

SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II

BROKER OR DEALER  
CANTOR FITZGERALD & CO.

as of 03/31/17

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			7030
traded on a contract market			
3. Exchange traded options			
A. Add market value of open option contracts purchased on a			7032
contract market			
B. Deduct market value of open option contracts granted (sold)	(		7033
on a contract market	)		
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
	)		7050
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			7080
(at market)			
C. Securities held for particular customers or option customers			7090
in lieu of cash (at market)			
8. Margins on deposit with derivatives clearing organizations			
of contract markets			
A. Cash	\$		7100
B. Securities representing investments of customers' funds			7110
(at market)			
C. Securities held for particular customers or option customers			7120
in lieu of cash (at market)			
9. Net settlement from (to) derivatives clearing organizations			7130
of contract markets			
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			7160
(at market)			
C. Securities held for particular customers or option customers			7170
in lieu of cash (at market)			
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	\$	4,969,921	7190
from line 13)			
15. Management Target Amount for Excess funds in segregation	\$	3,000,000	7194
16. Excess (deficiency) funds in segregation over (under) Management Target	\$	1,969,921	7198
Amount Excess			

SUPPLEMENT TO  
 FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
 PART II

2017-04-25 07:02PM EDT  
 Status: Accepted

BROKER OR DEALER

CANTOR FITZGERALD & CO.

as of 03/31/17

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

SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II

2017-04-25 07:02PM EDT  
Status: Accepted

BROKER OR DEALER CANTOR FITZGERALD & CO.	as of <u>03/31/17</u>
---	-----------------------

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):	7510	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	7560	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

SUPPLEMENT TO  
 FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
 PART II

BROKER OR DEALER  
 CANTOR FITZGERALD & CO.

as of 03/31/17

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