

SUPPLEMENT TO  
 FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
 PART II

|   |                       |
|---|-----------------------|
| BROKER OR DEALER<br>CANTOR FITZGERALD & CO. | as of <u>11/30/18</u> |
|---|-----------------------|

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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2018-12-27 04:47PM EST  
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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 |
| 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 |
|  |    |  | 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 |

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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 |
| 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 |