

SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

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| BROKER OR DEALER CANTOR FITZGERALD & CO. | as of <u>11/30/19</u> |
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STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION
FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES

SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)

| | | | |
|---|----|--|------|
| 1. Net ledger balance | | | |
| A. Cash | \$ | | 7010 |
| B. Securities (at market) | | | 7020 |
| 2. Net unrealized profit (loss) in open futures contracts traded on a contract market | | | 7030 |
| 3. Exchange traded options | | | |
| A. Add market value of open option contracts purchased on a contract market | | | 7032 |
| B. Deduct market value of open option contracts granted (sold) on a contract market | (| | 7033 |
| 4. Net equity (deficit) (add lines 1, 2, and 3) | | | 7040 |
| 5. Accounts liquidating to a deficit and accounts with debit balances | | | |
| - gross amount | | | 7045 |
| Less: amount offset by customer owned securities | (| | 7047 |
| 6. Amount required to be segregated (add lines 4 and 5) | \$ | | 7060 |

FUNDS IN SEGREGATED ACCOUNTS

| | | | |
|---|----|-----------|------|
| 7. Deposited in segregated funds bank accounts | | | |
| A. Cash | | 4,969,921 | 7070 |
| B. Securities representing investments of customers' funds (at market) | | | 7080 |
| C. Securities held for particular customers or option customers in lieu of cash (at market) | | | 7090 |
| 8. Margins on deposit with derivatives clearing organizations of contract markets | | | |
| A. Cash | \$ | | 7100 |
| B. Securities representing investments of customers' funds (at market) | | | 7110 |
| C. Securities held for particular customers or option customers in lieu of cash (at market) | | | 7120 |
| 9. Net settlement from (to) derivatives clearing organizations of contract markets | | | 7130 |
| 10. Exchange traded options | | | |
| A. Value of open long option contracts | | | 7132 |
| B. Value of open short option contracts | (| | 7133 |
| 11. Net equities with other FCMs | | | |
| A. Net liquidating equity | | | 7140 |
| B. Securities representing investments of customers' funds (at market) | | | 7160 |
| C. Securities held for particular customers or option customers in lieu of cash (at market) | | | 7170 |
| 12. Segregated funds on hand (describe: _____) | | | 7150 |
| 13. Total amount in segregation (add lines 7 through 12) | | 4,969,921 | 7180 |
| 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) | \$ | 4,969,921 | 7190 |
| 15. Management Target Amount for Excess funds in segregation | \$ | 3,000,000 | 7194 |
| 16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess | \$ | 1,969,921 | 7198 |

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2019-12-24 01:09PM EST
Status: Accepted

BROKER OR DEALER
CANTOR FITZGERALD & CO.

as of 11/30/19

STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS
PURSUANT TO COMMISSION REGULATION 30.7

FOREIGN FUTURES AND FOREIGN OPTIONS SECURED AMOUNTS

| | | | |
|---|----|---|------|
| Amount required to be set aside pursuant to law, rule or regulation of a foreign government or a rule of a self-regulatory organization authorized thereunder | \$ | | 7305 |
| 1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers | | | |
| A. Cash | \$ | | 7315 |
| B. Securities (at market) | | | 7317 |
| 2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade | | | 7325 |
| 3. Exchange traded options | | | |
| A. Market value of open option contracts purchased on a foreign board of trade | | | 7335 |
| B. Market value of open contracts granted (sold) on a foreign board of trade | | | 7337 |
| 4. Net equity (deficit) (add lines 1, 2, and 3.) | \$ | | 7345 |
| 5. Accounts liquidating to a deficit and accounts with debit balances - gross amount | \$ | | 7351 |
| Less: amount offset by customer owned securities | | (| 7352 |
| | | | 7354 |
| 6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) | \$ | | 7355 |
| 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. | \$ | | 7360 |

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STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS
PURSUANT TO COMMISSION REGULATION 30.7

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

| | | | |
|--|----|----------|---------|
| 1. Cash in banks | | | |
| A. Banks located in the United States | \$ | 7500 | |
| B. Other banks qualified under Regulation 30.7 | | | |
| Name(s): | | 7520 | \$ 7530 |
| 2. Securities | | | |
| A. In safekeeping with banks located in the United States | \$ | 7540 | |
| B. In safekeeping with other banks qualified under Regulation 30.7 | | | |
| Name(s): | | 7550 | 7570 |
| 3. Equities with registered futures commission merchants | | | |
| A. Cash | \$ | 7580 | |
| B. Securities | | 7590 | |
| C. Unrealized gain (loss) on open futures contracts | | 7600 | |
| D. Value of long option contracts | | 7610 | |
| E. Value of short option contracts | | (7615) | 7620 |
| 4. Amounts held by clearing organizations of foreign boards of trade | | | |
| Name(s): | | 7630 | |
| A. Cash | \$ | 7640 | |
| B. Securities | | 7650 | |
| C. Amount due to (from) clearing organizations - daily variation | | 7660 | |
| D. Value of long option contracts | | 7670 | |
| E. Value of short option contracts | | (7675) | 7680 |
| 5. Amounts held by members of foreign boards of trade | | | |
| Name(s): | | 7690 | |
| A. Cash | \$ | 7700 | |
| B. Securities | | 7710 | |
| C. Unrealized gain (loss) on open futures contracts | | 7720 | |
| D. Value of long option contracts | | 7730 | |
| E. Value of short option contracts | | (7735) | 7740 |
| 6. Amounts with other depositories designated by a foreign board of trade | | | |
| Name(s): | | 7750 | 7760 |
| 7. Segregated funds on hand (describe: _____) | | | |
| | | | 7765 |
| 8. Total funds in separate section 30.7 accounts | | | |
| | \$ | | 7770 |
| 9. Excess (deficiency) set Aside Funds for Secured Amount (subtract Line 7 Secured Statement page T10-3 from Line 8) | | | |
| | \$ | | 7380 |
| 10. Management Target Amount for Excess funds in separate section 30.7 accounts | | | |
| | \$ | | 7780 |
| 11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target | | | |
| | \$ | | 7785 |

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STATEMENT OF CLEARED SWAPS CUSTOMER SEGREGATION REQUIREMENTS AND
 FUNDS IN CLEARED SWAPS CUSTOMER ACCOUNTS UNDER 4D(F) OF THE CEA

Cleared Swaps Customer Requirements

| | | | |
|--|----|------|------|
| 1. Net ledger balance | | | |
| A. Cash | | \$ | 8500 |
| B. Securities (at market) | | | 8510 |
| 2. Net unrealized profit (loss) in open cleared swaps | | | 8520 |
| 3. Cleared swaps options | | | |
| A. Market value of open cleared swaps option contracts purchased | | | 8530 |
| B. Market value of open cleared swaps option contracts granted (sold) | | (| 8540 |
| 4. Net equity (deficit) (add lines 1, 2, and 3) | | \$ | 8550 |
| 5. Accounts liquidating to a deficit and accounts with debit balances - gross amount | \$ | 8560 | |
| Less: amount offset by customer owned securities | (| 8570 | 8580 |
| 6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5) | | \$ | 8590 |

Funds in Cleared Swaps Customer Segregated Accounts

| | | | |
|---|--|----|------|
| 7. Deposited in cleared swaps customer segregated accounts at banks | | | |
| A. Cash | | \$ | 8600 |
| B. Securities representing investments of cleared swaps customers' funds (at market) | | | 8610 |
| C. Securities held for particular cleared swaps customers in lieu of cash (at market) | | | 8620 |
| 8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts | | | |
| A. Cash | | | 8630 |
| B. Securities representing investments of cleared swaps customers' funds (at market) | | | 8640 |
| C. Securities held for particular cleared swaps customers in lieu of cash (at market) | | | 8650 |
| 9. Net settlement from (to) derivatives clearing organizations | | | 8660 |
| 10. Cleared swaps options | | | |
| A. Value of open cleared swaps long option contracts | | | 8670 |
| B. Value of open cleared swaps short option contracts | | (| 8680 |
| 11. Net equities with other FCMs | | | |
| A. Net liquidating equity | | | 8690 |
| B. Securities representing investments of cleared swaps customers' funds (at market) | | | 8700 |
| C. Securities held for particular cleared swaps customers in lieu of cash (at market) | | | 8710 |
| 12. Cleared swaps customer funds on hand (describe: _____) | | | 8715 |
| 13. Total amount in cleared swaps customer segregation (add lines 7 through 12) | | \$ | 8720 |
| 14. Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13) | | \$ | 8730 |
| 15. Management Target Amount for Excess funds in cleared swaps segregated accounts | | \$ | 8760 |
| 16. Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management Target Excess | | \$ | 8770 |