |
| PKW | POWERSHARES ETF TRUST DYNA BUYBK ACH |
| PKX | POSCO SPONSORED ADR |
| PKY | PARKWAY PPTYS INC COM |
| PKY-D | PARKWAY PPTYS INC PFD SER D 8% |
| PL | PROTECTIVE LIFE CORP COM |
| PL-A | PLC CAP TR IV TOPRS GTD |
| PL-B | PLC CAP TR V TOPRS 6.125 34 |
| PL-C | PROTECTIVE LIFE CORP SUB DEB 42 |
| PL-D | PROTECTIVE LIFE CORP CAP SECS 7.25% |
| PL-E | PROTECTIVE LIFE CORP SUB DEB 42 |
| PL-S | PLC CAPITAL TRUST III TOPRS 7.5% |
| PLA | PLAYBOY ENTERPRISES INC CL B |
| PLA.A | PLAYBOY ENTERPRISES INC CL A |
| PLAB | PHOTRONICS INC COM |
| PLAY | DAVE & BUSTERS ENTMT INC COM |
| PLB | American Italian Pasta Company Class A Convertible Common Stock |
| PLBC | PLUMAS BANCORP COM |
| PLC | PLC Systems Inc |
| PLCC | PAULSON CAP CORP COM |
| PLCE | CHILDRENS PL RETAIL STORES INC COM |
| PLCM | POLYCOM INC COM |
| PLD | PROLOGIS INC COM |
| PLD-F | PROLOGIS PFD F 6.75% 08 |
| PLD-G | PROLOGIS PFD G 6.75% |
| PLD-L | PROLOGIS INC PFD SER L 6.5% |
| PLD-L* | PROLOGIS INC PFD SER L 6.5% |
| PLD-M | PROLOGIS INC PFD M 6.75% |

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| PLD-M* | PROLOGIS INC PFD M 6.75% |
| PLD-O | PROLOGIS INC PFD 7.0% SER O |
| PLD-O* | PROLOGIS INC PFD 7.0% SER O |
| PLD-P | PROLOGIS INC PFD P 6.85% |
| PLD-P* | PROLOGIS INC PFD P 6.85% |
| PLD-R | PROLOGIS INC PFD SER R |
| PLD-R* | PROLOGIS INC PFD SER R |
| PLD-S | PROLOGIS INC PFD SER S |
| PLD-S* | PROLOGIS INC PFD SER S |
| PLE | Pinnacle Bancshares Inc |
| PLFE | PRESIDENTIAL LIFE CORP COM |
| PLG | PLATINUM GROUP METALS LTD COM NEW |
| PLI | PROLIANCE INTL INC COM |
| PLJC | CITIGROUP FDG INC NT LK IDX 2009 |
| PLK | POWERSHARES ACTIVE MNG ETF TR LOW DURAT PORT |
| PLL | PALL CORP COM |
| PLLL | PARALLEL PETE CORP DEL COM |
| PLM | POLYMET MINING CORP COM |
| PLMD | PolyMedica Corporation - Common Stock |
| PLMT | PALMETTO BANCSHARES INC COM NEW |
| PLM^ | POLYMET MINING CORP RT EXP 070313 |
| PLM^# | POLYMET MINING CORP RT EXP 070313 |
| PLND | MARKET VECTORS ETF TR VECTRS POL ETF |
| PLNR | PLANAR SYS INC COM |
| PLO | Morgan Stanley |
| PLOW | DOUGLAS DYNAMICS INC COM |
| PLP | PROTECTIVE LIFE CORP 8.0% SR NT 2024 |
| PLPC | PREFORMED LINE PRODS CO COM |
| PLPM | PLANET PAYMENT INC SHS |
| PLR | CITIGROUP FDG INC PRN PRT NT RUS |
| PLS | PPL ENERGY SUPPLY LLC SR NT 7% 0746 |
| PLSB | PULSE BEVERAGE CORP COM |
| PLT | PLANTRONICS INC NEW COM |
| PLTE | Claymont Steel Holdings Inc. - Common Stock |
| PLTM | FIRST TR ISE GLBL PLAT INDX FD COM |
| PLUG | PLUG POWER INC COM NEW |
| PLUGD | PLUG POWER INC COM NEW |
| PLUS | EPLUS INC COM |
| PLV | PPL CAP FDG INC SR NT |
| PLV* | PPL CAP FDG INC SR NT |
| PLW | POWERSHARES GLOBAL ETF TRUST I-30 LAD TREAS |
| PLX | PROTALIX BIOTHERAPEUTICS INC COM |
| PLXS | PLEXUS CORP COM |
| PLXT | PLX TECHNOLOGY INC COM |
| PM | PHILIP MORRIS INTL INC COM |
| PM# | PHILIP MORRIS INTERNATIONAL INC |
| PMA | POWERSHARES ACTIVE MNG ETF TR MEGA CAP PORT |
| PMACA | PMA CAP CORP CL A |
| PMB- | PREMIER CAP TR I PFD TR SECS |
| PMB-* | PREMIER CAP TR I PFD TR SECS |
| PMBC | PACIFIC MERCANTILE BANCORP COM |
| PMC | PHARMERICA CORP COM |
| PMC# | PHARMERICA CORPORATION |
| PMCA | PROVIDENT MTG CAP ASSOCS INC COM |
| PMCS | PMC-SIERRA INC COM |
| PMD | PSYCHEMEDICS CORP COM NEW |
| PME | PINGTAN MARINE ENTERPRISE LTD SHS |
| PMEWW | PINGTAN MARINE ENTERPRISE LTD WT EXP 022618 |
| PMF | PIMCO MUNICIPAL INCOME FD COM |
| PMFG | PMFG INC COM |
| PMG | Putnam Municipal Bond Fund Common Shares of Beneficial Interest |

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| PMG\$ | Putnam Municipal Bond Fund Common Shares of Beneficial Interest |
| PMH | Putnam Tax-Free Health Care Fund Common Shares of Beneficial Interest |
| PMI | PMI GROUP INC COM |
| PMI-A | The PMI Group Inc. 5.875% Hybrid Income Term Security Units (HITS) (Corporate Units) |
| PMIC | PENN MILLERS HLDG CORP COM |
| PMID | Pyramid Breweries Inc. - Common Stock |
| PMII | POWER MED INTERVENTIONS INC COM |
| PMK | PMA CAP CORP NT SR 8.50% 18 |
| PML | PIMCO MUN INCOME FD II COM |
| PMM | PUTNAM MANAGED MUN INCOM TR COM |
| PMM\$ | Putnam Managed Municipal Income Trust Shares of Beneficial Interest |
| PMN | Putnam New York Investment Grade Municipal Trust |
| PMNA | POWERSHARES ETF TRUST II MENA FRNTR ETF |
| PMO | PUTNAM MUN OPPORTUNITIES TR SH BEN INT |
| PMO\$ | Putnam Municipal Opportunities Trust Common Shares of Beneficial Interest |
| PMR | POWERSHARES ETF TRUST DYN RETAIL PTF |
| PMRY | POMEROY IT SOLUTIONS INC COM |
| PMRYE | Pomeroy IT Solutions Inc. - Common Stock |
| PMT | PENNYMAC MTG INVT TR COM |
| PMTC | PTC INC COM |
| PMTCD | Parametric Technology Corporation - Common Stock |
| PMTI | PALOMAR MED TECHNOLOGIES INC COM NEW |
| PMTR | Pemstar Inc. - Common Stock |
| PMU | PACIFIC RIM MNG CORP COM NEW |
| PMX | PIMCO MUN INCOME FD III COM |
| PMY | CREDIT SUISSE NASSAU BRH MLCX MTL ETN23 |
| PNB | PANAMERICAN BANCORP NEW |
| PNB+ | PanAmerican Bancorp |
| PNBC | PRINCETON NATL BANCORP INC COM |
| PNBK | PATRIOT NATL BANCORP INC COM |
| PNC | PNC FINL SVCS GROUP INC COM |
| PNC+ | PNC FINL SVCS GROUP INC WT EXP 123118 |
| PNC-C | PNC FINL SVCS GROUP INC PFD C CV \$1.60 |
| PNC-C* | PNC FINL SVCS GROUP INC PFD C CV \$1.60 |
| PNC-D | PNC FINL SVCS GROUP INC PFD CV D \$1.80 |
| PNC-D* | PNC FINL SVCS GROUP INC PFD CV D \$1.80 |
| PNC-L | PNC FINL SVCS GROUP INC DEP PFD SER L |
| PNC-L* | PNC FINL SVCS GROUP INC DEP PFD SER L |
| PNC-P | PNC FINL SVCS GROUP INC DEPOSITARY SHS R |
| PNC-Q | PNC FINL SVCS GROUP INC DEP REPSTG 1/400 |
| PNCL | PINNACLE AIRL CORP COM |
| PNF | PIMCO NY MUNICIPAL INCOME FD COM |
| PNFP | PINNACLE FINL PARTNERS INC COM |
| PNG | PAA NAT GAS STORAGE L P COM UNIT LTD |
| PNH | PNC CAPITAL TR E 7.75% TR PFD |
| PNH* | PNC CAPITAL TR E 7.75% TR PFD |
| PNI | PIMCO NEW YORK MUN FD II COM |
| PNJ | CITIGROUP GLOBAL MKTS HLDGS NT 2.5% 102810 |
| PNK | PINNACLE ENTMT INC COM |
| PNM | PNM RES INC COM |
| PNM-A | PNM Resources Inc. 6.75% Equity Units |
| PNNT | PENNANTPARK INVT CORP COM |
| PNNW | PENNICHUCK CORP COM NEW |
| PNO | Path 1 Network Technologies Inc |
| PNO+ | Path 1 Network Technologies Inc |
| PNOWS | PATH 1 NETWORK WT |
| PNP | Pan Pacific Retail Properties Inc. Common Stock |
| PNQI | POWERSHARES ETF TRUST NASD INTNT ETF |
| PNR | PENTAIR LTD SHS |
| PNR# | PENTAIR LTD SHS |
| PNRA | PANERA BREAD CO CL A |

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| PNRG | PRIMEENERGY CORP COM |
| PNS | PINNACLE DATA SYS INC COM |
| PNSN | PENSON WORLDWIDE INC COM |
| PNTA | PENNANTPARK INVT CORP SR NT 25 |
| PNTR | POINTER TELOCATION LTD SHS |
| PNU | PNC CAP TR D CAP SECS 6.125 |
| PNU* | PNC CAP TR D CAP SECS 6.125 |
| PNW | PINNACLE WEST CAP CORP COM |
| PNX | PHOENIX COS INC NEW COM NEW |
| PNX-A | The Phoenix Companies Inc. Corporate Units |
| PNXQ | POWERSHARES ETF TRUST NXQ PORT |
| PNY | PIEDMONT NAT GAS INC COM |
| POCC | Penn Octane Corporation - Common Stock |
| POCI | PRECISION OPTICS CP |
| PODD | INSULET CORP COM |
| POH | PUBLIC SERVICE CO OKLA NT SR B 6%2032 |
| POL | POLYONE CORP COM |
| POLXF | POLYDEX PHARMACEUTICALS LTD COM PAR \$0.016 |
| POM | PEPCO HOLDINGS INC COM |
| PONE | PROTECTION ONE INC COM NEW |
| PONR | Pioneer Companies Inc. - Common Stock |
| POOL | POOL CORPORATION COM |
| POP | Pope & Talbot Inc. Common Stock |
| POPE | POPE RES DEL LTD PARTNERSHIP DEPOSITRY RCPT |
| POPEZ | Pope Resources - Depositary Receipts of Limited Partnership Units |
| POR | PORTLAND GEN ELEC CO COM NEW |
| POR# | PORTLAND GENERAL ELECTRIC COMPANY |
| PORK | Premium Standard Farms Inc. - common stock |
| POS | Catalina Marketing Corporation Common Stock |
| POSH | BabyUniverse Inc. - Common Stock |
| POSHD | BabyUniverse Inc. - Common Stock |
| POSS | Possis Medical Inc. - Common Stock |
| POST | POST HLDGS INC COM |
| POST# | POST HLDGS INC COM |
| POT | POTASH CORP SASK INC COM |
| POTP | Point Therapeutics Inc - Common Stock |
| POW | ISE CCM ALTERNATIVE XXX |
| POWI | POWER INTEGRATIONS INC COM |
| POWL | POWELL INDS INC COM |
| POWR | POWERSECURE INTL INC COM |
| POZN | POZEN INC COM |
| PP | Pipex Pharmaceuticals Inc |
| PPA | POWERSHARES ETF TRUST AERSPC DEF PTF |
| PPB | Merrill Lynch Depositor Inc. PreferredPLUS 7.30% Trust Certificates Series BLS-1 (Issued by BellSouth Telecommunications Inc.) due December 1 2095 |
| PPBI | PACIFIC PREMIER BANCORP COM |
| PPC | PILGRIMS PRIDE CORP NEW COM |
| PPCO | PENWEST PHARMACEUTICALS CO COM |
| PPD | PRE PAID LEGAL SVCS INC COM |
| PPDI | PHARMACEUTICAL PROD DEV INC COM |
| PPE | LEHMAN BROS HLDGS INC ETN OPTA S&P38 |
| PPF | John Hancock Patriot Preferred Dividend Fund Common Shares of Beneficial Interest |
| PPG | PPG INDS INC COM |
| PPH | MARKET VECTORS ETF TR PHARMACEUTICAL |
| PPHM | PEREGRINE PHARMACEUTICALS INC COM NEW |
| PPHMD | PEREGRINE PHARMACEUTICALS INC COM NEW |
| PPI | CITIGROUP FDG INC NT D EAFE 09 |
| PPJ | CITIGROUP FDG INC NT PRIN LK DJ |
| PPK | CITIGROUP FDG INC PACERS EBAY 09 |
| PPL | PPL CORP COM |
| PPL-A | PPL ELEC UTILS CORP PFD 4.40% |

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| PPL-A* | PPL ELEC UTILS CORP PFD 4.40% |
| PPL-B | PPL ELEC UTILS CORP PFD 4.50% |
| PPL-B* | PPL ELEC UTILS CORP PFD 4.50% |
| PPL-U | PPL CORP CORP UNIT |
| PPL-W | PPL CORP CORP UNIT CONSI |
| PPLT | ETFS PLATINUM TR SH BEN INT |
| PPM | INVESTMENT GRADE MUN INCOME FD COM |
| PPN | CITIGROUP GLOBAL MKTS HLDGS NT PRN 2% DJIA |
| PPO | POLYPORE INTL INC COM |
| PPP | PRIMERO MNG CORP COM |
| PPR | ING PRIME RATE TR SH BEN INT |
| PPS | POST PPTYS INC COM |
| PPS-A | POST PPTYS INC PFD A 8.5% |
| PPS-B | POST PPTYS INC PFD B 7.625% |
| PPS-B* | POST PPTYS INC PFD B 7.625% |
| PPSI | PIONEER PWR SOLUTIONS INC COM NEW |
| PPT | PUTNAM PREMIER INCOME TR SH BEN INT |
| PPT\$ | Putnam Premier Income Trust Shares of Beneficial Interest |
| PPTV | PPT VISION INC |
| PPV.C | UBS AG |
| PPV.E | UBS AG |
| PPV.G | UBS AG |
| PPV.H | UBS AG |
| PPV.I | UBS AG |
| PPV.J | UBS AG |
| PPV.K | UBS AG |
| PPV.L | UBS AG |
| PPV.M | UBS AG |
| PPV.N | UBS AG |
| PPV.O | UBS AG |
| PPV.P | UBS AG |
| PPV.Q | UBS AG |
| PPV.R | UBS AG |
| PPW- | PACIFICORP PFD 5% |
| PPX | PPL CAP FDG INC JR SUB NT-B 73 |
| PPY | MORGAN STANLEY MPS 2.8% DJHYS |
| PPZ.A | UBS AG |
| PPZ.B | UBS AG |
| PPZ.C | UBS AG |
| PQ | PETROQUEST ENERGY INC COM |
| PQBW | POWERSHARES GLOBAL ETF FD NASD100BUYWRIT |
| PQE | ProQuest Company Common Stock |
| PQSC | POWERSHARES ETF TRUST FTSE NDAQ SMCP |
| PQU | CITIGROUP GLOBAL MKTS HLDGS PRIN PROT N100 |
| PQY | POWERSHARES ACTIVE MNG ETF TR ALPHAQ FD |
| PQZ | POWERSHARES ACTIVE MNG ETF TR ALPHA MULT CAP |
| PR | Price Communications Corporation Voting Common Stock |
| PRA | PROASSURANCE CORP COM |
| PRAA | PORTFOLIO RECOVERY ASSOCS INC COM |
| PRAI | PRA International - Common Stock par value \$0.01 per share |
| PRAN | PRANA BIOTECHNOLOGY LTD SPONSORED ADR |
| PRB | MARKET VECTORS ETF TR PRE-RF MUN ETF |
| PRC | PETRO RES CORP COM |
| PRCP | PERCEPTRON INC COM |
| PRCS | PRAECIS PHARMACEUTICALS INCORPORATED - Common Stock |
| PRD | PRIMUS GUARANTY LTD NT 7% 122736 |
| PRE | PARTNERRE LTD COM |
| PRE-C | PARTNERRE LTD PFD C 6.75% |
| PRE-C* | PARTNERRE LTD PFD C 6.75% |
| PRE-D | PARTNERRE LTD PFD SER D 6.5% |
| PRE-E | PARTNERRE LTD PFD SER E |

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| PRE-F | PARTNERRE LTD REDPFD SHS SER F |
| PRE-T | PartnerRe Capital Trust I 7.90% Preferred Securites |
| PRE-T* | PartnerRe Capital Trust I 7.90% Preferred Securites |
| PREM | Premier Community Bankshares Inc - Common Stock |
| PRF | POWERSHARES ETF TRUST FTSE RAFI 1000 |
| PRFE | POWERSHARES ETF TRUST FTSERAFI ENERG |
| PRFF | POWERSHARES ETF TRUST FTSERAFI FINAN |
| PRFG | POWERSHARES ETF TRUST FR CONSUMR GDS |
| PRFH | POWERSHARES ETF TRUST FTSE HLTHCARE |
| PRFM | POWERSHARES ETF TRUST FTSE BSIC MATL |
| PRFN | POWERSHARES ETF TRUST FTSE RAFI INDS |
| PRFQ | POWERSHARES ETF TRUST FTSE TELE TECH |
| PRFS | POWERSHARES ETF TRUST FTSE CONSMR SV |
| PRFT | PERFICIENT INC COM |
| PRFU | POWERSHARES ETF TRUST FTSE RAFI UTIL |
| PRFZ | POWERSHARES ETF TRUST FTSE US1500 SM |
| PRG | Paragon Real Estate Equity and Investment Trust |
| PRGN | PARAGON SHIPPING INC CL A NEW |
| PRGO | PERRIGO CO COM |
| PRGS | PROGRESS SOFTWARE CORP COM |
| PRGX | PRGX GLOBAL INC COM NEW |
| PRGXD | PRG-Schultz International Inc. New Common Stock |
| PRH | PRUDENTIAL FINL INC JR SUB NT 53 |
| PRH+A | VitaCube Systems Holdings Inc |
| PRH+B | VitaCube Systems Holdings Inc |
| PRHWA | VITACUBE SYSTEMS WTS |
| PRHWB | VITACUBE SYSTEMS WTS |
| PRI | PRIMERICA INC COM |
| PRIM | PRIMORIS SVCS CORP COM |
| PRIMU | PRIMORIS SVCS CORP UNIT EX 100210 |
| PRIMW | PRIMORIS SVCS CORP WT EXP 100210 |
| PRIS | PROMOTORA DE INFORMACIONES SA ADR CL A SHS |
| PRIS# | PROMOTORA DE INFORMACIONES SA ADR CL A SHS |
| PRIS.B | PROMOTORA DE INFORMACIONES SA ADR CL B CONV |
| PRIS.B# | PROMOTORA DE INFORMACIONES SA ADR CL B CONV |
| PRK | PARK NATL CORP COM |
| PRKR | PARKERVISION INC COM |
| PRLB | PROTO LABS INC COM |
| PRLS | PEERLESS SYS CORP COM |
| PRM | PRIMEDIA INC COM NEW |
| PRMW | PRIMO WTR CORP COM |
| PRN | POWERSHARES ETF TRUST INDL SECT PORT |
| PRO | PROS HOLDINGS INC COM |
| PROG | Programmer's Paradise Inc. - Common Stock |
| PROJ | DELTEK INC COM |
| PROS | ProCentury Corporation - Common Stock |
| PROV | PROVIDENT FINL HLDGS INC COM |
| PRPH | PROPHASE LABS INC COM |
| PRPL | PURPLE COMMUNICATIONS INC COM |
| PRPX | PORTEC RAIL PRODS INC COM |
| PRS | PRIMUS GUARANTY LTD SHS |
| PRSC | PROVIDENCE SVC CORP COM |
| PRSP | PROSPERITY BANCSHARES INC COM |
| PRSS | CAFEPRESS INC COM |
| PRST | PRESSTEK INC COM |
| PRTA | PROTHENA CORP PLC SHS |
| PRTAV | PROTHENA CORP PLC SHS |
| PRTL | Primus Telecommunications Group Inc. - Common Stock |
| PRTR | Partners Trust Financial Group Inc. - Common Stock |
| PRTS | U.S. AUTO PARTS NETWORK INC COM |
| PRU | PRUDENTIAL FINL INC COM |

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| PRVD | Provide Commerce Inc. Common Stock |
| PRVT | PRIVATE MEDIA GROUP INC COM NEW |
| PRVTD | PRIVATE MEDIA GROUP INC COM NEW |
| PRVU | PREVU INCORP COM |
| PRW | Pro-Pharmaceuticals Inc |
| PRWT | PREMIERWEST BANCORP COM NEW |
| PRWTD | PREMIERWEST BANCORP COM NEW |
| PRX | PAR PHARMACEUTICAL COS INC COM |
| PRXI | PREMIER EXIBITIONS INC COM |
| PRXL | PAREXEL INTL CORP COM |
| PRXM | PROXIM WIRELESS CORP COM |
| PRY | PROSPECT CAPITAL CORPORATION SR NT |
| PRZ | PainCare Holdings Inc |
| PSA | PUBLIC STORAGE COM |
| PSA-A | PUBLIC STORAGE PFD 1/1000 A |
| PSA-A* | PUBLIC STORAGE PFD 1/1000 A |
| PSA-B | PUBLIC STORAGE PFD 1/1000 B |
| PSA-B* | PUBLIC STORAGE PFD 1/1000 B |
| PSA-C | PUBLIC STORAGE PFD 1/1000 C |
| PSA-C* | PUBLIC STORAGE PFD 1/1000 C |
| PSA-D | PUBLIC STORAGE PFD D 1/1000 |
| PSA-D* | PUBLIC STORAGE PFD D 1/1000 |
| PSA-E | PUBLIC STORAGE PFD DP 1/1000E |
| PSA-E* | PUBLIC STORAGE PFD DP 1/1000E |
| PSA-F | PUBLIC STORAGE PFD F 1/1000 |
| PSA-F* | PUBLIC STORAGE PFD F 1/1000 |
| PSA-G | PUBLIC STORAGE PFD 1/1000 G |
| PSA-G* | PUBLIC STORAGE PFD 1/1000 G |
| PSA-H | PUBLIC STORAGE PFD H DP1/1000 |
| PSA-H* | PUBLIC STORAGE PFD H DP1/1000 |
| PSA-I | PUBLIC STORAGE PFD 1/1000 I |
| PSA-I* | PUBLIC STORAGE PFD 1/1000 I |
| PSA-K | PUBLIC STORAGE PFD K 1/1000 |
| PSA-K* | PUBLIC STORAGE PFD K 1/1000 |
| PSA-L | PUBLIC STORAGE PFD L 1/1000TH |
| PSA-L* | PUBLIC STORAGE PFD L 1/1000TH |
| PSA-M | PUBLIC STORAGE 1/1000 PFD M |
| PSA-M* | PUBLIC STORAGE 1/1000 PFD M |
| PSA-N | PUBLIC STORAGE PFD DP 1/1000N |
| PSA-N* | PUBLIC STORAGE PFD DP 1/1000N |
| PSA-O | PUBLIC STORAGE DEP SHS PFD-O |
| PSA-P | PUBLIC STORAGE PFD SHS SER P |
| PSA-Q | PUBLIC STORAGE PFD SHS SER Q |
| PSA-Q* | Public Storage Inc. Depositary Shares Each Representing 1/1 |
| PSA-R | PUBLIC STORAGE PFD SER R |
| PSA-R* | Public Storage Inc. Depositary Shares Each Representing 1/1 |
| PSA-S | PUBLIC STORAGE DEP SH REPSTG |
| PSA-S* | Public Storage Inc. Depositary Shares Each Representing 1/1 |
| PSA-T | PUBLIC STORAGE PFD T 1/1000TH |
| PSA-T* | Public Storage Inc. Depositary Shares Each Representing 1/1 |
| PSA-U | PUBLIC STORAGE DEP SHS PFD-U |
| PSA-U* | Public Storage Inc. Depositary Shares Each Representing 1/1 |
| PSA-V | PUBLIC STORAGE DEP1/1000THPFD |
| PSA-V* | PUBLIC STORAGE PFD 1/1000V7.5 |
| PSA-W | PUBLIC STORAGE DEPSH1/1000PFD W |
| PSA-W* | PUBLIC STORAGE PFD W 1 /1000 |
| PSA-X | PUBLIC STORAGE DEP 1/1000 PFD X |
| PSA-X* | PUBLIC STORAGE PFD 1/1000 X |
| PSA-Z | PUBLIC STORAGE PFD 1/1000 Z |
| PSA-Z* | PUBLIC STORAGE PFD 1/1000 Z |
| PSA.A | PUBLIC STORAGE COM A DP1/1000 |

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| PSA.A* | PUBLIC STORAGE COM A DP1/1000 |
| PSAI | Pediatric Services of America Inc. - Common Stock |
| PSAU | POWERSHARES ETF TRUST II GLOB GLD&P ETF |
| PSB | PS BUSINESS PKS INC CALIF COM |
| PSB-D | PS Business Parks Inc - Preferred Stock |
| PSB-D* | PS Business Parks Inc - Preferred Stock |
| PSB-F | PS Business Parks Inc |
| PSB-F* | PS Business Parks Inc |
| PSB-H | PS BUSINESS PKS INC CALIF PFD DP1/1000 H |
| PSB-H* | PS BUSINESS PKS INC CALIF PFD DP1/1000 H |
| PSB-I | PS BUSINESS PKS INC CALIF PFD DP1/1000 I |
| PSB-I* | PS BUSINESS PKS INC CALIF PFD DP1/1000 I |
| PSB-K | PS BUSINESS PKS INC CALIF PFD DP1/1000 K |
| PSB-K* | PS BUSINESS PKS INC CALIF PFD DP1/1000 K |
| PSB-L | PS BUSINESS PKS INC CALIF PFD DP1/1000 L |
| PSB-L* | PS BUSINESS PKS INC CALIF PFD DP1/1000 L |
| PSB-M | PS BUSINESS PKS INC CALIF PFD DP1/1000 M |
| PSB-M* | PS BUSINESS PKS INC CALIF PFD DP1/1000 M |
| PSB-O | PS BUSINESS PKS INC CALIF PFD DP1/1000 O |
| PSB-O* | PS BUSINESS PKS INC CALIF PFD DP1/1000 O |
| PSB-P | PS BUSINESS PKS INC CALIF PFD DP1/1000 P |
| PSB-P* | PS BUSINESS PKS INC CALIF PFD DP1/1000 P |
| PSB-R | PS BUSINESS PKS INC CALIF DEP SHS 1/1000 |
| PSB-S | PS BUSINESS PKS INC CALIF DEP SHS PFD S |
| PSB-T | PS BUSINESS PKS INC CALIF DEP SHS REPSTG 1 |
| PSB-U | PS BUSINESS PKS INC CALIF S R1/1000 PF U |
| PSB-V | PS BUSINESS PKS INC CALIF DEP1/1000 PFD V |
| PSBC | PACIFIC STATE BANCORP CA COM |
| PSBH | PSB HLDGS INC COM |
| PSBI | PSB Bancorp Inc. - Common Stock |
| PSC | CITIGROUP GLOBAL MKTS HLDGS ELKS S&P500 10 |
| PSCC | POWERSHARES ETF TR II S&P SMCP CONSU |
| PSCD | POWERSHARES ETF TR II S&P SMCP C DIS |
| PSCE | POWERSHARES ETF TR II S&P SMCP ENE P |
| PSCF | POWERSHARES ETF TR II S&P SMCP FIN P |
| PSCH | POWERSHARES ETF TR II S&P SMCP HC PO |
| PSCI | POWERSHARES ETF TR II S&P SMCP IND P |
| PSCM | POWERSHARES ETF TR II S&P SMCP MAT P |
| PSCT | POWERSHARES ETF TR II S&P SMCP IT PO |
| PSCU | POWERSHARES ETF TR II S&P SMCP UTI P |
| PSD | PUGET ENERGY INC NEW COM |
| PSD- | Puget Sound Energy Capital Trust II 8.40% Trust Originated Preferred Securities (TOPrs) due June 30 2041 |
| PSD-* | Puget Sound Energy Capital Trust II 8.40% Trust Originated Preferred Securities (TOPrs) due June 30 2041 |
| PSDV | PSIVIDA CORP COM |
| PSDVV | PSIVIDA CORP COM |
| PSE | PIONEER SOUTHWST ENRG PRTNR LP UNIT LP INT |
| PSEC | PROSPECT CAPITAL CORPORATION COM |
| PSEM | PERICOM SEMICONDUCTOR CORP COM |
| PSF | COHEN & STEERS SLT PFD INCM FD COM |
| PSFC | PEOPLES-SIDNEY FIN## |
| PSI | POWERSHARES ETF TRUST DYN SEMCT PORT |
| PSID | POSITIVEID CORP COM NEW |
| PSIT | PSi Technologies Holdings Inc. - American Depositary Shares |
| PSIX | POWER SOLUTIONS INTL INC COM NEW |
| PSJ | POWERSHARES ETF TRUST DYN SFTWR PORT |
| PSK | SPDR SERIES TRUST WELLS FG PFD ETF |
| PSL | POWERSHARES ETF TRUST CON STAPLE SEC |
| PSLV | SPROTT PHYSICAL SILVER TR TR UNIT |
| PSMI | PEREGRINE SEMICONDUCTOR CORP COM |
| PSMT | PRICESMART INC COM |
| PSMTR | PriceSmart Inc. Rights |

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| PSO | PEARSON PLC SPONSORED ADR |
| PSOF | PANSOFT COMPANY LIMITED SHS |
| PSP | POWERSHARES ETF TRUST GBL LSTD PVT EQT |
| PSP.B | Lehman Brothers |
| PSPT | PeopleSupport Inc. - Common Stock |
| PSQ | PROSHARES TR PSHS SHORT QQQ |
| PSR | POWERSHARES ACTIVE MNG ETF TR US REAL EST FD |
| PSS | COLLECTIVE BRANDS INC COM |
| PSSI | PSS WORLD MED INC COM |
| PST | PROSHARES TR PSHS ULSHT 7-10Y |
| PSTA | MONTEREY GOURMET FOODS INC COM |
| PSTB | PARK STERLING CORP COM |
| PSTI | PLURISTEM THERAPEUTICS INC COM |
| PSTL | POWERSHARES ETF TRUST II GLOBAL STL ETF |
| PSTR | POSTROCK ENERGY CORP COM |
| PSUN | PACIFIC SUNWEAR CALIF INC COM |
| PSVE | Passave Inc. Common Stock |
| PSW | BLACKROCK CREDIT ALL INC TR I COM |
| PSX | PHILLIPS 66 COM |
| PSX# | PHILLIPS 66 COM |
| PSY | BLACKROCK CREDIT ALL INC TR II COM |
| PSYS | PARADIGM SYS SOLUTIONS INC COM |
| PSZ.A | Lehman Brothers |
| PSZ.C | Lehman Brothers |
| PSZ.D | Lehman Brothers |
| PSZ.E | Lehman Brothers Holdings Inc. |
| PSZ.F | Lehman Brothers Holdings Inc. |
| PT | PORTUGAL TELECOM SGPS S A SPONSORED ADR |
| PTA | Penn Treaty American Corporation Common Stock par value \$.10 per share |
| PTC | PAR TECHNOLOGY CORP COM |
| PTD | UBS AG JERSEY BRH SHRT PLATN ETN18 |
| PTE | POWERSHARES ETF TRUST DYNAMIC TELECO |
| PTEC | PHOENIX TECHNOLOGY LTD COM |
| PTEK | POKERTEK INC COM NEW |
| PTEKD | POKERTEK INC COM NEW |
| PTEN | PATTERSON UTI ENERGY INC COM |
| PTF | POWERSHARES ETF TRUST TECH SECT PORT |
| PTG | PARAGON TECHNOLOGIES INC COM |
| PTGI | PRIMUS TELECOMMUNICATIONS GRP COM |
| PTH | POWERSHARES ETF TRUST HLTHCR SEC POR |
| PTI | IGATE COMPUTER SYS LTD SPONSORED ADR |
| PTIE | PAIN THERAPEUTICS INC COM |
| PTIL | Protherics Plc - American depositary shares |
| PTIX | PERFORMANCE TECHNOLOGIES INC COM |
| PTJ | POWERSHARES ETF TRUST HLTHCR SVC POR |
| PTLA | PORTOLA PHARMACEUTICALS INC COM |
| PTM | UBS AG JERSEY BRH LONG PLATN ETN18 |
| PTMK | Pathmark Stores Inc. - Common Stock |
| PTMKW | Pathmark Stores Inc. - Warrants |
| PTN | PALATIN TECHNOLOGIES INC COM PAR \$.01 |
| PTNR | PARTNER COMMUNICATIONS CO LTD ADR |
| PTNT | INTERNET PATENTS CORP COM |
| PTNX | Printronic Inc. - Common Stock |
| PTO | POWERSHARES ETF TRUST II COMPLTN PORTFLIO |
| PTP | PLATINUM UNDERWRITER HLDGS LTD COM |
| PTP-A | PLATINUM UNDERWRITER HLDGS LTD PFD CONV SER A |
| PTR | PETROCHINA CO LTD SPONSORED ADR |
| PTRP | POWERSHARES ETF TRUST II GLOBL TRAN ETF |
| PTRY | PANTRY INC COM |
| PTS | CITIGROUP FDG INC NT S&P500 2008 |
| PTSI | P A M TRANSN SVCS INC COM |

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| PTSX | POINT 360 COM |
| PTT | VCG Holding Corp |
| PTV | PACTIV CORP COM |
| PTX | PERNIX THERAPEUTICS HLDGS INC COM |
| PTY | PIMCO CORPORATE & INCOME OPP F COM |
| PUA | POWERSHARES GLOBAL ETF TRUST ASIA PAC OPPOR |
| PUB | Publicis Groupe S.A. American Depositary Shares(Each representing One Common Share) |
| PUDA | PUDA COAL INC COM PAR \$.001 |
| PUF | FOCUSSHARES TR ISE SINDEXTD |
| PUI | POWERSHARES ETF TRUST DYN UTIL PORTF |
| PUK | PRUDENTIAL PLC ADR |
| PUK- | PRUDENTIAL PLC 6.75%SUB REG S |
| PUK-A | PRUDENTIAL PLC PER SUB 6.50% |
| PULB | PULASKI FINL CORP COM |
| PULS | PULSE ELECTRONICS CORP COM NEW |
| PUMP | Animas Corporation Common Stock |
| PURE | PURE BIOSCIENCE INC COM NEW |
| PUW | POWERSHARES ETF TRUST WILDERHILL PRO |
| PV | Pfeiffer Vacuum Technology AG American Depositary Shares (Each representing 1 Ordinary Share) |
| PVA | PENN VA CORP COM |
| PVD | ADMINISTRADORA FONDOS PENSIONE SPONSORED ADR |
| PVFC | PVF CAPITAL CORP COM |
| PVG | PRETIUM RES INC COM |
| PVH | PVH CORP COM |
| PVI | POWERSHARES GLOBAL ETF TRUST WK VRDO TX FR |
| PVM | POWERSHARES ETF TRUST DYNAM DEEP VAL |
| PVR | PVR PARTNERS L P COM UNIT REPTG L |
| PVR# | Penn Virginia Resource Partners L.P. Common Units representing limited partner interests |
| PVSA | PARKVALE FINL CORP COM |
| PVSW | PERVASIVE SOFTWARE INC COM |
| PVTB | PRIVATEBANCORP INC COM |
| PVTBP | PRIVATEBANCORP CAP TR IV PFD TR SECS |
| PVTD | PRIVATEBANCORP INC SUB DEB 42 |
| PVX | PROVIDENT ENERGY LTD NEW COM |
| PW | POWER REIT COM |
| PWAV | POWERWAVE TECHNOLOGIES INC COM NEW |
| PWAVD | POWERWAVE TECHNOLOGIES INC COM NEW |
| PWB | POWERSHARES ETF TRUST DYNM LRG CP GR |
| PWC | POWERSHARES ETF TRUST DYNAMIC MKT PT |
| PWD | POWERSHARES GLOBAL ETF TRUST EUROPE SM PORT |
| PWE | PENN WEST PETE LTD NEW COM |
| PWEI | PACWEST EQUITIES INC COM NEW |
| PWER | POWER ONE INC NEW COM |
| PWI | PrimeWest Energy Trust Trust Units |
| PWJ | POWERSHARES ETF TRUST DYNM MC GRWTH |
| PWND | POWERSHARES ETF TR II GBL WIND ENRG |
| PWO | POWERSHARES ETF TRUST DYNAMIC OTC PT |
| PWOD | PENNS WOODS BANCORP INC COM |
| PWP | POWERSHARES ETF TRUST DYNM MC VAL |
| PWR | QUANTA SVCS INC COM |
| PWRD | PERFECT WORLD CO LTD SPON ADR REP B |
| PWT | POWERSHARES ETF TRUST DYNM SM CP GRW |
| PWV | POWERSHARES ETF TRUST DYNM LRG CP VL |
| PWX | PROVIDENCE & WORCESTER RR CO COM |
| PWY | POWERSHARES ETF TRUST DYNM SM CP VAL |
| PWZ | POWERSHARES GLOBAL ETF TRUST CALI MUNI ETF |
| PX | PRAXAIR INC COM |
| PXD | PIONEER NAT RES CO COM |
| PXE | POWERSHARES ETF TRUST DYN EN EX PROD |
| PXF | POWERSHARES GLOBAL ETF TRUST DEV MKTS EX-US |
| PXG | PHOENIX FOOTWEAR GROUP INC COM NEW |

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| PXH | POWERSHARES GLOBAL ETF TRUST EMER MRKT PORT |
| PXI | POWERSHARES ETF TRUST ENERGY SEC POR |
| PXJ | POWERSHARES ETF TRUST DYN OIL SVCS |
| PXLC | POWERSHARES ETF TRUST FND PUR LRGR PT |
| PXLG | POWERSHARES EXCHANGE TRADED FD LARGE GROWTH |
| PXLV | POWERSHARES EXCHANGE TRADED FD LARGE VALUE |
| PXLW | PIXELWORKS INC COM NEW |
| PXLWD | PIXELWORKS INC COM NEW |
| PXMC | POWERSHARES ETF TRUST FND PUR MIDCR PT |
| PXMG | POWERSHARES ETF TRUST FND PR MIDGRT PT |
| PXMV | POWERSHARES ETF TRUST FND PUR MDVAL PT |
| PXN | POWERSHARES ETF TRUST LX NANOTCH PTF |
| PXP | PLAINS EXPL& PRODTN CO COM |
| PXP# | Plains Exploration & Production Company Common Stock |
| PXPL | Pixelplus Co. Ltd. - American Depositary Shares representing 0.5 common shares |
| PXPLD | Pixelplus Co. Ltd. - American Depositary Shares representing 2 common shares |
| PXQ | POWERSHARES ETF TRUST DYN NETWKG PRT |
| PXR | POWERSHARES ETF TR II EMRG MKTS INFR |
| PXSC | POWERSHARES ETF TRUST FND PUR SMLCR PT |
| PXSG | POWERSHARES ETF TRUST FND PUR SMGRT PT |
| PXSL | PHARMAXIS LTD SPON GDR |
| PXSV | POWERSHARES ETF TRUST FND PUR SMVAL PT |
| PXT | PXRE Group Ltd. Common Shares |
| PXX | Citigroup Funding Inc. |
| PXX* | CITIGROUP FDG INC PACERS CX 2008 |
| PYA | PPLUS TR LMG-3 CTF CL A |
| PYB | PPLUS TR GSG-2 A 5.75% |
| PYC | PPLUS TR GSC-3 TR CTF A |
| PYD | Merrill Lynch Depositor Inc. PPLUS Class A 7.00% Trust Certificates Series DCC-1(Issued by Daimlerchrysler Corporation) |
| PYE | PPLUS TR CSF-1 A6.25%32 |
| PYE* | PPLUS TR CSF-1 A6.25%32 |
| PYG | PPLUS TR SPR-1 TR CTF28 |
| PYH | POWERSHARES ETF TRUST STOCKINVST CORE |
| PYI | PPLUS TR TWC-1 CTF A |
| PYJ | PPLUS TR TR CTF 6.25 |
| PYJ* | PPLUS TR TR CTF 6.25 |
| PYK | PPLUS TR TR CTF 6.25% |
| PYL | PPLUS TR LMG-4 CTF TR |
| PYM | Putnam High Yield Municipal Trust Shares of Beneficial Interest |
| PYM\$ | Putnam High Yield Municipal Trust Shares of Beneficial Interest |
| PYN | PIMCO NEW YORK MUN INCM FD 111 COM |
| PYO | PPLUS TR DCNA-1 A 7.25 |
| PYO* | PPLUS TR DCNA-1 A 7.25 |
| PYR | PYR Energy Corp |
| PYS | PPLUS TR RRD-1 CTF CL A |
| PYT | PPLUS TR GSC 2 CT FL RT |
| PYV | PPLUS TR JPM-1 TR CTF14 |
| PYX | Playtex Products Inc. Common Stock |
| PYY | PPLUS TR GSC-4 CTF TR A |
| PYZ | POWERSHARES ETF TRUST BASIC MAT SECT |
| PZA | POWERSHARES GLOBAL ETF TRUST INSUR NATL MUN |
| PZB | PPLUS TR CTF A LTD1 6.7 |
| PZC | PIMCO CALIF MUN INCOME FD III COM |
| PZD | POWERSHARES ETF TRUST CLEANTECH PORT |
| PZE | PETROBRAS ARGENTINA S A SPONS ADR |
| PZG | PARAMOUNT GOLD & SILVER CORP COM |
| PZI | POWERSHARES ETF TRUST ZACKS MC PRFTL |
| PZJ | POWERSHARES ETF TRUST ZACKS SML PORT |
| PZN | PZENA INVESTMENT MGMT INC CLASS A |
| PZP.A | Merrill Lynch |

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| PZT | POWERSHARES GLOBAL ETF TRUST NY MUNI BD ETF |
| PZZ | PROSPECT MEDICAL HOLDINGS INC COM |
| PZZA | PAPA JOHNS INTL INC COM |
| PZZI | PIZZA INN HOLDINGS INC COM |
| Q | QUINTILES TRANSNATIO HLDGS INC COM |
| QABA | FIRST TR NASDAQ ABA CMNTY BK I UT COM SHS ETF |
| QADA | QAD INC CL A |
| QADB | QAD INC CL B |
| QADI | QAD INC COM |
| QAI | INDEXIQ ETF TR HEDGE MLTI ETF |
| QBAK | QUALSTAR CORP COM |
| QBC | CUBIC ENERGY INC COM |
| QCC | QUEST CAP CORP NEW COM |
| QCC\$ | |
| QCCO | QC HLDGS INC COM |
| QCLN | FIRST TR EXCHANGE TRADED FD NAS CLNEDG GREEN |
| QCOM | QUALCOMM INC COM |
| QCOR | QUESTCOR PHARMACEUTICALS INC COM |
| QCRH | QCR HOLDINGS INC COM |
| QD | QuadraMed Corporation |
| QDEF | FLEXSHARES TR QLT DIV DEF IDX |
| QDEL | QUIDEL CORP COM |
| QDF | FLEXSHARES TR QUALT DIVD IDX |
| QDHC | QUADRAMED CORP COM NEW |
| QDYN | FLEXSHARES TR QLT DIVDYN IDX |
| QEE | Queenstake Resources Ltd |
| QEH | ADVISORSHARES TR QAM EQTY HEDGE |
| QELP | QUEST ENERGY PARTNERS L P COM UNIT LP IN |
| QEP | QEP RES INC COM |
| QEP# | QEP RES INC COM |
| QEPC | Q E P INC COM |
| QFAB | Quaker Fabric Corporation - Common Stock |
| QGEM | EGA EMERGING GLOBAL SHS TR TECHNOLOGY GEM |
| QGEN | QIAGEN NV REG SHS |
| QGLY | QUIGLEY CORP COM NEW |
| QGOG | QGOG CONSTELLATION S A SHS |
| QGP | QUANTUM GROUP INC COM NEW |
| QGP+A | QUANTUM GROUP INC WT EXP 121214 |
| QGP+B | QUANTUM GROUP INC WT EXP 121214 |
| QGP= | The Quantum Group Inc |
| QI | QIMONDA AG |
| QIA | CITIGROUP GLOBAL MARKETS |
| QIA* | Citigroup Global Markets |
| QID | PROSHARES TR PSHS ULTSHRT QQQ |
| QIHU | QIHOO 360 TECHNOLOGY CO LTD ADS |
| QIWI | QIWI PLC SPON ADR REP B |
| QKLS | QKL STORES INC COM PAR \$0.001 |
| QKP | MERRILL LYNCH & CO INC NT QUALCOMM 09 |
| QLD | PROSHARES TR PSHS ULTRA QQQ |
| QLGC | QLOGIC CORP COM |
| QLIK | QLIK TECHNOLOGIES INC COM |
| QLT | FQF TR QUANTSHAR QUAL |
| QLTA | ISHARES TR AAA A RATED CP |
| QLTI | QLT INC COM |
| QLTY | QUALITY DISTR INC FLA COM |
| QLYS | QUALYS INC COM |
| QMAR | Quintana Maritime Limited - common stock |
| QMARW | Quintana Maritime Limited - Class A Warrant |
| QMED | QMed Inc. - Common Stock |
| QMM | QUATERRA RES INC COM |
| QMM+ | Q Comm International Inc |

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| QMMWS | Q COMM INTL INC WT |
| QMN | INDEXIQ ETF TR IQ HEDGMKT NUT |
| QNST | QUINSTREET INC COM |
| QNTA | Quanta Capital Holdings Ltd. - Common Stock |
| QNTAP | Quanta Capital Holdings Ltd. - Series A Preferred Shares |
| QPSA | QUEPASA CORP COM NEW |
| QQEW | FIRST TR NAS100 EQ WEIGHTED IX SHS |
| QQQ | POWERSHARES QQQ TRUST UNIT SER 1 |
| QQQC | GLOBAL X FDS NASDQ CHINA TECH |
| QQQE | DIREXION SHS ETF TR NAS100 EQL WGT |
| QQQM | GLOBAL X FDS 400 MID CP ETF |
| QQQQ | POWERSHARES QQQ TRUST UNIT SER 1 |
| QQQV | GLOBAL X FDS NASD 500 ETF |
| QQQX | NASDAQ PREM INCM & GRW FD INC COM |
| QQXT | FIRST TR EXCHANGE TRADED FD NASDAQ 100 EX |
| QRCP | QUEST RESOURCE CORP COM NEW |
| QRE | QR ENERGY LP UNIT LTD PRTNS |
| QRM | QUEST RARE MINERALS LTD COM |
| QRR | Quadra Realty Trust Inc. Common Stock |
| QSC | Questcor Pharmaceuticals Inc |
| QSFT | QUEST SOFTWARE INC COM |
| QSII | QUALITY SYS INC COM |
| QSND | QSound Labs Inc. - Common Shares |
| QTEC | FIRST TR NASDAQ100 TECH INDEX SHS |
| QTM | QUANTUM CORP COM DSSG |
| QTRX | QuatRx Pharmaceuticals Company - Common Stock |
| QTWW | QUANTUM FUEL SYS TECH WORLDWDE COM NEW |
| QTWWD | QUANTUM FUEL SYS TECH WORLDWDE COM NEW |
| QUAD | QUAD / GRAPHICS INC COM CL A |
| QUIK | QUICKLOGIC CORP COM |
| QUIP | Quipp Inc. - Common Stock |
| QUIX | QUIXOTE CORP COM |
| QUOT | LIFE QUOTES INC COM |
| QURK | Quark Pharmaceuticals Inc. - Common Stock |
| QVDX | Quovadx Inc. - Common Stock |
| QXM | QJAO XING MOBILE COMM CO LTD SHS |
| R | RYDER SYS INC COM |
| RA | RAILAMERICA INC COM |
| RAA | BLACKROCK CALIF INVT QUALITY COM |
| RACK | RACKWISE INC COM |
| RAD | RITE AID CORP COM |
| RADA | RADA ELECTR INDS LTD SHS NEW |
| RADI | Rada Electronics Industries Limited - Ordinary Shares |
| RADID | Rada Electronics Industries Limited - Ordinary Shares |
| RADN | Radyne Corporation - Common Stock |
| RADS | RADIANT SYSTEMS INC COM |
| RAE | RAE SYS INC COM |
| RAF | RMR ASIA REAL ESTATE FUND COM BENE INTER |
| RAH | RALCORP HLDGS INC NEW COM |
| RAH# | RALCORP HLDGS INC NEW EX DISTRIB WI |
| RAI | REYNOLDS AMERICAN INC COM |
| RAIL | FREIGHTCAR AMER INC COM |
| RAK | Renaissance Acquisition Corp |
| RAK+ | Renaissance Acquisition Corp |
| RAK- | Renaissance Acquisition Corp |
| RALS | PROSHARES TR RAFI LG SHT FD |
| RALY | RALLY SOFTWARE DEV CORP COM |
| RAM | RAM ENERGY RESOURCES INC COM |
| RAME | RAM ENERGY RESOURCES INC COM |
| RAMEU | RAM Energy Resources Inc. - Units |
| RAMEW | RAM Energy Resources Inc. - Warrant 5/11/2008 |

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| RAMR | RAM HOLDINGS LTD SHS |
| RAMS | ARIES MARITIME TRNSPRT LTD SHS |
| RAND | RAND CAP CORP COM |
| RAO | Morgan Stanley |
| RAP | RMR ASIA PAC REAL EST FD NEW COM |
| RARE | RARE Hospitality International Inc. - Common Stock |
| RAS | RAIT FINANCIAL TRUST COM NEW |
| RAS-A | RAIT FINANCIAL TRUST PFD A 7.75% |
| RAS-B | RAIT FINANCIAL TRUST PFD B 8.375% |
| RAS-C | RAIT FINANCIAL TRUST PFD SBI SER C |
| RATE | BANKRATE INC DEL COM |
| RAVI | FLEXSHARES TR READY ACC VARI |
| RAVN | RAVEN INDS INC COM |
| RAW | Lehman Brothers |
| RAX | RACKSPACE HOSTING INC COM |
| RAY | Raytech Corporation Common Stock |
| RBA | RITCHIE BROS AUCTIONEERS COM |
| RBA# | Ritchie Bros. Auctioneers Incorporated Common Stock |
| RBAK | Redback Networks Inc. - Common Stock |
| RBC | REGAL BELOIT CORP COM |
| RBCAA | REPUBLIC BANCORP KY CL A |
| RBCN | RUBICON TECHNOLOGY INC COM |
| RBG | MORGAN STANLEY BRIDGES 2008 |
| RBI | SPORT SUPPLY GROUP INC DEL COM |
| RBIN | R & B Inc. - Common Stock |
| RBK | Reebok International Ltd. Common Stock |
| RBL | SPDR INDEX SHS FDS S&P RUSSIA ETF |
| RBM | CLAYMORE EXCHANGE TRD FD TR 2 GUGGN CHIN ETF |
| RBN | ROBBINS & MYERS INC COM |
| RBNC | Republic Bancorp Inc. - Common Stock |
| RBNCP | Citizens Banking Corporation - Capital Trust I - 8.60% Cumulative Trust Preferred Securities |
| RBNF | RURBAN FINL CORP COM |
| RBPAA | ROYAL BANCSHARES PA INC CL A |
| RBS | ROYAL BK SCOTLAND GROUP PLC SPONS ADR 20 ORD |
| RBS# | ROYAL BK SCOTLAND GROUP PLC SP ADR REP SHS |
| RBS-D | The Royal Bank of Scotland Group plc American Depositary Shares (Each representing 1 Non-cumulative Dollar Preference Share Series D) |
| RBS-D* | The Royal Bank of Scotland Group plc American Depositary Shares (Each representing 1 Non-cumulative Dollar Preference Share Series D) |
| RBS-E | RBS CAP FDG TR V PFD TR 5.90% GTD |
| RBS-E* | The Royal Bank of Scotland Group plc American Depositary Shares Series E (Each representing one Non-cumulative Dollar Preference Share Series E) |
| RBS-F | ROYAL BK SCOTLAND GROUP PLC SPON ADR F |
| RBS-G | RBS CAP FDG TR VII PFD TR 6.08% GTD |
| RBS-G* | The Royal Bank of Scotland Group plc American Depositary Shares Series G (Each representing one Non-cumulative Dollar Preference Share Series G) |
| RBS-H | ROYAL BK SCOTLAND GROUP PLC SPON ADR SER H |
| RBS-I | RBS CAP FDG TR VI PFD TR 6.25% GTD |
| RBS-I* | The Royal Bank of Scotland Group plc American Depositary Shares Series I (Each representing one Non-Cumulative Dollar Preference Share Series I) |
| RBS-K | The Royal Bank of Scotland Group plc American Depositary Shares (Each representing One Non-Cumulative Dollar Preference Shares Series K) |
| RBS-K* | The Royal Bank of Scotland Group plc American Depositary Shares (Each representing One Non-Cumulative Dollar Preference Shares Series K) |
| RBS-L | ROYAL BK SCOTLAND GROUP PLC SP ADR L RP PF |
| RBS-M | ROYAL BK SCOTLAND GROUP PLC SP ADR PREF M |
| RBS-N | ROYAL BK SCOTLAND GROUP PLC ADR PREF SER N |
| RBS-P | ROYAL BK SCOTLAND GROUP PLC ADR PFD SER P |
| RBS-Q | ROYAL BK SCOTLAND GROUP PLC ADR PREF SHS Q |
| RBS-R | ROYAL BK SCOTLAND GROUP PLC ADR PREF SHS R |
| RBS-S | ROYAL BK SCOTLAND GROUP PLC SP ADR PREF S |

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| RBS-T | ROYAL BK SCOTLAND GROUP PLC SP ADR PREF T |
| RBS-X | The Royal Bank of Scotland Group plc Exchangeable Capital Securities Series A ('X-CAPS') |
| RBV | CBS CORP NEW SR RTL 7.25% |
| RBV* | CBS CORP NEW SR RTL 7.25% |
| RBV | RUBICON MINERALS CORP COM |
| RBV\$ | Rubicon Minerals Corporation When Distributed |
| RC | GRUPO RADIO CENTRO S A B DE CV SPONSORED ADR |
| RCAP | RCS CAP CORP COM CL A |
| RCBK | River City Bank (Mechanicsville VA) - Common Stock(Mechanicsville VA) |
| RCC | SMALL CAP PREM & DIV INCM FD COM |
| RCCC | Rural Cellular Corporation - Class A Common Stock |
| RCD | RYDEX ETF TRUST GUG S&P SC500 EQ |
| RCE | AMEX STOCKCAR STOCKS XXX |
| RCF | Rica Foods Inc |
| RCG | RENN GLOBAL ENTREPENRS COM |
| RCH | China Architectural Engineering Inc |
| RCI | ROGERS COMMUNICATIONS INC CL B |
| RCII | RENT A CTR INC NEW COM |
| RCKB | ROCKVILLE FINL INC NEW COM |
| RCKBD | ROCKVILLE FINL NEW INC COM |
| RCKY | ROCKY BRANDS INC COM |
| RCL | ROYAL CARIBBEAN CRUISES LTD COM |
| RCMT | RCM TECHNOLOGIES INC COM NEW |
| RCNI | RCN CORP COM NEW |
| RCON | RECON TECHNOLOGY LTD SHS |
| RCONW | RECON TECHNOLOGY LTD WT EXP 000015 |
| RCPT | RECEPTOS INC COM |
| RCR | RMR DIVIDEND CAPTURE FD COM SH BEN INT |
| RCRC | RC2 CORP COM |
| RCS | PIMCO STRATEGIC GBL GOV FD INC COM |
| RCW | AB SVENSK EXPORTKREDIT NT RSSL2000 09 |
| RDA | RDA MICROELECTRONICS INC SPONSORED ADR |
| RDC | ROWAN COMPANIES PLC SHS CL A |
| RDCM | RADCOM LTD SHS NEW |
| RDCMD | RADCOM LTD SHS NEW |
| RDEA | ARDEA BIOSCIENCES INC COM |
| RDEN | ELIZABETH ARDEN INC COM |
| RDF | AB SVENSK EXPORTKREDIT ACC NT RUSSL09 |
| RDHL | REDHILL BIOPHARMA LTD SPONSORED ADS |
| RDI | READING INTERNATIONAL INC CL A |
| RDI.B | READING INTERNATIONAL INC CL B |
| RDIB | READING INTERNATIONAL INC CL B |
| RDK | RUDDICK CORP COM |
| RDN | RADIAN GROUP INC COM |
| RDNT | RADNET INC COM |
| RDP | Morgan Stanley |
| RDR | RMR PREFERRED DIVIDEND FUND COM SH BEN INT |
| RDS.A | ROYAL DUTCH SHELL PLC SPONS ADR A |
| RDS.B | ROYAL DUTCH SHELL PLC SPON ADR B |
| RDTA | Raining Data Corporation - Common Stock |
| RDUS | RADIUS HEALTH INC COM |
| RDWR | RADWARE LTD ORD |
| RDY | DR REDDYS LABS LTD ADR |
| RDYN | Replidyne Inc. - Common Stock |
| RE | EVEREST RE GROUP LTD COM |
| RE-A | Everest Re Capital Trust 7.85% Trust Preferred Securities |
| RE-B | EVEREST RE CAP TR II PFD TR 6.20% |
| RE-B* | EVEREST RE CAP TR II PFD TR 6.20% |
| REA | RYDEX ETF TRUST 2X S&P SEL ETF |
| REC | RYDEX ETF TRUST INV 2X S&P ETF |
| RECN | RESOURCES CONNECTION INC COM |

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| RECV | RECOVERY ENERGY INC COM NEW |
| RECVD | RECOVERY ENERGY INC COM NEW |
| REDE | RedEnvelope Inc. - Common Stock |
| REDF | REDIFF COM INDIA LTD SPONSORED ADR |
| REDI | Remote Dynamics Inc. Common Stock |
| REE | RARE ELEMENT RES LTD COM |
| REED | REEDS INC COM |
| REEDR | REEDS INC RT |
| REF | Refac Optical Group |
| REFR | RESEARCH FRONTIERS INC COM |
| REG | REGENCY CTRS CORP COM |
| REG-C | REGENCY CTRS CORP PFD SER 3 7.45% |
| REG-C* | REGENCY CTRS CORP PFD SER 3 7.45% |
| REG-D | REGENCY CTRS CORP PFD SER 4 7.25% |
| REG-D* | REGENCY CTRS CORP PFD SER 4 7.25% |
| REG-E | REGENCY CTRS CORP PFD SR 5 6.70% |
| REG-E* | REGENCY CTRS CORP PFD SR 5 6.70% |
| REG-F | REGENCY CTRS CORP CUM RED PFD SER |
| REG-G | REGENCY CTRS CORP 6.0% PFD SER 7 |
| REGI | RENEWABLE ENERGY GROUP INC COM NEW |
| REGN | REGENERON PHARMACEUTICALS COM |
| REIS | REIS INC COM |
| REK | PROSHARES TR SHRT RL EST FD |
| RELL | RICHARDSON ELECTRS LTD COM |
| RELV | RELIV INTL INC COM |
| REM | ISHARES TR MRTG PLS CAP IDX |
| REMX | MARKET VECTORS ETF TR MINOR METALS |
| REMY | REMY INTL INC COM |
| REN | RESOLUTE ENERGY CORP COM |
| REN+ | RESOLUTE ENERGY CORP WT EXP 092514 |
| RENN | RENREN INC SPONSORED ADR |
| RENT | RENTRAK CORP COM |
| REP | REPSOL YPF S A SPONSORED ADR |
| REP-A | REPSOL INTL CAP LTD PEF A 7.45% |
| REP-A* | REPSOL INTL CAP LTD PEF A 7.45% |
| RER | MERRILL LYNCH & CO INC STARS RUSSL 10 |
| RES | RPC INC COM |
| RESC | Roanoke Electric Steel Corporation - Common Stock |
| RESI | ALTISOURCE RESIDENTIAL CORP CL B |
| RESI# | ALTISOURCE RESIDENTIAL CORP CL B |
| RESP | Respironics Inc. - Common Stock |
| REST | Restore Medical Inc. - Common Stock |
| RET | MERRILL LYNCH & CO INC BR MKT DJ US10 |
| RETL | DIREXION SHS ETF TR RETAIL BULL 3X |
| RETS | DIREXION SHS ETF TR RETAIL BEAR 3X |
| REU | AB SVENSK EXPORTKREDIT ACC RT RUSS 09 |
| REV | REVLON INC CL A NEW |
| REJU | PRINCETON REVIEW INC COM |
| REV^ | Revlon Inc. Rights (Expiring January 19 2007) |
| REW | PROSHARES TR PSHS TECHNOLOGY |
| REX | REX AMERICAN RESOURCES CORP COM |
| REXI | RESOURCE AMERICA INC CL A |
| REXMY | REXAM PLC SP ADR COMNOPAR |
| REXX | REX ENERGY CORPORATION COM |
| REY | The Reynolds and Reynolds Company Class A Common Shares |
| REZ | ISHARES TR RESIDENT PLS CAP |
| RF | REGIONS FINL CORP NEW COM |
| RF- | Regions Financing Trust I Trust Preferred Securities |
| RF-A | REGIONS FINL CORP NEW DEPSHS1/40PF A |
| RF-Z | REGIONS FINANCING TRUST III 8.875% TR PFD |
| RF-Z* | REGIONS FINANCING TRUST III 8.875% TR PFD |

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| RFA | BLACKROCK INVT QLTY MUN TR COM |
| RFF | GRAIL ADVISORS ETF TR RP FINANCL ETF |
| RFG | RYDEX ETF TRUST GUG S&P MC400 PG |
| RFI | COHEN & STEERS TOTAL RETURN FD COM |
| RFID | Alien Technology Corporation - Common Stock |
| RFIL | RF INDS LTD COM PAR \$0.01 |
| RFL | RYDEX ETF TRUST 2X S&P SSF ETF |
| RFMD | RF MICRODEVICES INC COM |
| RFMI | RF MONOLITHICS INC COM |
| RFN | RYDEX ETF TRUST INV 2X SSF ETF |
| RFO-A | ROYCE FOCUS TR PFD 6.00% |
| RFO-A* | ROYCE FOCUS TR PFD 6.00% |
| RFP | RESOLUTE FST PRODS INC COM |
| RFR | RMR F I R E FD COM |
| RFV | RYDEX ETF TRUST GUG S&P MC400 PV |
| RFW | AB SVENSK EXPORTKREDIT RUSL2000 CAP 10 |
| RG | Rogers Communications Inc. Class B Non-Voting Shares |
| RG# | Rogers Communications Inc. Class B Non-Voting Shares |
| RGA | REINSURANCE GROUP AMER INC COM NEW |
| RGA-A | REINSURANCE GROUP AMER INC PFD TR INC EQ |
| RGA-A* | REINSURANCE GROUP AMER INC PFD TR INC EQ |
| RGA.A | Reinsurance Group of America Incorporated Class A Common Stock |
| RGA.B | Reinsurance Group of America Incorporated Class B Common Stock |
| RGA.B# | REINSURANCE GROUP OF AMERICA INCORPORATED |
| RGC | REGAL ENTMT GROUP CL A |
| RGCI | REGENT COMMUNICATIONS INC DEL COM |
| RGCO | RGC RES INC COM |
| RGDX | RESPONSE GENETICS INC COM |
| RGE | Rochester Gas and Electric Corporation First Mortgage 6.65% Bonds due June 15 2032 Series UU |
| RGE* | Rochester Gas and Electric Corporation First Mortgage 6.65% Bonds due June 15 2032 Series UU |
| RGEN | REPLIGEN CORP COM |
| RGF | R&G Financial Corporation Class B Common Stock |
| RGI | RYDEX ETF TRUST GUG S&P500 EQ WT |
| RGLD | ROYAL GOLD INC COM |
| RGLDP | Royal Gold Inc. - 7.25% mandatory convertible preferred stock |
| RGLS | REGULUS THERAPEUTICS INC COM |
| RGM | GENERAL MTRS CORP NT SR 7.25%52 |
| RGN | REGENERX BIOPHARMACEUTICALS COM |
| RGNC | REGENCY ENERGY PARTNERS L P COM UNITS L P |
| RGP | REGENCY ENERGY PARTNERS L P COM UNITS L P |
| RGR | STURM RUGER & CO INC COM |
| RGRA | ROYAL BK OF SCOTLAND PLC ROGR ENH AGRIC |
| RGRC | ROYAL BK OF SCOTLAND PLC ROGRS ENH ETNS |
| RGRE | ROYAL BK OF SCOTLAND PLC ROGR ENH ENERG |
| RGRI | ROYAL BK OF SCOTLAND PLC ROGR ENH INMET |
| RGRP | ROYAL BK OF SCOTLAND PLC ROGR ENH PRECI |
| RGS | REGIS CORP MINN COM |
| RGX | Radiologix Inc |
| RH | RESTORATION HARDWARE HLDGS INC COM |
| RHA | EKSPORTFINANS ASA ACC RUS2000 10 |
| RHAT | Red Hat Inc. - Common Stock |
| RHB | REHABCARE GROUP INC COM |
| RHD | R.H. DONNELLEY CORPORATION |
| RHEO | OccuLogix Inc. Common Stock |
| RHI | ROBERT HALF INTL INC COM |
| RHIE | RHI ENTMT INC DEL COM |
| RHM | RYDEX ETF TRUST 2X S&P SSH ETF |
| RHO | RYDEX ETF TRUST INV 2X SSH ETF |
| RHP | RYMAN HOSPITALITY PPTYS INC COM |
| RHQ | MERRILL LYNCH & CO INC NT RUSL2000 09 |
| RHR | RMR HOSPITALITY REAL ESTATE FD COM |

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| RHS | RYDEX ETF TRUST GUG S&P500 EWCON |
| RHT | RED HAT INC COM |
| RHY | RMK MULTI-SECTOR HIGH INCOME FUND INC. |
| RI | Ruby Tuesday Inc. Common Stock |
| RIBX | RIB-X PHARMACEUTICALS INC COM |
| RIC | RICHMONT MINES INC COM |
| RICK | RICKS CABARET INTL INC COM NEW |
| RIF | RMR REAL ESTATE INCOME FUND COM |
| RIG | TRANSOCEAN LTD REG SHS |
| RIGL | RIGEL PHARMACEUTICALS INC COM NEW |
| RIH | BANK AMER CORP MKT RUSS 11 |
| RIMG | RIMAGE CORP COM |
| RIMM | RESEARCH IN MOTION LTD COM |
| RIN | Rinker Group Limited American Depositary Shares (Each representing five Ordinary Shares) |
| RINF | PROSHARES TR 30YR TIPS/TSY |
| RING | ISHARES INC MSCI GLB GOLD |
| RINO | RINO INTERNATIONAL CORPORATION COM |
| RIO | RIO TINTO PLC SPONSORED ADR |
| RIO- | COMPANHIA VALE DO RIO DOCE SPON ADR PFD |
| RIOM | RIO ALTO MNG LTD NEW COM |
| RIS | MERRILL LYNCH & CO INC NT C RUSS2000 |
| RISK | RISKMETRICS GROUP INC COM |
| RIT | LMP REAL ESTATE INCOME FD INC COM |
| RITA | RITA Medical Systems Inc. - Common Stock |
| RITT | RIT TECHNOLOGIES LTD SHS |
| RITTD | RIT TECHNOLOGIES LTD SHS NEW |
| RIV | RIVIERA HLDGS CORP COM |
| RIVR | RIVER VY BANCORP COM |
| RJA | SWEDISH EXPT CR CORP ROG AGRI ETN22 |
| RJD | RAYMOND JAMES FINANCIAL INC SR NT 6.9%42 |
| RJET | REPUBLIC AWYS HLDGS INC COM |
| RJF | RAYMOND JAMES FINANCIAL INC COM |
| RJI | SWEDISH EXPT CR CORP ROG TTL ETN 22 |
| RJN | SWEDISH EXPT CR CORP RG ENRGY ETN22 |
| RJZ | SWEDISH EXPT CR CORP RG METAL ETN22 |
| RKE | Cap Rock Energy Corp |
| RKH | MARKET VECTORS ETF TR BNK & BROKERAG |
| RKT | ROCK-TENN CO CL A |
| RKUS | RUCKUS WIRELESS INC COM |
| RL | RALPH LAUREN CORP CL A |
| RLD | REALD INC COM |
| RLF | COHEN & STEERS ADV INC RLTY FD COM |
| RLG | AMEX RUSSELL 1000 XXX |
| RLGT | RADIANT LOGISTICS INC COM |
| RLGY | REALOGY HLDGS CORP COM |
| RLH | RED LION HOTELS CORP COM |
| RLH-A | RED LION HOTELS CAPITAL TRUST PFD TR 9.5% |
| RLI | RLI CORP COM |
| RLJ | RLJ LODGING TR COM |
| RLJE | RLJ ENTMT INC COM |
| RLL | Morgan Stanley |
| RLN.C | Lehman Brothers |
| RLN.D | Lehman Brothers |
| RLN.E | Lehman Brothers Holdings Inc. |
| RLN.G | Lehman Brothers Holdings Inc. |
| RLN.H | Lehman Brothers Holdings Inc. |
| RLN.I | Lehman Brothers Holdings Inc. |
| RLNT | Reliant Technologies Inc. - Common Stock |
| RLO | MERRILL LYNCH & CO INC NT RUSS2000 09 |
| RLOC | REACHLOCAL INC COM |
| RLOG | RAND LOGISTICS INC COM |

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| RLOGU | Rand Logistics Inc. - Unit |
| RLOGW | Rand Logistics Inc. - Warrant 10/26/2008 |
| RLRN | RENAISSANCE LEARNING INC COM |
| RLV | AMEX RUSSELL 1000 XXX |
| RLY | SSGA ACTIVE ETF TR MULT ASS RLRTN |
| RM | REGIONAL MGMT CORP COM |
| RMA | RMK ADVANTAGE INCOME FUND INC. |
| RMB | CLAYMORE EXCHANGE TRD FD TR 2 GUGGN CHIN ETF |
| RMBS | RAMBUS INC DEL COM |
| RMCF | ROCKY MTN CHOCOLATE FACTORY COM PAR \$0.03 |
| RMD | RESMED INC COM |
| RMG | RISKMETRICS GROUP INC COM |
| RMGN | SCG FINL ACQUISITION CORP COM |
| RMH | RMK HIGH INCOME FUND INC. |
| RMI | Rotonics Manufacturing Inc |
| RMIX | U S CONCRETE INC COM |
| RMJ | RAYMOND JAMES FINANCIAL INC SR NT 6.9%42 |
| RMK | ARAMARK Corporation Class B Common Stock |
| RMKR | RAINMAKER SYSTEMS COM NEW |
| RML | Russell Corporation Common Stock |
| RMM | RYDEX ETF TRUST S&P MIDCAP 2X |
| RMR | RMR REAL ESTATE FD SH BEN INT |
| RMS | RYDEX ETF TRUST INV S&P 400 2X |
| RMT | ROYCE MICRO-CAP TR INC COM |
| RMT-A | ROYCE MICRO-CAP TR INC PFD STK 6.00% |
| RMT-A* | ROYCE MICRO-CAP TR INC PFD STK 6.00% |
| RMTI | ROCKWELL MED INC COM |
| RMTIW | Rockwell Medical Technologies Inc. Warrants 1/26/2005 |
| RMTIZ | Rockwell Medical Technologies Inc. Warrants |
| RMTR | RAMTRON INTL CORP COM NEW |
| RMX | READY MIX INC COM |
| RNAI | Sirna Therapeutics Inc. - Common Stock |
| RND | ISE BIO PHARMACEUTICAXXX |
| RNDC | Raindance Communications Inc. - Common Stock |
| RNDY | ROUNDYS INC COM |
| RNE | MORGAN STANLEY EASTN EUR FD COM |
| RNET | RIGNET INC COM |
| RNF | RENTECH NITROGEN PARTNERS L P COM UNIT |
| RNGY | Renegy Holdings Inc. - Common Stock |
| RNHDA | Reinhold Industries Inc. - Class A Common Stock |
| RNI | MERRILL LYNCH & CO INC NT LKD RUSS 07 |
| RNIN | WIRELESS RONIN TECHNOLOGIES IN COM NEW |
| RNJ | BLACKROCK NJ INVT QUALITY MUN COM |
| RNN | REXAHN PHARMACEUTICALS INC COM |
| RNO | RHINO RESOURCE PARTNERS LP COM UNIT REPST |
| RNOW | RIGHTNOW TECHNOLOGIES INC COM |
| RNP | COHEN & STEERS REIT & PFD INCM COM |
| RNR | RENAISSANCERE HOLDINGS LTD COM |
| RNR-A | RenaissanceRe Holdings Ltd. 8.10% Series A Preference Shares |
| RNR-A* | RenaissanceRe Holdings Ltd. 8.10% Series A Preference Shares |
| RNR-B | RENAISSANCERE HOLDINGS LTD PEF B 7.3% |
| RNR-B* | RENAISSANCERE HOLDINGS LTD PEF B 7.3% |
| RNR-C | RENAISSANCERE HOLDINGS LTD PFD C 6.08% |
| RNR-D | RENAISSANCERE HOLDINGS LTD PEF D 6.6% |
| RNR-D* | RENAISSANCERE HOLDINGS LTD PEF D 6.6% |
| RNR-E | RENAISSANCERE HOLDINGS LTD PEF SHS SER E |
| RNS | Merrill Lynch Depositor Inc. Public Steers Series 1999 REN-C1 Trust 8.54% Trust Certificates |
| RNST | RENASANT CORP COM |
| RNT | AARON RENTS INC COM |
| RNT.A | AARON RENTS INC CL A |
| RNVS | Renovis Inc. - Common Stock |

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| RNWK | REALNETWORKS INC COM NEW |
| RNWKD | REALNETWORKS INC COM NEW |
| RNY | BLACKROCK NY INVT QUALITY MUN COM |
| ROAC | ROCK OF AGES CORP VT CL A |
| ROB | CLAYMORE ETF TRUST 2 ROBB REPT GLBL |
| ROC | ROCKWOOD HLDGS INC COM |
| ROCK | GIBRALTAR INDS INC COM |
| ROCM | ROCHESTER MED CORP COM |
| RODM | RODMAN & RENSHAW CAP GP INC DE COM |
| ROFO | ROCKFORD CORP COM |
| ROG | ROGERS CORP COM |
| ROH | ROHM & HAAS CO COM |
| ROHI | ROTECH HEALTHCARE INC COM |
| ROI | WISDOMTREE TR LARGE CAP GRWTH |
| ROIA | RADIO ONE INC CL A |
| ROIAK | RADIO ONE INC CL D NON VTG |
| ROIC | RETAIL OPPORTUNITY INVTS CORP COM |
| ROICU | RETAIL OPPORTUNITY INVTS CORP UNIT EX 102314 |
| ROICW | RETAIL OPPORTUNITY INVTS CORP WT EXP 102314 |
| ROIQ | ROI ACQUISITION CORP COM |
| ROIQU | ROI ACQUISITION CORP UNIT 1 000017 |
| ROIQW | ROI ACQUISITION CORP WT EXP 022817 |
| ROK | ROCKWELL AUTOMATION INC COM |
| ROL | ROLLINS INC COM |
| ROLA | BARCLAYS BK PLC RUSS1000 3X LG |
| ROLL | RBC BEARINGS INC COM |
| ROM | PROSHARES TR PSHS ULTRA TECH |
| ROMA | ROMA FINANCIAL CORP COM |
| ROME | ROME BANCORP INC NEW COM |
| RONC | Ronson Corporation - Common Stock |
| ROOF | INDEXIQ ETF TR US RL EST SMCP |
| ROP | ROPER INDS INC NEW COM |
| ROS | ROSTELECOM OPEN JT STK LNG DST SPONSORED ADR |
| ROSA | BARCLAYS BK PLC RUSS1000 SHT ETN |
| ROSE | ROSETTA RESOURCES INC COM |
| ROSG | ROSETTA GENOMICS LTD SHS NEW NIS 0.6 |
| ROSGD | ROSETTA GENOMICS LTD SHS NEW |
| ROST | ROSS STORES INC COM |
| ROVI | ROVI CORP COM |
| ROW | Rowe Companies (The) |
| ROX | CASTLE BRANDS INC COM |
| ROY | INTERNATIONAL ROYALTY CORP COM |
| ROYL | ROYALE ENERGY INC COM NEW |
| ROYT | PACIFIC COAST OIL TR UNIT BEN INT |
| RP | REALPAGE INC COM |
| RPAI | RETAIL PPTYS AMER INC CL A |
| RPAI-A | RETAIL PPTYS AMER INC PFD SER A 7.00% |
| RPB | Republic Property Trust Common Shares \$.01 par value per share |
| RPC | RADIANT PHARMACEUTICALS CORP COM |
| RPF | COHEN & STEERS PREM INC RLTY COM |
| RPFG | RAINIER PAC FINL GROUP INC COM |
| RPG | RYDEX ETF TRUST GUG S&P500 PU GR |
| RPI | ROBERTS REALTY INVS COM |
| RPM | RPM INTL INC COM |
| RPN | MORGAN STANLEY PAR S&P 092008 |
| RPQ | GRAIL ADVISORS ETF TR RP TECHNOL ETF |
| RPRX | REPROS THERAPEUTICS INC COM NEW |
| RPRXD | REPROS THERAPEUTICS INC COM NEW |
| RPRXW | REPROS THERAPEUTICS INC WT EXP020816 A |
| RPRXZ | REPROS THERAPEUTICS INC WT EXP 020816 |
| RPT | RAMCO-GERSHENSON PPTYS TR COM SH BEN INT |

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| RPT-B | Ramco-Gershenson Properties Trust 9.5% Series B Cumulative Redeemable Preferred Shares of Beneficial Interest |
| RPT-B* | Ramco-Gershenson Properties Trust 9.5% Series B Cumulative Redeemable Preferred Shares of Beneficial Interest |
| RPT-C | Ramco-Gershenson Properties Trust 7.95% Series C Cumulative Convertible Preferred Shares of Beneficial Interest |
| RPT-C* | Ramco-Gershenson Properties Trust 7.95% Series C Cumulative Convertible Preferred Shares of Beneficial Interest |
| RPT-D | RAMCO-GERSHENSON PPTYS TR PERP PFD-D CV |
| RPTP | RAPTOR PHARMACEUTICAL CORP COM |
| RPTPD | RAPTOR PHARMACEUTICAL CORP COM |
| RPV | RYDEX ETF TRUST GUG S&P500 PU VA |
| RPX | COLUMBIA ETF TR LCAP GRW EQT ETF |
| RPX.B | Lehman Brothers |
| RPXC | RPX CORP COM |
| RQI | COHEN & STEERS QUALITY RLTY FD COM |
| RRA | RailAmerica Inc. Common Stock |
| RRC | RANGE RES CORP COM |
| RRD | DONNELLEY R R & SONS CO COM |
| RRE | AIM Select Real Estate Income Fund Common Shares of Beneficial Interest |
| RRF | WISDOMTREE TR GLB RL RETURN |
| RRGB | RED ROBIN GOURMET BURGERS INC COM |
| RRGR | ADVISORSHARES TR ADV GLBALPBETA |
| RRI | RRI ENERGY INC COM |
| RRL | MERRILL LYNCH & CO INC NT C RUSSEL 08 |
| RRM | MERRILL LYNCH & CO INC MITTS RUSS2000 |
| RRMS | ROSE ROCK MIDSTREAM L P COM U REP LTD |
| RRR | RSC HOLDINGS INC COM |
| RRST | RRSAT GLOBAL COMM NTRWK LTD SHS |
| RRTS | ROADRUNNER TRNSN SVCS HLDG INC COM |
| RRY | RYDEX ETF TRUST RUS2000 2X ETF |
| RRZ | RYDEX ETF TRUST INV RUS2000 2X |
| RS | RELIANCE STEEL & ALUMINUM CO COM |
| RSA | Royal & Sun Alliance Insurance Group Plc American Depositary Shares(Each representing 5 Ordinary Shares) |
| RSAS | RSA Security Inc. Common Stock |
| RSB | TIERS CALL PRIN PROTECTD |
| RSC | REX STORES CORP COM |
| RSCR | RES-CARE INC COM |
| RSE | ROUSE PPTYS INC COM |
| RSE# | ROUSE PPTYS INC COM |
| RSF | RMK STRATEGIC INCOME FUND INC. |
| RSG | REPUBLIC SVCS INC COM |
| RSG# | Republic Services Inc. Common Stock |
| RSH | RADIOSHACK CORP COM |
| RSM | MERRILL LYNCH & CO INC NT RUSSELL 08 |
| RSO | RESOURCE CAP CORP COM |
| RSO-A | RESOURCE CAP CORP PFD-A |
| RSO-B | RESOURCE CAP CORP PFD SER B 8.25% |
| RSOL | REAL GOODS SOLAR INC CL A |
| RSOX | RESACA EXPLOITATION INC COM NEW |
| RSP | RYDEX ETF TRUST GUG S&P500 EQ WT |
| RST | ROSETTA STONE INC COM |
| RSTI | ROFIN SINAR TECHNOLOGIES INC COM |
| RSTO | Restoration Hardware Inc. - Common Stock |
| RSU | RYDEX ETF TRUST GUG 2X S&P500ETF |
| RSUN | INDEXIQ ETF TR IQ JAPAN MIDCP |
| RSW | RYDEX ETF TRUST GUG INV 2XS&P500 |
| RSX | MARKET VECTORS ETF TR RUSSIA ETF |
| RSXJ | MARKET VECTORS ETF TR RUSSIA SMALLCP |
| RSY | MERRILL LYNCH & CO INC NT SEL10 2012 |
| RSYS | RADISYS CORP COM |

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| RSYWS | MERRILL LYNCH & CO WTS |
| RT | RUBY TUESDAY INC COM |
| RTC | Riveria Tool Co |
| RTE | Merrill Lynch |
| RTEC | RUDOLPH TECHNOLOGIES INC COM |
| RTG | RYDEX ETF TRUST 2X S&P SST ETF |
| RTH | MARKET VECTORS ETF TR RETAIL ETF |
| RTI | RTI INTL METALS INC COM |
| RTIX | RTI BIOLOGICS INC COM |
| RTK | RENTECH INC COM |
| RTL | ISHARES TR RETAIL CAP IDX |
| RTLA | BARCLAYS BK PLC RUSS2000 3X LG |
| RTLX | RETALIX LTD ORD |
| RTM | RYDEX ETF TRUST GUG S&P500EQWTMA |
| RTN | RAYTHEON CO COM NEW |
| RTN+ | RAYTHEON CO WT EXP 061611 |
| RTN+# | RAYTHEON COMPANY |
| RTP | RIO TINTO PLC SPONSORED ADR |
| RTR | REVENUESHARES ETF TR ADR FD |
| RTRSY | Reuters Group PLC - American Depository Shares |
| RTS | MERRILL LYNCH & CO INC NT SEL 10 INDX |
| RTSA | BARCLAYS BK PLC RUSS2000 SHT ETN |
| RTSX | Radiation Therapy Services Inc. - Common Stock |
| RTU | COHEN & STEERS REIT & UTIL INC COM |
| RTW | RYDEX ETF TRUST INV 2X SST ETF |
| RTWI | RTW Inc. - Common Stock |
| RTX | Merrill Lynch |
| RUBO | RUBIOS RESTAURANTS INC COM |
| RUD | TIERS PRCL PRCTD MIN RET ASST 2004-1 RUSSELL |
| RUDR | ALPS ETF TR VELOSH RUSSEL |
| RUE | RUE21 INC COM |
| RUF | ISE HOMEBUILDERS XXX |
| RUJ | AMEX RUSSELL 2000 XXX |
| RUK | REED ELSEVIER P L C SPONS ADR NEW |
| RUM | Cruzan International Inc |
| RUN | Reunion Industries Inc |
| RUO | AMEX RUSSELL 2000 XXX |
| RURL | RURAL / METRO CORP COM |
| RUS | RUSS BERRIE & CO COM |
| RUSHA | RUSH ENTERPRISES INC CL A |
| RUSHB | RUSH ENTERPRISES INC CL B |
| RUSL | DIREXION SHS ETF TR DLY RUSSIA BUL |
| RUSS | DIREXION SHS ETF TR DL RUSSIA BEAR |
| RUTH | RUTHS HOSPITALITY GROUP INC COM |
| RUTHR | RUTHS HOSPITALITY GROUP INC RT |
| RUTX | Republic Companies Group Inc. - Common Stock par value \$0.01 |
| RVBD | RIVERBED TECHNOLOGY INC COM |
| RVEP | RIO VISTA ENERGY PARTNERS L P COM |
| RVI | RETAIL VENTURES INC COM |
| RVLT | REVOLUTION LIGHTING TECHNOLOGI COM |
| RVM | REVETT MINERALS INC COM NEW |
| RVNU | DBX ETF TR INFRSTR REV FD |
| RVP | RETRACTABLE TECHNOLOGIES INC COM |
| RVR | WHITE RIVER CAPITAL INC COM |
| RVSB | RIVERVIEW BANCORP INC COM |
| RVSN | RADVISION LTD ORD |
| RVT | ROYCE VALUE TR INC COM |
| RVT-B | ROYCE VALUE TR INC PFD STK 5.90% |
| RVT-B* | ROYCE VALUE TR INC PFD STK 5.90% |
| RWC | RELM WIRELESS CORP COM |
| RWF | COHEN & STEERS WRDWD RLT INCM COM |

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| RWG | COLUMBIA ETF TR SEL LC GRW ETF |
| RWJ | REVENUESHARES ETF TR SMALL CAP FD |
| RWK | REVENUESHARES ETF TR MID CAP FD |
| RWL | REVENUESHARES ETF TR LARGE CAP FD |
| RWM | PROSHARES TR PSHS SHTRUSS2000 |
| RWO | SPDR INDEX SHS FDS DJ GLB RL ES ETF |
| RWR | SPDR SERIES TRUST DJ REIT ETF |
| RWT | REDWOOD TR INC COM |
| RWV | REVENUESHARES ETF TR NAVELLR A-100 |
| RWW | REVENUESHARES ETF TR S&P500 FINL FD |
| RWX | SPDR INDEX SHS FDS DJ INTL RL ETF |
| RWXL | UBS AG LONDON BRH MTH 2X DJ INTL |
| RWY | Rent-Way Inc. Common Stock no par value |
| RX | IMS HEALTH INC COM |
| RXB | MORGAN STANLEY BOXES 10302031 |
| RXD | PROSHARES TR PSHS HLTH CARE |
| RXH | MORGAN STANLEY HC XXX |
| RXI | ISHARES TR S&P GL CONSUME |
| RXII | RXI PHARMACEUTICALS CORP NEW COM |
| RXL | PROSHARES TR PSHS ULT HLTHCRE |
| RXN | REXNORD CORP NEW COM |
| RXP | MORGAN STANLEY HC XXX |
| RXY | MERRILL LYNCH & CO INC RTN RUSSELL 09 |
| RY | ROYAL BK CDA MONTREAL QUE COM |
| RYAAY | RYANAIR HLDGS PLC SPONSORED ADR |
| RYAN | Ryan's Restaurant Group Inc. - Common Stock |
| RYE | RYDEX ETF TRUST GUG S&P500EQWTEN |
| RYF | RYDEX ETF TRUST GUG S&P500EQWTFI |
| RYG | Royal Group Technologies Limited Subordinate Voting Shares |
| RYH | RYDEX ETF TRUST GUG S&P500EQWTHC |
| RYI | RYERSON HLDG CORP COM |
| RYJ | CLAYMORE EXCHANGE TRD FD TR GUG RAYM JAMES S |
| RYL | RYLAND GROUP INC COM |
| RYN | RAYONIER INC COM |
| RYT | RYDEX ETF TRUST GUG S&P500EQWTTE |
| RYU | RYDEX ETF TRUST GUG S&P500EQWTUT |
| RZ | RASER TECHNOLOGIES INC COM |
| RZA | REINSURANCE GROUP AMER INC SUB DEB 42 |
| RZG | RYDEX ETF TRUST GUG S&P SC600 PG |
| RZI | Merrill Lynch |
| RZS | Merrill Lynch |
| RZV | RYDEX ETF TRUST GUG S&P SC600 PV |
| RZY | Merrill Lynch |
| S | SPRINT NEXTEL CORP COM SER 1 |
| S# | Sprint Nextel Corporation Series 1 Common Stock |
| SA | SEABRIDGE GOLD INC COM |
| SAA | PROSHARES TR PSHS ULT SCAP600 |
| SAAS | INCONTACT INC COM |
| SAB | GRUPO CASA SABA S A DE C V SPONSORED ADR |
| SABA | SABA SOFTWARE INC COM NEW |
| SABR | SABRE INDS INC DEL COM |
| SAC- | South Carolina Electric & Gas Co. 5% Preferred Stock |
| SAD | AB SVENSK EXPORTKREDIT ACC RTN S&P 09 |
| SAF | Safeco Corporation Common Stock No Par Value |
| SAFC | SAFECODE DRUG TECHNOLOGIES COR COM |
| SAFM | SANDERSON FARMS INC COM |
| SAFT | SAFETY INS GROUP INC COM |
| SAGG | DIREXION SHS ETF TR TL BD MKT BEAR |
| SAH | SONIC AUTOMOTIVE INC CL A |
| SAI | SAIC INC COM |
| SAIA | SAIA INC COM |

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| SAJ | AKTIEBOLAGET SVENSK EXPORTKRED ACC S&P500 10 |
| SAL | SALISBURY BANCORP INC COM |
| SALM | SALEM COMMUNICATIONS CORP DEL CL A |
| SAM | BOSTON BEER INC CL A |
| SAMB | SUN AMERICAN BANCORP COM NEW |
| SAMBD | Sun American Bancorp - Common Stock |
| SAMBW | SUN AMERICAN BANCORP WT D EXP051309 |
| SAMG | SILVERCREST ASSET MGMT GROUP I CL A |
| SAN | BANCO SANTANDER SA ADR |
| SAN-A | SANTANDER FIN PFD S A UNIPERSN PFD SER 4 6.8% |
| SAN-B | SANTANDER FIN PFD S A UNIPERSN GTD PFD SECS 6 |
| SAN-C | SANTANDER FIN PFD S A UNIPERSN PFD 6.5% SER 5 |
| SAN-E | SANTANDER FINANCE PREF SA UNI PFD10.5% SER10 |
| SAN-I | SANTANDER FIN PFD S A UNIPERSN PFD I 6.41% |
| SAND | SANDSTORM GOLD LTD COM NEW |
| SANM | SANMINA CORPORATION COM |
| SANMD | SANMINA SCI CORP COM NEW |
| SANW | S&W SEED CO COM - |
| SANWU | S&W SEED CO UNIT EXP |
| SANWW | S&W SEED CO WT EXP 041513 |
| SANWZ | S&W SEED CO WT EXP 050315 |
| SANYY | Sanyo Electric Co. Ltd. - American Depositary Shares exempt pursuant to 12g3-2(b) |
| SAP | SAP AG SPON ADR |
| SAPE | SAPIENT CORP COM |
| SAPX | SEVEN ARTS ENTMT INC COM NO PAR |
| SAPXD | SEVEN ARTS ENTMT INC COM NO PAR |
| SAQ | SARATOGA INVT CORP SR NT 7.5%20 |
| SAR | SARATOGA INVT CORP COM NEW |
| SARA | SARATOGA RES INC TEX COM |
| SASR | SANDY SPRING BANCORP INC COM |
| SAT | Asia Satellite Telecommunications Holdings Limited American Depositary Shares (Each representing 10 shares of Common Stock) |
| SATC | SATCON TECHNOLOGY CORP COM NEW |
| SATS | EHOSTAR CORP CL A |
| SATSV | EchoStar Holding Corporation - common stock |
| SAVB | SAVANNAH BANCORP INC COM |
| SAVE | SPIRIT AIRLS INC COM |
| SAW | FOCUSSHARES TR HOMEBLDRS INDX |
| SAX | Saxon Capital Inc. Common Stock |
| SAY | SATYAM COMPUTER SERVICES LTD ADR |
| SB | SAFE BULKERS INC COM |
| SBA | BANK AMER CORP LEV S&P500 12 |
| SBAC | SBA COMMUNICATIONS CORP COM |
| SBAY | SUBAYE INC COM |
| SBB | PROSHARES TR PSHS SHT SCAP600 |
| SBBX | SUSSEX BANCORP COM |
| SBCF | SEACOAST BKG CORP FLA COM |
| SBEI | SBE Inc. - Common Stock |
| SBEID | SBE Inc. - Common Stock |
| SBF | MORGAN STANLEY RTN SPX500 10 |
| SBFG | SB FINL GROUP INC COM |
| SBG | AKTIEBOLAGET SVENSK EXPORTKRED BEAR S&P500 10 |
| SBGA | Summit Bank Corporation - Common Stock |
| SBGI | SINCLAIR BROADCAST GROUP INC CL A |
| SBGL | SIBANYE GOLD LTD SPONSORED ADR |
| SBGL# | SIBANYE GOLD LTD SPONSORED ADR |
| SBH | SALLY BEAUTY HLDGS INC COM |
| SBH# | SALLY BEAUTY HOLDINGS INC |
| SBI | WESTERN ASSET INTM MUNI FD INC COM |
| SBIB | STERLING BANCSHARES INC COM |
| SBIBN | STERLING BANCSHARES CAP TR PFD TR 8.3% |

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| SBIBO | Sterling Bancshares Inc. - Sterling Bancshares Capital Trust II - 9.20% Cumulative Trust Preferred Securities |
| SBIBW | STERLING BANCSHARES INC WT EXP 121218 |
| SBIT | Summit Bancshares Inc. - Common Stock |
| SBK | AB SVENSK EXPORTKREDIT LEVRG S&P500 10 |
| SBK+ | Sun American Bancorp |
| SBKC | SECURITY BANK CORP COM |
| SBKWS | SUN AMERICAN BANCORP WTS |
| SBL | MERRILL LYNCH & CO INC RTN BR S&P500 09 |
| SBLK | STAR BULK CARRIERS CORP SHS NEW |
| SBLKW | STAR BULK CARRIERS CORP WT EXP 031510 |
| SBM | PROSHARES TR SHT BASIC MAT |
| SBN | SOFTBRANDS INC COM |
| SBND | DEUTSCHE BK AG LONDON BRH DB 3X SHRT UST |
| SBNY | SIGNATURE BK NEW YORK N Y COM |
| SBNYW | SIGNATURE BK NEW YORK N Y WT PUR COM STK |
| SBP | SANTANDER BANCORP COM |
| SBR | SABINE ROYALTY TR UNIT BEN INT |
| SBRA | SABRA HEALTH CARE REIT INC COM |
| SBRAP | SABRA HEALTH CARE REIT INC PFD SER A 7.125% |
| SBRAV | SABRA HEALTH CARE REIT INC COM |
| SBS | COMPANHIA DE SANEAMENTO BASICO SPONSORED ADR |
| SBSA | SPANISH BROADCASTING SYS INC CL A NEW |
| SBSAD | SPANISH BROADCASTING SYS INC CL A NEW |
| SBSE | SBS Technologies Inc. - Common Stock |
| SBSI | SOUTHSIDE BANCSHARES INC COM |
| SBT | AT&T Inc. 7.00% Public Income NotES (PINES) due June 1 |
| SBT* | AT&T Inc. 7.00% Public Income NotES (PINES) due June 1 |
| SBUX | STARBUCKS CORP COM |
| SBV | BARCLAYS BK PLC IPTH S&P GSCI |
| SBW | WESTERN ASSET WORLDWIDE INCOME COM |
| SBX | SEABRIGHT HOLDINGS INC COM |
| SBY | SILVER BAY RLTY TR CORP COM |
| SCA | SYNCORA HOLDINGS LTD |
| SCB | AB SVENSK EXPORTKREDIT LIRN S&P500 10 |
| SCBT | SCBT FINANCIAL CORP COM |
| SCC | PROSHARES TR PSHS ULCONSM NEW |
| SCCO | SOUTHERN COPPER CORP COM |
| SCD | LMP CAP & INCOME FD INC COM |
| SCE-B | SOUTHERN CALIF EDISON CO PFD 4.08% |
| SCE-C | SOUTHERN CALIF EDISON CO PFD 4.24% |
| SCE-D | SOUTHERN CALIF EDISON CO PFD 4.32% |
| SCE-E | SOUTHERN CALIF EDISON CO PFD 4.78% |
| SCE-F | SCE TR I TR PREF SECS |
| SCE-G | SCE TR II TR PFD SECS 5.1% |
| SCEI | SINO CLEAN ENERGY INC COM NEW |
| SCFSP | Sovereign Bancorp Inc. - Seacoast Capital Trust I - 8.50% Cumulative Trust Preferred Securities |
| SCG | SCANA CORP NEW COM |
| SCG- | SOUTH CAROLINA ELEC & GAS CO PFD 5% |
| SCG-* | SOUTH CAROLINA ELEC & GAS CO PFD 5% |
| SCGQ | SCG FINL ACQUISITION CORP COM |
| SCH | The Charles Schwab Corporation Common Stock |
| SCHA | SCHWAB STRATEGIC TR US SML CAP ETF |
| SCHB | SCHWAB STRATEGIC TR US BRD MKT ETF |
| SCHC | SCHWAB STRATEGIC TR INTL SCEQT ETF |
| SCHD | SCHWAB STRATEGIC TR US DIVIDEND EQ |
| SCHE | SCHWAB STRATEGIC TR EMRG MKTEQ ETF |
| SCHF | SCHWAB STRATEGIC TR INTL EQTY ETF |
| SCHG | SCHWAB STRATEGIC TR US LCAP GR ETF |
| SCHH | SCHWAB STRATEGIC TR US REIT ETF |
| SCHK | Schick Technologies Inc. - Common Stock |
| SCHL | SCHOLASTIC CORP COM |

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| SCHM | SCHWAB STRATEGIC TR US MID-CAP ETF |
| SCHN | SCHNITZER STL INDS CL A |
| SCHO | SCHWAB STRATEGIC TR SHT TM US TRES |
| SCHP | SCHWAB STRATEGIC TR US TIPS ETF |
| SCHR | SCHWAB STRATEGIC TR INTRM TRM TRES |
| SCHS | SCHOOL SPECIALTY INC COM |
| SCHV | SCHWAB STRATEGIC TR US LCAP VA ETF |
| SCHW | SCHWAB CHARLES CORP NEW COM |
| SCHW-B | SCHWAB CHARLES CORP NEW DSHS 1/40 PF B |
| SCHX | SCHWAB STRATEGIC TR US LRG CAP ETF |
| SCHZ | SCHWAB STRATEGIC TR US AGGREGATE B |
| SCI | SERVICE CORP INTL COM |
| SCIF | MARKET VECTORS ETF TR INDIA SMALL CP |
| SCIL | SCIENTIFIC LEARNING CORP OC-COM |
| SCIN | EGA EMERGING GLOBAL SHS TR EGS INDIA SC ETF |
| SCIX | Scailex Corporation Ltd. Ordinary Shares |
| SCJ | ISHARES INC JAPAN SML CAP |
| SCKT | SOCKET MOBILE INC COM NEW |
| SCKTD | SOCKET MOBILE INC COM NEW |
| SCL | STEPAN CO COM |
| SCL- | STEPAN CO PFD CONV 5.50% |
| SCL-* | STEPAN CO PFD CONV 5.50% |
| SCLD | STEELCLOUD INC COM |
| SCLN | SCICLONE PHARMACEUTICALS INC COM |
| SCLP | RUSSELL EXCHANGE TRADED FDS TR SMALL CAP ETF |
| SCM | STELLUS CAP INVT CORP COM |
| SCMF | SOUTHERN CMNTY FINL CORP COM |
| SCMFO | SOUTHERN CMNTY CAP TR II PFD TR 7.95% |
| SCMM | SCM MICROSYSTEMS INC COM |
| SCMP | SUCAMPO PHARMACEUTICALS INC CL A |
| SCMR | SYCAMORE NETWORKS INC COM NEW |
| SCMRD | SYCAMORE NETWORKS INC COM NEW |
| SCO | PROSHARES TR II ULTSH DJ UBS CRU |
| COG | RUSSELL EXCHANGE TRADED FDS TR SMALL CAP ETF |
| SCOK | SINOCOKING COAL & COKE CH INDS COM |
| SCON | SUPERCONDUCTOR TECHNOLOGIES COM PAR \$0.001 |
| SCOND | Superconductor Technologies Inc. - Common Stock |
| SCOP | Scopus Video Networks Ltd. - Ordinary shares |
| SCOR | COMSCORE INC COM |
| SCOX | SCO Group Inc. (The) - Common Stock |
| SCPB | SPDR SERIES TRUST BARC SHT TR CP |
| SCPE | Scope Metals Group Ltd. - Ordinary Shares |
| SCPR | CREDIT SUISSE NASSAU BRH VS 2XINV COPPR |
| SCR | SIMCERE PHARMACEUTICAL GROUP SPON ADR |
| SCR.A | Sea Containers Ltd. Class A Common Shares |
| SCR.B | Sea Containers Ltd. Class B Common Shares |
| SCRT | SCHOTTENSTEIN RLTY TR INC COM |
| SCRX | Sciele Pharma Inc. - Common Stock |
| SCS | STEELCASE INC CL A |
| SCSC | SCANSOURCE INC COM |
| SCSS | SELECT COMFORT CORP COM |
| SCST | SCS Transportation Inc. - When-Issued Common Stock |
| SCT | BANK AMER CORP TRGT S&P500 14 |
| SCT-A | Scottish Re Group Limited 5.875% Hybrid Capital Units |
| SCT-B | Scottish Re Group Limited 7.250% Non-Cumulative Perpetual Preferred Shares |
| SCTR | RUSSELL EXCHANGE TRADED FDS TR SMALL CAP ETF |
| SCTY | SOLARCITY CORP COM |
| SCU | SCANA CORP NEW JR SB NT7.7%65 |
| SCUR | Secure Computing Corporation - Common Stock |
| SCV | Claymore Exchange-Traded Fund Trust |
| SCVL | SHOE CARNIVAL INC COM |

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| SCW.A | Citigroup Global Markets |
| SCX | STARRETT L S CO CL A |
| SCZ | ISHARES TR MSCI SMALL CAP |
| SD | SANDRIDGE ENERGY INC COM |
| SDA | BANK AMER CORP MITTS DOW 15 |
| SDAY | SUNDAY Communications Limited - American Depositary Shares |
| SDBT | SOUNDBITE COMMUNICATIONS INC COM |
| SDD | PROSHARES TR PSHS ULSH SC 600 |
| SDE | BANK AMER CORP S&P SML CAP 10 |
| SDG | MORGAN STANLEY BARR S&P500 10 |
| SDIV | GLOBAL X FDS GLB X SUPERDIV |
| SDIX | STRATEGIC DIAGNOSTICS INC COM |
| SDIXE | Strategic Diagnostics Inc. - Common Stock |
| SDK | PROSHARES TR PSHS ULSHT MC GR |
| SDLP | SEADRILL PARTNERS LLC COMUNIT REP LB |
| SDM | MORGAN STANLEY NT LK S&P 2011 |
| SDO-A | SAN DIEGO GAS & ELEC CO PFD 5% |
| SDO-B | SAN DIEGO GAS & ELEC CO PFD 4.50% |
| SDO-C | SAN DIEGO GAS & ELEC CO PFD 4.40% |
| SDO-H | SAN DIEGO GAS & ELEC CO PFD \$1.82 |
| SDOG | ALPS ETF TR SECTR DIV DOGS |
| SDOW | PROSHARES TR ULTRA SH DOW30 |
| SDP | PROSHARES TR ULSHRT UTILS FD |
| SDR | SANDRIDGE MISSISSIPPIAN TR II SH BEN INT |
| SDRL | SEADRILL LIMITED SHS |
| SDS | PROSHARES TR PSHS ULSHT SP500 |
| SDT | SANDRIDGE MISSISSIPPIAN TR I UNIT BEN INT |
| SDTH | SHENGDA TECH INC COM |
| SDX | Sodexo Alliance SA American Depositary Shares (Each representing one Common Share) |
| SDXC | SWITCH & DATA FACILITIES COMP COM |
| SDY | SPDR SERIES TRUST S&P DIVID ETF |
| SDYL | UBS AG LONDON BRH ETRACS 2XLVS&P |
| SE | SPECTRA ENERGY CORP COM |
| SE# | SPECTRA ENERGY CORP COM |
| SEA | CLAYMORE EXCHANGE TRD FD TR 2 GUGG SHIPPNG ETF |
| SEA+ | Star Maritime Acquisition Corp |
| SEA= | Star Maritime Acquisition Corp |
| SEAB | SeaBright Insurance Holdings Inc. - Common Stock |
| SEAC | SEACHANGE INTL INC COM |
| SEAS | SEAWORLD ENTMT INC COM |
| SEB | SEABOARD CORP COM |
| SEBL | Siebel Systems Inc. Common Stock |
| SECDP | Sky Financial Group Inc. - Second Bancorp Capital Trust I - 9.00% Cumulative Trust Preferred Securities |
| SED | SED INTL HLDGS INC COM NEW |
| SEE | SEALED AIR CORP NEW COM |
| SEED | ORIGIN AGRITECH LIMITED SHS |
| SEEDU | ORIGIN AGRITCH LT UT |
| SEEDW | ORIGIN AGRITCH LT WT |
| SEF | PROSHARES TR PSHS SHTFINL ETF |
| SEGU | Segue Software Inc. - Common Stock |
| SEH | SPARTECH CORP COM NEW |
| SEIC | SEI INVESTMENTS CO COM |
| SEL | SELIGMAN SELECT MUN FD INC COM |
| SEM | SELECT MED HLDGS CORP COM |
| SEMG | SEMGROUP CORP CL A |
| SEMG+ | SEMGROUP CORP WT EXP 113014 |
| SEMI | All American Semiconductor Inc. - Common Stock |
| SEN | SEMCO Energy Inc. Common Stock |
| SENEA | SENECA FOODS CORP NEW CL A |
| SENEB | SENECA FOODS CORP NEW CL B |
| SENO | SENOX INC COM |

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| SENS | CardioMEMS Inc. - Common Stock |
| SEO | BANK AMER CORP STARS S&P500 11 |
| SEP | SPECTRA ENERGY PARTNERS LP COM |
| SEPR | SEPRACOR INC COM |
| SERO | Serologicals Corporation - Common Stock |
| SERV | SERVIDYNE INC COM |
| SET | S & P 500 INDEX XXX |
| SEV | SEVCON INC COM |
| SF | STIFEL FINL CORP COM |
| SF-A | Stifel Financial Capital Trust I 9.00% Cumulative Trust Preferred Securities |
| SF-A* | Stifel Financial Capital Trust I 9.00% Cumulative Trust Preferred Securities |
| SFA | MERRILL LYNCH & CO INC ACC S&P500 10 |
| SFB | STIFEL FINL CORP SR NT 6.7%22 |
| SFBC | SOUND FINL BANCORP INC COM |
| SFC | Spirit Finance Corporation Common Stock par value \$.01 per share |
| SFCC | SFBC International Inc. - Common Stock |
| SFD | SMITHFIELD FOODS INC COM |
| SFE | SAFEGUARD SCIENTIFICS INC COM NEW |
| SFF | Santa Fe Energy Trust Depository Units Evidenced by Secure Principal Energy Receipts ('SPERs') |
| SFFS | Sound Federal Bancorp Inc. - Common Stock |
| SFG | STANCORP FINL GROUP INC COM |
| SFH | BANK AMER CORP STR S&P500 11 |
| SFI | ISTAR FINL INC COM |
| SFI-D | ISTAR FINL INC PFD SER D |
| SFI-E | ISTAR FINL INC PFD E 7.875% |
| SFI-F | ISTAR FINL INC PFD SER F 7.8% |
| SFI-G | ISTAR FINL INC PFD G 7.65% |
| SFI-I | ISTAR FINL INC PFD SER I |
| SFK | PROSHARES TR PSHS UL1000NEW |
| SFL | SHIP FINANCE INTERNATIONAL LTD SHS |
| SFLA | BARCLAYS BK PLC S&P 500 3X LNG |
| SFLK | SAFLINK Corporation - Common Stock |
| SFLY | SHUTTERFLY INC COM |
| SFM | TIERS PRINCIPAL PROTECTED TR TIERS S&P03-10 |
| SFN | STIFEL FINL CORP SR NT 22 |
| SFNC | SIMMONS 1ST NATL CORP CL A \$1 PAR |
| SFNT | SafeNet Inc - Common Stock |
| SFO | MERRILL LYNCH & CO INC STRTG S&P500 10 |
| SFP | Salton Inc. Common Stock |
| SFSA | BARCLAYS BK PLC S&P500 SHRT ETN |
| SFSF | SUCCESSFACTORS INC COM |
| SFST | SOUTHERN FIRST BANCSHARES INC COM |
| SFSU | Citigroup Inc. - Stock Market Upturn Notes Based Upon the Nasdaq-100 Index |
| SFUN | SOUFUN HLDGS LTD ADR |
| SFV | SPA ETF TRUST MRKTGRADE 40FD |
| SFY | SWIFT ENERGY CO COM |
| SGA | SAGA COMMUNICATIONS INC CL A NEW |
| SGAR | BARCLAYS BK PLC IPH SUGAR ETN |
| SGB | SOUTHWEST GA FINL CORP COM |
| GBS\$ | |
| SGC | SUPERIOR UNIFORM GP INC COM |
| SGDE | Sportsman's Guide Inc. (The) Common Stock |
| SGEN | SEATTLE GENETICS INC COM |
| SGF | SINGAPORE FD INC COM |
| SGG | BARCLAYS BANK PLC ETN DJUBS SGAR38 |
| SGGG | RUSSELL EXCHANGE TRADED FDS TR SMALL CAP ETF |
| SGH | AB SVENSK EXPORTKREDIT NT RSL2000 10 |
| SGHL | Sentigen Holding Corp. - Common Stock |
| SGI | SILICON GRAPHICS INTL CORP COM |
| SGIC | Silicon Graphics Inc. - common stock |
| SGK | SCHAWK INC CL A |

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| SGL | STRATEGIC GLOBAL INCOME FD COM |
| SGLP | SemGroup Energy Partners L.P. - Common Units representing limited partner interests |
| SGLX | SINGULEX INC COM |
| SGMA | SIGMATRON INTL INC COM |
| SGMO | SANGAMO BIOSCIENCES INC COM |
| SGMS | SCIENTIFIC GAMES CORP CL A |
| SGN | AKTIEBOLAGET SVENSK EXPORTKRED ACC S&P500 10 |
| SGNT | SAGENT PHARMACEUTICALS INC COM |
| SGO | EKSPORTFINANS ASA STAR S&P500 11 |
| SGOC | SGOCO GROUP LTD SHS |
| SGOL | ETFS GOLD TR SHS |
| SGP | SCHERING PLOUGH CORP COM |
| SGP-B | SCHERING PLOUGH CORP PFD CONV MAN07 |
| SGP-M | Schering-Plough Corporation 6.00% Mandatory Convertible Preferred Stock |
| SGR | SHAW GROUP INC COM |
| SGRP | SPAR GROUP INC COM |
| SGS | STREAM GLOBAL SVCS INC COM |
| SGS+ | STREAM GLOBAL SVCS INC WT EXP 101711 |
| SGS= | STREAM GLOBAL SVCS INC UNIT EX 101711 |
| SGT | NETS TR FTSE SINGP ETF |
| SGTL | Sigmatel Inc. - COMMON STOCK |
| SGU | STAR GAS PARTNERS L P UNIT LTD PARTNR |
| SGXP | SGX Pharmaceuticals Inc. - Common Stock par value \$0.001 per share |
| SGY | STONE ENERGY CORP COM |
| SGYP | SYNERGY PHARMACEUTICALS DEL COM NEW |
| SGYPD | SYNERGY PHARMACEUTICALS INC FL COM NEW |
| SGYPU | SYNERGY PHARMACEUTICALS DEL UNIT 2C1W 120616 |
| SGYPW | SYNERGY PHARMACEUTICALS DEL WT EXP 120616 |
| SGZ | SELECTIVE INS GROUP INC JR SUB NT 7.5% |
| SGZ* | SELECTIVE INS GROUP INC JR SUB NT 7.5% |
| SGZA | SELECTIVE INS GROUP INC SR NT 43 |
| SH | PROSHARES TR PSHS SHRT S&P500 |
| SHA | Shanghai Century Acquisition Corporation |
| SHA+ | Shanghai Century Acquisition Corporation |
| SHA= | Shanghai Century Acquisition Corporation |
| SHAW | SHAW GROUP INC COM |
| SHBI | SHORE BANCSHARES INC COM |
| SHBK | Shore Financial Corporation - Common Stock |
| SHBT | RUSSELL EXCHANGE TRADED FDS TR 2000 HIGH BETA |
| SHE | SHENGKAI INNOVATIONS INC COM |
| SHEN | SHENANDOAH TELECOMMUNICATIONS COM |
| SHF | SCHIFF NUTRITION INTL INC COM |
| SHFL | SHFL ENTMT INC COM |
| SHG | SHINHAN FINANCIAL GROUP CO LTD SPN ADR RESTRD |
| SHH.A | Royal Bank of Scotland N.V. (The) |
| SHI | SINOPEC SHANGHAI PETROCHEMICAL SPON ADR H |
| SHIP | SEANERGY MARITIME HLDGS CORP SHS |
| SHIPD | SEANERGY MARITIME HLDGS CORP SHS NEW |
| SHIPW | SEANERGY MARITIME HLDGS CORP WTS EXP 092411 |
| SHJ | MERRILL LYNCH & CO INC STARS S&P 2010 |
| SHJ+ | Novamerican Steel Inc |
| SHJ= | Novamerican Steel Inc |
| SHK | BANK AMER CORP STARS ISH DJ10 |
| SHLD | SEARS HLDGS CORP COM |
| SHLM | SCHULMAN A INC COM |
| SHLO | SHILOH INDS INC COM |
| SHM | SPDR SERIES TRUST NUVN BR SHT MUNI |
| SHMO | RUSSELL EXCHANGE TRADED FDS TR 2000 HGH MOMEN |
| SHMR | SHAMIR OPTICAL INDUSTRY LTD SHS |
| SHN | BANK AMER CORP MITTS DOW 15 |
| SHO | SUNSTONE HOTEL INVS INC NEW COM |

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| SHO-A | SUNSTONE HOTEL INVS INC NEW PFD SER A |
| SHO-A* | SUNSTONE HOTEL INVS INC NEW PFD SER A |
| SHO-D | SUNSTONE HOTEL INVS INC NEW CV 8% CUM PFD-D |
| SHOE | Shoe Pavilion Inc - Common Stock |
| SHOO | MADDEN STEVEN LTD COM |
| SHOR | SHORETEL INC COM |
| SHOS | SEARS HOMETOWN & OUTLET STORES COM |
| SHOSR | SEARS HLDGS CORP SUB RT SEARS |
| SHP | SHANGPHARMA CORP SPONSORED ADR |
| SHPG | SHIRE PLC SPONSORED ADR |
| SHPGY | SHIRE PLC SPONSORED ADR |
| SHR | BANK AMER CORP STRGT S&P500 11 |
| SHRP | Sharper Image Corporation - Common Stock |
| SHS | SAUER-DANFOSS INC COM |
| SHU | Shurgard Storage Centers Inc. Common Stock |
| SHU-C | Shurgard Storage Centers Inc. 8.70% Series C Cumulative Redeemable Preferred Stock |
| SHU-C* | Shurgard Storage Centers Inc. 8.70% Series C Cumulative Redeemable Preferred Stock |
| SHU-D | Shurgard Storage Centers Inc. 8.75% Series D Cumulative Redeemable Preferred Stock |
| SHU-D* | Shurgard Storage Centers Inc. 8.75% Series D Cumulative Redeemable Preferred Stock |
| SHV | ISHARES TR BARCLYS SH TREA |
| SHVY | RUSSELL EXCHANGE TRADED FDS TR 2000 HIGH VOLAT |
| SHW | SHERWIN WILLIAMS CO COM |
| SHY | ISHARES TR BARCLYS 1-3 YR |
| SHZ | CHINA SHEN ZHOU MNG & RES INC COM |
| SI | SIEMENS A G SPONSORED ADR |
| SIAL | SIGMA ALDRICH CORP COM |
| SIBC | STATE INVS BANCORP INC COM |
| SICK | DIREXION SHS ETF TR HEALTHCAR BEAR |
| SID | COMPANHIA SIDERURGICA NACIONAL SPONSORED ADR |
| SID# | Companhia Siderurgica Nacional American Depositary Shares (Each representing One Common Shares) |
| SIE | Sierra Health Services Inc. Common Stock |
| SIEB | SIEBERT FINL CORP COM |
| SIF | SIFCO INDS INC COM |
| SIFI | SI FINL GROUP INC MD COM |
| SIFID | SI FINL GROUP INC MD COM |
| SIFY | SIFY TECHNOLOGIES LIMITED SPONSORED ADR |
| SIG | SIGNET JEWELERS LIMITED SHS |
| SIGA | SIGA TECHNOLOGIES INC COM |
| SIGI | SELECTIVE INS GROUP INC COM |
| SIGM | SIGMA DESIGNS INC COM |
| SIH | SPA ETF TRUST MRKTGRAD 100FD |
| SIHI | SINOHUB INC COM |
| SII | SMITH INTL INC COM |
| SII# | Smith International Inc. Common Shares |
| SJ | PROSHARES TR PSHS ULTSHT INDL |
| SIL | GLOBAL X FDS SILVER MNR ETF |
| SILC | SILICOM LTD ORD |
| SILCF | SILICOM LIMITED |
| SILJ | FACTORSHARES TR ISE SILV SMLMI |
| SILU | SPROTT RESOURCE LENDING CORP COM |
| SIM | GRUPO SIMEC S A B DE C V ADR |
| SIMC | Simclar Inc. - Common Stock |
| SIMG | SILICON IMAGE INC COM |
| SIMO | SILICON MOTION TECHNOLOGY CORP SPONSORED ADR |
| SIN | ISE SINDEXT INDEX XXX |
| SINA | SINA CORP ORD |
| SINF | PROSHARES TR ULTPRO SH 10YR |
| SINO | SINO GLOBAL SHIPPING AMER LTD COM |
| SINT | SI International Inc. - common stock |
| SIPX | SIPEX Corporation - Common Stock |
| SIR | SELECT INCOME REIT COM SH BEN INT |

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|--------|---|
| SIRF | SIRF TECHNOLOGY HLDGS INC COM |
| SIRI | SIRIUS XM RADIO INC COM |
| SIRO | SIRONA DENTAL SYSTEMS INC COM |
| SIRT | Sirtris Pharmaceuticals Inc. - Common Stock |
| SIT | MERRILL LYNCH & CO INC STARS S&P IN09 |
| SIVB | SVB FINL GROUP COM |
| SIVBE | SVB FINANCIAL GRP |
| SIVBO | SVB CAP II PFD TR GTD 7% |
| SIVOE | SVB CAPITAL II |
| SIVR | ETF SILVER TR SILVER SHS |
| SIX | SIX FLAGS ENTMT CORP NEW COM |
| SIX-B | SIX FLAGS INC PIERS |
| SIZ | FQF TR QUANTSHARE SIZ |
| SIZ-B | Sizeler Property Investors Inc. 9.75% Series B Cumulative Redeemable Preferred Stock |
| SIZE | ISHARES TR MSCI USASZEFCT |
| SJB | PROSHARES TR SHRT HGH YIELD |
| SJD | BANK AMER CORP ACC RT S&P500 10 |
| SJF | PROSHARES TR UL RUS1000VA NEW |
| SJH | PROSHARES TR PSHS ULSH2000 VA |
| SJI | SOUTH JERSEY INDS INC COM |
| SJL | PROSHARES TR PSHS ULSHT MC VA |
| SJM | SMUCKER J M CO COM NEW |
| SJM# | The J.M. Smucker Company Common Stock |
| SJNK | SPDR SER TR SHT TRM HGH YLD |
| SJO | MERRILL LYNCH & CO INC RTN S&P500 09 |
| SJOE | St Joseph Capital Corp - Common Stock |
| SJP | BANK AMER CORP STRG S&P500 11 |
| SJR | SHAW COMMUNICATIONS INC CL B CONV |
| SJR-B* | Shaw Communications Inc. 8.50% Canadian Originated Preferred Securities (COPrS) due September 30 2097 |
| SJT | SAN JUAN BASIN RTY TR UNIT BEN INT |
| SJV | BANK AMER CORP STARS S&P 12 |
| SJW | SJW CORP COM |
| SJW# | SJW Corp. Common Stock par value \$1.042 |
| SK | SAFETY KLEEN HOLDCO INC COM |
| SKB.A | Citigroup Global Markets |
| SKBI | SKYSTAR BIO-PHARMA CO COM PAR \$.001 |
| SKBID | SKYSTAR BIO-PHARMA CO COM PAR \$.001 |
| SKC | BANK AMER CORP STRTG S&P500 11 |
| SKE | MORGAN STANLEY PLUS S&P500 09 |
| SKF | PROSHARES TR PSHS ULTSHT FINL |
| SKH | SKILLED HEALTHCARE GROUP INC CL A |
| SKIL | SKILLSOFT PLC SPONSORED ADR |
| SKJ | Citigroup Funding Inc. |
| SKK | PROSHARES TR PSHS ULSH2000 GR |
| SKL | BANK AMER CORP NT S&P500 11 |
| SKM | SK TELECOM LTD SPONSORED ADR |
| SKN | BANK AMER CORP STP LKD S&P 11 |
| SKO | Shopko Stores Inc. Common Stock |
| SKOR | INDEXIQ ETF TR IQ STH KOR SML |
| SKP | MERRILL LYNCH & CO INC RED S&P500 10 |
| SKS | SAKS INC COM |
| SKT | TANGER FACTORY OUTLET CTRS INC COM |
| SKT-C | TANGER FACTORY OUTLET CTRS INC PFD C |
| SKT-C* | TANGER FACTORY OUTLET CTRS INC PFD C |
| SKUL | SKULLCANDY INC COM |
| SKX | SKECHERS U S A INC CL A |
| SKY | SKYLINE CORP COM |
| SKYE | SkyePharma PLC - American Depositary Shares |
| SKYF | Sky Financial Group Inc. - Common Stock |
| SKYW | SKYWEST INC COM |
| SKYY | FIRST TR EXCHANGE TRADED FD II ISE CLOUD COMP |

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|--------|--|
| SLA | AMERICAN SELECT PORTFOLIO INC COM |
| SLAB | SILICON LABORATORIES INC COM |
| SLB | SCHLUMBERGER LTD COM |
| SLB# | Schlumberger Limited Common Shares |
| SLBT | RUSSELL EXCHANGE TRADED FDS TR 2000 LOW BETA |
| SLCA | U S SILICA HLDGS INC COM |
| SLD | SUTHERLAND ASSET MGMT CORP COM |
| SLE | SARA LEE CORP COM |
| SLE# | Sara Lee Corporation Common Stock |
| SLF | SUN LIFE FINL INC COM |
| SLFI | Sterling Financial Corporation - Common Stock |
| SLG | SL GREEN RLTY CORP COM |
| SLG-C | SL GREEN RLTY CORP PFD C 7.625% |
| SLG-C* | SL GREEN RLTY CORP PFD C 7.625% |
| SLG-D | SL GREEN RLTY CORP PFD D 7.875% |
| SLG-D* | SL GREEN RLTY CORP PFD D 7.875% |
| SLG-I | SL GREEN RLTY CORP PFD SER I |
| SLGN | SILGAN HOLDINGS INC COM |
| SLH | SOLERA HOLDINGS INC COM |
| SLH-B | Strategic Hotel Capital Inc. 8.25% Series B Cumulative Redeemable Preferred Stock |
| SLI | S L INDS INC COM |
| SLM | SLM CORP COM |
| SLM-A | SLM CORP PFD A 6.97% |
| SLM-B | SLM CORP PFD SER B |
| SLMAP | SLM CORP PFD A 6.97% |
| SLMBP | SLM CORP PFD SER B |
| SLNK | SpectraLink Corporation - Common Stock |
| SLP | SIMULATIONS PLUS INC COM |
| SLR | Solectron Corporation Common Stock |
| SLRA | SOLAR CAP LTD SR NT 42 |
| SLRC | SOLAR CAP LTD COM |
| SLRWD | SOLECTRON CORP ADJ CONV |
| SLRY | SALARY COM INC COM |
| SLS | RIVERSOURCE LASALLE INTL R/E COM |
| SLT | STERLITE INDS INDIA LTD ADS |
| SLTC | SELECTICA INC COM NEW |
| SLTCD | SELECTICA INC COM NEW |
| SLTM | SOLTA MED INC COM |
| SLV | ISHARES SILVER TRUST ISHARES |
| SLVO | CREDIT SUISSE NASSAU BRH SLVRFLO ETN LK |
| SLVP | ISHARES INC MSCI GL SILVER |
| SLVY | RUSSELL EXCHANGE TRADED FDS TR 2000 LOW VOLAT |
| SLW | SILVER WHEATON CORP COM |
| SLX | MARKET VECTORS ETF TR MV STEEL INDEX |
| SLXA | Solexa Inc. - Common Stock par value (.01) |
| SLXP | SALIX PHARMACEUTICALS INC COM |
| SLY | SPDR SERIES TRUST S&P 600 SML CAP |
| SLYG | SPDR SERIES TRUST S&P 600 SMCP GRW |
| SLYV | SPDR SERIES TRUST S&P 600 SMCP VAL |
| SLZ | MORGAN STANLEY NT S&P IDX2009 |
| SM | SM ENERGY CO COM |
| SMA | SYMMETRY MED INC COM |
| SMAN | Standard Management Corporation - Common Stock |
| SMANP | Standard Management Corporation - Capital Trust I 10.25% Cumulative Trust Preferred Securities |
| SMB | MARKET VECTORS ETF TR MKTVEC SMUNETF |
| SMBC | SOUTHERN MO BANCORP INC COM |
| SMBI | Symbion Inc. - Common Stock |
| SMBL | BOULDER BRANDS INC COM |
| SMBLU | Smart Balance Inc - Unit 2009 |
| SMBLW | Smart Balance Inc - Warrant 00/00/2009 |
| SMC | BANK AMER CORP ACC S&P500 10 |

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| SMCG | MILLENNIUM INDIA ACQS CO INC COM |
| SMCGU | MILLENNIUM INDIA ACQS CO INC UNIT EX 071910 |
| SMCGW | MILLENNIUM INDIA ACQS COM INC WT EXP 071910 |
| SMCI | SUPER MICRO COMPUTER INC COM |
| SMD | SINGING MACH INC COM NEW |
| SMDD | PROSHARES TR PSHS ULPROSH NEW |
| SMDI | STRATUS MEDIA GROUP INC COM |
| SME | MERRILL LYNCH & CO INC MITTS SEMI2007 |
| SMED | SHARPS COMPLIANCE CORP COM |
| SMF | SALIENT MLP & ENERGY INFRSTRCT COM SH BEN INT |
| SMFG | SUMITOMO MITSUI FINL GROUP INC SPONSORED ADR |
| SMG | SCOTTS MIRACLE GRO CO CL A |
| SMH | MARKET VECTORS ETF TR SEMICONDUCTOR |
| SMHG | SANDERS MORRIS HARRIS GROUP COM |
| SMI | SEMICONDUCTOR MFG INTL CORP SPONSORED ADR |
| SMIT | SCHMITT INDS INC ORE COM NEW |
| SMK | PROSHARES TR ULT MSCIMEX CAPP |
| SMLC | 012 SMILE COMMUNICATIONS LTD ORD SHS |
| SMLP | SUMMIT MIDSTREAM PARTNERS LP COM UNIT LTD |
| SMLV | SPDR SER TR RUSS2000 LOVOL |
| SMM | SALIENT MIDSTREAM & MLP FD SH BEN INT |
| SMMF | SUMMIT FINANCIAL GROUP INC COM |
| SMMU | PIMCO ETF TR SHTRM MUN BOND |
| SMMX | SYMYX TECHNOLOGIES COM |
| SMN | PROSHARES TR BASIC MAT NEW |
| SMOD | SMART MODULAR TECHNOLOGIES INC ORD SHS |
| SMOVU | Smart Move Inc. - units |
| SMP | STANDARD MTR PRODS INC COM |
| SMPL | SIMPLICITY BANCORP COM |
| SMRA | Somera Communications Inc. Common Stock |
| SMRAD | Somera Communications Inc. - Common Stock |
| SMRT | STEIN MART INC COM |
| SMS | SIMS METAL MANAGEMENT LTD SPONS ADR |
| SMSC | STANDARD MICROSYSTEMS CORP COM |
| SMSI | SMITH MICRO SOFTWARE INC COM |
| SMT | SMART TECHNOLOGIES INC CL A SUB VTG S |
| SMTB | SMITHTOWN BANCORP INC COM |
| SMTC | SEMTECH CORP COM |
| SMTH | SMITH ELEC VEH CORP COM |
| SMTK | Simtek Corporation - Common Stock |
| SMTL | SEMITOOL INC COM |
| SMTS | SOMANETICS CORP COM NEW |
| SMTX | SMTC CORP COM NEW |
| SMU | BANK AMER CORP MITTS S&P50015 |
| SMV.A | Smedvig asa Class A American Depositary shares (Each representing one Class A Ordinary Share) |
| SMV.B | Smedvig asa Class B American Depositary Shares (Each representing one Class B Ordinary Share) |
| SMX | TIERS PRINCIPAL PROTECTED TR TIERS S&P 03-7 |
| SMXC | Smithway Motor Xpress Corp. - Class A Common Stock |
| SMY | BANK AMER CORP ACCL S&P500 12 |
| SN | SANCHEZ ENERGY CORP COM |
| SNA | SNAP ON INC COM |
| SNAK | INVENTURE FOODS INC COM |
| SNB | SPA ETF TRUST MRKTGRAD 200FD |
| SNBC | SUN BANCORP INC COM |
| SNBI | State National Bancshares Inc. - common stock |
| SNBT | SNB Bancshares Inc. (Texas) - Common Stock |
| SNCI | SONIC INNOVATIONS INC COM |
| SNCR | SYNCHRONOSS TECHNOLOGIES INC COM |
| SND | Morgan Stanley |
| SNDA | SHANDA INTERACTIVE ENTMT LTD SPONSORED ADR |
| SNDK | SANDISK CORP COM |

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| SNDS | EXCHANGE TRADED CONCEPTS TR SUST NO AM OIL |
| SNE | SONY CORP ADR NEW |
| SNEN | SINOENERGY CORPORATION COM NEW |
| SNF | IBERO-AMERICA FD INC COM |
| SNFCA | SECURITY NATL FINL CORP CL A NEW |
| SNG | CANADIAN SUPERIOR ENERGY INC COM |
| SNH | SENIOR HSG PPTYS TR SH BEN INT |
| SNH-Z | SNH Capital Trust I 10.125% Trust Preferred Securities |
| SNH-Z* | SNH Capital Trust I 10.125% Trust Preferred Securities |
| SNHN | SENIOR HSG PPTYS TR NT 42 |
| SNHY | SUN HYDRAULICS CORP COM |
| SNI | SCRIPPS NETWORKS INTERACT INC CL A COM |
| SNI# | SCRIPPS NETWORKS INTERACTIVE INC |
| SNIC | SONIC SOLUTIONS COM |
| SNJ | TIERS PRINCIPAL PROTECTED TR S&P 2002-19 |
| SNK | BANK AMER CORP LKD TO S&P 500 |
| SNLN | HIGHLAND FDS I HI LD IBOX SRLN |
| SNMX | SENOAMYX INC COM |
| SNN | SMITH & NEPHEW PLC SPDN ADR NEW |
| SNO | NETS TR HANG SENG CHIN |
| SNP | CHINA PETE & CHEM CORP SPON ADR H SHS |
| SNPS | SYNOPLYS INC COM |
| SNQ | CITIGROUP FDG INC NT NIKKEI INDX |
| SNR | SUNAIR SERVICES CORP COM |
| SNRR | Sunterra Corporation - Common Stock When Issued |
| SNS | STEWART & STEVENSON INC COM |
| SNSA | Stolt-Nielsen S.A. - American Depositary Shares |
| SNSS | SUNESIS PHARMACEUTICALS INC COM NEW |
| SNSSD | SUNESIS PHARMACEUTICALS INC COM NEW |
| SNSTA | SONESTA INTL HOTELS CORP CL A |
| SNT | SENECO TECHNOLOGIES INC COM NEW |
| SNTA | SYNTA PHARMACEUTICALS CORP COM |
| SNTO | Sento Corporation - Common Stock |
| SNTS | SANTARUS INC COM |
| SNUS | SONUS Pharmaceuticals Inc. - Common Stock |
| SNV | SYNOVUS FINL CORP COM |
| SNV# | Synovus Financial Corp. Common Stock |
| SNV-T | SYNOVUS FINL CORP TANG EQTY UTS |
| SNWL | SONICWALL INC COM |
| SNX | SYNNEX CORP COM |
| SNY | SANOFI SPONSORED ADR |
| SNZ | MORGAN STANLEY BARR S&P500 11 |
| SNZ.A | Citigroup Global Markets |
| SO | SOUTHERN CO COM |
| SO-D | Southern Company Capital Trust VI 7.125% Trust Preferred Securities |
| SO-D* | Southern Company Capital Trust VI 7.125% Trust Preferred Securities |
| SOA | SOLUTIA INC COM NEW |
| SOA# | SOLUTIA INC WI |
| SOA+ | SOLUTIA INC WT EXP 022713 |
| SOAP | SOAPSTONE NETWORKS INC COM |
| SOC | STONELEIGH PARTNERS ACQUS CORP COM |
| SOC+ | Stoneleigh Partners Acquisition Corp |
| SOC= | Stoneleigh Partners Acquisition Corp |
| SOCB | SOUTHCOAST FINANCIAL CORP COM |
| SOCL | GLOBAL X FDS SOCIAL MED ETF |
| SODA | SODASTREAM INTERNATIONAL LTD USD SHS |
| SOFO | SONIC FDRY INC COM NEW |
| SOFOD | SONIC FDRY INC COM NEW |
| SOG | AKTIEBOLAGET SVENSK EXPORTKRED CAP LEV RTN 11 |
| SOH | STENA OFFSHORE NV ORD |
| SOHO | SOTHERLY HOTELS INC COM |

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| SOHU | SOHU COM INC COM |
| SOIL | GLOBAL X FDS GLB X FERTIL |
| SOL | RENESOLA LTD SPONS ADS |
| SOLD | HouseValues Inc. - Common Stock |
| SOLF | SOLARFUN POWER HOLDINGS CO LTD SPONSORED ADR |
| SOLFV | Solarfun Power Holdings Co. Ltd. - ordinary shares |
| SOLR | GT SOLAR INTL INC COM |
| SOM | MERRILL LYNCH & CO INC CAPPED S&P500 10 |
| SOMH | SOMERSET HILLS BANCORP COM |
| SOMHW | Somerset Hills Bancorp - warrants to purchase one share of common stock |
| SOMX | SOMAXON PHARMACEUTICALS INC COM NEW |
| SON | SONOCO PRODS CO COM |
| SONA | SOUTHERN NATL BANCORP OF VA IN COM |
| SONC | SONIC CORP COM |
| SONE | S1 CORPORATION COM |
| SONO | SONOSITE INC COM |
| SONS | SONUS NETWORKS INC COM |
| SONT | SEEN ON SCREEN TV INC COM |
| SONTD | Sontra Medical Corporation - Common Stock |
| SOQ | SONDE RES CORP COM |
| SOR | SOURCE CAP INC COM |
| SOR- | SOURCE CAP INC PFD \$2.40 |
| SOR-* | SOURCE CAP INC PFD \$2.40 |
| SORC | Source Interlink Companies Inc. - Common Stock |
| SORL | SORL AUTO PTS INC COM |
| SOS | BANK AMER CORP CPD LEV IDX NT |
| SOSA | Stolt Offshore S.A. - American Depositary Shares |
| SOT | Merrill Lynch |
| SOU | MORGAN STANLEY NT S&P IDX 09 |
| SOV | SOVEREIGN BANCORP INC COM |
| SOV-A | Sovereign Capital Trust III 8.75% Preferred Capital Securities |
| SOV-B | SOVEREIGN CAP TR V CAP SECS 7.75% |
| SOV-C | SANTANDER HLDGS USA INC DEP 1/1000 PFD C |
| SOXL | DIREXION SHS ETF TR DLY SCOD 3XBU |
| SOXS | DIREXION SHS ETF TR DLY SCOD 3XBR |
| SOXX | ISHARES TR PHLX SOX SEMICND |
| SOYB | TEUCRIUM COMMODITY TR SOYBEAN FD |
| SP | Specialty Laboratories Inc. Common Stock |
| SPA | SPARTON CORP COM |
| SPAB | SPACEHAB Incorporated - Common Stock |
| SPABD | SPACEHAB Incorporated - Common Stock |
| SPAN | SPAN AMER MED SYS INC COM |
| SPAR | SPARTAN MTRS INC COM |
| SPB | SPECTRUM BRANDS HLDGS INC COM |
| SPBC | SP BANCORP INC COM |
| SPC | BANK AMER CORP ACC S&P500 10 |
| SPCHA | SPORT CHALET INC CL A |
| SPCHB | SPORT CHALET INC CL B |
| SPD | AB SVENSK EXPORTKREDIT RTN S&P500 10 |
| SPDE | SPEEDUS CORP COM NEW |
| SPDED | Speedus Corp. - Common Stock |
| SPE | SPECIAL OPPORTUNITIES FD INC COM |
| SPE- | SPECIAL OPPORTUNITIES FD INC PFD |
| SPE.A | Citigroup Global Markets |
| SPEC | SPECTRUM CTL INC COM |
| SPEFR | SPECIAL OPPORTUNITIES FD INC RT PUR PFD CONV |
| SPEFV | SPECIAL OPPORTUNITIES FD INC RT PUR PFD CONV |
| SPEX | SPHERIX INC COM PAR \$0.01 |
| SPEXD | SPHERIX INC COM NEW |
| SPF | STANDARD PAC CORP NEW COM |
| SPFF | GLOBAL X FDS GLBX SUPRINC ETF |

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| SPF^ | Standard Pacific Corp. Rights (Expiring August 22 2008) 'When Issued' |
| SPF^# | STANDARD PAC CORP NEW SUBSCRPT RT |
| SPG | SIMON PPTY GROUP INC NEW COM |
| SPG-F | Simon Property Group Inc. 8 3/4% Series F Cumulative Redeemable Preferred Stock |
| SPG-F* | Simon Property Group Inc. 8 3/4% Series F Cumulative Redeemable Preferred Stock |
| SPG-G | Simon Property Group Inc. 7.89% Series G Cumulative Step-Up Premium Preferred Stock |
| SPG-G* | Simon Property Group Inc. 7.89% Series G Cumulative Step-Up Premium Preferred Stock |
| SPG-I | SIMON PPTY GROUP INC NEW PFD CONV I 6% |
| SPG-I* | SIMON PPTY GROUP INC NEW PFD CONV I 6% |
| SPG-J | SIMON PPTY GROUP INC NEW PFD J 8.375% |
| SPGH | UBS AG JERSEY BRH S&P500 GLD ETN |
| SPH | SUBURBAN PROPANE PARTNERS L P UNIT LTD PARTN |
| SPHB | POWERSHARES ETF TR II S&P500 HGH BET |
| SPHD | POWERSHARES ETF TR II PWRSH S&P500HI |
| SPHQ | POWERSHARES ETF TRUST S&P 500 HGH QLTY |
| SPI | MERRILL LYNCH & CO INC CAP NT S&P500 10 |
| SPI# | SCOTTISH POWER PLC |
| SPIL | SILICONWARE PRECISION INDS LTD SPONSD ADR SPL |
| SPIR | SPIRE CORP COM |
| SPJ | LEHMAN BROTHERS 5YR |
| SPLK | SPLUNK INC COM |
| SPLP | STEEL PARTNERS HLDGS L P LTD PRTRSHIP U |
| SPLS | STAPLES INC COM |
| SPLV | POWERSHARES ETF TR II S&P500 LOW VOL |
| SPM | Spirent Communications plc American Depositary Shares (Each representing four Ordinary Shares) |
| SPMD | SUPERMEDIA INC COM |
| SPN | SUPERIOR ENERGY SVCS INC COM |
| SPNC | SPECTRANETICS CORP COM |
| SPNS | SAPIENS INTL CORP N V SHS NEW |
| SPO | BANK AMER CORP STARS S&P500 |
| SPOR | SPORT-HALEY INC COM |
| SPP | SAPPI LTD SPON ADR NEW |
| SPPI | SPECTRUM PHARMACEUTICALS INC COM |
| SPPP | SPROTT PHYSICAL PLAT PALLAD TS UNIT |
| SPPR | SUPERTEL HOSPITALITY INC MD COM |
| SPPRO | SUPERTEL HOSPITALITY INC MD PFD SER B CUM |
| SPPRP | SUPERTEL HOSPITALITY INC MD PFD CONV SER A |
| SPPX | Merrill Lynch & Co. Inc. - S&P 500 Market Index Target-Term Securities (MITTS) |
| SPR | SPIRIT AEROSYSTEMS HLDGS INC COM CL A |
| SPRD | SPREADTRUM COMMUNICATIONS INC ADR |
| SPRI | SPORTS RESORTS INTL |
| SPRO | SMARTPROS LTD COM |
| SPROW | SMARTPROS LTD WT EXP 101909 |
| SPRT | SUPPORT COM INC COM |
| SPSC | SPS COMM INC COM |
| SPSN | Spansion Inc. - Class A Common Stock |
| SPSS | SPSS INC COM |
| SPSX | Superior Essex Inc - Common Stock |
| SPTN | SPARTAN STORES INC COM |
| SPU | SKYPEOPLE FRUIT JUICE INC COM NEW |
| SPW | SPX CORP COM |
| SPWR | SUNPOWER CORP COM |
| SPWRA | SUNPOWER CORP COM CL A |
| SPWRB | SUNPOWER CORP COM CL B |
| SPWRV | SUNPOWER CORP COM CL B |
| SPXL | DIREXION SHS ETF TR DRX S&P500BULL |
| SPXS | DIREXION SHS ETF TR DRX S&P500BEAR |
| SPXU | PROSHARES TR PSHS ULPROSH NEW |
| SPY | SPDR S&P 500 ETF TR TR UNIT |
| SPYG | SPDR SERIES TRUST S&P 500 GROWTH |
| SPYV | SPDR SERIES TRUST S&P 500 VALUE |

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| SQA- | Sequa Corporation \$5 Cumulative Convertible Preferred Stock |
| SQA-* | Sequa Corporation \$5 Cumulative Convertible Preferred Stock |
| SQA.A | Sequa Corporation Class A Common Stock |
| SQA.B | Sequa Corporation Class B Common Stock |
| SQD | MERRILL LYNCH & CO INC NT S&P500 10 |
| SQF | Seligman Quality Municipal Fund Inc. Common Stock |
| SQI | SCIQUEST INC NEW COM |
| SQM | SOCIEDAD QUIMICA MINERA DE CHI SPON ADR SER B |
| SQM.A | Sociedad Quimica y Minera de Chile S.A. American Depositary Shares (Each representing 10 shares of Series A Capital Stock) |
| SQNM | SEQUENOM INC COM NEW |
| SQNMD | Sequenom Inc. - Common Stock |
| SQNS | SEQUANS COMMUNICATIONS S A SPONSORED ADS |
| SQQQ | PROSHARES TR ULTRAPRO SH NEW |
| SQT | AB SVENSK EXPORTKREDIT NT S&P 500 09 |
| SR | STANDARD REGISTER CO COM |
| SRA | Merck Serono S.A. American Depositary Shares (rep. 1/40 of a Bearer Share 25 Swiss Francs Par Value.) |
| SRB | TIERS PRINCIPAL PROTECTD |
| SRC | SPIRIT RLTY CAP INC COM |
| SRCE | 1ST SOURCE CORP COM |
| SRCEO | 1st Source Corporation - 1st Source Capital Trust II - Floating Rate Cumulative Trust Preferred Securities |
| SRCL | STERICYCLE INC COM |
| SRCP | SEARCHPATH HCS INC COM NEW |
| SRDD | MERRILL LYNCH & CO INC NT LK 10 IDX09 |
| SRDX | SURMODICS INC COM |
| SRE | SEMPRA ENERGY COM |
| SREV | SERVICESOURCE INTL LLC COM |
| SRF | CUSHING RTY & INCOME FD COM SH BEN INT |
| SRG | Seanergy Maritime Corp |
| SRG+ | Seanergy Maritime Corp |
| SRG= | Seanergy Maritime Corp |
| SRGV | SURGIVISION INC COM |
| SRI | STONERIDGE INC COM |
| SRIB | MERRILL LYNCH & CO INC NT LK IDX15 11 |
| SRIX | Merrill Lynch & Co. Inc. - Strategic Return Notes linked to the Industrial 15 Index |
| SRK | MERRILL LYNCH & CO INC NT INDL 15 09 |
| SRLN | SSGA ACTIVE ETF TR BLKSTN GSOSRLN |
| SRLS | SERACARE LIFE SCIENCES INC DEL COM |
| SRLSE | SeraCare Life Sciences Inc - Common Stock |
| SRNA | SURNA INC COM |
| SRO | DWS RREEF REAL ESTATE FD II COM |
| SRP | Sierra Pacific Resources (New) Common Stock |
| SRPT | SAREPTA THERAPEUTICS INC COM |
| SRQ | DWS RREEF REAL ESTATE FD INC COM |
| SRR | The Stride Rite Corporation Common Stock |
| SRRR | MERRILL LYNCH & CO INC NT 15 IDX 2009 |
| SRS | PROSHARES TR REAL EST NEW 11 |
| SRSL | SRS LABS INC COM |
| SRT | STARTEK INC COM |
| SRTIE | SUNRISE TELECOM IN## |
| SRTY | PROSHARES TR PSHS ULPRRUS NEW |
| SRU | CITIGROUP FDG INC NT S&P500 09 |
| SRV | CUSHING MLP TOTAL RETURN FD COM SHS |
| SRVY | Greenfield Online Inc. - Common Stock |
| SRX | SRA INTL INC CL A |
| SRZ | SUNRISE SENIOR LIVING INC COM |
| SSAG | SSA Global Technologies Inc. - Common Stock |
| SSAM | ADVISORSHARES TR ROCKLEDGE SECT |
| SSB | CITIGROUP GLBL MKTS HLDG |
| SSBI | SUMMIT ST BK SANTA ROSA CALIF COM |
| SSBX | Silver State Bancorp - Common Stock |

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| SSC | STEWART & STEVENSON INC COM |
| SSCC | SMURFIT-STONE CONTAINER CORP COM |
| SSCCP | Smurfit-Stone Container Corporation - 7% Series A Cumulative Exchangeable Redeemable Convertible Preferred Stock |
| SSD | SIMPSON MANUFACTURING CO INC COM |
| SSDD | UBS AG LONDON BRH SLD ST DRIVE |
| SSDL | UBS AG LONDON BRH 2X LEV SLD ST |
| SSE | SOUTHERN CONN BANCORP INC COM |
| SSFC | South Street Financial Corporation - Common Stock |
| SSFN | STEWARDSHIP FINL CORP COM |
| SSG | PROSHARES TR PSHS SEMICONDUCT |
| SSH | SUNSHINE HEART INC COM |
| SSI | STAGE STORES INC COM NEW |
| SSK | SPA ETF TRUST SMLL CAP 100FD |
| SSL | SASOL LTD SPONSORED ADR |
| SSM | MERRILL LYNCH & CO INC STARS S&P500 10 |
| SSN | SAMSON OIL & GAS LTD SPON ADR |
| SSNC | SS&C TECHNOLOGIES HLDGS INC COM |
| SSNI | SILVER SPRING NETWORKS INC COM |
| SSO | PROSHARES TR PSHS ULT S&P 500 |
| SSP | SCRIPPS E W CO OHIO CL A NEW |
| SSP# | The E.W. Scripps Company Class A Common Shares |
| SSPI | Spectrum Signal Processing Inc. - Common Shares |
| SSRI | SILVER STD RES INC COM |
| SSRX | 3SBIO INC SPONSORED ADR |
| SSS | SOVRAN SELF STORAGE INC COM |
| SST | SPDR SER TR SHRT TRSRY ETF |
| SSTI | SILICON STORAGE TECHNOLOGY INC COM |
| SSTK | SHUTTERSTOCK INC COM |
| SSTR | Silverstar Holdings Ltd - Common Shares |
| SSW | SEASPAN CORP SHS |
| SSW-C | SEASPAN CORP PERP PFD-C9.5% |
| SSW-D | SEASPAN CORP PERP PFD-D |
| SSY | SUNLINK HEALTH SYSTEMS INC COM |
| SSYS | STRATASYS LTD SHS |
| ST | SENSATA TECHNOLOGIES HLDG BV A SHS |
| STA | The St. Paul Travelers Companies Inc. Common Stock |
| STA-A | St. Paul Capital Trust I (The) 7.60% Trust Preferred Securities (TRUPS) |
| STAA | STAAR SURGICAL CO COM PAR \$0.01 |
| STAG | STAG INDL INC COM |
| STAG-A | STAG INDL INC 9% CUM REDEEMABL |
| STAG-B | STAG INDL INC CUM PFD SER B |
| STAK | Staktek Holdings Inc. - Common Stock |
| STAN | STANDARD PARKING CORP COM |
| STAR | STARENT NETWORKS CORP COM |
| STB | STUDENT TRANSN INC COM |
| STBA | S & T BANCORP INC COM |
| STBC | STATE BANCORP INC N.Y COM |
| STBK | STERLING BANKS INC COM |
| STBZ | STATE BK FINL CORP COM |
| STC | STEWART INFORMATION SVCS CORP COM |
| STD | BANCO SANTANDER SA ADR |
| STD-A | SANTANDER FIN PFD S A UNIPERSN PFD SER 4 6.8% |
| STD-B | SANTANDER FIN PFD S A UNIPERSN GTD PFD SECS 6 |
| STD-C | SANTANDER FIN PFD S A UNIPERSN PFD 6.5% SER 5 |
| STD-E | SANTANDER FINANCE PREF SA UNI PFD10.5% SER10 |
| STD-I | SANTANDER FIN PFD S A UNIPERSN PFD I 6.41% |
| STE | STERIS CORP COM |
| STEC | STEC INC COM |
| STEI | STEWART ENTERPRISES INC CL A |
| STEIE | Stewart Enterprises Inc. - Class A Common Stock |

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| STEL | STELLARONE CORP COM |
| STEM | STEMCELLS INC COM NEW |
| STEMD | STEMCELLS INC COM NEW |
| STEN | STEN Corporation - Common Stock |
| STF | MERRILL LYNCH & CO INC 9% STRIDES CAT |
| STFC | STATE AUTO FINL CORP COM |
| STG | Stonepath Group Inc |
| STGN | Stratagene Corporation - Common Stock |
| STGS | Stage Stores Inc. - Common Stock |
| STGSW | Stage Stores Inc. - Series A Warrants |
| STGSZ | Stage Stores Inc. - Series B Warrants |
| STH | CLAYMORE EXCHANGE TRADED FD TR SABRIENT STLTH |
| STI | SUNTRUST BKS INC COM |
| STI+A | SUNTRUST BKS INC WT EXP 123118 |
| STI+B | SUNTRUST BKS INC WT EXP 111418 |
| STI- | SunTrust Capital IV 7.125% Trust Preferred Securities (TRUPS) |
| STI-A | SUNTRUST BKS INC PFD 1/4000 A |
| STI-E | SUNTRUST BKS INC DEPSHS REP PFD E |
| STI-V | SunTrust Capital V 7.05% Trust Preferred Securities (TRuPS) |
| STI-V* | SunTrust Capital V 7.05% Trust Preferred Securities (TRuPS) |
| STI-Z | SUNTRUST CAPITAL IX TR PFD 7.875% |
| STI-Z* | SUNTRUST CAPITAL IX TR PFD 7.875% |
| STIP | ISHARES TR BRC 0-5 YR TIP |
| STIR | STAG INDL INC COM |
| STIZ | Scientific Technologies Incorporated Common Stock |
| STJ | ST JUDE MED INC COM |
| STK | COLUMBIA SELIGM PREM TECH GRW COM |
| STKL | SUNOPTA INC COM |
| STKR | STOCKERYALE INC COM NEW |
| STL | STERLING BANCORP COM |
| STL-A | STERLING BANCORP TR I PFD GTD TR % |
| STLD | STEEL DYNAMICS INC COM |
| STLW | Stratos International Inc. - Common Stock |
| STLY | STANLEY FURNITURE CO INC COM NEW |
| STLYR | STANLEY FURNITURE CO INC RT |
| STM | STMICROELECTRONICS N V NY REGISTRY |
| STML | STEMLINE THERAPEUTICS INC COM |
| STMP | STAMPS COM INC COM NEW |
| STN | STANTEC INC COM |
| STND | STANDARD FINL CORP MD COM |
| STNG | SCORPIO TANKERS INC SHS |
| STNJ | Sterling Bank - Common Stock |
| STNR | STEINER LEISURE LTD ORD |
| STO | STATOIL ASA SPONSORED ADR |
| STO# | StatoilHydro ASA American Depositary Shares (Each Representing One Ordinary Share nominal value NOK 2.50 per share) |
| STON | STONEMOR PARTNERS L P COM UNITS |
| STOSY | SANTOS LIMITED SPONSORED ADR |
| STP | SUNTECH PWR HLDGS CO LTD ADR |
| STPP | BARCLAYS BK PLC US TRES STEEP |
| STPZ | PIMCO ETF TR 1-5 US TIP IDX |
| STR | QUESTAR CORP COM |
| STR# | QUESTAR CORP EX DISTRIB |
| STRA | STRAYER ED INC COM |
| STRC | SRI/SURGICAL EXPRESS INC COM |
| STRD | Strategic Distribution Inc. - Common Stock |
| STRI | STR HLDGS INC COM |
| STRL | STERLING CONSTRUCTION CO INC COM |
| STRM | STREAMLINE HEALTH SOLUTIONS COM |
| STRN | SUTRON CORP COM |
| STRS | STRATUS PPTYS INC COM NEW |

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| STRT | STRATTEC SEC CORP COM |
| STRZ | STAR BUFFET INC COM |
| STRZA | STARZ COM SER A |
| STRZB | STARZ COM SER B |
| STS | SUPREME INDS INC CL A |
| STSA | STERLING FINL CORP WASH COM NEW |
| STSD | STERLING FINL CORP WASH COM NEW |
| STSI | STAR SCIENTIFIC INC COM |
| STST | ARGON ST INC COM |
| STT | STATE STR CORP COM |
| STT-C | STATE STR CORP DEP SHS REPSTG 1 |
| STTS | STATS ChipPAC Ltd. - American Depositary Shares |
| STTX | STRATEX OIL & GAS HLDGS INC COM |
| STU | STUDENT LN CORP COM |
| STV | CHINA DIGITAL TV HLDG CO LTD SPONSORED ADR |
| STWD | STARWOOD PPTY TR INC COM |
| STX | SEAGATE TECHNOLOGY PLC SHS |
| STXN | Stratex Networks Inc - Common Stock |
| STXS | STEREOTAXIS INC COM NEW |
| STXX | SOUTH TEXAS OIL CO COM |
| STZ | CONSTELLATION BRANDS INC CL A |
| STZ-A | Constellation Brands Inc. Depositary Shares (Each representing 1/40th of a share of 5.75% Series A Mandatory Convertible Preferred Stock) |
| STZ.B | CONSTELLATION BRANDS INC CL B |
| SU | SUNCOR ENERGY INC NEW COM |
| SUAI | SPECIALTY UNDERWRITERS ALLIANC COM |
| SUB | ISHARES TR S&P SH NTL AMTFR |
| SUBC | SUBSEA 7 S A SPONSORED ADR |
| SUBK | SUFFOLK BANCORP COM |
| SUF | SULPHCO INC COM |
| SUFB | FIRST BANKSHARES INC VA COM |
| SUG | SOUTHERN UN CO NEW COM |
| SUG-B | Southern Union Company 5.75% Equity Units |
| SUG-C | SOUTHERN UN CO NEW PFD 1/10A7.55% |
| SUG-C* | SOUTHERN UN CO NEW PFD 1/10A7.55% |
| SUG-D | Southern Union Company 5% Corporate Units |
| SUI | SUN CMNTYS INC COM |
| SUI-A | SUN CMNTYS INC PFD SER A |
| SUMR | SUMMER INFANT INC COM |
| SUMRU | Summer Infant Inc. - Unit |
| SUMRW | SUMMER INFANT INC WT EXP 042009 |
| SUMT | SUMTOTAL SYS INC COM |
| SUMX | Summa Industries - Common Stock |
| SUN | SUNOCO INC COM |
| SUN# | SUNOCO INC EX DISTRIB WI |
| SUNE | SUNEDISON INC COM |
| SUNH | SUN HEALTHCARE GROUP INC NEW COM |
| SUNHD | SUN HEALTHCARE GROUP INC NEW COM |
| SUNHV | SUN HEALTHCARE GROUP INC NEW COM |
| SUNN | Suntron Corporation - Common Stock |
| SUNS | SOLAR SR CAP LTD COM |
| SUNW | Sun Microsystems Inc. - Common Stock |
| SUO | MORGAN STANLEY PLS S&P500 09 |
| SUP | SUPERIOR INDS INTL INC COM |
| SUPG | SUPERGEN INC COM |
| SUPN | SUPERNUS PHARMACEUTICALS INC COM |
| SUPR | SUPERIOR BANCORP COM NEW |
| SUPRD | SUPERIOR BANCORP COM NEW |
| SUPVA | Super Vision International Inc. - Class A Common Stock |
| SUPX | SUPERTEX INC COM |
| SUR | CNA SURETY CORP COM |

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| SURG | SYNERGETICS USA INC COM |
| SURW | SUREWEST COMMUNICATIONS COM |
| SUS-A | SUSQUEHANNA CAP I PFD9.37%SER I |
| SUS-A* | SUSQUEHANNA CAP I PFD9.37%SER I |
| SUSP | SUSSER PETE PARTNERS LP COM U REP LP |
| SUSQ | SUSQUEHANNA BANCSHARES INC PA COM |
| SUSS | SUSSER HLDGS CORP COM |
| SUTR | SUTOR TECH GROUP LTD COM |
| SVA | SINOVAC BIOTECH LTD SHS |
| SVBI | SEVERN BANCORP ANNAPOLIS MD COM |
| SVBL | SILVER BULL RES INC COM |
| SVC | MERRILL LYNCH & CO INC PRIN S&P500 09 |
| SVD | SPA ETF TRUST MID CAP 100 FD |
| SVE | CITIGROUP FDG INC STK MKT S&P500 |
| SVE* | MORGAN STANLEY SPARQS 9% 2007 |
| SVG | MORGAN STANLEY BARR NT S&P 09 |
| SVI | Services Acquisition Corp International |
| SVI+ | Services Acquisition Corp International |
| SVI= | Services Acquisition Corp International |
| SVIN | Scheid Vineyards Inc. - Class A Common Stock |
| SVIND | Scheid Vineyards Inc. - Class A Common Stock |
| SVIWS | SERVICES ACQUISITION WTS |
| SVJ | SAVANNAH ELEC & PWR CO NT SR G 5.75% |
| SVJ* | SAVANNAH ELEC & PWR CO NT SR G 5.75% |
| SVL | Silverleaf Resorts Inc |
| SVLC | SILVERCREST MINES INC COM |
| SVLF | SILVERLEAF RESORTS INC COM |
| SVM | SILVERCORP METALS INC COM |
| SVN | 7 DAYS GROUP HLDGS LTD ADR |
| SVNT | SAVIENT PHARMACEUTICALS INC COM |
| SVNTE | Savient Pharmaceuticals Inc Common Stock |
| SVNX | 724 Solutions - Common Shares |
| SVQ | MERRILL LYNCH & CO INC PROT S&P500 NT09 |
| SVR | SYNIVERSE HLDGS INC COM |
| SVT | SERVOTRONICS INC COM |
| SVU | SUPERVALU INC COM |
| SVVC | FIRSTHAND TECH VALUE FD INC COM |
| SVVS | SAVVIS INC COM NEW |
| SVVSD | SAVVIS Inc. - Common Stock |
| SVW | BANK AMER CORP LEV S&P 500 12 |
| SVXY | PROSHARES TR II SHT VIX ST TRM |
| SWAT | Security With Advanced Technology Inc. - common stock |
| SWATW | Security With Advanced Technology Inc. - Warrant |
| SWB | Smith & Wesson Holding Corp |
| SWC | STILLWATER MNG CO COM |
| SWCB | SELWAY CAP ACQUISITION CORP COM SER B |
| SWFT | SWIFT TRANSN CO CL A |
| SWH | SOFTWARE HOLDRS TR DEPOSITRY RCPT |
| SWHC | SMITH & WESSON HLDG CORP COM |
| SWI | SOLARWINDS INC COM |
| SWIM | THINKORSWIM GROUP INC COM |
| SWIR | SIERRA WIRELESS INC COM |
| SWJ | STANLEY BLACK & DECKER INC JR SUB DEB 52 |
| SWK | STANLEY BLACK & DECKER INC COM |
| SWKS | SKYWORKS SOLUTIONS INC COM |
| SWM | SCHWEITZER-MAUDUIT INTL INC COM |
| SWN | SOUTHWESTERN ENERGY CO COM |
| SWRG | Smith & Wollensky Restaurant Group Inc. (The) - Common Stock |
| SWS | SWS GROUP INC COM |
| SWSH | SWISHER HYGIENE INC COM |
| SWSI | SUPERIOR WELL SVCS INC COM |

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| SWTX | SOUTHWALL TECHNOLOGIES INC COM NEW |
| SWU | STANLEY BLACK & DECKER INC CORP UNIT |
| SWW | SITEL Corporation Common Stock |
| SWWC | SOUTHWEST WTR CO COM |
| SWX | SOUTHWEST GAS CORP COM |
| SWX-B | SOUTHWEST GAS CAP II PFD TR 7.7% |
| SWX-B* | SOUTHWEST GAS CAP II PFD TR 7.7% |
| SWY | SAFEWAY INC COM NEW |
| SWZ | SWISS HELVETIA FD INC COM |
| SWZ^ | The Swiss Helvetia Fund Inc. Rights (Expiring June 22 2007) |
| SWZ^# | SWISS HELVETIA FD INC RT |
| SXA | Abbey National plc 7.25% Perpetual Callable Subordinated Notes |
| SXA* | Abbey National plc 7.25% Perpetual Callable Subordinated Notes |
| SXC | SUNCOKE ENERGY INC COM |
| SXCI | SXC HEALTH SOLUTIONS CORP COM |
| SXCIV | Systems Xcellence Inc. - Common Shares |
| SXCP | SUNCOKE ENERGY PARTNERS L P COMUNIT REP LT |
| SXE | SOUTHCROSS ENERGY PARTNERS L P COM UNIT LTDPT |
| SXF | MERRILL LYNCH & CO INC BEAR S&P500 NT10 |
| SXI | STANDEX INTL CORP COM |
| SXL | SUNOCO LOGISTICS PRTNRS L P COM UNITS |
| SXT | SENSIENT TECHNOLOGIES CORP COM |
| SXU | MERRILL LYNCH & CO INC NT S&P500 10 |
| SY | SYBASE INC COM |
| SY\$ | Sybase Inc. Common Stock |
| SYA | SYMETRA FINL CORP COM |
| SYBR | Synergy Brands Inc. - Common Stock |
| SYBT | S Y BANCORP INC COM |
| SYBTP | S Y BANCORP CAP TR II PFD TR SECS |
| SYD | Sybron Dental Specialties Inc. Common Stock |
| SYGR | Synagro Technologies Inc. - Common Stock |
| SYI | Synvista Therapeutics Inc |
| SYI- | S.Y. Bancorp Inc |
| SYI-* | S.Y. Bancorp Inc |
| SYK | STRYKER CORP COM |
| SYKE | SYKES ENTERPRISES INC COM |
| SYLD | CAMBRIA ETF TR SHSHLD YIELD ETF |
| SYM | Syms Corp. Common Stock |
| SYMC | SYMANTEC CORP COM |
| SYMM | SYMMETRICOM INC COM |
| SYMS | SYMS CORP COM |
| SYMX | SYNTHESIS ENERGY SYS INC COM |
| SYN | SYNTHETIC BIOLOGICS INC COM |
| SYNA | SYNAPTICS INC COM |
| SYNC | SYNACOR INC COM |
| SYNF | Synergy Financial Group Inc. - Common Stock |
| SYNL | SYNALLOY CP DEL COM |
| SYNM | SYNTROLEUM CORP COM NEW |
| SYNMW | Syntroleum Corporation - Warrant |
| SYNMZ | Syntroleum Corporation - Warrants (Expire 5/26/2008) |
| SYNO | SYNOVIS LIFE TECHNOLOGIES INC COM |
| SYNP | Synplicity Inc. - Common Stock |
| SYNT | SYNTEL INC COM |
| SYNX | SYNERGX SYSTEMS INC COM |
| SYO | BANK AMER CORP STARS SP500 12 |
| SYP | BANK AMER CORP STARS XIN25 11 |
| SYPR | SYPRIS SOLUTIONS INC COM |
| SYRG | SYNERGY RES CORP COM |
| SYS | SYS Technologies Inc. |
| SYSW | SYSWIN INC SPONSORED ADR |
| SYT | SYNGENTA AG SPONSORED ADR |

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| SYUT | SYNUTRA INTL INC COM |
| SYX | SYSTEMAX INC COM |
| SYXI | IXYS Corporation - Common Stock |
| SYI | SYSCO CORP COM |
| SZB | SouthFirst Bancshares Inc |
| SZC | CUSHING RENAISSANCE FD COM |
| SZE | BANK AMER CORP LVR IDCLKS&P12 |
| SZF | EKSPORTFINANS ASA NT ACCLK400 10 |
| SZG | SPA ETF TRUST LARGE CAP100FD |
| SZH | Savannah Electric and Power Company 6.00% Series Preferred Stock Non-Cumulative \$25.00 par value |
| SZI | AB SVENSK EXPORTKREDIT NT S&P500 09 |
| SZK | PROSHARES TR PSHS CONSUMR GD |
| SZL | MERRILL LYNCH & CO INC NT S&P500 2010 |
| SZM | AB SVENSK EXPORTKREDIT RTN NT S&P400 09 |
| SZN | Citigroup Funding Inc. |
| SZO | DEUTSCHE BK AG LONDON BRH PS CR OIL SH ETN |
| SZR | WISDOMTREE TRUST STH AFRIC RAND |
| SZX | MERRILL LYNCH & CO INC NT SEL10IDX 12 |
| SZYM | SOLAZYME INC COM |
| T | AT&T INC COM |
| TA | TRAVELCENTERS OF AMERICA LLC COM |
| TA# | TravelCenters of America LLC When Issued |
| TAC | TRANSALTA CORP COM |
| TACT | TRANSACT TECHNOLOGIES INC COM |
| TACX | A Consulting Team Inc. (The) - Common Stock |
| TAG | Tag-it Pacific Inc |
| TAGS | TEUCRIUM COMMODITY TR AGRICULTURE FD |
| TAHO | TAHOE RES INC COM |
| TAI | TRANSAMERICA INCOME SHS INC COM |
| TAIT | TAITRON COMPONENTS INC CL A |
| TAL | TAL INTL GROUP INC COM |
| TALK | ITALK INC COM |
| TALX | TALX Corporation - Common Stock |
| TAM | TAMINCO CORP COM |
| TAMB | TAMALPAIS BANCORP COM |
| TAN | CLAYMORE EXCHANGE TRD FD TR 2 GUGGENHEIM SOLAR |
| TANN | TRAVELCENTERS OF AMERICA LLC SR NT 8.25%2028 |
| TAO | CLAYMORE EXCHANGE TRD FD TR 2 GUGG CHN RL EST |
| TAOM | TAOMEE HLDGS LTD SPONSORED ADR |
| TAP | MOLSON COORS BREWING CO CL B |
| TAP# | Molson Coors Brewing Company Class B Common Stock (non-voting) no par value |
| TAP.A | MOLSON COORS BREWING CO CL A |
| TAP.A# | Molson Coors Brewing Company Class A Common Stock |
| TAQ | Transforma Acquisition Group Inc |
| TAQ+ | Transforma Acquisition Group Inc |
| TAQ= | Transforma Acquisition Group Inc |
| TAR | TELEFONICA DE ARGENTINA S A SPONSORED ADR |
| TARG | Targanta Therapeutics Corporation - Common Stock |
| TARO | TARO PHARMACEUTICAL INDS LTD SHS |
| TARR | Tarragon Corporation - Common Stock |
| TAS | TASMAN METALS LTD COM |
| TASR | TASER INTL INC COM |
| TASRE | TASER INTL INC |
| TAST | CARROLS RESTAURANT GROUP INC COM |
| TAT | TRANSATLANTIC PETROLEUM LTD SHS |
| TATT | TAT TECHNOLOGIES LTD ORD NEW |
| TATTF | TAT TECHNOLOGIES LTD ORD NEW |
| TAV | NETS TR TA-25 ISRAEL |
| TAX | JTH HLDG INC CL A |
| TAXI | MEDALLION FINL CORP COM |
| TAYC | TAYLOR CAP GROUP INC COM |

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| TAYCO | TAYLOR CAP GROUP INC PERP NO CUM PFD |
| TAYCP | TAYC CAP TR I PFD TR 9.75% |
| TAYD | TAYLOR DEVICES INC COM |
| TBAC | TANDY BRANDS ACCESSORIES INC COM |
| TBAR | ROYAL BK SCOTLAND PLC GOLD TRENDP ETN |
| TBBK | BANCORP INC DEL COM |
| TBE | Tele Leste Celular Participacoes S.A. American Depositary Shares (Each representing one Preferred Shares without par value) |
| TBET | TIBET PHARMACEUTICALS INC SHS |
| TBF | PROSHARES TR SHRT 20+YR TRE |
| TBH | TELECOMUNICACOES BRASILEIRAS S SPONSORED ADR |
| TBH# | Telecomunicações Brasileiras S.A.-Telebras American Depositary Shares (Each representing 1 Deposited Share) ('TELEBRAS HOLDRS UNITS') |
| TBHS | THE BANK HOLDINGS INC COM |
| TBHSW | The Bank Holdings Inc. - Warrant |
| TBI | TRUEBLUE INC COM |
| TBIO | TRANSGENOMIC INC COM |
| TBL | TIMBERLAND CO CL A |
| TBNC | T BANCSHARES INC COM |
| TBNK | TERRITORIAL BANCORP INC COM |
| TBOW | TRUNKBOW INTL HLDGS LTD COM |
| TBSI | TBS INTERNATIONAL PLC CL A SHS |
| TBT | PROSHARES TR PSHS ULTSH 20YRS |
| TBUS | DRI CORPORATION COM |
| TBV | TIENS BIOTECH GROUP USA INC COM |
| TBWC | TB Wood's Corporation - Common Stock |
| TBX | PROSHARES TR SHT 7-10 YR TR |
| TBZ | PROSHARES TR ULTRASHT 3-7YR |
| TC | THOMPSON CREEK METALS CO INC COM |
| TC-T | THOMPSON CREEK METALS CO INC TG EQIT U TMED |
| TCA- | TransCanada PipeLines Limited 8.25% Preferred Securities due October 1 2047 |
| TCAM | Transport Corporation of America Inc. - Common Stock |
| TCAP | TRIANGLE CAP CORP COM |
| TCB | TCF FINL CORP COM |
| TCB+ | TCF FINL CORP WT EXP 111418 |
| TCB-A | TCF CAP I CAP SCS I 10.75% |
| TCB-A* | TCF CAP I CAP SCS I 10.75% |
| TCB-B | TCF FINL CORP DEL DEP SHS REPSTG 1 |
| TCB-C | TCF FINL CORP DEL PERP PFD SER B |
| TCBI | TEXAS CAPITAL BANCSHARES INC COM |
| TCBIL | TEXAS CAP BANCSHARES INC SUB NT 6.50%42 |
| TCBIP | TEXAS CAP BANCSHARES INC PFD PERP SR-A |
| TCBIW | TEXAS CAPITAL BANCSHARES INC WT EXP 011619 |
| TCBK | TRICO BANCSHARES COM |
| TCC | TRIANGLE CAP CORP SR NT |
| TCCA | TRIANGLE CAP CORP SR NT 22 |
| TCCO | TECHNICAL COMMUNICATIONS CORP COM |
| TCH | TECHNICOLOR SPNSRD ADR NEW |
| TCHC | 21ST CENTY HLDG CO COM |
| TCHCW | 21st Century Holding Company - Warrants 07/31/2006 |
| TCHCZ | 21st Century Holding Company - Redeemable Warrants |
| TCHI | ROYAL BK OF SCOTLAND PLC CHINA TRNDP ETF |
| TCI | TRANSCONTINENTAL RLTY INVS COM NEW |
| TCK | TECK RESOURCES LTD CL B |
| TCL | TATA COMMUNICATIONS LTD SPONS ADR |
| TCLP | TC PIPELINES LP UT COM LTD PRT |
| TCM | TONGJITANG CHINESE MED CO SPON ADR |
| TCMI | Triple Crown Media Inc. - Common Stock par value \$0.001 per share |
| TCMIV | TRIPLE CROWN MEDIA |
| TCN | Tele Norte Celular Participações S.A. American Depositary Shares (Each representing 1 Preferred Shares) |
| TCO | TAUBMAN CTRS INC COM |

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| TCO-A | Taubman Centers Inc. 8.30% Series A Cumulative Redeemable Preferred Stock |
| TCO-A* | Taubman Centers Inc. 8.30% Series A Cumulative Redeemable Preferred Stock |
| TCO-G | TAUBMAN CTRS INC PFD SER G 8% |
| TCO-G* | TAUBMAN CTRS INC PFD SER G 8% |
| TCO-H | TAUBMAN CTRS INC PFD H 7.625 |
| TCO-H* | TAUBMAN CTRS INC PFD H 7.625 |
| TCO-J | TAUBMAN CTRS INC PFD-J |
| TCO-K | TAUBMAN CTRS INC PFD SER K |
| TCP | TC PIPELINES LP UT COM LTD PRT |
| TCPC | TCP CAP CORP COM |
| TCRD | THL CR INC COM |
| TCT | The Town and Country Trust Common Shares of Beneficial Interest |
| TCW | TRIPLECROWN ACQUISITION CORP COM |
| TCW+ | TRIPLECROWN ACQUISITION CORP WT EXP 102212 |
| TCW= | TRIPLECROWN ACQUISITION CORP UNIT EX 071212 |
| TCX | TUCOWS INC COM |
| TCX\$ | |
| TCY | TARGETS TR XX TARGETS 7.5 07 |
| TD | TORONTO DOMINION BK ONT COM NEW |
| TDA | TELEPHONE & DATA SYS INC SR NT 61 |
| TDA* | TELEPHONE & DATA SYS INC NT SER A 7.6% |
| TDBK | TIDELANDS BANCSHARES INC COM |
| TDC | TERADATA CORP DEL COM |
| TDC# | TERADATA CORPORATION |
| TDD | DB-X FUNDS XTRAK 2010TGT DT |
| TDE | TELEPHONE & DATA SYS INC SR NT 2059 |
| TDF | TEMPLETON DRAGON FD INC COM |
| TDG | TRANSDIGM GROUP INC COM |
| TDH | DB-X FUNDS XTRAK 2020TGT DT |
| TDI | TELEPHONE & DATA SYS INC SR NT 2045 |
| TDIV | FIRST TR EXCHANGE TRADED FD VI NASD TECH DIV |
| TDJ | TELEPHONE & DATA SYS INC PFD |
| TDK | TDK CORP AMERN DEP SH |
| TDN | DB-X FUNDS XTRAK 2030TGT DT |
| TDS | TELEPHONE & DATA SYS INC COM NEW |
| TDS.S | TELEPHONE & DATA SYS INC SPL COM |
| TDSC | 3-D SYS CORP DEL COM NEW |
| TDTF | FLEXSHARES TR IBOXX 5YR TRGT |
| TDTT | FLEXSHARES TR IBOXX 3R TARGT |
| TDV | DB-X FUNDS XTRAK 2040TGT DT |
| TDW | TIDEWATER INC COM |
| TDX | DB-X FUNDS XTRAK INDEP TRGT |
| TDY | TELEDYNE TECHNOLOGIES INC COM |
| TE | TECO ENERGY INC COM |
| TE-T | Teco Capital Trust I 8.50% Trust Preferred Securities(TruPS) |
| TE-T* | Teco Capital Trust I 8.50% Trust Preferred Securities(TruPS) |
| TEA | TEAVANA HLDGS INC COM |
| TEAM | TECHTEAM GLOBAL INC COM |
| TEAR | TEARLAB CORP COM |
| TEC | TETON ENERGY CORP COM |
| TECC | T-Equity Capital Corporation - Closed end fund |
| TECD | TECH DATA CORP COM |
| TECH | TECHNE CORP COM |
| TECL | DIREXION SHS ETF TR DLY TECH BULL 3X |
| TECS | DIREXION SHS ETF TR DLY TECBEARX NEW |
| TECUA | TECUMSEH PRODS CO CL A |
| TECUB | TECUMSEH PRODS CO CL B |
| TED-B | Toledo Edison Co - 4.25% Preferred Stock |
| TED-B* | |
| TED-F | Toledo Edison Co. \$2.365 Cumulative Preferred Stock |
| TED-F* | Toledo Edison Co. \$2.365 Cumulative Preferred Stock |

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| TED-L | Toledo Edison Co. Adjustable Rate Preferred Stock Series B |
| TEF | TELEFONICA S A SPONSORED ADR |
| TEG | INTEGRYS ENERGY GROUP INC COM |
| TEI | TEMPLETON EMERG MKTS INCOME FD COM |
| TEK | Tektronix Inc. Common Shares |
| TEL | TE CONNECTIVITY LTD REG SHS |
| TEL# | TYCO ELECTRONICS LTD WHEN ISSUED |
| TELK | TELIK INC COM NEW |
| TELN | Telenor ASA - American Depositary Shares |
| TELOZ | TEL OFFSHORE TR UNIT BEN INT |
| TEM | Telefonica Moviles S.A. American Depositary Shares (Each representing One Ordinary Share) |
| TEMPA | TEMPA SECURITY |
| TEMPB | TEMPB SECURITY |
| TEN | TENNECO INC COM |
| TENZ | PIMCO ETF TR 7-15 YR US TRS |
| TEO | TELECOM ARGENTINA S A SPON ADR REP B |
| TEP | TALLGRASS ENERGY PARTNERS LP COM UNIT |
| TEPF | TEP FUN INC |
| TER | TERADYNE INC COM |
| TERNE | Terayon Communication Systems Inc. - Common Stock |
| TES | American Telecom Services Inc |
| TES+ | American Telecom Services Inc |
| TESO | TESCO CORP COM |
| TESOF | Tesco Corporation - Common Stock |
| TESS | TESSCO TECHNOLOGIES INC COM |
| TEU | BOX SHIPS INCORPORATED SHS |
| TEVA | TEVA PHARMACEUTICAL INDS LTD ADR |
| TEX | TEREX CORP NEW COM |
| TEX# | Terex Corporation Common Stock |
| TF | THAI CAP FD INC COM NEW |
| TFC | SHELTON GTR CHINA FD SH BEN INT |
| TFC\$ | TAIWAN GREATER CHINA FUND |
| TFCO | TUFCO TECHNOLOGIES INC COM |
| TFG | FIXED INCOME TRUST FOR GOLDMAN CLL CTF CL-A37 |
| TFI | SPDR SERIES TRUST NUVN BRCLY MUNI |
| TFIN | Team Financial Inc. - Common Stock |
| TFINP | Team Financial Inc. Team Financial Capital Trust I - 9.50% Cumulative Trust Preferred Securities |
| TFM | FRESH MKT INC COM |
| TFN | Transnational Financial Network Inc |
| TFONY | TELEFONOS DE MEXICO S A B SPON ADR A SHS |
| TFR | TEFRON LTD. |
| TFSL | TFS FINL CORP COM |
| TFSM | 24/7 Real Media Inc. - Common Stock |
| TFX | TELEFLEX INC COM |
| TG | TREDEGAR CORP COM |
| TGA | TRANSGLOBE ENERGY CORP COM |
| TGAL | TEGAL CORP COM PAR \$0.01 |
| TGALD | TEGAL CORP COM PAR \$0.01 |
| TGB | TASEKO MINES LTD COM |
| TGC | TENGASCO INC COM NEW |
| TGD | TIMMINS GOLD CORP COM |
| TGE | TGC INDS INC COM NEW |
| TGEM | EGA EMERGING GLOBAL SHS TR TELECOM GEMS |
| TGEN | TARGETED GENETICS CORP COM NEW |
| TGEND | Targeted Genetics Corporation - Common Stock |
| TGH | TEXTAINER GROUP HOLDINGS LTD SHS |
| TGI | TRIUMPH GROUP INC NEW COM |
| TGIC | TRIAD GTY INC COM |
| TGIS | THOMAS GROUP INC COM NEW |
| TGISD | THOMAS GROUP INC COM NEW |
| TGM | TARGETS TR XXV TARGETS MOT |

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| TGP | TEEKAY LNG PARTNERS L P PRTRNSP UNITS |
| TGR | ISHARES TR S&P TARGET RET |
| TGS | TRANSPORTADORA DE GAS SUR SPON ADR B |
| TGT | TARGET CORP COM |
| TGTX | TG THERAPEUTICS INC COM |
| TGX | THERAGENICS CORP COM |
| TGY | TREMISIS ENERGY ACQ CORP II COM |
| TGY+ | TREMISIS ENERGY ACQ CORP II WT EXP 120512 |
| TGY= | TREMISIS ENERGY ACQ CORP II UNIT EX 000012 |
| TGZ | TARGETS TR XXII TRGT GWTH TERM |
| THB | Tommy Hilfiger U.S.A. Inc. 9% Senior Bonds due December 1 2031 |
| THC | TENET HEALTHCARE CORP COM NEW |
| THD | ISHARES INC MSCI THAI CAPPED |
| THE | TODCO Common Stock |
| THER | THERATECHNOLOGIES INC COM |
| THFF | FIRST FINL CORP IND COM |
| THG | HANOVER INS GROUP INC COM |
| THGA | HANOVER INS GROUP INC SUB DB 6.35%53 |
| THHY | MARKET VECTORS ETF TR HI YLD TREA BD |
| THI | TIM HORTONS INC COM |
| THI# | Tim Hortons Inc. Common Stock |
| THK | Think Partnership Inc |
| THLD | THRESHOLD PHARMACEUTICAL INC COM NEW |
| THLDD | THRESHOLD PHARMACEUTICAL INC COM NEW |
| THM | INTERNATIONAL TOWER HILL MINES COM |
| THMD | THERMADYNE HLDGS CORP NEW COM PAR \$0.01 |
| THN | ThinkEngine Networks Inc |
| THO | THOR INDS INC COM |
| THOR | THORATEC CORP COM NEW |
| THQJ | THQ INC COM PAR \$.01 |
| THR | THERMON GROUP HLDGS INC COM |
| THRD | TF FINL CORP COM |
| THRM | GENTHERM INC COM |
| THRX | THERAVANCE INC COM |
| THS | TREEHOUSE FOODS INC COM |
| THST | TRUETT-HURST INC CL A |
| THTI | THT HEAT TRANSFER TECHNOLOGY I COM |
| THX | The Houston Exploration Company Common Stock |
| TI | TELECOM ITALIA S P A NEW SPON ADR ORD |
| TI.A | TELECOM ITALIA S P A NEW SPON ADR SVGS |
| TIBB | TIB FINL CORP COM NEW |
| TIBBD | TIB FINL CORP COM NEW |
| TIBX | TIBCO SOFTWARE INC COM |
| TICC | TICC CAPITAL CORP COM |
| TICCR | TICC CAPITAL CORP RT |
| TIE | TITANIUM METALS CORP COM NEW |
| TIE# | Titanium Metals Corporation Common Stock \$0.01 par value |
| TIER | TIER TECHNOLOGIES INC CL B |
| TIERE | Tier Technologies Inc. - Class B Common Stock |
| TIF | TIFFANY & CO NEW COM |
| TIGR | TIGERLOGIC CORPORATION COM |
| TII | TELMEX INTERNACIONAL SAB DE CV SPONS ADR SR L |
| TII# | TELMEX INTERNACIONAL SAB DE CV SPONS ADR SR L |
| TII.A | TELMEX INTERNACIONAL SAB DE CV SPON ADR SR A |
| TII.A# | TELMEX INTERNACIONAL SAB DE CV SPON ADR SR A |
| TIII | TII NETWORK TECHNOLOGIES INC COM NEW |
| TIK | TEL INSTR ELECTRS CORP COM NEW |
| TIL | Trans-India Acquisition Corporation |
| TIL+ | Trans-India Acquisition Corporation |
| TIL= | Trans-India Acquisition Corporation |
| TILE | INTERFACE INC COM |

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| TILT | FLEXSHARES TR MORNSTAR USMKT |
| TIN | TEMPLE INLAND INC COM |
| TIN# | Temple-Inland Inc. Common Stock |
| TINY | HARRIS & HARRIS GROUP INC COM |
| TIP | ISHARES TR BARCLYS TIPS BD |
| TIPX | SPDR SER TR BARC 1-10YRTIP |
| TIPZ | PIMCO ETF TR BROAD US TIPS |
| TIS | ORCHIDS PAPER PRODS CO DEL COM |
| TISA | TOP IMAGE SYSTEMS LTD ORD |
| TISI | TEAM INC COM |
| TITN | TITAN MACHY INC COM |
| TIV | TRI VY CORP COM |
| TIVO | TIVO INC COM |
| TIXC | TIX CORP COM |
| TJX | TJX COS INC NEW COM |
| TK | TEEKAY CORPORATION COM |
| TK-A | Teekay Shipping Corporation PEPS Units |
| TKA | Telekom Austria AG American Depositary Shares (Each representing Two Ordinary Shares no par value) |
| TKC | TURKCELL ILETISIM HIZMETLERI SPON ADR NEW |
| TKF | TURKISH INVT FD INC COM |
| TKG | TELKOM SA LTD SPONSORED ADR |
| TKLC | TEKELEC COM |
| TKMR | TEKMIRA PHARMACEUTICALS CORP COM NEW |
| TKO | TELKONET INC COM |
| TKP | POLARIS ACQUISITION CORP COM |
| TKP+ | POLARIS ACQUISITION CORP WT EXP 011012 |
| TKP= | POLARIS ACQUISITION CORP UNIT EX 000011 |
| TKR | TIMKEN CO COM |
| TKS | TOMKINS PLC SPONSORED ADR |
| TKTM | TICKETMASTER ENTMT INC COM |
| TKTMV | TICKETMASTER COM |
| TLAB | TELLABS INC COM |
| TLB | TALBOTS INC COM |
| TLB+ | TALBOTS INC WT EXP 040915 |
| TLCR | TALECRIS BIOTHERAPEUTICS HLDGS COM |
| TLCV | TLC VISION CORP COM |
| TLD | TDC A/S American Depositary Shares (Each representing 1/2 of an ordinary share) |
| TLEO | TALEO CORP CL A |
| TLF | TANDY LEATHER FACTORY INC COM |
| TLG | Target Logistics Inc |
| TLGB | Teleglobe International Holdings Ltd. Common Shares |
| TLGD | TOLLGRADE COMMUNICATIONS INC COM |
| TLH | ISHARES TR BARCLYS 10-20YR |
| TLI | LMP CORPORATE LN FD INC COM |
| TLK | P T TELEKOMUNIKASI INDONESIA SPONSORED ADR |
| TLL | PROSHARES TR PSHS ULSHRT TELE |
| TLLP | TESORO LOGISTICS LP COM UNIT LP |
| TLM | TALISMAN ENERGY INC COM |
| TLN | Talon International Inc |
| TLO | SPDR SERIES TRUST BRCLYS LG TRS ET |
| TLP | TRANSMONTAIGNE PARTNERS L P COM UNIT L P |
| TLR | TIMBERLINE RES CORP COM |
| TLS | Telstra Corporation Limited American Depositary Shares (Each representing 5 Ordinary Shares) |
| TLT | ISHARES TR BARCLYS 20+ YR |
| TLTD | FLEXSHARES TR M STAR DEV MKT |
| TLTE | FLEXSHARES TR MSTAR EMKT FAC |
| TLVT | TELVENT GIT SA SHS |
| TLWT | Telewest Global Inc - Common Stock |
| TLX | TRANS LUX CORP COM |
| TLX.C | |
| TLX.C* | |

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| TLYS | TILLYS INC CL A |
| TM | TOYOTA MOTOR CORP SP ADR REP2COM |
| TM# | Toyota Motor Corporation American Depositary Shares(Each representing two shares of Common Stock) |
| TMA | Thornburg Mortgage Inc. Common Stock par value \$0.01 |
| TMA-C | Thornburg Mortgage Inc. 8.00% Series C Cumulative Redeemable Preferred Stock |
| TMA-D | Thornburg Mortgage Inc. Series D Adjustable Rate Cumulative Redeemable Preferred Stock |
| TMA-E | Thornburg Mortgage Inc. 7.50% Series E Cumulative Convertible Redeemable Preferred Stock |
| TMA-F | Thornburg Mortgage Inc. 10% Series F Cumulative Convertible Redeemable Preferred Stock |
| TMB | TELEMIG CELULAR PART S A SPON ADR PFD |
| TMB\$ | Telecomig Celular Participações S.A. American Depositary Shares (Each representing 2 Preferred Shares without par value) |
| TMCV | TEMECULA VY BANCORP INC CA COM |
| TMF | DIREXION SHS ETF TR 20YR TRES BULL |
| TMG | TAYLOR & MARTIN GROUP INC COM |
| TMH | TEAM HEALTH HOLDINGS INC COM |
| TMHC | TAYLOR MORRISON HOME CORP CL A |
| TMI | CHINA MEDIAEXPRESS HLDGS INC COM |
| TMI+ | CHINA MEDIAEXPRESS HLDGS INC WT EXP 101711 |
| TMI= | CHINA MEDIAEXPRESS HLDGS INC UNIT EX 101711 |
| TMIC | Trend Micro Incorporated - American Depositary Shares |
| TMK | TORCHMARK CORP COM |
| TMK-A | TORCHMARK CAP TR III 7.1% TOPTS PFD |
| TMK-A* | TORCHMARK CAP TR III 7.1% TOPTS PFD |
| TMK-B | TORCHMARK CORP JR SUB DEB 52 |
| TMK-S | Torchmark Capital Trust II 7 3/4% Trust Originated Preferred Securities (TOPrS) |
| TMK-S* | Torchmark Capital Trust II 7 3/4% Trust Originated Preferred Securities (TOPrS) |
| TMK-T | Torchmark Capital Trust I 7 3/4% Trust Preferred Securities |
| TMK-T* | Torchmark Capital Trust I 7 3/4% Trust Preferred Securities |
| TMM | GRUPO TMM S A B SP ADR 5 A SHS |
| TMNG | MANAGEMENT NETWORK GROUP INC COM NEW |
| TMNGD | MANAGEMENT NETWORK GROUP INC COM NEW |
| TMO | THERMO FISHER SCIENTIFIC INC COM |
| TMP | TOMPKINS FINANCIAL CORPORATION COM |
| TMPR | Temecula Valley Bancorp Inc. (CA) - 9.45% TRUST PREFERRED |
| TMR | MERIDIAN RESOURCE CORP COM |
| TMRK | TERREMARK WORLDWIDE INC COM NEW |
| TMS | TMS INTL CORP CL A |
| TMTA | Transmeta Corporation - Common Stock |
| TMTAD | Transmeta Corporation - Common Stock |
| TMUS | T-MOBILE US INC COM |
| TMV | DIREXION SHS ETF TR 20YR TRES BEAR |
| TMW | SPDR SERIES TRUST DJ TTL MKT ETF |
| TMWD | Tumbleweed Communications Corp. - Common Stock |
| TMWE | TIM W E SGPS S A SHS |
| TMX | TELEFONOS DE MEXICO S A B SPON ADR ORD L |
| TMX# | Telefonos de Mexico S.A. de C.V. American Depositary Shares (Each representing 20 Series L Shares) |
| TMY | Transmeridian Exploration Inc |
| TNA | DIREXION SHS ETF TR DLY SMCAP BULL3X |
| TNAV | TELENAV INC COM |
| TNB | THOMAS & BETTS CORP COM |
| TNC | TENNANT CO COM |
| TNC# | Tennant Company Common Stock |
| TNCC | TENNESSEE COMMERCE BANCORP INC COM |
| TNDM | NEUTRAL TANDEM INC COM |
| TNDQ | ROYAL BK OF SCOTLAND PLC RBS NASD LKD41 |
| TNE | TELE NORTE LESTE PART S A SPON ADR PFD |
| TNE# | Tele Norte Leste Participações S.A. American Depositary Shares (Each representing One Preferred Shares) |
| TNF | TAILWIND FINL INC COM |
| TNF+ | TAILWIND FINL INC WT EXP 041111 |
| TNF= | TAILWIND FINL INC UNIT |
| TNGN | TENGION INC COM NEW |

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| TNGO | TANGOE INC COM |
| TNH | TERRA NITROGEN CO L P COM UNIT |
| TNK | TEEKAY TANKERS LTD CL A |
| TNL | TECHNITROL INC COM |
| TNM | Thomas Nelson Inc. Common Stock |
| TNM.B | Thomas Nelson Inc. Class B Common Stock |
| TNOX | Tanox Inc. - Common Stock |
| TNP | TSAKOS ENERGY NAVIGATION LTD SHS |
| TNP-B | TSAKOS ENERGY NAVIGATION LTD RED PRP PFD B % |
| TNS | TNS INC COM |
| TNSWD | TNS INCORPORATED |
| TNT | TNT N.V. American Depositary Shares (Each Representing one Ordinary Share) (nominal value Euro 0.48) |
| TNY | ISE CCM NANOTECH XXX |
| TO | TECH OPS SEVCON INC COM |
| TOA | TOUSA Inc. Common Stock |
| TOB | AMEX/TOB INDEX XXX |
| TOBC | TOWER BANCORP INC COM |
| TOC | Thomson Corporation The Common Shares |
| TOD | TODD SHIPYARDS CORP DEL COM |
| TOF | TOFUTTI BRANDS INC COM |
| TOFC | TOWER FINANCIAL CORP COM |
| TOH | HICKS ACQUISITION CO I INC COM |
| TOH+ | HICKS ACQUISITION CO I INC WT EXP 092811 |
| TOH= | HICKS ACQUISITION CO I INC UNIT EX |
| TOI | TARGETS TR XXIV TARGETS 7%INTC |
| TOK | ISHARES TR MSCI KOKUSAI |
| TOL | TOLL BROTHERS INC COM |
| TOM | Tommy Hilfiger Corporation Ordinary Shares |
| TOMO | TOMOTHERAPY INC COM |
| TOPE | TIERONE CORP COM |
| TONS | Novamerican Steel Inc - Common Stock |
| TONSW | Novamerican Steel Inc - Symmetry Holdings Inc Warrants (Each warrant entitles the holder to purchase one share of Common Stock (SHJ) at \$5.50 per warrant) |
| TOO | TEEKAY OFFSHORE PARTNERS L P PARTNERSHIP UN |
| TOO-A | TEEKAY OFFSHORE PARTNERS L P CUM PFD-A7.25% |
| TOPP | Topps Company Inc. (The) - Common Stock |
| TOPS | TOP SHIPS INC SHS |
| TOPSD | TOP SHIPS INC SHS NEW 2011 |
| TOPT | TOP Tankers Inc. - Common Stock |
| TORM | TOR MINERALS INTL INC COM NEW |
| TORMD | TOR MINERALS INTL INC COM NEW |
| TOT | TOTAL S A SPONSORED ADR |
| TOTS | DIREXION SHS ETF TR TOTAL MKT BEAR |
| TOWN | TOWNEBANK PORTSMOUTH VA COM |
| TOWR | TOWER INTL INC COM |
| TOX | Medtox Scientific Inc |
| TP | TNT N.V. American Depositary Shares (Each Representing one Ordinary Share) (nominal value Euro 0.48) |
| TPA | MORGAN STANLEY BRIDGES 033009 |
| TPC | TUTOR PERINI CORP COM |
| TPCG | TPC GROUP INC COM |
| TPGI | THOMAS PPTYS GROUP INC COM |
| TPH | TRI POINTE HOMES INC COM |
| TPI | TIANYIN PHARMACEUTICAL CO INC COM |
| TPK | Travelers Property Casualty Corp. 4.50% Convertible Junior Subordinated Notes due April 15 2032 |
| TPK* | Travelers Property Casualty Corp. 4.50% Convertible Junior Subordinated Notes due April 15 2032 |
| TPL | TEXAS PAC LD TR SUB CTF PROP I T |
| TPL# | Texas Pacific Land Trust Sub-Share Certificates for Sub-Shares in Certificates of Proprietary Interest |
| TPLM | TRIANGLE PETE CORP COM NEW |
| TPO | Tarpon Industries Inc |
| TPP | TEPPCO PARTNERS L P UT LTD PARTNER |
| TPPH | Tapestry Pharmaceuticals Inc. - Common Stock |

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| TPPHD | Tapestry Pharmaceuticals Inc. - Common Stock |
| TPS | PROSHARES TR ULTRASHRT TIPS |
| TPTH | TriPath Imaging Inc. - Common Stock |
| TPTX | TORREYPINES THERAPEUTICS INC COM |
| TPUT | BARZEL INDS INC COM |
| TPUTW | BARZEL INDS INC WT EXP 030711 |
| TPX | TEMPUR PEDIC INTL INC COM |
| TPZ | TORTOISE PWR & ENERGY INFRASTR COM |
| TQ | Cash Technologies Inc |
| TQK | MORGAN STANLEY SPARQS10% T 09 |
| TQNT | TRIQUINT SEMICONDUCTOR INC COM |
| TQQQ | PROSHARES TR ULTRAPRO QQQ |
| TR | TOOTSIE ROLL INDS INC COM |
| TRA | TERRA INDS INC COM |
| TRAC | TRACK DATA CORP COM PAR \$.01 |
| TRACD | TRACK DATA CORP COM PAR \$.01 |
| TRAD | TRADESTATION GROUP INC COM |
| TRAK | DEALERTRACK TECHNOLOGIES INC COM |
| TRB | Tribune Company Common Stock |
| TRB\$ | Tribune Company Common Stock |
| TRBM | Terabeam Inc. - Common Stock |
| TRBN | TRUBION PHARMACEUTICALS INC COM |
| TRBR | TRAILER BRDG INC COM |
| TRBS | Texas Regional Bancshares Inc. - Class A Voting Common Stock |
| TRC | TEJON RANCH CO COM |
| TRCA | Tercica Inc. - Common Stock |
| TRCI | TECHNOLOGY RESH CORP COM NEW |
| TRCR | TRANSCEND SERVICES INC COM NEW |
| TRC^ | TEJON RANCH CO RT 20100614 |
| TRC^# | TEJON RANCH CO RT 20100614 |
| TRDO | Intrado Inc. - Common Stock |
| TRE | TANZANIAN ROYALTY EXPL CORP COM |
| TREE | TREE COM INC COM |
| TREEV | TREE COM INC COM |
| TREX | TREX CO INC COM |
| TRF | TEMPLETON RUS AND EAST EUR FD COM |
| TRFC | Traffic.com Inc. - Common Stock par value \$0.01 per share |
| TRFDF | TRAMFORD INTL LTD |
| TRFX | Traffix Inc. - Common Stock |
| TRGL | TOREADOR RES CORP COM |
| TRGP | TARGA RES CORP COM |
| TRGT | TARGACEPT INC COM |
| TRH | TRANSATLANTIC HLDGS INC COM |
| TRI | THOMSON REUTERS CORP COM |
| TRIB | TRINITY BIOTECH PLC SPON ADR NEW |
| TRID | TRIDENT MICROSYSTEMS INC COM |
| TRIN | THOMSON REUTERS PLC SPONSORED ADR |
| TRIO | TRIO MERGER CORP COM |
| TRIP | TRIPADVISOR INC COM |
| TRIPV | TRIPADVISOR INC COM |
| TRIS | TRI S SEC CORP COM |
| TRISW | Tri-S Security Corporation - Warrants (expire 2/8/2010) |
| TRIT | TRI-TECH HOLDING INC SHS |
| TRK | SPEEDWAY MOTORSPORTS INC COM |
| TRLA | TRULIA INC COM |
| TRLG | TRUE RELIGION APPAREL INC COM |
| TRMA | TRICO MARINE SERVICES INC COM NEW |
| TRMB | TRIMBLE NAVIGATION LTD COM |
| TRMD | TORM A/S SPONS ADR NEW |
| TRMK | TRUSTMARK CORP COM |
| TRMM | TRM Corporation - Common Stock |

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| TRMP | Trump Entertainment Resorts Inc - Common Stock |
| TRMS | TRIMERIS INC COM |
| TRN | TRINITY INDS INC COM |
| TRN# | Trinity Industries Inc. Common Stock |
| TRND | ROYAL BK SCOTLAND PLC US LC TRENDP ETN |
| TRNM | ROYAL BK SCOTLAND PLC US MC TRENDP ETN |
| TRNO | TERRENO RLTY CORP COM |
| TRNO-A | TERRENO RLTY CORP PFD SER A |
| TRNS | TRANSCAT INC COM |
| TRNX | TORNIER N V SHS |
| TRO | TRONY SOLAR HLDGS CO LTD ADR |
| TROV | TROVAGENE INC COM NEW |
| TROVU | TROVAGENE INC UNIT EX 123117 |
| TROVW | TROVAGENE INC WT EXP 123117 |
| TROW | PRICE T ROWE GROUP INC COM |
| TROX | TRONOX LTD SHS CL A |
| TRP | TRANSCANADA CORP COM |
| TRPS | Triplos Inc. - Common Stock |
| TRQ | TURQUOISE HILL RES LTD COM |
| TRR | TRC COS INC COM |
| TRS | TRIMAS CORP COM NEW |
| TRST | TRUSTCO BK CORP N Y COM |
| TRSY | PIMCO ETF TR 15YR US TRS FD |
| TRT | TRIO TECH INTL COM NEW |
| TRU | TORCH ENERGY ROYALTY TRUST UNIT BEN INT |
| TRUE | CENTRUE FINL CORP NEW COM |
| TRUED | Centrue Financial Corporation - Common Stock |
| TRV | TRAVELERS COMPANIES INC COM |
| TRW | TRW AUTOMOTIVE HLDGS CORP COM |
| TRX | TANZANIAN ROYALTY EXPL CORP COM |
| TRX.B | Tronox Incorporated Class B Common Stock |
| TRX.B# | TRONOX INCORPORATED |
| TRXI | TRX INC COM |
| TRXT | PIMCO ETF TR TOTL RETN ETF |
| TRY | Triarc Companies Inc. Class A Common Stock |
| TRY.B | Triarc Companies Inc. Class B Common Stock Series 1 |
| TRZ | Trizec Properties Inc. Common Stock |
| TS | TENARIS S A SPONSORED ADR |
| TSA | The Sports Authority Inc. Common Stock \$.01 par value |
| TSAI | Transaction Systems Architects Inc. - Common Stock |
| TSB.A | Citigroup Global Markets |
| TSBK | TIMBERLAND BANCORP INC COM |
| TSC | TRISTATE CAP HLDGS INC COM |
| TSCC | Technology Solutions Company - Common Stock |
| TSCM | THESTREET COM COM |
| TSCO | TRACTOR SUPPLY CO COM |
| TSD | Tele Sudeste Celular Participacoes S.A. American Depositary Shares (Each representing one Preferred Shares without par value) |
| TSEM | TOWER SEMICONDUCTOR LTD SHS NEW |
| TSEMG | TOWER SEMICONDUCTOR LTD DEB CNV 5%2012 |
| TSEMW | Tower Semiconductor Ltd. - Warrants - convert into one ordinary share at an exercise price of \$7.50. |
| TSFG | SOUTH FINL GROUP INC COM |
| TSG | SABRE Holdings Corporation Class A Common Stock |
| TSH | TECHE HLDG CO COM |
| TSI | TCW STRATEGIC INCOME FUND INC COM |
| TSL | TRINA SOLAR LIMITED SPON ADR |
| TSLA | TESLA MTRS INC COM |
| TSM | TAIWAN SEMICONDUCTOR MFG LTD SPONSORED ADR |
| TSMA | Transoma Medical Inc. - Common Stock |
| TSN | TYSON FOODS INC CL A |
| TSO | TESORO CORP COM |

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| TSO# | Tesoro Corporation Common Stock |
| TSON | TRANS1 INC COM |
| TSP | TELECOMUNICACOES DE SAO PAULO SPON ADR PFD |
| TSPT | TRANSCEPT PHARMACEUTICALS INC COM |
| TSR | TARGETS TR XXVI TARGET 8%SPRNT |
| TSRA | TESSERA TECHNOLOGIES INC COM |
| TSRE | TRADE STR RESIDENTIAL INC COM NEW |
| TSRI | TSR INC COM NEW |
| TSRID | TSR INC COM NEW |
| TSRO | TESARO INC COM |
| TSRX | TRIOUS THERAPEUTICS INC COM |
| TSS | TOTAL SYS SVCS INC COM |
| TSS# | Total System Services Inc. Common Stock |
| TST | THESTREET INC COM |
| TSTC | TELESTONE TECHNOLOGIES CORP COM |
| TSTF | TEAMSTAFF INC COM PAR \$.001 |
| TSTFD | TEAMSTAFF INC COM PAR \$.001 |
| TSTR | TERRESTAR CORP COM |
| TSY | Trustreet Properties Inc. Common Stock |
| TSY-A | Trustreet Properties Inc. \$1.93 Series A Cumulative Convertible Preferred Stock |
| TSY-C | Trustreet Properties Inc. 7.5% Series C Redeemable Convertible Preferred Stock (\$25 liquidation preference) |
| TSYS | TELECOMMUNICATION SYS INC CL A |
| TT | Trane Inc. Common Stock |
| TTA | TARGETS TR XXI TARGETS 8% 07 |
| TTC | TORO CO COM |
| TTCWD | TORO COMPANY |
| TTE | TARGETS TRUST XIX |
| TTEC | TELETECH HOLDINGS INC COM |
| TTEK | TETRA TECH INC NEW COM |
| TTES | T-3 ENERGY SRVCS INC COM |
| TTF | THAI FD INC COM |
| TTFS | ADVISORSHARES TR TRIMTABS FLT |
| TTG | Tutogen Medical Inc |
| TTGT | TECHTARGET INC COM |
| TTH | TELECOM HLDRS TR DEPOSITRY RCPT |
| TTHI | TRANSITION THERAPEUTICS INC COM NEW |
| TTI | TETRA TECHNOLOGIES INC DEL COM |
| TTIL | TTI TEAM TELECOM INTL LTD ORD |
| TTM | TATA MTRS LTD SPONSORED ADR |
| TTMI | TTM TECHNOLOGIES INC COM |
| TTO | TORTOISE CAP RES CORP COM |
| TTP | TORTOISE PIPELINE & ENERGY FD COM |
| TTPA | TRINTECH GROUP PLC SPONS ADR NEW |
| TTPH | TETRAPHASE PHARMACEUTICALS INC COM |
| TPPY | TomoTherapy Incorporated - Common Stock |
| TTS | TILE SHOP HLDGS INC COM |
| TTT | PROSHARES TR ULSH 20YRTRE NEW |
| TTTM | T3 MOTION INC COM NEW |
| TTTM+W | T3 MOTION INC WT EXP 05132016 |
| TTTM+Z | T3 MOTION INC WT EXP 051313 |
| TTTM= | T3 MOTION INC UNIT 1 000016 |
| TTT^ | TERRA NOVA RTY CORP RT |
| TTT^# | TERRA NOVA RTY CORP RT |
| TTWO | TAKE-TWO INTERACTIVE SOFTWARE COM |
| TTY | 2020 CHINACAP ACQUIRCO INC COM |
| TTY+ | 2020 CHINACAP ACQUIRCO INC WT EXP 110811 |

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| TTY= | 2020 CHINACAP ACQUIRCO INC UNIT EX 110811 |
| TTYUU | 2020 CHINACAP ACQUIRCO INC UNIT EX 110811 |
| TTYWW | 2020 CHINACAP ACQUIRCO INC WT EXP 110811 |
| TU | TELUS CORP COM |
| TUC | MAC-GRAY CORP COM |
| TUDO | TUDOU HLDGS LTD SPONSORED ADS |
| TUES | TUESDAY MORNING CORP COM NEW |
| TUG | Maritrans Inc. Common Stock |
| TULY | Tully's Coffee Corporation - Common Stock |
| TUMI | TUMI HLDGS INC COM |
| TUNE | MICROTUNE INC DEL COM |
| TUP | TUPPERWARE BRANDS CORP COM |
| TUR | ISHARES INC MSCI TURKEY FD |
| TUTR | PLATO LEARNING INC COM |
| TUTS | Tut Systems Inc. - Common Stock |
| TUX | TRIAN ACQUISITION I CORP COM |
| TUX+ | TRIAN ACQUISITION I CORP WT EXP 012313 |
| TUX= | TRIAN ACQUISITION I CORP UNIT EX 000011 |
| TUZ | PIMCO ETF TR 1-3YR USTREIDX |
| TV | GRUPO TELEVISIA SA SPON ADR REP ORD |
| TVAX | TVAX BIOMEDICAL INC COM |
| TVC | TENNESSEE VALLEY AUTH PARRS D 2028 |
| TVE | TENNESSEE VALLEY AUTH PARRS A 2029 |
| TVH | MEDIA & ENTMT HOLDINGS INC COM |
| TVH+ | MEDIA & ENTMT HOLDINGS INC WT EXP 030911 |
| TVH= | MEDIA & ENTMT HOLDINGS INC UNIT |
| TVIA | TVIA Inc. - Common Stock |
| TVIN | TVI Corporation - Common Stock |
| TVIX | CREDIT SUISSE AG NASSAU BRH ETN LKD SPVXSP |
| TVIZ | CREDIT SUISSE NASSAU BRH VIX MD TRM FUT |
| TVL | LIN TV CORP CL A |
| TW | TOWERS WATSON & CO CL A |
| TWAV | TRUSTWAVE HLDGS INC COM |
| TWB | TWEEN BRANDS INC COM |
| TWC | TIME WARNER CABLE INC COM |
| TWER | TOWERSTREAM CORP COM |
| TWGP | TOWER GROUP INTL LTD COM |
| TWH | Washtenaw Group Inc (The) |
| TWI | TITAN INTL INC ILL COM |
| TWIN | TWIN DISC INC COM |
| TWLL | TECHWELL INC COM |
| TWM | PROSHARES TR PSHS ULSHRUS2000 |
| TWM.A | Merrill Lynch |
| TWMC | TRANS WORLD ENTMT CORP COM |
| TWN | TAIWAN FD INC COM |
| TWO | TWO HBRS INVT CORP COM |
| TWO+ | TWO HBRS INVT CORP WT EXP 110713 |
| TWOL | DIREXION SHS ETF TR 2YR TRES BLL3X |
| TWON | INDEXIQ ETF TR TAIWAN SML CAP |
| TWOZ | DIREXION SHS ETF TR 2YR TRS BEAR3X |
| TWP | TREX INC COM |
| TWPG | THOMAS WEISEL PARTNERS GRP INC COM |
| TWQ | PROSHARES TR PSHS ULSHRUS NEW |
| TWTC | TW TELECOM INC COM |
| TWTI | ROYAL BK OF SCOTLAND PLC RBS OIL TRNDPL |
| TWTR | Tweeter Home Entertainment Group Inc - Common Stock |
| TWW | Terremark Worldwide Inc |
| TWX | TIME WARNER INC COM NEW |
| TWX# | TIME WARNER INC EX-DISTRIB |
| TX | TERNIUM SA SPON ADR |

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| TXA | Tribune Company Exchangeable Subordinated Debentures due May 15 2029(Exchangeable for Cash Based on the Value of America Online |
| TXCC | TRANSWITCH CORP COM NEW |
| TXCCD | TRANSWITCH CORP COM NEW |
| TXCO | TXCO RES INC COM |
| TXF | TXF FDS INC LARGE COS ETF |
| TXI | TEXAS INDS INC COM |
| TXI# | Texas Industries Inc. Common Stock |
| TXI-S | TXI Capital Trust I \$2.75 Shared Preference Redeemable Securities ('SpuRS') |
| TXI-S* | TXI Capital Trust I \$2.75 Shared Preference Redeemable Securities ('SpuRS') |
| TXIC | TONGXIN INTERNATIONAL LTD COM |
| TXICU | TONGXIN INTERNATIONAL LTD UNITS EX 041011 |
| TXICW | TONGXIN INTERNATIONAL LTD WT EXP 041011 |
| TXMD | THERAPEUTICSMD INC COM |
| TXN | TEXAS INSTRS INC COM |
| TXRH | TEXAS ROADHOUSE INC COM |
| TXT | TEXTRON INC COM |
| TXT-A | TEXTRON INC PFD CONV \$2.08 |
| TXT-A* | TEXTRON INC PFD CONV \$2.08 |
| TXT-B | TEXTRON INC PFD CONV \$1.40 |
| TXT-B* | TEXTRON INC PFD CONV \$1.40 |
| TXTR | TEXTURA CORP COM |
| TXU | TXU Corp. Common Stock |
| TXU-D | TXU Corp. 8.125% Income PRIDES |
| TXUI | Texas United Bancshares Inc. - Common Stock |
| TY | TRI CONTL CORP COM |
| TY- | TRI CONTL CORP PFD \$2.50 |
| TYBS | DIREXION SHS ETF TR 20YR TRES BEAR |
| TYC | TYCO INTERNATIONAL LTD SHS |
| TYC# | TYCO INTERNATIONAL LTD EX DISTRIB WI |
| TYD | DIREXION SHS ETF TR 7 10YR TRES BULL |
| TYG | TORTOISE ENERGY INFRSTRCTR CP COM |
| TYG-A | TORTOISE ENERGY INFRSTRCTR CP PFD MD REDMBLE |
| TYG-A* | TORTOISE ENERGY INFRSTRCTR CP PFD MD REDMBLE |
| TYG-B | TORTOISE ENERGY INFRSTRCTR CP MAND RED PFD B |
| TYH | DIREXION SHS ETF TR DLY TECH BULL 3X |
| TYI | NETS TR TOPIX INDX JPN |
| TYL | TYLER TECHNOLOGIES INC COM |
| TYM | ASIA TIME CORP COM |
| TYN | TORTOISE NORTH AMRN ENRGY CORP COM |
| TYNS | DIREXION SHS ETF TR 7-10YR TR BEAR |
| TYO | DIREXION SHS ETF TR 7 10YR TRES BEAR |
| TYP | DIREXION SHS ETF TR DLY TECH BEAR 3X |
| TYPE | MONOTYPE IMAGING HOLDINGS INC COM |
| TYW | TS&W CLAYMORE TAX ADVNTG BL FD COM |
| TYY | TORTOISE ENERGY CAP CORP COM |
| TYY-A | TORTOISE ENERGY CAP CORP MAND SER 2016 |
| TYY-A* | TORTOISE ENERGY CAP CORP MAND SER 2016 |
| TYY-B | TORTOISE ENERGY CAP CORP 5% PFD SER B |
| TYY-B* | TORTOISE ENERGY CAP CORP 5% PFD SER B |
| TYY-C | TORTOISE ENERGY CAP CORP MR PFD 3.95% |
| TZA | DIREXION SHS ETF TR DLY SC BEAR3XNEW |
| TZD | ISHARES TR S&P TARGET 10 |
| TZE | ISHARES TR S&P TARGET 15 |
| TZF | TRUST CTFS 2001-2 BEAR STEARNS TR CTF 7.1%2096 |
| TZG | ISHARES TR S&P TARGET 20 |
| TZI | ISHARES TR S&P TARGET 25 |
| TZIX | TriZetto Group Inc. (The) - Common Stock |
| TZK | TRUST CTFS 2002-1 BEAR STEARNS TR CTF 2002 |
| TZK* | TRUST CTFS 2002-1 BEAR STEARNS TR CTF 2002 |
| TZL | ISHARES TR S&P TARGET 30 |

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| TZN | TARGETS TR XXIII TARGET 7.5 NEM. |
| TZO | ISHARES TR S&P TARGET 35 |
| TZOO | TRAVELZOO INC COM |
| TZV | ISHARES TR S&P TARGET 40 |
| TZW | ISHARES TR TRGT 2045 INDX |
| TZY | ISHARES TR TRGT 2050 INDX |
| TZYM | TRANZYME INC COM |
| UA | UNDER ARMOUR INC CL A |
| UACL | UNIVERSAL TRUCKLOAD SVCS INC COM |
| UAG | UBS AG JERSEY BRH CMCI AGRI ETN |
| UAG# | United Auto Group Inc. Voting Common Stock |
| UAGR | UNION AGRICULTURE GROUP CORP SHS |
| UAHC | UNITED AMERN HEALTHCARE CORP COM |
| UAL | UNITED CONTL HLDGS INC COM |
| UAM | UNIVERSAL AMERN CORP NEW COM |
| UAMY | UNITED STATES ANTIMONY CORP COM |
| UAN | CVR PARTNERS LP COM |
| UAPH | UAP Holding Corp. - Common Stock par value \$0.001 per share |
| UARM | Under Armour Inc. - Class A Common Stock par value \$0.0003 1/3 per share |
| UAUA | UAL CORP COM NEW |
| UB | UnionBanCal Corporation Common Stock |
| UBA | URSTADT BIDDLE PPTYS INC CL A |
| UBB | UNIBANCO-UNIAO DE BANCOS BRASL ADR REP UNITS |
| UBC | UBS AG JERSEY BRH LIVESTK ETN 38 |
| UBCD | UnionBancorp Inc - Common Stock |
| UBCP | UNITED BANCORP INC OHIO COM |
| UBD | CLAYMORE EXCHANGE TRD FD TR CAP MKT BD ETF |
| UBET | YOUBET COM INC COM |
| UBFO | UNITED SECURITY BANCSHARES CA COM |
| UBG | UBS AG JERSEY BRH CMCI GOLD ETN |
| UBH | U.S.B. Holding Co. Inc. Common Stock |
| UBIC | UBIC INC SPONSORED ADR |
| UBM | UBS AG JERSEY BRH CMCI INDL ETN |
| UBMT | United Financial Corp - Common Stock |
| UBN | UBS AG JERSEY BRH CMCI ENRGY ETN |
| UBNK | UNITED FINANCIAL BANCORP INC COM |
| UBNKD | United Financial Bancorp Inc. - Common Stock |
| UBNT | UBIQUITI NETWORKS INC COM |
| UBOH | UNITED BANCSHARES INC OHIO COM |
| UBP | URSTADT BIDDLE PPTYS INC COM |
| UBP-C | URSTADT BIDDLE PPTYS INC PFD SR C 8.5% |
| UBP-C* | URSTADT BIDDLE PPTYS INC PFD SR C 8.5% |
| UBP-D | URSTADT BIDDLE PPTYS INC PFD D 7.5% |
| UBP-F | URSTADT BIDDLE PPTYS INC PFD SER F 7.125% |
| UBPS | UNIVERSAL BUSINESS PMT SOL AC COM |
| UBPSU | UNIVERSAL BUSINESS PMT SOL AC UNIT 1COM&1WT |
| UBPSW | UNIVERSAL BUSINESS PMT SOL AC WT EXP 050917 |
| UBR | PROSHARES TR ULT MSCIBZL CAPP |
| UBS | UBS AG SHS NEW |
| UBS- | UBS Preferred Funding Trust III 7.25% Noncumulative Trust Preferred Securities due June 26 2006 |
| UBS-* | UBS Preferred Funding Trust III 7.25% Noncumulative Trust Preferred Securities due June 26 2006 |
| UBS-D | UBS PFD FDG TR IV PFD TR FLTG RT |
| UBSH | UNION FIRST MKT BANKSH CP COM |
| UBSI | UNITED BANKSHARES INC WEST VA COM |
| UBS^ | UBS AG Rights (Expiring June 10 2008) |
| UBS^# | UBS AG RTS WI |
| UBT | PROSHARES TR ULTRA 20YR TRE |
| UCBA | UNITED CMNTY BANCORP IND COM |
| UCBC | Union Community Bancorp - Common Stock |
| UCBH | UCBH HOLDINGS INC COM |
| UCBI | UNITED CMNTY BKS BLAIRSVLE GA COM |

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| UCBID | UNITED CMNTY BKS BLAIRSVLE GA COM |
| UCC | PROSHARES TR PSHS CONSMR SVCS |
| UCD | PROSHARES TR II ULT DJ UBS COMM |
| UCFC | UNITED CMNTY FINL CORP OHIO COM |
| UCI | UBS AG JERSEY BRH CMCI ETN 38 |
| UCLP | Universal Compression Partners L.P. - Common Units representing Limited Partner Interests |
| UCNN | UCN Inc. - Common Stock |
| UCO | PROSHARES TR II ULT DJ UBS CRUDE |
| UCR | Claymore MACROshares Oil Up Tradeable Trust |
| UCTT | ULTRA CLEAN HLDGS INC COM |
| UDM | UDR Inc. 8 1/2% Monthly Income Notes due November 15 2008 |
| UDN | POWERSHS DB US DOLLAR INDEX TR DOLL INDX BEAR |
| UDNT | DEUTSCHE BK AG LONDON BRH IDX FUTRS NT30 |
| UDOW | PROSHARES TR ULTRPRO DOW30 |
| UDR | UDR INC COM |
| UDR-B | UDR Inc. 8.60% Series B Cumulative Redeemable Preferred Stock |
| UDR-B* | UDR Inc. 8.60% Series B Cumulative Redeemable Preferred Stock |
| UDR-G | UDR INC PFD SER G |
| UDR-G* | UDR INC PFD SER G |
| UDRL | UNION DRILLING INC COM |
| UDW | US DATAWORKS INC COM NEW |
| UEC | URANIUM ENERGY CORP COM |
| UEI | ULTIMATE ESCAPES INC COM |
| UEI+ | ULTIMATE ESCAPES INC WT EXP 10232011 |
| UEI= | ULTIMATE ESCAPES INC UNIT EX 10232011 |
| UEIC | UNIVERSAL ELECTRS INC COM |
| UEM | CLAYMORE EXCHANGE TRADED FD TR US-1 CAP ETF |
| UEP-A | Union Electric Company Preferred \$3.50 Series |
| UEP-C | Union Electric Company Preferred Stock \$4.00 Series |
| UEP-D | Union Electric Company Preferred \$4.50 Series |
| UEP-E | Union Electric Company Preferred Stock \$4.56 Series |
| UEPS | NET 1 UEPS TECHNOLOGIES INC COM NEW |
| UFBS | Union Financial Bancshares Inc. - Common Stock |
| UFCS | UNITED FIRE GROUP INC COM |
| UFI | UNIFI INC COM NEW |
| UFPI | UNIVERSAL FST PRODS INC COM |
| UFPT | UFP TECHNOLOGIES INC COM |
| UFS | DOMTAR CORP COM NEW |
| UFS# | Domtar Corporation Common Stock |
| UG | UNITED GUARDIAN INC COM |
| UGA | UNITED STS GASOLINE FD LP UNITS |
| UGAZ | CREDIT SUISSE NASSAU BRH ETN LKD 32 |
| UGE | PROSHARES TR PSHS CONSMRGOODS |
| UGEM | EGA EMERGING GLOBAL SHS TR UTILITIES GEMS |
| UGI | UGI CORP NEW COM |
| UGL | PROSHARES TR II ULTRA GOLD |
| UGLD | CREDIT SUISSE NASSAU BRH 3X LONG GOLD |
| UGP | ULTRAPAR PARTICIPACOES S A SP ADR REP COM |
| UHAL | AMERCO COM |
| UHCO | Universal American Financial Corp. - Common Stock |
| UHCP | United Heritage Corporation - Common Stock |
| UHCPC | UNITED HERITAGE CORP |
| UHN | UNITED STS DIESEL HEATING OIL UNIT |
| UHOS | UNIVERSAL HOSP SVCS NEW |
| UHS | UNIVERSAL HLTH SVCS INC CL B |
| UHT | UNIVERSAL HEALTH RLTY INCM TR SH BEN INT |
| UIC | United Industrial Corporation Common Stock |
| UIHC | UNITED INS HLDGS CORP COM |
| UIL | UIL HLDG CORP COM |
| UIL# | UIL Holdings Corporation Common Stock |
| UINF | PROSHARES TR ULTRAPRO 10YR |

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| UIS | UNISYS CORP COM NEW |
| UIS-A | UNISYS CORP PFD SER A 6.25% |
| UJB | PROSHARES TR ULTRA HIGH YLD |
| UKF | PROSHARES TR PSHS ULT1000 GRW |
| UKK | PROSHARES TR PSHS ULT 2000 GR |
| UKW | PROSHARES TR PSHS ULT MDCP GR |
| UL | UNILEVER PLC SPON ADR NEW |
| ULBI | ULTRALIFE CORP COM |
| ULCM | ULTICOM INC COM NEW |
| ULE | PROSHARES TR II PSH ULTRA EURO |
| ULGX | UROLOGIX INC COM |
| ULQ | CLAYMORE EXCHANGE TRD FD TR FIXED INC ETF |
| ULTA | ULTA SALON COSMETCS & FRAG INC COM |
| ULTI | ULTIMATE SOFTWARE GROUP INC COM |
| ULTR | ULTRAPETROL BAHAMAS LTD COM |
| ULU | ULURU INC COM NEW |
| UMBF | UMB FINL CORP COM |
| UMC | UNITED MICROELECTRONICS CORP SPON ADR NEW |
| UMDD | PROSHARES TR ULTRA MDCAP400 |
| UMH | U M H PROPERTIES INC COM |
| UMH-A | U M H PROPERTIES INC CV RED PFD-A |
| UMM | MACROSHARES MAJOR METRO HSG UP SHS |
| UMPQ | UMPQUA HLDGS CORP COM |
| UMPQP | UMPQUA HLDGS CORP DEP SHS |
| UMX | PROSHARES TR ULT MSCIMEX CAPP |
| UN | UNILEVER N V N Y SHS NEW |
| UNA | UNOVA Inc. Common Stock |
| UNAM | UNICO AMERN CORP COM |
| UNB | UNION BANKSHARES INC COM |
| UNCA | UNICA CORP COM |
| UNCL | MRU Holdings Inc. - Common Stock |
| UNF | UNIFIRST CORP MASS COM |
| UNFI | UNITED NAT FOODS INC COM |
| UNFY | UNIFY CORP COM NEW |
| UNG | UNITED STATES NATL GAS FUND LP UNIT PAR \$0.001 |
| UNH | UNITEDHEALTH GROUP INC COM |
| UNIB | University Bancorp Inc Michigan - Common Stock |
| UNIS | UNILIFE CORP NEW COM |
| UNIZ | Unizan Financial Corporation - Common Stock |
| UNL | UNITED STS 12 MONTH NAT GAS FD UNIT BEN INT |
| UNM | UNUM GROUP COM |
| UNM-A | UNUMProvident Corporation Adjustable Conversion-Rate Equity Security Units |
| UNN | Unum Group 7.250% Public Income NoteES (PINES) due June 15 |
| UNP | UNION PAC CORP COM |
| UNP# | Union Pacific Corporation Common Stock |
| UNS | UNS ENERGY CORP COM |
| UNT | UNIT CORP COM |
| UNTD | UNITED ONLINE INC COM |
| UNTK | UNITEK GLOBAL SVCS INC COM PAR \$.00002 |
| UNTKD | UNITEK GLOBAL SVCS INC COM PAR \$.00002 |
| UNTY | UNITY BANCORP INC COM |
| UNXL | UNI PIXEL INC COM NEW |
| UNXLD | UNI PIXEL INC COM NEW |
| UOIL | CREDIT SUISSE NASSAU BRH VS 3XLNG BRENT |
| UOY | MACROSHARES 100 OIL UP TR UNIT NEW |
| UPCS | UbiquiTel Inc. - Common Stock |
| UPFC | UNITED PANAM FINANCIAL CP COM |
| UPG | UNIVERSAL POWER GROUP INC COM |
| UPI | UROPLASTY INC COM NEW |
| UPIP | UNWIRED PLANET INC NEW COM |
| UPL | ULTRA PETROLEUM CORP COM |

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| UPM | UPM-Kymmene Corporation American Depositary Shares(Representing Ordinary Shares |
| UPRO | PROSHARES TR ULTRPRO S&P500 |
| UPS | UNITED PARCEL SERVICE INC CL B |
| UPV | PROSHARES TR ULTRA EUROPE |
| UPW | PROSHARES TR PSHS ULTRA UTIL |
| UQM | UQM TECHNOLOGIES INC COM |
| URA | GLOBAL X FDS GBLX URANIUM NEW |
| URBN | URBAN OUTFITTERS INC COM |
| URE | PROSHARES TR ULT R/EST NEW |
| URG | UR ENERGY INC COM |
| URGI | United Retail Group Inc. - Common Stock |
| URI | UNITED RENTALS INC COM |
| URI\$ | United Rentals Inc. Common Stock |
| URR | MORGAN STANLEY LNG EURO ETN20 |
| URRE | URANIUM RES INC COM PAR\$0.001NEW |
| URS | URS CORP NEW COM |
| URS# | URS Corporation Common Stock |
| URTH | ISHARES INC MSCI WORLD IDX |
| URTY | PROSHARES TR ULTR RUSSL2000 |
| URX | UNITED REFINING ENERGY CORP COM |
| URX+ | UNITED REFINING ENERGY CORP WT EXP 121111 |
| URX= | UNITED REFINING ENERGY CORP UNIT EX 121111 |
| URZ | URANERZ ENERGY CORP COM |
| USA | LIBERTY ALL STAR EQUITY FD SH BEN INT |
| USAC | USA COMPRESSION PARTNERS LP COMUNIT LTDPAR |
| USAG | UNITED STS COMMODITY IDX FDTR COM UTS US AGR |
| USAK | USA TRUCK INC COM |
| USAP | UNIVERSAL STAINLESS & ALLOY COM |
| USAT | USA TECHNOLOGIES INC COM NO PAR |
| USATP | USA TECHNOLOGIES INC CONV PFD SER A |
| USATR | USA TECHNOLOGIES INC SUBSCRPT RT |
| USATW | USA TECHNOLOGIES INC WT EXP 123111 |
| USATZ | USA TECHNOLOGIES INC WT EXP 123113 |
| USB | US BANCORP DEL COM NEW |
| USB-A | US BANCORP DEL PERP PFD SER A |
| USB-B | USB Capital III 7.75% Trust Preferred Securities due May 1 2031 |
| USB-B* | USB Capital III 7.75% Trust Preferred Securities due May 1 2031 |
| USB-C | USB Capital IV 7.35% Trust Preferred Securities (due November 1 |
| USB-C* | USB Capital IV 7.35% Trust Preferred Securities (due November 1 |
| USB-D | USB Capital V 7.25% Trust Preferred Securities |
| USB-D* | USB Capital V 7.25% Trust Preferred Securities |
| USB-E | USB CAP VI PFD GTD TR |
| USB-E* | USB CAP VI PFD GTD TR |
| USB-F | USB CAP VII PFD TR GTD |
| USB-F* | USB CAP VII PFD TR GTD |
| USB-G | USB CAP VIII PFD TR SECS |
| USB-G* | USB CAP VIII PFD TR SECS |
| USB-H | US BANCORP DEL PFD B 1/1000DP |
| USB-I | USB CAP X PFD |
| USB-I* | USB CAP X PFD |
| USB-J | USB CAP XI 6.6% TR PFD SE |
| USB-J* | USB CAP XI 6.6% TR PFD SE |
| USB-K | USB CAP XII GTD TR PRF SEC |
| USB-K* | USB CAP XII GTD TR PRF SEC |
| USB-L | US BANCORP DEL PFD1/1000SER D |
| USB-L* | US BANCORP DEL PFD1/1000SER D |
| USB-M | US BANCORP DEL DEP SHS PFD F |
| USB-N | US BANCORP DEL DEP SHS REP G |
| USB-O | US BANCORP DEL PFD 1/1000 PRP H |
| USBE | US BioEnergy Corporation - Common Stock |
| USBI | UNITED SEC BANCSHARES INC SHS |

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| USCI | UNITED STS COMMODITY INDEX FD COMM IDX FND |
| USCR | U S CONCRETE INC COM NEW |
| USD | PROSHARES TR PSHS ULT SEMICDT |
| USEG | U S ENERGY CORP WYO COM |
| USEY | U.S. Energy Systems Inc. - Common Stock |
| USFP | US FED PPTYS TR INC COM |
| USG | U S G CORP COM NEW |
| USG^ | USG Corporation Rights (Expiring July 27 2006) |
| USG^# | USG CORPORATION |
| USHS | U S HOME SYS INC COM |
| USIH | USI Holdings Corporation - Common Stock |
| USL | UNITED STS 12 MONTH OIL FD LP UNIT BEN INT |
| USLM | UNITED STATES LIME & MINERALS COM |
| USLV | CREDIT SUISSE NASSAU BRH 3X LONG SILVER |
| USM | UNITED STATES CELLULAR CORP COM |
| USMD | USMD HLDGS INC COM |
| USMI | UNITED STS COMMODITY IDX FDTR COM UNIT US ML |
| USMO | USA MOBILITY INC COM |
| USMV | ISHARES TR USA MIN VOL ID |
| USNA | USANA HEALTH SCIENCES INC COM |
| USO | UNITED STATES OIL FUND LP UNITS |
| USPH | U S PHYSICAL THERAPY INC COM |
| USPI | USSPI MEDIA INC COM |
| USQ | Union Street Acquisition Corp |
| USQ+ | Union Street Acquisition Corp |
| USQ= | Union Street Acquisition Corp. |
| USS | U.S. Shipping Partners L.P. Common Units representing limited partner interests |
| UST | PROSHARES TR ULTR 7-10 TREA |
| USTR | UNITED STATIONERS INC COM |
| USU | USEC INC COM |
| USV | UBS AG JERSEY BRH CMCI SILVR ETN |
| USY | WISDOMTREE TRUST US SHRT GOV INC |
| UTA | UNIVERSAL TRAVEL GROUP COM NEW |
| UTBI | UNITED TENN BNKSHS |
| UTEK | ULTRATECH INC COM |
| UTF | COHEN & STEERS INFRASTRUCTURE COM |
| UTG | REAVES UTIL INCOME FD COM SH BEN INT |
| UTG^ | REAVES UTIL INCOME FD RT |
| UTG^# | REAVES UTIL INCOME FD RT |
| UTH | UTILITIES HOLDRS TR DEPOSITRY RCPT |
| UTHR | UNITED THERAPEUTICS CORP DEL COM |
| UTI | UNIVERSAL TECHNICAL INST INC COM |
| UTIW | UTI WORLDWIDE INC ORD |
| UTK | UTEK CORP COM |
| UTL | UNITIL CORP COM |
| UTLT | DBX ETF TR REG UTILITY ID |
| UTMD | UTAH MED PRODS INC COM |
| UTR | UNITRIN INC COM |
| UTSI | UTSTARCOM HOLDINGS CORP SHS NEW |
| UTX | UNITED TECHNOLOGIES CORP COM |
| UTX-A | UNITED TECHNOLOGIES CORP CORP UNIT |
| UU | United Utilities PLC American Depositary Shares (Each representing two Ordinary Shares) |
| UUD | MERRILL LYNCH & CO INC NT IDX UTIL 09 |
| UUP | POWERSHS DB US DOLLAR INDEX TR DOLL INDX BULL |
| UOPT | DEUTSCHE BK AG LONDON BRH IDX EXCH NT30 |
| UUU | UNIVERSAL SEC INSTRS INC COM NEW |
| UUY | MERRILL LYNCH & CO INC NT LKD SLCT UT |
| UVE | UNIVERSAL INS HLDGS INC COM |
| UVG | PROSHARES TR PSHS ULT1000 VAL |
| UVN | Univision Communications Inc. Class A Common Stock |
| UVSP | UNIVEST CORP PA COM |

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| UVT | PROSHARES TR PSHS ULT2000 VAL |
| UVU | PROSHARES TR PSHS ULT MCP VAL |
| UVV | UNIVERSAL CORP VA COM |
| UVXY | PROSHARES TR II UL VIXSTFUT ETF |
| UWBK | UNITED WESTN BANCORP INC COM |
| UWC | PROSHARES TR UL RUS3000 ETF |
| UWM | PROSHARES TR PSHS ULTRUSS2000 |
| UWN | NEVADA GOLD & CASINOS INC COM NEW |
| UWTI | CREDIT SUISSE NASSAU BRH VS 3XLNGNATGAS |
| UXG | US GOLD CORPORATION COM PAR \$0.10 |
| UXI | PROSHARES TR PSHS ULTRA INDL |
| UXJ | PROSHARES TR ULT MSCI PAC |
| UYE | Corporate Asset Backed Corporation CABCO Series 2002-1 Trust (AOL Time Warner Inc.) Class A-1 Callable Certificates 7.625% Pass-Through Rate |
| UYG | PROSHARES TR ULTRA FNCLS NEW |
| UYM | PROSHARES TR PSHS ULT BASMATL |
| UZA | UNITED STATES CELLULAR CORP CALL SR NT 60 |
| UZG | UNITED STATES CELLULAR CORP NT SR 8.75%32 |
| UZG* | UNITED STATES CELLULAR CORP NT SR 8.75%32 |
| UZV | UNITED STATES CELLULAR CORP SR NT 2034 |
| UZV* | UNITED STATES CELLULAR CORP SR NT 2034 |
| UZW | Merrill Lynch |
| V | VISA INC COM CL A |
| VAC | MARRIOTT VACATIONS WRLDWDE CP COM |
| VAC# | MARRIOTT VACATIONS WRLDWDE CP COM |
| VAIL | Vail Banks Inc. Common Stock |
| VAL | VALSPAR CORP COM |
| VALE | VALE S A ADR |
| VALE.P | VALE S A ADR REPSTG PFD |
| VALU | VALUE LINE INC COM |
| VALV | SHENGKAI INNOVATIONS INC COM NEW |
| VAR | VARIAN MED SYS INC COM |
| VARI | VARIAN INC COM |
| VAS | VIASYS Healthcare Inc. Common Stock |
| VASC | VASCULAR SOLUTIONS INC COM |
| VASO | VASOMEDICAL INC COM |
| VAW | VANGUARD WORLD FDS MATERIALS ETF |
| VAZ | DELAWAR INVTS AZ MUN INCOME FD COM |
| VB | VANGUARD INDEX FDS SMALL CP ETF |
| VBAC | Virbac Corporation - Common Stock |
| VBF | INVESCO BD FD COM |
| VBFC | VILLAGE BK & TR FINANCIAL CORP COM |
| VBFCW | Village Bank and Trust Financial Corp. - Village Bank and Trust Financial Corp. Warrants |
| VBK | VANGUARD INDEX FDS SML CP GRW ETF |
| VBR | VANGUARD INDEX FDS SM CP VAL ETF |
| VC | VISTEON CORP COM NEW |
| VCBI | VIRGINIA COMM BANCORP INC COM |
| VCC | Veri-Tek International Corp |
| VCF | DELAWARE INV CO MUN INC FD INC COM |
| VCG | Valor Communications Group Inc. Common Stock |
| VCGH | VCG HLDG CORP COM |
| VCI | VALASSIS COMMUNICATIONS INC COM |
| VCIT | VANGUARD SCOTTSDALE FDS INT-TERM CORP |
| VCLK | VALUECLICK INC COM |
| VCLT | VANGUARD SCOTTSDALE FDS LG-TERM COR BD |
| VCMP | VCampus Corporation - Common Stock |
| VCO | VINA CONCHA Y TORO S A SPONSORED ADR |
| VCP | VOTORANTIM CELULOSE E PAPEL SA SP ADR REP COM |
| VCR | VANGUARD WORLD FDS CONSUM DIS ETF |
| VCRA | VOCERA COMMUNICATIONS INC COM |
| VCSH | VANGUARD SCOTTSDALE FDS SHRT TRM CORP BD |

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| VCV | INVESCO CALIF VALUE MUN INC TR COM |
| VDC | VANGUARD WORLD FDS CONSUM STP ETF |
| VDE | VANGUARD WORLD FDS ENERGY ETF |
| VDM | Van Der Moolen Holding N.V. American Depositary Shares (Each representing one Common Share of E 0.08 each) |
| VDSI | VASCO DATA SEC INTL INC COM |
| VE | VEOLIA ENVIRONNEMENT SPONSORED ADR |
| VEA | VANGUARD TAX MANAGED INTL FD FTSE DEV MKT ETF |
| VECO | VEECO INSTRS INC DEL COM |
| VEGA | ADVISORSHARES TR STAR GLOB BUYW |
| VEGF | Corautus Genetics Inc. - Common Stock |
| VEGI | ISHARES INC MSCI GLB AGRI |
| VEH | Valero GP Holdings LLC Units Representing Limited Liability Company Interests |
| VEL-A | Virginia Power Capital Trust II 7.375% Trust Preferred Securities |
| VEL-A* | Virginia Power Capital Trust II 7.375% Trust Preferred Securities |
| VEL-E | VIRGINIA ELEC & PWR CO PFD \$5 |
| VELC | VELCRO INDS N V COM |
| VELCF | Velcro Industries N.V. - Common Stock |
| VELT | VELTI PLC ST HELIER SHS |
| VERT | VerticalNet Inc. - Common Stock |
| VERTD | VerticalNet Inc. - Common Stock |
| VET | VERMILION ENERGY INC COM |
| VETS | PET DRX CORPORATION COM |
| VETSU | PET DRX CORPORATION UNIT EX 031710 |
| VETSW | PET DRX CORPORATION WT EXP 031710 |
| VEU | VANGUARD INTL EQUITY INDEX FD ALLWRLD EX US |
| VEXP | VELOCITY EXPRESS CORP COM PAR NEW |
| VEXPD | Velocity Express Corporation - Common Stock |
| VFC | V F CORP COM |
| VFGI | Virginia Financial Group Inc - Common Stock |
| VFH | VANGUARD WORLD FDS FINANCIALS ETF |
| VFL | DELAWARE INVT NAT MUNI INC FD SH BEN INT |
| VG | VONAGE HLDGS CORP COM |
| VGEM | EGA EMERGING GLOBAL SHS TR CONSMR SVC GEM |
| VGI | VIRTUS GLOBAL MULTI-SEC INC FD COM |
| VGIT | VANGUARD SCOTTSDALE FDS INT-TERM GOV |
| VGK | VANGUARD INTL EQUITY INDEX FD FTSE EUROPE ETF |
| VGLT | VANGUARD SCOTTSDALE FDS LONG-TERM GOV |
| VGM | INVESCO TR INVT GRADE MUNS COM |
| VGR | VECTOR GROUP LTD COM |
| VGSH | VANGUARD SCOTTSDALE FDS SHTRM GVT BD ETF |
| VGT | VANGUARD WORLD FDS INF TECH ETF |
| VGZ | VISTA GOLD CORP COM NEW |
| VHC | VIRNETX HLDG CORP COM |
| VHI | VALHI INC NEW COM |
| VHI# | Valhi Inc. Common Stock |
| VHS | VANGUARD HEALTH SYS INC COM |
| VHT | VANGUARD WORLD FDS HEALTH CAR ETF |
| VIA | VIACOM INC NEW CL A |
| VIA# | Viacom Inc. Class A Common Stock |
| VIA.B | VIACOM INC NEW CL B |
| VIA.B# | Viacom Inc. Class B Common Stock |
| VIAB | VIACOM INC NEW CL B |
| VIAC | ViaCell Inc. - Common Stock |
| VIAP | VIA PHARMACEUTICALS INC COM |
| VIAS | VIASYSTEMS GROUP INC COM PAR\$.01 |
| VICL | VICAL INC COM |
| VICR | VICOR CORP COM |
| VIDE | VIDEO DISPLAY CORP COM |
| VIDEE | Video Display Corporation Common Stock |
| VIFL | FOOD TECHNOLOGY SERVICE INC COM NEW |
| VIFLD | Food Technology Service Inc. - Common Stock |

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| VIG | VANGUARD SPECIALIZED PORTFOLIO DIV APP ETF |
| VIGN | VIGNETTE CORP COM NEW |
| VII | VICON INDS INC COM |
| VIIIX | CREDIT SUISSE NASSAU BRH VIX SHORT TERM |
| VIIIZ | CREDIT SUISSE NASSAU BRH VIX MID TERM |
| VIM | INVESCO VAN KAMPEN TR VALUE MU COM |
| VIMC | VIMICRO INTL CORP ADR |
| VIN | Van Kampen Income Trust Shares of Beneficial Interest |
| VIOG | VANGUARD ADMIRAL FDS INC SMLCP 600 GRTH |
| VION | Vion Pharmaceuticals Inc. - Common Stock |
| VIOND | Vion Pharmaceuticals Inc. - Common Stock |
| VIOO | VANGUARD ADMIRAL FDS INC SMLLCP 600 IDX |
| VIOV | VANGUARD ADMIRAL FDS INC SMLCP 600 VAL |
| VIP | VIMPELCOM LTD SPONSORED ADR |
| VIP# | VIMPELCOM LTD SPONSORED ADR |
| VIPS | VIPSHOP HLDGS LTD SPONSORED ADR |
| VIR | Virco Manufacturing Corp |
| VIRC | VIRCO MFG CO COM |
| VIRL | VIRAGE LOGIC CORP COM |
| VIS | VANGUARD WORLD FDS INDUSTRIAL ETF |
| VISG | Viisage Technology Inc. - Common Stock |
| VISN | VISIONCHINA MEDIA INC SPON ADR NEW |
| VIST | VIST FINANCIAL CORP COM |
| VIT | VANCEINFO TECHNOLOGIES INC ADR |
| VITA | ORTHOVITA INC COM |
| VITC | VITACOST COM INC COM |
| VITL | Vital Signs Inc. - Common Stock |
| VITR | Vitria Technology Inc. - Common Stock |
| VIV | TELEFONICA BRASIL SA SPONSORED ADR |
| VIV# | TELECOMUNICACOES DE SAO PAULO SPON ADR PFD |
| VIVO | MERIDIAN BIOSCIENCE INC COM |
| VIXH | FIRST TR EXCHANGE TRADED FD CBOE S&P500VIX |
| VIXM | PROSHARES TR II VIX MDTRM FUTR |
| VIXY | PROSHARES TR II VIX STRMFUT ETF |
| VKA | VAN KAMPEN ADVANTAGE |
| VKI | INVESCO ADVANTAGE MUNICIPAL IN SH BEN INT |
| VKL | INVESCO VAN KAMPEN SELECT MUN SH BEN INT |
| VKQ | INVESCO MUN TR COM |
| VKV | VAN KAMPEN VALUE MUN |
| VLAT | DIREXION SHS ETF TR S&P LATAM 40VO |
| VLCCF | KNIGHTSBRIDGE TANKERS LTD ORD |
| VLCM | VOLCOM INC COM |
| VLG | Valley National Gases Inc |
| VLGEA | VILLAGE SUPER MKT INC CL A NEW |
| VLI | Valero L.P. Common Units representing limited partner interests |
| VLLY | Valley Bancorp - Common Stock |
| VLNC | VALENCE TECHNOLOGY INC COM |
| VLO | VALERO ENERGY CORP NEW COM |
| VLO# | VALERO ENERGY CORP NEW EX DISTRIB WI |
| VLR | MORGAN STANLEY SPARQS |
| VLR* | Morgan Stanley |
| VLRX | Valera Pharmaceuticals Inc. - Common Stock |
| VLT | INVESCO HIGH INCOME TR II COM |
| VLTC | VOLTARI CORP COM NEW |
| VLTR | VOLTERRA SEMICONDUCTOR CORP COM |
| VLTS | Valentis Inc. - Common Stock |
| VLU | SPDR SERIES TRUST SPDR S&P1500VL |
| VLUE | ISHARES TR MSCI USAVALFCT |
| VLY | VALLEY NATL BANCORP COM |
| VLY+ | VALLEY NATL BANCORP WT EXP 111418 |
| VLY-A | VNB CAP TR I TOPRS 7.75% |

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| VLYWW | VALLEY NATL BANCORP WT EXP 063015 |
| VM | VIRGIN MOBILE USA INC CL A |
| VMBS | VANGUARD SCOTTSDALE FDS MORTG-BACK SEC |
| VMC | VULCAN MATLS CO COM |
| VMC# | Vulcan Materials Company Common Stock \$1 Par Value |
| VMED | VIRGIN MEDIA INC COM |
| VMEDW | VIRGIN MEDIA INC WT EXP A 011011 |
| VMI | VALMONT INDS INC COM |
| VMM | DELAWARE INV MN MUN INC FD II COM |
| VMN | Delaware Investments Minnesota Municipal Income Fund Inc |
| VMO | INVESCO MUN OPPORTUNITY TR COM |
| VMSI | Ventana Medical Systems Inc. - Common Stock |
| VMV | INVESCO VAN KAMPEN MASS VALUE COM |
| VMW | VMWARE INC CL A COM |
| VNBC | Vineyard National Bancorp - Common Stock |
| VNBK | Venture Financial Group Inc. - Common Stock |
| VNDA | VANDA PHARMACEUTICALS INC COM |
| VNET | 21VIANET GROUP INC SPONSORED ADR |
| VNLS | Vernalis plc - American Depositary Shares |
| VNM | MARKET VECTORS ETF TR VIETNAM ETF |
| VNO | VORNADO RLTY TR SH BEN INT |
| VNO-A | VORNADO RLTY TR PFD CONV SER A |
| VNO-E | VORNADO RLTY TR PFD E 7.00% |
| VNO-F | VORNADO RLTY TR PFD F 6.75% |
| VNO-F* | VORNADO RLTY TR PFD F 6.75% |
| VNO-G | VORNADO RLTY TR PFD G 6.625% |
| VNO-H | VORNADO RLTY TR PFD H 6.750 |
| VNO-H* | VORNADO RLTY TR PFD H 6.750 |
| VNO-I | VORNADO RLTY TR PFD SER I |
| VNO-J | VORNADO RLTY TR PFD CUM-J % |
| VNO-K | VORNADO RLTY TR PFD SER K |
| VNO-L | VORNADO RLTY TR PFD SER L 5.40% |
| VNOD | VORNADO RLTY L P PINES 7.875%39 |
| VNQ | VANGUARD INDEX FDS REIT ETF |
| VNQI | VANGUARD INTL EQUITY INDEX FD GLB EX US ETF |
| VNR | VANGUARD NAT RES LLC COM UNIT |
| VNT | Compania Anonima Nacional Telefonos de Venezuela (CANTV) American Depositary Shares (Each representing seven Class D Shares) |
| VNTV | VANTIV INC CL A |
| VNUS | VNUS MED TECHNOLOGIES INC COM |
| VNV | VIACOM INC NEW NT SR 6.85% 55 |
| VNV* | VIACOM INC NEW NT SR 6.85% 55 |
| VNWK | VISUAL NETWORKS INC |
| VNX | VendingData Corporation |
| VO | VANGUARD INDEX FDS MID CAP ETF |
| VOC | VOC ENERGY TR TR UNIT |
| VOCL | VOCALTEC COMMUNICATIONS LTD SHS NEW |
| VOCLD | VOCALTEC COMMUNICATI |
| VOCS | VOCUS INC COM |
| VOD | VODAFONE GROUP PLC NEW SPONS ADR NEW |
| VOE | VANGUARD INDEX FDS MCAP VL IDXVIP |
| VOG | VOYAGER OIL & GAS INC COM |
| VOL | VOLT INFORMATION SCIENCES INC COM |
| VOL# | Volt Information Sciences Inc. Common Stock |
| VOLC | VOLCANO CORPORATION COM |
| VOLT | VOLTAIRE LTD ORD SHS |
| VOLV | AB Volvo - Class B American Depositary Shares |
| VOLVY | AB Volvo - Class B American Depositary Shares |
| VONE | VANGUARD SCOTTSDALE FDS VNG RUS1000IDX |
| VONG | VANGUARD SCOTTSDALE FDS VNG RUS1000GRW |
| VONV | VANGUARD SCOTTSDALE FDS VNG RUS1000VAL |

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| VOO | VANGUARD INDEX FDS S&P 500 ETF SH |
| VOOG | VANGUARD ADMIRAL FDS INC 500 GRTH IDX F |
| VOOV | VANGUARD ADMIRAL FDS INC 500 VAL IDX FD |
| VOQ | INVESCO VAN KAMPEN OHIO QUALIT COM |
| VOT | VANGUARD INDEX FDS MCAF GR IDXVIP |
| VOX | VANGUARD WORLD FDS TELCOMM ETF |
| VOXW | VOXWARE INC COM NEW |
| VOXX | VOXX INTL CORP CL A |
| VOYA | ING U S INC COM |
| VPF | VALPEY FISHER CORP COM |
| VPFG | VIEWPOINT FINL GROUP INC MD COM |
| VPFGD | VIEWPOINT FINL GROUP INC MD COM |
| VPG | VISHAY PRECISION GROUP INC COM |
| VPG# | VISHAY PRECISION GROUP INC COM |
| VPHM | VIROPHARMA INC COM |
| VPI | VINTAGE PETROLEUM INC |
| VPL | VANGUARD INTL EQUITY INDEX FD MEGA CAP GRO ETF |
| VPRT | VISTAPRINT N V SHS |
| VPS | VERMONT PURE HLDGS LTD NEW COM |
| VPU | VANGUARD WORLD FDS UTILITIES ETF |
| VPV | INVESCO PA VALUE MUN INCOME TR COM |
| VQ | VENOCO INC COM |
| VQT | BARCLAYS BK PLC S&P 500 VEQTOR |
| VR | VALIDUS HOLDINGS LTD COM SHS |
| VRA | VERA BRADLEY INC COM |
| VRA+ | Viragen Inc |
| VRA= | Viragen Inc |
| VRAD | VIRTUAL RADIOLOGIC CORPORATION COM |
| VRAZ | VERAZ NETWORKS INC COM |
| VRD | SPDR SERIES TRUST NUVN S&P VRDO MN |
| VRGY | VERIGY LTD SHS |
| VRGYV | Verigy Ltd. - Ordinary Shares - When Issued |
| VRLK | Verilink Corporation - Common Stock |
| VRML | VERMILLION INC COM NEW |
| VRMLD | Vermillion Inc. - Common Stock |
| VRNG | VRINGO INC COM |
| VRNG+ | VRINGO INC WT EXP 062115 |
| VRNG= | VRINGO INC UNIT EX 000010 |
| VRNGW | VRINGO INC WT EXP 062115 |
| VRNM | VERENIUM CORP COM NEW |
| VRNMD | VERENIUM CORP COM NEW |
| VRNT | VERINT SYS INC COM |
| VROM | GLOBAL X FDS GLOBAL X AUTO |
| VRS | VERSO PAPER CORP COM |
| VRSK | VERISK ANALYTICS INC CL A |
| VRSN | VERISIGN INC COM |
| VRSO | Verso Technologies Inc. - Common Stock |
| VRTA | VESTIN REALTY MORTGAGE I INC COM |
| VRTB | VESTIN RLTY MTG II INC COM NEW |
| VRTBD | Vestin Realty Mortgage II Inc. - Common Stock |
| VRTS | VIRTUS INVT PARTNERS INC COM |
| VRTSV | VIRTUS INVT PARTNERS INC COM |
| VRTU | VIRTUSA CORP COM |
| VRTX | VERTEX PHARMACEUTICALS INC COM |
| VRTY | VERITY CORP COM |
| VRUS | PHARMASSET INC COM |
| VRX | VALEANT PHARMACEUTICALS INTL I COM |
| VRY | VICTORY ACQUISITION CORP COM |
| VRY+ | VICTORY ACQUISITION CORP WT EXP 042411 |
| VRY= | VICTORY ACQUISITION CORP UNIT EX 000011 |
| VRYA | ViryaNet Ltd. - Ordinary Shares |

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| VRAD | ViryaNet Ltd. - Ordinary Shares |
| VSAT | VIASAT INC COM |
| VSBN | VSF BANCORP INC N Y COM |
| VSCI | VISION-SCIENCES INC DEL COM |
| VSCN | Visual Sciences Inc. - Common Stock |
| VSCP | VIRTUALSCOPICS INC COM |
| VSE | VeraSun Energy Corporation Common Stock |
| VSEA | VARIAN SEMICONDUCTOR EQUIPMNT COM |
| VSEC | VSE CORP COM |
| VSF | Vita Food Products Inc |
| VSGN | VASOGEN INC COM NEW |
| VSGND | Vasogen Inc. - Common Shares |
| VSH | VISHAY INTERTECHNOLOGY INC COM |
| VSH# | VISHAY INTERTECHNOLOGY INC EX DIST WI |
| VSI | VITAMIN SHOPPE INC COM |
| VSL | Videsh Sanchar Nigam Limited American Depositary Shares(Each representing two Ordinary Shares) |
| VSNT | VERSANT CORP COM NEW |
| VSPR | DIREXION SHS ETF TR S&P1500 VOL RS |
| VSPY | DIREXION SHS ETF TR S&P500 VOL RES |
| VSR | VERSAR INC COM |
| VSS | VANGUARD INTL EQUITY INDEX FD FTSE SMCAP ETF |
| VSTA | VISTAGEN THERAPEUTICS INC COM |
| VSTH | VitalStream Holdings Inc. - Common Stock |
| VSTM | VERASTEM INC COM |
| VSTY | Varsity Group Inc - Common Stock |
| VT | VANGUARD INTL EQUITY INDEX FD TT WRLD ST ETF |
| VTA | INVESCO DYNAMIC CR OPP FD COM |
| VTAL | VITAL IMAGES INC COM |
| VTEK | Vodavi Technology Inc. - Common Stock |
| VTF | Van Kampen Trust for Investment Grade Florida Municipals Common Shares of Beneficial Interest |
| VTG | VANTAGE DRILLING COMPANY ORD SHS |
| VTG+ | VANTAGE DRILLING COMPANY WT EXP 052411 |
| VTG= | VANTAGE DRILLING COMPANY UNIT EX 052411 |
| VTHR | VANGUARD SCOTTSDALE FDS VNG RUS3000IDX |
| VTI | VANGUARD INDEX FDS TOTAL STK MKT |
| VTIP | VANGUARD MALVERN FDS STRM INFPROIDX |
| VTIV | INVENTIV HEALTH INC COM |
| VTJ | INVESCO VAN KAMPEN TR INVT GRA COM |
| VTN | INVESCO TR INVT GRADE NY MUNS COM |
| VTNC | VITRAN CORP INC COM |
| VTNR | VERTEX ENERGY INC COM |
| VTO | VITRO SOCIEDAD ANONIMA SPONSORED ADR |
| VTO^ | Vitro Sociedad Anonima American Depositary Shares (Each representing three Ordinary Participation |
| VTR | VENTAS INC COM |
| VTRB | VENTAS RLTY LTD PARTNERSHIP GTD SR NT 43 |
| VTRO | VERTRO INC COM NEW |
| VTROD | VERTRO INC COM NEW |
| VTRU | Vertrue Incorporated - Common Stock |
| VTS | Veritas DGC Inc. Common Stock |
| VTSS | VITESSE SEMICONDUCTOR CORP COM NEW |
| VTUS | VENTRUS BIOSCIENCES INC COM |
| VTV | VANGUARD INDEX FDS VALUE ETF |
| VTWG | VANGUARD SCOTTSDALE FDS VNG RUS2000GRW |
| VTWO | VANGUARD SCOTTSDALE FDS VNG RUS2000IDX |
| VTWV | VANGUARD SCOTTSDALE FDS VNG RUS2000VAL |
| VUG | VANGUARD INDEX FDS GROWTH ETF |
| VUNC | VUANCE LTD SHS |
| VUZIW | VUZIX CORP WT EXP 000018 |
| VV | VANGUARD INDEX FDS LARGE CAP ETF |
| VVC | VECTREN CORP COM |
| VVI | VIAD CORP COM NEW |

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| VVR | INVESCO SR INCOME TR COM |
| VTV | VALUEVISION MEDIA INC CL A |
| VVUS | VIVUS INC COM |
| VWO | VANGUARD INTL EQUITY INDEX FD FTSE EMR MKT ETF |
| VWOB | VANGUARD WHITEHALL FDS INC EMERG MKT BD ETF |
| VWPT | Viewpoint Corporation - Common Stock |
| VXAA | UBS AG LONDON BRH ETRACS VIX 1MN |
| VXBB | UBS AG LONDON BRH ETRACS VIX 2MN |
| VXC-D | Vineyard National Bancorp |
| VXCC | UBS AG LONDON BRH ETRACS VIX 3MN |
| VXDD | UBS AG LONDON BRH ETRACS VIX 4MT |
| VXEE | UBS AG LONDON BRH ETRAC VIX 5MTH |
| VXF | VANGUARD INDEX FDS EXTEND MKT ETF |
| VXFF | UBS AG LONDON BRH ETRACS VIX 6MT |
| VXUS | VANGUARD STAR FD VG TL INTL STK F |
| VXX | BARCLAYS BK PLC IPATH S&P500 VIX |
| VXZ | BARCLAYS BK PLC IPATH S&P MT ETN |
| VYFC | VALLEY FINL CORP VA COM |
| VYGR | VOYAGER PHARM CORP |
| VYM | VANGUARD WHITEHALL FDS INC HIGH DIV YLD |
| VYYO | Vyyo Inc. - Common Stock |
| VZ | VERIZON COMMUNICATIONS INC COM |
| VZ# | VERIZON COMMUNICATIONS INC EX DISTRIB WI |
| VZC | Verizon South Inc. 7.00% Debentures Series F due April 30 2041 |
| VZC* | Verizon South Inc. 7.00% Debentures Series F due April 30 2041 |
| VZZ | BARCLAYS BK PLC ETN S&P500 20 |
| VZZB | BARCLAYS BK PLC S&P 500 VIX MI |
| WAB | WABTEC CORP COM |
| WABC | WESTAMERICA BANCORPORATION COM |
| WAC | WALTER INVT MGMT CORP COM |
| WAC# | |
| WAC.B | Wachovia Corporation |
| WAC.C | Wachovia Corporation |
| WAC.D | Wachovia Corporation |
| WAC.F | Wachovia Corporation |
| WACLY | WACOAL HOLDINGS CORP ADR |
| WAFD | WASHINGTON FED INC COM |
| WAFDW | WASHINGTON FED INC WT EXP 111418 |
| WAG | WALGREEN CO COM |
| WAGE | WAGeworks INC COM |
| WAIN | WAINWRIGHT BK&TR CO BOSTON MA COM |
| WAIR | WESCO AIRCRAFT HLDGS INC COM |
| WAL | WESTERN ALLIANCE BANCORP COM |
| WALK | WALKING CO HLDGS INC COM |
| WARR | Warrior Energy Services Corporation - Common Stock |
| WASH | WASHINGTON TR BANCORP COM |
| WAT | WATERS CORP COM |
| WATG | WONDER AUTO TECHNOLOGY INC COM |
| WAUW | Wauwatosa Holdings Inc. - Common Stock par value \$0.01 per share |
| WAV | WAVE2WAVE COMMUNICATIONS INC COM |
| WAV+ | WAVE2WAVE COMMUNICATIONS INC WT EXP 013116 |
| WAVE | NEXTWAVE WIRELESS INC COM NEW |
| WAVED | NEXTWAVE WIRELESS INC COM NEW |
| WAVEV | NextWave Wireless Inc - Common Stock When Issued |
| WAVX | WAVE SYSTEMS CORP COM NEW |
| WAVXD | Wave Systems Corp. - Class A Common Stock |
| WAYN | WAYNE SVGS BANCSHARES INC NEW COM |
| WB | WACHOVIA CORP NEW COM |
| WB-B | WACHOVIA CAP TR IV PFD 6.375% |
| WB-B* | WACHOVIA CAP TR IV PFD 6.375% |
| WB-C | WACHOVIA CAP TR IX GTD TR PFD SEC |

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| WB-C* | WACHOVIA CAP TR IX GTD TR PFD SEC |
| WB-D | WACHOVIA CAP TR X TR PFD 7.85% |
| WB-D* | WACHOVIA CAP TR X TR PFD 7.85% |
| WB-L | WACHOVIA CORP NEW CONV7.5%PFD SR L |
| WB-S | WACHOVIA CORP NEW 1/40TH 8%PFD J |
| WB-T | WACHOVIA CORP 7.50% NON-CUMULATIVE PERPETUAL CONVERTIBLE CL A |
| WBB | WESTBURY BANCORP INC COM |
| WBC | WABCO HLDGS INC COM |
| WBC# | WABCO HOLDINGS INC WI |
| WBCO | WASHINGTON BKG CO OAK HBR WASH COM |
| WBD | WIMM BILL DANN FOODS OJSC SPONSORED ADR |
| WBK | WESTPAC BKG CORP SPONSORED ADR |
| WBKC | WOLVERINE BANCORP INC COM |
| WBMD | WEBMD HEALTH CORP COM |
| WBNK | WACCAMAW BANKSHARES INC COM |
| WBNKW | WACCAMAW BANKSHARES INC WT EXP 093014 |
| WBPRJ | W Holding Company Incorporated - 2004 Series H Non-Cumulative Preferred Sock |
| WBPRK | W Holding Company Incorporated - 2003 Series G Non-Cumulative Preferred Sock |
| WBPRL | W Holding Company Incorporated - Series E Preferred Stock |
| WBPRM | W Holding Company Incorporated - 7.40% Noncumulative Monthly Income Preferred Stock 2001 Series D |
| WBPRN | W Holding Company Incorporated - 2001 Series C 7.60% Non-Cumulative Monthly Income Preferred Stock |
| WBPRO | W Holding Company Incorporated - 7.25% 1999 Series B Noncumulative Monthly Income Preferred Stock |
| WBPRZ | W Holding Company Incorporated - Series F Preferred Stock |
| WBS | WEBSTER FINL CORP CONN COM |
| WBS+ | WEBSTER FINL CORP CONN WT EXP 112118 |
| WBS-E | WEBSTER FINL CORP CONN DEP SHS PFD-E |
| WBSN | WEBSense INC COM |
| WBSTP | WEBSTER PFD CAP CORP PFD B 8.625% |
| WC | WellChoice Inc. Common Stock |
| WCAA | WCA WASTE CORP COM |
| WCAT | ALPS ETF TR JEFF CRB WILDC |
| WCBO | WEST COAST BANCORP ORE NEW COM NEW |
| WCBOD | WEST COAST BANCORP ORE NEW COM NEW |
| WCC | WESCO INTL INC COM |
| WCG | WELLCARE HEALTH PLANS INC COM |
| WCI | WCI Communities Inc. Common Stock |
| WCN | WASTE CONNECTIONS INC COM |
| WCO | WELLS FARGO CAP XIV ENH TRUPS 8.62% |
| WCO* | WELLS FARGO CAP XIV ENH TRUPS 8.62% |
| WCRT | WEST COAST RLTY TR INC COM |
| WCRX | WARNER CHILCOTT PLC IRELAND SHS A |
| WCS | MORGAN STANLEY SPARQS |
| WD | WALKER & DUNLOP INC COM |
| WDAY | WORKDAY INC CL A |
| WDB.B | Wachovia Corporation |
| WDB.C | Wachovia Corporation |
| WDB.D | Wachovia Corporation |
| WDB.E | Wachovia Corporation |
| WDB.F | Wachovia Corporation |
| WDB.G | Wachovia Corporation |
| WDB.H | Wachovia Corporation |
| WDB.I | Wachovia Corporation |
| WDB.J | Wachovia Corporation |
| WDB.K | Wachovia Corporation |
| WDB.L | Wachovia Corporation |
| WDB.M | Wachovia Corporation |
| WDB.N | Wachovia Corporation |
| WDB.O | Wachovia Corporation |
| WDB.P | Wachovia Corporation |
| WDB.Q | Wachovia Corporation |
| WDB.R | Wachovia Corporation |

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| WDB.S | Wachovia Corporation |
| WDB.T | Wachovia Corporation |
| WDB.U* | Wachovia Corporation |
| WDB.V | Wachovia Corporation |
| WDB.W | Wachovia Corporation |
| WDB.X | Wachovia Corporation |
| WDB.Y | Wachovia Corporation |
| WDB.Z | Wachovia Corporation |
| WDB= | Wachovia Corporation |
| WDC | WESTERN DIGITAL CORP COM |
| WDFC | WD-40 CO COM |
| WDG | Woodbridge Holdings Corporation Class A Common Stock |
| WDHD | Woodhead Industries Inc. - Common Stock |
| WDIV | SPDR INDEX SHS FDS S&P GLBDIV ETF |
| WDR | WADDELL & REED FINL INC CL A |
| WDTI | WISDOMTREE TRUST FUTRE STRAT FD |
| WEA | WESTERN ASSET PREMIER BD FD SHS BEN INT |
| WEAT | TEUCRIUM COMMODITY TR WHEAT FD |
| WEBK | WELLESLEY BANCORP INC COM |
| WEBM | WEBMEDIABRANDS INC COM NEW |
| WEBX | WebEx Communications Inc. - Common Stock |
| WEC | WISCONSIN ENERGY CORP COM |
| WEDC | WHITE ELECTR DESIGNS CORP COM |
| WEDX | Westaim Corporation (The) - Common Shares |
| WEET | BARCLAYS BK PLC IPT GRAINS ETN |
| WEFN | WebFinancial Corporation - Common Stock |
| WEL | BOOTS & COOTS INC COM NEW |
| WEN | WENDYS CO COM |
| WEN# | Wendy's International Inc. Common Stock |
| WEN\$ | WENDYS/ARBYS GROUP INC |
| WERN | WERNER ENTERPRISES INC COM |
| WES | WESTERN GAS PARTNERS LP COM UNIT LP IN |
| WEST | WESTINGHOUSE SOLAR COM |
| WESTD | WESTINGHOUSE SOLAR COM |
| WETF | WISDOMTREE INVTS INC COM |
| WEX | WEX INC COM |
| WEYS | WEYCO GROUP INC COM |
| WF | WOORI FIN HLDGS CO LTD ADR |
| WFBC | Willow Financial Bancorp Inc. - Common Stock |
| WFBI | WASHINGTONFIRST BANKSHARES INC COM |
| WFC | WELLS FARGO & CO NEW COM |
| WFC# | Wells Fargo & Company Common Stock |
| WFC+ | WELLS FARGO & CO NEW WT EXP 102818 |
| WFC-J | WELLS FARGO & CO NEW DEP SHS SER J |
| WFC-L | WELLS FARGO & CO NEW PERP PFD CNV A |
| WFC-N | WELLS FARGO & CO NEW DEP SHS REPSTG 1 |
| WFC-O | WELLS FARGO & CO NEW DEP1/1000PF CL A |
| WFC-P | WELLS FARGO & CO NEW DEP1/1000PF CL A |
| WFD | WESTFIELD FINANCIAL INC NEW COM |
| WFD# | Westfield Financial Inc. When Issued |
| WFG.A | Wells Fargo & Company |
| WFG.B | Wells Fargo & Company |
| WFG.C | Wells Fargo & Company |
| WFG.D | Wells Fargo & Company |
| WFG.E | Wells Fargo & Company |
| WFG.F | Wells Fargo & Company |
| WFII | Wireless Facilities Inc. - Common Stock |
| WFM | WHOLE FOODS MKT INC COM |
| WFMI | WHOLE FOODS MKT INC COM |
| WFR | MEMC ELECTR MATLS INC COM |
| WFSI | WFS Financial Inc. - Common Stock |

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| WFSL | WASHINGTON FED INC COM |
| WFSW | WASHINGTON FED INC WT EXP 111418 |
| WFT | WEATHERFORD INTERNATIONAL LTD REG SHS |
| WFK | CLAYMORE EXCHANGE TRD FD TR WLSHRE5000 ETF |
| WG | WILLBROS GROUP INC DEL COM |
| WGA | WELLS GARDNER ELECTRS CORP COM |
| WGAT | Worldgate Communications Inc. - Common Stock |
| WGATE | Worldgate Communications Inc. Common Stock |
| WGBC | Willow Grove Bancorp Inc. - Common Stock |
| WGH | WHITEGLOVE HEALTH INC COM |
| WGII | Washington Group International Inc. - Common Stock |
| WGL | WGL HLDGS INC COM |
| WGNA | WGNB CORP CONV PFD9% SR A |
| WGNB | WGNB CORP CAP STK |
| WGNR | WEGENER CORP COM |
| WGO | WINNEBAGO INDS INC COM |
| WGOV | WOODWARD GOVERNOR CO COM |
| WGP | WESTERN GAS EQUITY PARTNERS LP COMUNT LTD PT |
| WGR | Western Gas Resources Inc. Common Stock |
| WGRD | WatchGuard Technologies Inc. - Common Stock |
| WGW | WESTERN GOLDFIELDS INC CDA COM NEW |
| WH | WSP HOLDINGS LIMITED ADR NEW |
| WHF | WHITEHORSE FIN INC COM |
| WHG | WESTWOOD HLDGS GROUP INC COM |
| WHI | W HLDG CO INC COM NEW |
| WHIT | Whittier Energy Corporation - Common Stock |
| WHLR | WHEELER REAL ESTATE INVT TR COM |
| WHQ | W-H Energy Services Inc. Common Stock \$.0001 par value |
| WHR | WHIRLPOOL CORP COM |
| WHRT | WORLD HEART CORP COM NO PAR |
| WHRTD | World Heart Corporation - Ordinary Shares (Canada) |
| WHSM | WHITESMOKE INC COM |
| WHT | Westside Energy Corporation |
| WHX | WHITING USA TR I TR UNIT |
| WHZ | WHITING USA TR II TR UNIT |
| WIA | WESTERN ASSET CLYM INFL SEC IN COM SH BEN INT |
| WIBC | WILSHIRE BANCORP INC COM |
| WIFI | BOINGO WIRELESS INC COM |
| WIH | Wilson Holdings Inc |
| WILC | G WILLI FOOD INTL LTD ORD |
| WILCF | G. Willi-Food International Ltd. - Ordinary Shares |
| WILN | WI-LAN INC COM |
| WIN | WINDSTREAM CORP COM |
| WIN# | VALOR COMMUNICATIONS GROUP INC WI |
| WINA | WINMARK CORP COM |
| WIND | FIRST WIND HLDGS INC COM |
| WINN | WINN DIXIE STORES INC COM NEW |
| WINNV | Winn-Dixie Stores Inc. - Common Stock When Issued |
| WINS | SM&A - Common Stock |
| WIP | SPDR SERIES TRUST DB INT GVT ETF |
| WIRE | ENCORE WIRE CORP COM |
| WIS- | WISCONSIN PWR & LT CO PFD 4.50% |
| WIS-* | WISCONSIN PWR & LT CO PFD 4.50% |
| WIT | WIPRO LTD SPON ADR 1 SH |
| WITE | ETF WHITE METALS BASKET TR PHY WM BSK SHS |
| WITS | Witness Systems Inc. - Common Stock |
| WIW | WESTERN ASSET CLYM INFL OPP IN COM |
| WJCI | WJ Communications Inc. - Common Stock |
| WL | WILMINGTON TRUST CORP COM |
| WLB | WESTMORELAND COAL CO COM |
| WLB- | WESTMORELAND COAL CO PFD DP A CV1/4 |

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| WLBC | WESTERN LIBERTY BANCORP COM |
| WLBC+ | WESTERN LIBERTY BANCORP WT EXP 112712 |
| WLBC= | WESTERN LIBERTY BANCORP UNIT EX 112712 |
| WLBZ | WESTMORELAND COAL CO PFD DP A CV1/4 |
| WLC | Wellco Enterprises Inc |
| WLDA | World Air Holdings Inc. - Common Stock |
| WLDAE | World Air Holdings Inc. Common Stock |
| WLDN | WILLDAN GROUP INC COM |
| WLFC | WILLIS LEASE FINANCE CORP COM |
| WLFCP | WILLIS LEASE FINANCE CORP PFD SER A |
| WLH | LYON WILLIAM HOMES CL A NEW |
| WLK | WESTLAKE CHEM CORP COM |
| WLL | WHITING PETE CORP NEW COM |
| WLL-A | WHITING PETE CORP NEW PERP PFD CONV |
| WLM | Wellman Inc. Common Stock |
| WLP | WELLPOINT INC COM |
| WLS | WELSH PPTY TR INC COM |
| WLSC | Williams Scotsman International Inc. - Common Stock |
| WLSN | Wilsons The Leather Experts Inc. - Common Stock |
| WLT | WALTER ENERGY INC COM |
| WLT# | WALTER ENERGY INC WHEN DISTRIBUT |
| WLV | WOLVERINE TUBE INC. |
| WM | WASTE MGMT INC DEL COM |
| WM-K | Washington Mutual Inc. Depositary Shares Each Representing 1/40 |
| WM-R | Washington Mutual Inc. 7.75% Series R Non-Cumulative Perpetual Convertible Preferred Stock |
| WMAR | WEST MARINE INC COM |
| WMB | WILLIAMS COS INC DEL COM |
| WMB# | WILLIAMS COS INC DEL EX DISTRIB |
| WMC | WESTERN ASSET MTG CAP CORP COM |
| WMCO | WILLIAMS CTLS INC COM NEW |
| WMCR | CLAYMORE EXCHANGE TRD FD TR WILSHIRE MCRO CP |
| WMG | WARNER MUSIC GROUP CORP COM |
| WMGI | WRIGHT MED GROUP INC COM |
| WMGIZ | WRIGHT MED GROUP INC RT |
| WMH | WIRELESS HOLDRS TR DEPOSITRY RCPT |
| WMI | WASTE MGMT INC DEL COM |
| WMK | WEIS MKTS INC COM |
| WMS | WMS INDS INC COM |
| WMSI | Williams Industries Inc. - Common Stock |
| WMT | WAL-MART STORES INC COM |
| WMW | DEUTSCHE BK AG LONDON ELE MORN TTL22 |
| WMZ | WILLIAMS PIPELINE PARTNERS L P COM UNIT LP IN |
| WNA- | WACHOVIA PFD FDG CORP PFD A7.25%PERP |
| WNC | WABASH NATL CORP COM |
| WNG | Washington Group International Inc. Common Stock \$.01 par value |
| WNI | SCHIFF NUTRITION INTL INC COM |
| WNR | WESTERN REFG INC COM |
| WNS | WNS HOLDINGS LTD SPON ADR |
| WNTG | Wintegra Inc. - Common Stock |
| WOC | WILSHIRE ENTERPRISES INC COM |
| WOC\$ | |
| WOLF | GREAT WOLF RESORTS INC COM |
| WOLV | WOLVERINE EXPL INC COM |
| WON | Westwood One Inc. Common Stock \$.01 par value |
| WOOD | ISHARES TR S&P GTFIDX ETF |
| WOOF | VCA ANTECH INC COM |
| WOR | WORTHINGTON INDS INC COM |
| WOS | Wolseley plc American Depositary Shares (Each representing one Ordinary Share) |
| WPC | W P CAREY INC COM |
| WPCS | WPCS INTL INC COM PAR \$.0001 |
| WPD | Wells Fargo Capital VI 6.95% Capital Securities |

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| WPF | Wells Fargo Capital V 7% Quarterly Income Preferred Securities (QUIPS) (due December 1 2031) |
| WPF* | Wells Fargo Capital V 7% Quarterly Income Preferred Securities (QUIPS) (due December 1 2031) |
| WPI | WATSON PHARMACEUTICALS INC COM |
| WPK | WELLS FARGO CAP VII TRUPS 5.85% |
| WPK* | WELLS FARGO CAP VII TRUPS 5.85% |
| WPL | W.P. STEWART & CO. LTD. (NEW) |
| WPL\$ | W.P. Stewart & Co. Ltd. Common Stock |
| WPO | WASHINGTON POST CO CL B |
| WPP | WAUSAU PAPER CORP COM |
| WPPGY | WPP PLC NEW ADR |
| WPRT | WESTPORT INNOVATIONS INC COM NEW |
| WPS | ISHARES TR S&P DEV EX-US |
| WPSC | Wheeling-Pittsburgh Corporation - Common Stock |
| WPT | WPT ENTERPRISES INC COM |
| WPX | WPX ENERGY INC COM |
| WPX# | WPX ENERGY INC COM |
| WPZ | WILLIAMS PARTNERS L P COM UNIT L P |
| WQNI | WQN Inc. - Common Stock |
| WR | WESTAR ENERGY INC COM |
| WRB | BERKLEY W R CORP COM |
| WRB-A | BERKLEY W R CAP TR II TOPRS 6.750% |
| WRB-A* | BERKLEY W R CAP TR II TOPRS 6.750% |
| WRB-B | BERKLEY W R CORP SUB DEB 53 |
| WRC | WARNACO GROUP INC COM NEW |
| WRD | WEINGARTEN RLTY INVS NT 8.10%19 |
| WRE | WASHINGTON REAL ESTATE INVT TR SH BEN INT |
| WREI | CLAYMORE EXCHANGE TRD FD TR WLSHR US REIT |
| WRES | WARREN RES INC COM |
| WRI | WEINGARTEN RLTY INVS SH BEN INT |
| WRI-D | WEINGARTEN RLTY INVS PFD 1/30D6.75% |
| WRI-D* | WEINGARTEN RLTY INVS PFD 1/30D6.75% |
| WRI-E | WEINGARTEN RLTY INVS PFD 1/100 E |
| WRI-F | WEINGARTEN RLTY INVS PFD F 1/100 |
| WRLD | WORLD ACCEP CORP DEL COM |
| WRLS | TELULAR CORP COM NEW |
| WRN | WESTERN COPPER & GOLD CORP COM |
| WRNC | Warnaco Group Inc (The) - Common Stock |
| WRP | Reis Inc |
| WRS | WESTAR ENERGY INC 1ST MTG BD6.1% |
| WRS* | WESTAR ENERGY INC 1ST MTG BD6.1% |
| WRS-A | Windrose Medical Properties Trust 7.5% Series A Cumulative Convertible Preferred Shares of Beneficial Interest |
| WRSP | WorldSpace Inc. - Class A Common Stock |
| WRT | WINTHROP RLTY TR SR NT 22 |
| WS | WORLDSPAN TECHNOLOGIES |
| WSB | WSB HOLDINGS INC COM |
| WSBA | Western Sierra Bancorp - Common Stock |
| WSBC | WESBANCO INC COM |
| WSBF | WATERSTONE FINANCIAL INC COM |
| WSC | WESCO FINL CORP COM |
| WSCC | WATERSIDE CAP CORP COM |
| WSCI | WSI INDS INC COM |
| WSF | WELLS FARGO CAPITAL IV GTD CAP SEC 7% |
| WSF* | WELLS FARGO CAPITAL IV GTD CAP SEC 7% |
| WSFG | WSB FINANCIAL GROUP INC COM |
| WSFS | WSFS FINL CORP COM |
| WSFSL | WSFS FINL CORP SR NT 6.25%19 |
| WSH | WILLIS GROUP HOLDINGS PUBLIC L SHS |
| WSH# | Willis Group Holdings Limited Common Stock |
| WSI | FOCUSSHARES TR REV WLMART SPL |
| WSII | WASTE SERVICES INC DEL COM NEW |
| WSIID | Waste Services Inc. - Common Stock |

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| WSM | WILLIAMS SONOMA INC COM |
| WSO | WATSCO INC COM |
| WSO.B | WATSCO INC CL B CONV |
| WSPI | Website Pros Inc. - Common Stock par value \$0.001 per share |
| WSR | WHITESTONE REIT COM |
| WSSI | WebSideStory Inc. - Common Stock |
| WST | WEST PHARMACEUTICAL SVSC INC COM |
| WSTC | WEST CORP COM |
| WSTE | GLOBAL X FDS WASTE MGMT ETF |
| WSTF | Westaff Inc. - Common Stock |
| WSTG | WAYSIDE TECHNOLOGY GROUP INC COM |
| WSTL | WESTELL TECHNOLOGIES INC CL A |
| WSTM | WORKSTREAM INC COM |
| WTBA | WEST BANCORPORATION INC CAP STK |
| WTFC | WINTRUST FINANCIAL CORP COM |
| WTFCP | Wintrust Financial Corporation Wintrust Capital Trust I - 9.0% Cumulative Trust Preferred Securities |
| WTFCW | WINTRUST FINANCIAL CORP WT EXP 121918 |
| WTHN | WiderThan Co. Ltd. - american depository shares |
| WTI | W & T OFFSHORE INC COM |
| WTM | WHITE MTNS INS GROUP LTD COM |
| WTNY | WHITNEY HLDG CORP COM |
| WTR | AQUA AMERICA INC COM |
| WTS | WATTS WATER TECHNOLOGIES INC CL A |
| WTSL | WET SEAL INC CL A |
| WTSLA | WET SEAL INC CL A |
| WTT | WIRELESS TELECOM GROUP INC COM |
| WTU | WILLIAMS COAL SEAM GAS RTY TR TR UNIT |
| WTW | WEIGHT WATCHERS INTL INC NEW COM |
| WTY.A | Wachovia Corporation |
| WTZ | Western Silver Corporation |
| WU | WESTERN UN CO COM |
| WU# | WESTERN UNION COMPANY (THE) |
| WUHN | WUHAN GEN GROUP CHINA INC COM |
| WVCM | WAVECOM S A SPONSORED ADR |
| WVFC | WVS FINL CORP COM |
| WVK | MORGAN STANLEY SPARQ 12% 2009 |
| WVT | WARWICK VALLEY TEL CO COM |
| WVVI | WILLAMETTE VY VINEYARD INC COM |
| WW | WATSON WYATT WORLDWIDE INC CL A |
| WWAV | WHITEWAVE FOODS CO COM CL A |
| WWAV.B | WHITEWAVE FOODS CO COM CL B |
| WWAV.B# | WHITEWAVE FOODS CO COM CL B |
| WWAY | WESTWAY GROUP INC COM |
| WWAYU | WESTWAY GROUP INC UNIT EX 000010 |
| WWAYW | WESTWAY GROUP INC WT EXP 052411 |
| WWD | WOODWARD INC COM |
| WWE | WORLD WRESTLING ENTMT INC CL A |
| WWIN | WINNER MEDICAL GRP INC COM NEW |
| WWON | WESTWOOD ONE INC COM NEW |
| WVVY | WARWICK VALLEY TEL CO COM |
| WWW | WOLVERINE WORLD WIDE INC COM |
| WWWV | WEB COM GROUP INC COM |
| WVY | Wm. Wrigley Jr. Company Common Stock |
| WX | WUXI PHARMATECH CAYMAN INC SPONS ADR SHS |
| WXCO | WHX CORP COM PAR \$.01 NEW |
| WXH | Winston Hotels Inc. Common Stock |
| WXH-B | Winston Hotels Inc. 8.00% Series B Cumulative Preferred Stock |
| WXS | WEX INC COM |
| WXSP | CLAYMORE EXCHANGE TRD FD TR WLSHRE4500 ETF |
| WY | WEYERHAEUSER CO COM |
| WY# | Weyerhaeuser Company Common Shares |

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| WYE | WYETH COM |
| WYE- | WYETH PFD CV \$2 |
| WYE-* | WYETH PFD CV \$2 |
| WYN | WYNDHAM WORLDWIDE CORP COM |
| WYN# | WYNDHAM WORLDWIDE CORPORATION |
| WYNN | WYNN RESORTS LTD COM |
| WYY | WIDEPOINT CORP COM |
| WZE | WIZZARD SOFTWARE CORP NEW COM NEW |
| WZEN | WEBZEN INC SPONSORED ADR |
| X | UNITED STATES STL CORP NEW COM |
| X-B | United States Steel Corporation 7% Series B Mandatory Convertible Preferred Shares |
| XAA | AMERICAN MUN INCOME PORTFOLIO COM |
| XAI | AIRLINE INDEX OPTION XXX |
| XAL | AMEX AIRLINE INDEX XXX |
| XAR | SPDR SERIES TRUST AEROSPACE DEF |
| XATA | XATA CORP COM NEW |
| XAX | AMEX COMPOSITE INDEX XXX |
| XBD | AMEX SECURITIES XXX |
| XBI | SPDR SERIES TRUST S&P BIOTECH |
| XBKS | XENITH BANKSHARES INC COM |
| XCH | Northern States Power Company 8.00% Public Income Notes (PINES) |
| XCH* | Northern States Power Company 8.00% Public Income Notes (PINES) |
| XCI | COMPUTER TECH INDEX XXX |
| XCJ | XCEL ENERGY INC 7.6% JR SUB 68 |
| XCJ* | XCEL ENERGY INC 7.6% JR SUB 68 |
| XCO | EXCO RESOURCES INC COM |
| XCR | XCORP REAL INC COM |
| XCYT | Xcyte Therapies Inc. - Common Stock |
| XCYTD | Xcyte Therapies Inc. - Common Stock |
| XCYTP | Xcyte Therapies Inc. - Convertible Exchangeable Preferred Stock |
| XDT | DOW JONES TAIWAN STK XXX |
| XEC | CIMAREX ENERGY CO COM |
| XEF | THE STREET.COM XXX |
| XEL | XCEL ENERGY INC COM |
| XEL-A | XCEL ENERGY INC PFD \$3.60 |
| XEL-A* | XCEL ENERGY INC PFD \$3.60 |
| XEL-B | XCEL ENERGY INC PFD \$4.08 |
| XEL-B* | XCEL ENERGY INC PFD \$4.08 |
| XEL-C | XCEL ENERGY INC PFD \$4.10 |
| XEL-C* | XCEL ENERGY INC PFD \$4.10 |
| XEL-D | XCEL ENERGY INC PFD \$4.11 |
| XEL-D* | XCEL ENERGY INC PFD \$4.11 |
| XEL-E | XCEL ENERGY INC PFD \$4.16 |
| XEL-E* | XCEL ENERGY INC PFD \$4.16 |
| XEL-G | XCEL ENERGY INC PFD \$4.56 |
| XEL-G* | XCEL ENERGY INC PFD \$4.56 |
| XES | SPDR SERIES TRUST OILGAS EQUIP |
| XETA | XETA TECHNOLOGIES INC COM |
| XFA | Lehman ABS Corporation 7.00% Corporate Backed Trust Certificates BellSouth Debenture-Backed Series 2002-8 |
| XFB | CORPORATE BACKED TR CTFS A-1 02-9 8.125 |
| XFB* | CORPORATE BACKED TR CTFS A-1 02-9 8.125 |
| XFD | CORPORATE BACKED TR CTFS 02-10 A 6.7%97 |
| XFD* | CORPORATE BACKED TR CTFS 02-10 A 6.7%97 |
| XFE | Lehman ABS Corporation 7.70% Corporate Backed Trust Certificates Royal & Sun Alliance Bond-Backed Series 2002-11 Class A-1 |
| XFE* | Lehman ABS Corporation 7.70% Corporate Backed Trust Certificates Royal & Sun Alliance Bond-Backed Series 2002-11 Class A-1 |
| XFH | CORPORATE BACKED TR CTFS MOT 02-12 8.2 |
| XFH* | CORPORATE BACKED TR CTFS MOT 02-12 8.2 |
| XFJ | CORPORATE BACKED TR CTFS 02-14 MTR8.375 |
| XFJ* | CORPORATE BACKED TR CTFS 02-14 MTR8.375 |

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| XFK | Lehman ABS Corporation 7.75% Corporate Backed Trust Certificates CIT Capital Trust I Securities Backed Series 2002-15 Class A-1 |
| XFK* | Lehman ABS Corporation 7.75% Corporate Backed Trust Certificates CIT Capital Trust I Securities Backed Series 2002-15 Class A-1 |
| XFL | CORPORATE BACKED TR CTFS 02-16 7.625 30 |
| XFL* | CORPORATE BACKED TR CTFS 02-16 7.625 30 |
| XFML | Xinhua Finance Media Limited - American Depository Shares |
| XFN | XFONE INC COM |
| XFP | CORPORATE BACKED TR CTFS 02-17 6.125%45 |
| XFR | CORPORATE BACKED TR CTFS DB BCK 6.25%97 |
| XG | EXTORRE GOLD MINES LTD COM |
| XGC | CLAYMORE EXCHANGE TRD FD TR GUG INTL SML CAP |
| XGEN | Xenogen Corporation - Common Stock |
| XGM | GENERAL MTRS CORP NT SR7.25%7/41 |
| XHB | SPDR SERIES TRUST S&P HOMEBUILD |
| XHE | SPDR SERIES TRUST HLTH CR EQUIP |
| XHMO | RUSSELL EXCHANGE TRADED FDS TR DEV EX HIGH MOM |
| XHS | SPDR SERIES TRUST HLTH CARE SVCS |
| XIDE | EXIDE TECHNOLOGIES COM NEW |
| XIDEW | EXIDE TECHNOLOGIES WT EXP 050511 |
| XII | AMEX INSTITUTL INDEX XXX |
| XIN | XINYUAN REAL ESTATE CO LTD SPONS ADR |
| XING | QIAO XING UNVL RESOURCES INC SHS |
| XIS | AMEX/OSCAR GRUSS XXX |
| XIV | CREDIT SUISSE NASSAU BRH INVRS VIX STERM |
| XJT | EXPRESSJET HOLDINGS INC COM NEW |
| XJX* | CORPORATE BACKED TR CTFS SER 02-4 7.50% |
| XKA | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-26 Class A-1 (Issued by Nordstrom Inc.) due March 15 2028 |
| XKA* | Lehman ABS Corporation Corporate Backed Trust Certificates Series 2001-26 Class A-1 (Issued by Nordstrom Inc.) due March 15 2028 |
| XKC | Lehman ABS Corporation 8.00% Corporate Backed Trust Certificates Corning Debenture-Backed Series 2001-28 Class A-1 due March 1 2029 |
| XKC* | Lehman ABS Corporation 8.00% Corporate Backed Trust Certificates Corning Debenture-Backed Series 2001-28 Class A-1 due March 1 2029 |
| XKD | Lehman ABS Corporation 8.875% Corporate Backed Trust Certificates Royal Caribbean Debenture-Backed Series 2001-30 |
| XKD* | Lehman ABS Corporation 8.875% Corporate Backed Trust Certificates Royal Caribbean Debenture-Backed Series 2001-30 |
| XKE | CORPORATE BACKED TR CTFS SER 01-31 7.75% |
| XKI | Lehman ABS Corporation 8.75% Corporate Backed Trust Certificates Liberty Media Debenture-Backed Series 2001-32 Class A-1 |
| XKI* | Lehman ABS Corporation 8.75% Corporate Backed Trust Certificates Liberty Media Debenture-Backed Series 2001-32 Class A-1 |
| XKJ | Lehman ABS Corporation 7.25% Corporate Backed Trust Certificates At&T Note-Backed Series 2001-33 Class A-1 |
| XKK | CORPORATE BACKED TR CTFS NT GT8%34A1 28 |
| XKK* | CORPORATE BACKED TR CTFS NT GT8%34A1 28 |
| XKM | Lehman ABS Corporation 8.00% Corporate Backed Trust Certificates Corning Debenture-Backed Series 2001-35 Class A-1 |
| XKM* | Lehman ABS Corporation 8.00% Corporate Backed Trust Certificates Corning Debenture-Backed Series 2001-35 Class A-1 |
| XKN | CORPORATE BACKED TR CTFS F DB-BKD01 A-1 |
| XKN* | CORPORATE BACKED TR CTFS F DB-BKD01 A-1 |
| XKO | CORPORATE BACKED TR CTFS CP DB 01/37 A1 |
| XKP | Lehman ABS Corporation 8.125% Corporate Backed Trust Certificates W.R. Berkley Capital Trust Securites-Backed Series 2002-1 Class A-1 |
| XKP* | Lehman ABS Corporation 8.125% Corporate Backed Trust Certificates W.R. Berkley Capital Trust Securites-Backed Series 2002-1 Class A-1 |
| XKR | Lehman ABS Corporation 7.50% Corporate Backed Trust Certificates Royal & Sun Alliance Bond-Backed Series 2002-2 Class A-1 due 10/15/2029 |

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| XKS | Lehman ABS Corporation 7.65% Corporate Backed Trust Certificates Brunswick Corporation Note-Backed Series 2002-3 Class A-1 |
| XKS* | Lehman ABS Corporation 7.65% Corporate Backed Trust Certificates Brunswick Corporation Note-Backed Series 2002-3 Class A-1 |
| XXK | Lehman ABS Corporation 7.50% Corporate Backed Trust Certificates DaimlerChrysler Debenture-Backed Series 2002-4 |
| XXK* | Lehman ABS Corporation 7.50% Corporate Backed Trust Certificates DaimlerChrysler Debenture-Backed Series 2002-4 |
| XKY | Lehman ABS Corporation 6.80% Corporate Backed Trust Certificates General Electric Capital Services Note-Backed Series 2002-5 |
| XKY* | Lehman ABS Corporation 6.80% Corporate Backed Trust Certificates General Electric Capital Services Note-Backed Series 2002-5 |
| XL | XL GROUP PLC SHS |
| XL# | XL Capital Ltd Class A Shares |
| XL-A | XL Capital Ltd 8.00% Series A Preference Ordinary Shares |
| XL-A* | XL Capital Ltd 8.00% Series A Preference Ordinary Shares |
| XL-B | XL Capital Ltd 7.625% Series B Preference Ordinary Shares |
| XL-B* | XL Capital Ltd 7.625% Series B Preference Ordinary Shares |
| XL-Q | XL Capital Ltd. 6.50% Equity Security Units |
| XL-X | XL CAP LTD EQUIT SEC UNIT |
| XL-Y | XL COMPANY SWITZERLAND GMBH 10.75% EQTY UNIT |
| XLB | SELECT SECTOR SPDR TR SBI MATERIALS |
| XLBS | POWERSHARES ETF TR II S&P SMCP MAT P |
| XLBT | RUSSELL EXCHANGE TRADED FDS TR DEV EX LOW BET |
| XLE | SELECT SECTOR SPDR TR SBI INT-ENERGY |
| XLES | POWERSHARES ETF TR II S&P SMCP ENE P |
| XLF | SELECT SECTOR SPDR TR SBI INT-FINL |
| XLFS | POWERSHARES ETF TR II S&P SMCP FIN P |
| XLG | RYDEX ETF TRUST GUG RUSS TOP 50 |
| XLI | SELECT SECTOR SPDR TR SBI INT-INDS |
| XLIS | POWERSHARES ETF TR II S&P SMCP IND P |
| XLK | SELECT SECTOR SPDR TR TECHNOLOGY |
| XLKS | POWERSHARES ETF TR II S&P SMCP IT PO |
| XLNX | XILINX INC COM |
| XLP | SELECT SECTOR SPDR TR SBI CONS STPLS |
| XLPR.Y | XL COMPANY SWITZERLAND GMBH 10.75% EQTY UNIT |
| XLPS | POWERSHARES ETF TR II S&P SMCP CONSU |
| XLS | EXELIS INC COM |
| XLS# | EXELIS INC COM |
| XLTC | Excel Technology Inc. - Common Stock |
| XLU | SELECT SECTOR SPDR TR SBI INT-UTILS |
| XLUS | POWERSHARES ETF TR II S&P SMCP UTI P |
| XLV | SELECT SECTOR SPDR TR SBI HEALTHCARE |
| XLVO | RUSSELL EXCHANGE TRADED FDS TR DEV EX LOW VOL |
| XLVS | POWERSHARES ETF TR II S&P SMCP HC PO |
| XLY | SELECT SECTOR SPDR TR SBI CONS DISCR |
| XLYS | POWERSHARES ETF TR II S&P SMCP C DIS |
| XME | SPDR SERIES TRUST S&P METALS MNG |
| XMI | MAJOR MARKET INDEX XXX |
| XMLV | POWERSHARES ETF TR II S&P400 LOVL PT |
| XMM | Morgan Stanley |
| XMPT | MARKET VECTORS ETF TR MUN BD CLOSED |
| XMR | MORGAN STANLEY STK PARTN |
| XMSR | XM Satellite Radio Holdings Inc. - Class A Common Stock |
| XNET | XUNLEI LTD SPONSORED ADS |
| XNG | AMEX NATURAL GAS XXX |
| XNL | Xethanol Corporation |
| XNN | XENONICS HLDGS INC COM |
| XNP | AMERICUS TR FOR EXXON |
| XNPT | XENOPORT INC COM |
| XNR | Xanser Corporation Common Stock |

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| XNS | AMERICUS TR FOR EXXON |
| XNY | CHINA XINIYA FASHION LTD SPONSORED ADR |
| XOI | AMEX OIL INDEX XXX |
| XOIL | GLOBAL X FDS GLB X OIL EQIT |
| XOM | EXXON MOBIL CORP COM |
| XOMA | XOMA CORP DEL COM |
| XOMAD | XOMA LTD SHS |
| XONE | EXONE CO COM |
| XOOM | XOOM CORP COM |
| XOP | SPDR SERIES TRUST S&P OILGAS EXP |
| XOVR | SPDR SER TR SPDR BOFA CRSS |
| XOXO | XO GROUP INC COM |
| XPH | SPDR SERIES TRUST S&P PHARMAC |
| XPL | SOLITARIO EXPL & RTY CORP COM |
| XPLR | XPLORE TECHNOLOGIES CORP COM PAR \$0.001 |
| XPO | XPO LOGISTICS INC COM |
| XPP | PROSHARES TR ULT FTSE CHINA25 |
| XPRSA | U.S. Xpress Enterprises Inc. - Class A Common Stock |
| XPRT | LECG CORP COM |
| XPS | AMERICUS TRUST AMERN EXP |
| XQI | AMEX INSTITUTL INDEX XXX |
| XRA | EXETER RES CORP COM |
| XRAY | DENTSPLY INTL INC NEW COM |
| XRIT | X-RITE INC COM |
| XRM | XERIUM TECHNOLOGIES INC COM NEW |
| XRO | CLAYMORE EXCHANGE TRD FD TR GUGG SEC ROT ETF |
| XRS | TAL ED GROUP ADS REPSTG COM |
| XRSC | XRS CORP COM |
| XRT | SPDR SERIES TRUST S&P RETAIL ETF |
| XRTX | XYRATEX LTD COM |
| XRU | CURRENCYSHARES RUSSIAN RUBLE T SHS |
| XRX | XEROX CORP COM |
| XRX-C | Xerox Corporation 6.25% Series C Mandatory Convertible Preferred Stock |
| XSB | TIERS PRINCIPAL PROTECTED TR DJIA 2002-05 |
| XSD | SPDR SERIES TRUST S&P SEMICNDCTR |
| XSEL | XINHUA SPORTS & ENTMT LTD SPONSORED ADR NE |
| XSELD | XINHUA SPORTS & ENTMT LTD SPONSORED ADR NE |
| XSI | American CareSource Holdings Inc |
| XSLV | POWERSHARES ETF TR II S&P600 LOVL PT |
| XSS | United States Steel Corporation 10% Senior Quarterly Income Debt Securities due December 31 2031 (SQUIDS) |
| XSS* | United States Steel Corporation 10% Senior Quarterly Income Debt Securities due December 31 2031 (SQUIDS) |
| XSW | SPDR SERIES TRUST COMP SOFTWARE |
| XTC | AMEX NORTH AMERICAN XXX |
| XTE | Morgan Stanley |
| XTEX | CROSTEX ENERGY L P COM |
| XTL | SPDR SERIES TRUST S&P TELECOM |
| XTLB | XTL BIOPHARMACEUTICALS LTD SPONSORED ADR |
| XTN | SPDR SERIES TRUST S&P TRANSN ETF |
| XTNT | XTENT INC COM |
| XTO | XTO ENERGY INC COM |
| XTP.A | Bond Trust Products LLC |
| XTXI | CROSTEX ENERGY INC COM |
| XUE | XUEDA ED GROUP SPONSORED ADR |
| XUF | MERRILL LYNCH & CO INC AC RTN PHLX 09 |
| XVE | Viceroy Exploration Ltd |
| XVF | CORPORATE BACKED TR CTFS NTS A1 FORD 8% |
| XVF* | CORPORATE BACKED TR CTFS NTS A1 FORD 8% |
| XVG | CORPORATE BACKED TR CTFS 03-7 BA 6.05A1 |
| XVIX | UBS AG JERSEY BRH LNG SHT VIX |
| XVS | Morgan Stanley |
| XVZ | BARCLAYS BK PLC IPATH DYNM VIX |

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| XWES | WORLD ENERGY SOLUTIONS INC DEL COM NEW |
| XWG | Wireless Xcessories Group Inc |
| XXIA | IXIA COM |
| XXV | BARCLAYS BK PLC IPATH INVS&P STF |
| XYL | XYLEM INC COM |
| XYL# | XYLEM INC COM |
| XYZ | XYZ CBOE COMPASS SYSTEM |
| XZO | Morgan Stanley |
| XZP | Morgan Stanley |
| Y | ALLEGHANY CORP DEL COM |
| YAKC | Yak Communications Inc. - Common Stock |
| YANB | Yardville National Bancorp - Common Stock |
| YANG | DIREXION SHS ETF TR DLY CHINBR3X NEW |
| YAO | CLAYMORE EXCHANGE-TRD FD TR 2 GUGG CHINA ALLCP |
| YAVY | YADKIN VALLEY FINANCIAL CORP COM |
| YBTVA | Young Broadcasting Inc. - Class A Common Stock |
| YCC | The Yankee Candle Company Inc. Common Stock |
| YCL | PROSHARES TR II PSHS ULTRA YEN |
| YCS | PROSHARES TR II ULTRASHORT YEN N |
| YDKN | YADKIN FINL CORP COM |
| YDNT | YOUNG INNOVATIONS INC COM |
| YELL | YELLOW ROADWAY CP ## |
| YELP | YELP INC CL A |
| YGE | YINGLI GREEN ENERGY HLDG CO LT ADR |
| YHOO | YAHOO INC COM |
| YINN | DIREXION SHS ETF TR CHINA BULL 3X |
| YLD | MORGAN STANLEY TRUSTS HI INCM ADVANT |
| YLH | MORGAN STANLEY TRUSTS HI INCM ADVIII |
| YLT | MORGAN STANLEY TRUSTS HI INCM ADV II |
| YMI | YM BIOSCIENCES INC COM |
| YMLI | EXCHANGE TRADED CONCEPTS TR YRKVL HIINCINF |
| YMLP | EXCHANGE TRADED CONCEPTS TR YORK HIINC MLP |
| YNDX | YANDEX N V SHS CLASS A |
| YOCM | YOCREAM INTL INC |
| YOD | YOU ON DEMAND HLDGS INC COM NEW |
| YOKU | YOUKU TUDOU INC SPONSORED ADR |
| YONG | YONGYE INTL INC COM |
| YORW | YORK WTR CO COM |
| YPF | YPF SOCIEDAD ANONIMA SPON ADR CL D |
| YRCW | YRC WORLDWIDE INC COM PAR \$.01 |
| YRCWD | YRC WORLDWIDE INC COM PAR \$.01 |
| YSI | U STORE IT TR COM |
| YTEC | YUCHENG TECHNOLOGIES LTD COM |
| YTECW | Yucheng Technologies Limited - Warrant 11/17/2008 |
| YTK | AMEX DEJAGER 2000 INDXXX |
| YUII | YUHE INTERNATIONAL INC COM |
| YUM | YUM BRANDS INC COM |
| YXI | PROSHARES TR FTSE CHINA 25 |
| YY | YY INC ADS REPCOM CLA |
| YYY | Bear Stearns Active ETF Trust |
| YZC | YANZHOU COAL MNG CO LTD SPON ADR H SHS |
| Z | ZILLOW INC CL A |
| ZA | ZUOAN FASHION LTD SPONSORED ADR |
| ZAGG | ZAGG INC COM |
| ZANE | ZANETT INC COM NEW |
| ZANED | ZANETT INC COM NEW |
| ZAP | ZAPATA CORP COM PAR \$ |
| ZARS | ZARS Pharma Inc. - Common Stock |
| ZAZA | ZAZA ENERGY CORP COM |
| ZB-A | ZIONS BANCORPORATION PFD 1/40 SER A |
| ZB-B | ZIONS CAP TR B CAP SECS % |

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| ZB-B* | ZIONS CAP TR B CAP SECS 8% |
| ZB-C | ZIONS BANCORPORATION DEP 1/40TH SR C |
| ZB-E | ZIONS BANCORPORATION DEP SHS REP E |
| ZB-E* | ZIONS BANCORPORATION DEP SHS REP E |
| ZB-F | ZIONS BANCORPORATION DEP SHS REPSTG 1 |
| ZB-G | ZIONS BANCORPORATION DEP 1/40TH PFD |
| ZB-H | ZIONS BANCORPORATION PFD 1/40 PRP H |
| ZBB | ZBB ENERGY CORPORATION COM |
| ZBRA | ZEBRA TECHNOLOGIES CORP CL A |
| ZCOM | Impreso Inc. Common Stock |
| ZDIV | ETF SER SOLUTIONS ZACS SUSDV ETF |
| ZEFR | ZEFER CORP |
| ZEP | ZEP INC COM |
| ZEP# | ZEP INC |
| ZEUS | OLYMPIC STEEL INC COM |
| ZF | ZWEIG FD COM NEW |
| ZFC | ZAIS FINL CORP COM |
| ZGEN | ZYMOGENETICS INC COM |
| ZGNX | ZOGENIX INC COM |
| ZHIC | ZHENG HUI IND CORP COM |
| ZHNE | ZHONE TECHNOLOGIES INC NEW COM NEW |
| ZHNED | ZHONE TECHNOLOGIES INC NEW COM NEW |
| ZICA | ZI CORP COM |
| ZIF | Western Asset Zenix Income Fund Inc. Common Stock |
| ZIGO | ZYGO CORP COM |
| ZILA | ZILA INC COM PAR \$.001 |
| ZILAD | ZILA INC COM PAR \$.001 |
| ZILG | ZILOG INC COM PAR \$0.01 |
| ZINC | HORSEHEAD HLDG CORP COM |
| ZION | ZIONS BANCORPORATION COM |
| ZIONW | ZIONS BANCORPORATION WT EXP 052220 |
| ZIONZ | ZIONS BANCORPORATION WT EXP 111418 |
| ZIOP | ZIOPHARM ONCOLOGY INC COM |
| ZIP | ZIPCAR INC COM |
| ZIPR | ZIPREALTY INC COM |
| ZIV | CREDIT SUISSE NASSAU BRH INVRS VIX MDTERM |
| ZIXI | ZIX CORP COM |
| ZL | Zarlink Semiconductor Inc. Common Share |
| ZLC | ZALE CORP NEW COM |
| ZLCS | ZALICUS INC COM |
| ZLTQ | ZELTIQ AESTHETICS INC COM |
| ZMH | ZIMMER HLDGS INC COM |
| ZMI | AMEX S&P MIDCAP XXX |
| ZMLP | ETF SER SOLUTIONS ZACKS MLP ETF |
| ZN | ZION OIL & GAS INC COM |
| ZN+ | ZION OIL & GAS INC WT EXP 013112 |
| ZNGA | ZYNGA INC CL A |
| ZNH | CHINA SOUTHN AIRLS LTD SPON ADR CL H |
| ZNT | ZENITH NATL INS CORP COM |
| ZNWAL | ZION OIL & GAS INC WT EXP 081512 |
| ZNWAW | ZION OIL & GAS INC WT EXP 123112 |
| ZNWAZ | ZION OIL & GAS INC WT EXP 123112 |
| ZOLL | ZOLL MED CORP COM |
| ZOLT | ZOLTEK COS INC COM |
| ZOMX | Zomax Incorporated - Common Stock |
| ZONA | Zonagen Inc. - Common Stock |
| ZONS | Zones Inc. - Common Stock |
| ZOO | ZOO ENTMT INC COM NEW |
| ZOOG | ZOO ENTMT INC COM NEW |
| ZOOM | ZOOM TECHNOLOGIES INC COM NEW |
| ZOOMD | ZOOM TECHNOLOGIES INC COM NEW |

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| ZQK | QUIKSILVER INC COM |
| ZRAN | ZORAN CORP COM |
| ZRBA | ZAREBA SYSTEMS INC COM |
| ZROZ | PIMCO ETF TR 25YR+ ZERO U S |
| ZSE | Z SEVEN FD INC COM |
| ZSL | PROSHARES TR II PSHS ULSSLVR NEW |
| ZSTN | ZST DIGITAL NETWORKS INC COM NEW |
| ZTM | Z-Trim Holdings Inc |
| ZTR | ZWEIG TOTAL RETURN FD INC COM NEW |
| ZTS | ZOETIS INC CL A |
| ZUMZ | ZUMIEZ INC COM |
| ZVUE | ZVUE CORP COM |
| ZVUEL | ZVUE Corporation - \$4.00 Redeemable Common Stock Purchase Warrants |
| ZVUEU | Handheld Entertainment Inc. - Unit comprised of 1 common and 1 warrant to purchase 1 share of common |
| ZVUEW | ZVUE Corporation - Warrants exercisable for common stock at \$6.06 per share expiring 8/13/2011 |
| ZVUEZ | ZVUE Corporation - \$2.80 Common Stock Purchase Warrants |
| ZVXI | Zevex International Inc. - Common Stock |
| ZX | CHINA ZENIX AUTO INTL LTD ADS |
| ZZ | SEALY CORP COM |
| ZZC | SEALY CORP SR SECD 3RD 8% |
| ZZ^ | SEALY CORP RT |
| ZZ^# | SEALY CORP RT |