



CAPIS' Practice Regarding NYSE Rule 108, Allowing Floor Broker to Trade on Parity with Customer Orders

CAPIS' Floor Brokers may permit the specialist to trade on parity with customer orders for some or all of the executions associated with filling that order, where such permission would not be inconsistent with CAPIS' best execution obligations.

If you wish to object to this practice then you must notify CAPIS of your objection either as a blanket instruction, or an instruction that applies to one or more specific situations or transactions.