

**FORM  
X-17A-5**

**FOCUS REPORT**  
(Financial and Operational Combined Uniform Single Report)

**Part II**  11

(Read instructions before preparing Form)

This report is being filed by a/an:

- 1) Broker-dealer not registered as an SBSD or MSBSP (stand-alone broker-dealer)
  - 2) Broker-dealer registered as an SBSD (broker-dealer SBSD)
  - 3) Broker-dealer registered as an MSBSP (broker-dealer MSBSP)
  - 4) SBSD without a prudential regulator and not registered as a broker-dealer (stand-alone SBSD)
  - 5) MSBSP without a prudential regulator and not registered as a broker-dealer (stand-alone MSBSP)
- Check here if respondent is an OTC derivatives dealer

|                                     |       |
|-------------------------------------|-------|
| <input checked="" type="checkbox"/> | 12000 |
| <input type="checkbox"/>            | 12001 |
| <input type="checkbox"/>            | 12002 |
| <input type="checkbox"/>            | 12003 |
| <input type="checkbox"/>            | 12004 |
| <input type="checkbox"/>            | 12005 |

This report is being filed by a: Firm authorized to use models  12006 U.S. person  12007 Non-U.S. person  12008

This report is being filed pursuant to (Check Applicable Block(s)):

- 1) Rule 17a-5(a)  16
- 2) Rule 17a-5(b)  17
- 3) Special request by DEA or the Commission  19
- 4) Rule 18a-7  99
- 5) Other (explain: \_\_\_\_\_)  26

|  |                        |                             |   |                             |
|--|------------------------|-----------------------------|---|-----------------------------|
| NAME OF REPORTING ENTITY<br>CANTOR FITZGERALD & CO.  |                        | <input type="checkbox"/> 13 | SEC FILE NO.<br>800201                        | <input type="checkbox"/> 14 |
| ADDRESS OF PRINCIPAL PLACE OF BUSINESS (Do not use P.O. Box No.)<br>110 EAST 59TH STREET 4TH FLOOR |                        | <input type="checkbox"/> 20 | FIRM ID NO.<br>134                            | <input type="checkbox"/> 15 |
| NEW YORK   | (No. and Street)<br>NY | <input type="checkbox"/> 21 | <input type="checkbox"/> 22                   | 10022                       |
| (City)   | (State/Province)       | (Zip Code)                  | FOR PERIOD BEGINNING (MM/DD/YY)<br>11/01/2023 |                             |
| US   | 12009                  |                             | AND ENDING (MM/DD/YY)<br>11/30/2023           |                             |
| (Country)  |                        | <input type="checkbox"/> 23 | <input type="checkbox"/> 24                   | <input type="checkbox"/> 25 |

|   |                             |                                      |                                |   |                             |
|---|-----------------------------|--------------------------------------|--------------------------------|---|-----------------------------|
| NAME OF PERSON TO CONTACT IN REGARD TO THIS REPORT<br>Ken Paulson | <input type="checkbox"/> 30 | EMAIL ADDRESS<br>kpaulson@cantor.com | <input type="checkbox"/> 12010 | (AREA CODE) TELEPHONE NO.<br>212-294-7922 | <input type="checkbox"/> 31 |
|---|-----------------------------|--------------------------------------|--------------------------------|---|-----------------------------|

|  |                             |
|--|-----------------------------|
| NAME(S) OF SUBSIDIARIES OR AFFILIATES CONSOLIDATED IN THIS REPORT: | OFFICIAL USE                |
| <input type="checkbox"/> 32  | <input type="checkbox"/> 33 |
| <input type="checkbox"/> 34  | <input type="checkbox"/> 35 |
| <input type="checkbox"/> 36  | <input type="checkbox"/> 37 |
| <input type="checkbox"/> 38  | <input type="checkbox"/> 39 |

Is this report consolidated or unconsolidated? Consolidated  198 Unconsolidated  199

Does respondent carry its own customer or security-based swap customer accounts? YES  40 NO  41

Check here if respondent is filing an audited report  42

**EXECUTION: The registrant submitting this Form and its attachments and the person(s) by whom it is executed represent hereby that all information contained therein is true, correct and complete. It is understood that all required items, statements, and schedules are considered integral parts of this Form and that the submission of any amendment represents that all unamended items, statements, and schedules remain true, correct and complete as previously submitted.**

Dated the 26 Day of December, 2023 Electronically submitted through WinJammer

|  |  |                                |
|--|--|--------------------------------|
| Signatures of:<br>1) Eric Driscoll,<br>Principal Executive Officer or Comparable Officer | Names of:<br>Principal Executive Officer or Comparable Officer | <input type="checkbox"/> 12011 |
| 2)<br>Principal Financial Officer or Comparable Officer                                  | Principal Financial Officer or Comparable Officer              | <input type="checkbox"/> 12012 |
| 3)<br>Principal Operations Officer or Comparable Officer                                 | Principal Operations Officer or Comparable Officer             | <input type="checkbox"/> 12013 |

**ATTENTION: Intentional misstatements and/or omissions of facts constitute federal criminal violations. (See 18 U.S.C. 1001 and 15 U**

Name of Firm: CANTOR FITZGERALD & CO.  
As of: 11/30/2023

**Persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT**

**PART II**

|                          |                         |                          |
|--------------------------|-------------------------|--------------------------|
| <b>BROKER OR DEALER:</b> | CANTOR FITZGERALD & CO. | <b>as of:</b> 11/30/2023 |
|--------------------------|-------------------------|--------------------------|

**STATEMENT OF FINANCIAL CONDITION**

|                     |     |
|---------------------|-----|
| As of (MMDDYY)      | 99  |
| SEC FILE NO. 800201 | 98  |
| Consolidated        | 198 |
| Unconsolidated X    | 199 |

**ASSETS**

|  | <u>Allowable</u> |       | <u>Non-Allowable</u> |       | <u>Total</u>   |       |
|--|------------------|-------|----------------------|-------|----------------|-------|
| 1. Cash  | \$ 100,483,447   | 200   | \$ 0                 | 12014 | \$ 100,483,447 | 750   |
| 2. Cash segregated in compliance with federal and other regulations  | 52,945,875       | 210   |                      |       | 52,945,875     | 760   |
| 3. Receivable from brokers or dealers and clearing organizations:  |                  |       |                      |       |                |       |
| A. Failed to deliver:  |                  |       |                      |       |                |       |
| 1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a             | 10,448,889       | 220   |                      |       |                |       |
| 2. Other   | 8,923,549        | 230   |                      |       | 19,372,438     | 770   |
| B. Securities borrowed:  |                  |       |                      |       |                |       |
| 1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a             | 23,695           | 240   |                      |       |                |       |
| 2. Other   | 3,331,880,374    | 250   |                      |       | 3,331,904,069  | 780   |
| C. Omnibus accounts:   |                  |       |                      |       |                |       |
| 1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a             | 0                | 260   |                      |       |                |       |
| 2. Other   | 0                | 270   |                      |       | 0              | 790   |
| D. Clearing organizations:   |                  |       |                      |       |                |       |
| 1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a, or the CEA | 2,397,233        | 280   |                      |       |                |       |
| 2. Other   | 135,909,215      | 290   |                      |       | 138,306,448    | 800   |
| E. Other   | 8,334,546        | 300   | \$ 6,636,511         | 550   | 14,971,057     | 810   |
| 4. Receivables from customers:   |                  |       |                      |       |                |       |
| A. Securities accounts:  |                  |       |                      |       |                |       |
| 1. Cash and fully secured accounts   | 19,407,605       | 310   |                      |       |                |       |
| 2. Partly secured accounts   | 10               | 320   | 0                    | 560   |                |       |
| 3. Unsecured accounts  |                  |       | 860,945              | 570   |                |       |
| B. Commodity accounts  | 0                | 330   | 0                    | 580   |                |       |
| C. Allowance for doubtful accounts   | 0                | 335   | 0                    | 590   | 20,268,560     | 820   |
| 5. Receivables from non-customers:   |                  |       |                      |       |                |       |
| A. Cash and fully secured accounts   | 0                | 340   |                      |       |                |       |
| B. Partly secured and unsecured accounts   | 0                | 350   | 1,656                | 600   | 1,656          | 830   |
| 6. Excess cash collateral pledged on derivative transactions   | 0                | 12015 | 0                    | 12016 | 0              | 12017 |
| 7. Securities purchased under agreements to resell   | 4,988,018,478    | 360   | 0                    | 605   | 4,988,018,478  | 840   |
| 8. Trade date receivable   | 352,218,004      | 292   |                      |       | 352,218,004    | 802   |
| 9. Total net securities, commodities, and swaps positions  | 4,527,087,387    | 12019 | 18,764,003           | 12022 | 4,545,851,390  | 12024 |

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

as of: 11/30/2023

**STATEMENT OF FINANCIAL CONDITION**

ASSETS

Allowable

Non-Allowable

Total

|   |                          |            |                      |            |                          |            |
|---|--------------------------|------------|----------------------|------------|--------------------------|------------|
| 10. Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value: |                          |            |                      |            |                          |            |
| A. Exempted securities \$0 [150]  |                          |            |                      |            |                          |            |
| B. Other \$0 [160]  | 0                        | 460        | 0                    | 630        | 0                        | 880        |
| 11. Secured demand notes - market value of collateral:  |                          |            |                      |            |                          |            |
| A. Exempted securities \$0 [170]  |                          |            |                      |            |                          |            |
| B. Other \$0 [180]  | 0                        | 470        | 0                    | 640        | 0                        | 890        |
| 12. Memberships in exchanges:   |                          |            |                      |            |                          |            |
| A. Owned, at market value \$0 [190]   |                          |            |                      |            |                          |            |
| B. Owned at cost  |                          |            | 0                    | 650        |                          |            |
| C. Contributed for use of company, at market value  |                          |            | 0                    | 660        | 0                        | 900        |
| 13. Investment in and receivables from affiliates, subsidiaries and associated partnerships                                       | 0                        | 480        | 15,799,955           | 670        | 15,799,955               | 910        |
| 14. Property, furniture, equipment, leasehold improvements and rights under lease agreements:                                     |                          |            |                      |            |                          |            |
| At cost (net of accumulated depreciation and amortization)  | 12,251,839               | 490        | 3,805,708            | 680        | 16,057,547               | 920        |
| 15. Other Assets:   |                          |            |                      |            |                          |            |
| A. Dividends and interest receivable  | 518,408                  | 500        | 25,851               | 690        |                          |            |
| B. Free shipments   | 0                        | 510        | 0                    | 700        |                          |            |
| C. Loans and advances   | 0                        | 520        | 189,187              | 710        |                          |            |
| D. Miscellaneous  | 0                        | 530        | 40,401,445           | 720        |                          |            |
| E. Collateral accepted under ASC 860  | 0                        | 536        |                      |            |                          |            |
| F. SPE Assets   | 0                        | 537        |                      |            | 41,134,891               | 930        |
| 16. TOTAL ASSETS  | <u>\$ 13,550,848,554</u> | <u>540</u> | <u>\$ 86,485,261</u> | <u>740</u> | <u>\$ 13,637,333,815</u> | <u>940</u> |

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT**  
**PART II**

**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

as of: 11/30/2023

**STATEMENT OF FINANCIAL CONDITION**

**LIABILITIES AND OWNERSHIP EQUITY**

| <u>Liabilities</u>   | <u>A.I.</u>          |       | <u>Non-A.I.</u>      |       | <u>Total</u>   |       |
|--|----------------------|-------|----------------------|-------|----------------|-------|
|  | <u>Liabilities *</u> |       | <u>Liabilities *</u> |       |                |       |
| 17. Bank loans payable:  |                      |       |                      |       |                |       |
| A. Includable in segregation requirement under<br>17 CFR 240.15c3-3 and its appendices or<br>17 CFR 240.18a-4and 18a4a, or the CEA | \$ 0                 | 1030  | \$ 0                 | 1240  | \$ 0           | 1460  |
| B. Other   | 0                    | 1040  | 0                    | 1250  | 0              | 1470  |
| 18. Securities sold under repurchase agreements  |                      |       | 0                    | 1260  | 10,224,494,558 | 1480  |
| 19. Payable to brokers or dealers and clearing organizations:  |                      |       |                      |       |                |       |
| A. Failed to receive:  |                      |       |                      |       |                |       |
| 1. Includable in segregation requirement under<br>17 CFR 240.15c3-3 and its appendices or<br>17 CFR 240.18a-4and 18a4a, or the CEA | 0                    | 1050  | 0                    | 1270  | 1,428,550      | 1490  |
| 2. Other   | 0                    | 1060  | 0                    | 1280  | 41,071,860     | 1500  |
| B. Securities loaned:  |                      |       |                      |       |                |       |
| 1. Includable in segregation requirement under<br>17 CFR 240.15c3-3 and its appendices or<br>17 CFR 240.18a-4and 18a4a, or the CEA | 0                    | 1070  |                      |       | 307,254        | 1510  |
| 2. Other   | 0                    | 1080  | 0                    | 1290  | 1,402,853,420  | 1520  |
| C. Omnibus accounts:   |                      |       |                      |       |                |       |
| 1. Includable in segregation requirement under<br>17 CFR 240.15c3-3 and its appendices or<br>17 CFR 240.18a-4and 18a4a, or the CEA | 0                    | 1090  |                      |       | 0              | 1530  |
| 2. Other   | 0                    | 1095  | 0                    | 1300  | 0              | 1540  |
| D. Clearing organizations:   |                      |       |                      |       |                |       |
| 1. Includable in segregation requirement under<br>17 CFR 240.15c3-3 and its appendices or<br>17 CFR 240.18a-4and 18a4a, or the CEA | 0                    | 1100  |                      |       | 12,587,188     | 1550  |
| 2. Other   | 0                    | 1105  | 0                    | 1310  | 43,856,476     | 1560  |
| E. Other   | 0                    | 1110  | 0                    | 1320  | 22,825,511     | 1570  |
| 20. Payable to customers:  |                      |       |                      |       |                |       |
| A. Securities accounts - including free credits<br>of \$21,809,653 [950]   | 0                    | 1120  |                      |       | 42,077,470     | 1580  |
| B. Commodities accounts  | 0                    | 1130  | 0                    | 1330  | 0              | 1590  |
| 21. Payable to non customers:  |                      |       |                      |       |                |       |
| A. Securities accounts   | 0                    | 1140  | 0                    | 1340  | 5,815,039      | 1600  |
| B. Commodities accounts  | 0                    | 1150  | 0                    | 1350  | 491,087        | 1610  |
| 22. Excess cash collateral received on derivative transactions   | 0.00                 | 12025 | 0.00                 | 12026 | 0.00           | 12027 |
| 23. Trade date payable   | 0.00                 | 12031 | 0.00                 | 12037 | 0.00           | 1562  |
| 24. Total net securities, commodities, and swaps positions   | 0.00                 | 12032 | 0.00                 | 12038 | 989,094,423.00 | 12044 |
| 25. Accounts payable and accrued liabilities and expenses:   |                      |       |                      |       |                |       |
| A. Drafts payable  | 0                    | 1160  |                      |       | 5              | 1630  |
| B. Accounts payable  | 0                    | 1170  |                      |       | 1,091,114      | 1640  |
| C. Income taxes payable  | 0                    | 1180  |                      |       | 0              | 1650  |
| D. Deferred income taxes   |                      |       | 0                    | 1370  | 0              | 1660  |
| E. Accrued expenses and other liabilities  | 0                    | 1190  |                      |       | 116,986,032    | 1670  |
| F. Other   | 0                    | 1200  | 0                    | 1380  | 102,158,724    | 1680  |
| G. Obligation to return securities   | 0.00                 | 12033 | 0                    | 1386  | 0              | 1686  |
| H. SPE Liabilities   | 0.00                 | 12045 | 0                    | 1387  | 0              | 1687  |

\* Brokers or Dealers electing the alternative net capital requirement method need not complete these columns.

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

**as of:** 11/30/2023

**STATEMENT OF FINANCIAL CONDITION  
LIABILITIES AND OWNERSHIP EQUITY (continued)**

| <u>Liabilities</u>  | <u>A.I.<br/>Liabilities *</u> |      | <u>Non A.I.<br/>Liabilities *</u> |      | <u>Total</u>      |      |
|---|-------------------------------|------|-----------------------------------|------|-------------------|------|
| 26. Notes and mortgages payable:  |                               |      |                                   |      |                   |      |
| A. Unsecured  | \$ 0                          | 1210 |                                   |      | \$ 0              | 1690 |
| B. Secured  | 0                             | 1211 | \$ 0                              | 1390 | 0                 | 1700 |
| 27. Liabilities subordinated to claims<br>of general creditors:                             |                               |      |                                   |      |                   |      |
| A. Cash borrowings  |                               |      | 0                                 | 1400 | 205,000,000       | 1710 |
| 1. from outsiders \$0 [970]   |                               |      |                                   |      |                   |      |
| 2. Includes equity subordination(Rule 15c3-1(d)) or Rule 18a-1(g)<br>of \$205,000,000 [980] |                               |      |                                   |      |                   |      |
| B. Securities borrowings, at market value   |                               |      | 0                                 | 1410 | 0                 | 1720 |
| 1. from outsiders \$0 [990]   |                               |      |                                   |      |                   |      |
| C. Pursuant to secured demand note<br>collateral agreements                                 |                               |      | 0                                 | 1420 | 0                 | 1730 |
| 1. from outsiders \$0 [1000]  |                               |      |                                   |      |                   |      |
| 2. Includes equity subordination(Rule 15c3-1(d)) or Rule 18a-1(g)<br>of \$0 [1010]          |                               |      |                                   |      |                   |      |
| D. Exchange memberships contributed for<br>use of company, at market value                  |                               |      | 0                                 | 1430 | 0                 | 1740 |
| E. Accounts and other borrowings not<br>qualified for net capital purposes                  | 0                             | 1220 | 0                                 | 1440 | 0                 | 1750 |
| 28. TOTAL LIABILITIES   | \$ 0                          | 1230 | \$ 0                              | 1450 | \$ 13,212,138,711 | 1760 |
| <b><u>Ownership Equity</u></b>  |                               |      |                                   |      |                   |      |
| 29. Sole proprietorship   |                               |      |                                   |      | \$ 0              | 1770 |
| 30. Partnership and limited liability company -<br>including limited partners/members       | \$ 0                          | 1020 |                                   |      | \$ 425,195,104    | 1780 |
| 31. Corporation:  |                               |      |                                   |      |                   |      |
| A. Preferred stock  |                               |      | 0                                 | 1791 |                   |      |
| B. Common stock   |                               |      | 0                                 | 1792 |                   |      |
| C. Additional paid-in capital   |                               |      | 0                                 | 1793 |                   |      |
| D. Retained earnings  |                               |      | 0                                 | 1794 |                   |      |
| E. Accumulated other comprehensive income   |                               |      | 0.00                              | 1797 |                   |      |
| F. Total  |                               |      |                                   |      | 0                 | 1795 |
| G. Less capital stock in treasury   |                               |      |                                   |      | 0                 | 1796 |
| 32. TOTAL OWNERSHIP EQUITY (sum of Line Items 1770, 1780, 1795, 1796)                       |                               |      |                                   |      | \$ 425,195,104    | 1800 |
| 33. TOTAL LIABILITIES AND OWNERSHIP EQUITY (sum of Line Items 1760 and 1800)                |                               |      |                                   |      | \$ 13,637,333,815 | 1810 |

\* Brokers or Dealers electing the alternative net capital requirement method need not complete these columns.

**COMPUTATION OF NET CAPITAL (FILER AUTHORIZED TO USE MODELS)**

**PART II**

**BROKER OR DEALER:** CANTOR FITZGERALD & CO.

**as of:** 11/30/2023

**COMPUTATION OF NET CAPITAL**

|  |   |      |      |       |
|--|---|------|------|-------|
| 1. Total ownership equity from item 1800 .....   |   |      | \$ 0 | 3480  |
| 2. Deduct ownership equity not allowable for net capital .....                                   |   |      | 0    | 3490  |
| 3. Total ownership equity qualified for net capital .....  |   |      | 0    | 3500  |
| 4. Add:  |   |      |      |       |
| A. Liabilities subordinated to claims of creditors allowable in computation of net capital ..... |   |      | 0    | 3520  |
| B. Other (deductions) or allowable credits (list) .....  |   |      | 0    | 3525  |
| 5. Total capital and allowable subordinated liabilities .....                                    |   |      | \$ 0 | 3530  |
| 6. Deductions and/or charges:  |   |      |      |       |
| A. Total non-allowable assets from Statement of Financial Condition .....                        |   |      | \$ 0 | 3540  |
| 1. Additional charges for customers' and non-customers' security accounts .....                  |   |      | \$ 0 | 3550  |
| 2. Additional charges for customers' and non-customers' commodity accounts .....                 |   |      | 0    | 3560  |
| 3. Additional charges for customers' and non-customers' security-based swap accounts .....       |   |      | 0    | 12047 |
| 4. Additional charges for customers' and non-customers' swap accounts .....                      |   |      | 0    | 12048 |
| B. Aged fail-to-deliver .....  |   |      | 0    | 3570  |
| 1. Number of items .....   | 0 | 3450 |      |       |
| C. Aged short security differences - less reserve of .....                                       |   |      | \$ 0 | 3460  |
| number of items .....  | 0 | 3470 |      |       |
| D. Secured demand note deficiency .....  |   |      | 0    | 3590  |
| E. Commodity futures contracts and spot commodities - proprietary capital charges .....          |   |      | 0    | 3600  |
| F. Other deductions and/or charges .....   |   |      | 0    | 3610  |
| G. Deductions for accounts carried under Rules 15c3-1(a)(6) and (c)(2)(x) .....                  |   |      | 0    | 3615  |
| H. Total deductions and/or charges (sum of Lines 6A-6G) .....                                    |   |      | 0    | 3620  |
| 7. Other additions and/or allowable credits (list) .....   |   |      | 0    | 3630  |
| 8. Tentative net capital .....   |   |      | \$ 0 | 3640  |
| 9. Market risk exposure-for VaR firms (sum of Lines 9E, 9F, 9G, and 9H) .....                    |   |      | 0    | 3677  |
| A. Total value at risk (sum of Lines 9A1-9A5) .....  |   |      | 0    | 3634  |
| Value at risk components   |   |      |      |       |
| 1. Fixed income VaR .....  | 0 | 3636 |      |       |
| 2. Currency VaR .....  | 0 | 3637 |      |       |
| 3. Commodities VaR .....   | 0 | 3638 |      |       |
| 4. Equities VaR .....  | 0 | 3639 |      |       |
| 5. Credit derivatives VaR .....  | 0 | 3641 |      |       |
| B. Diversification benefit .....   |   |      | 0    | 3642  |
| C. Total diversified VaR (sum of Lines 9A and 9B) .....  |   |      | 0    | 3643  |
| D. Multiplication factor .....   |   |      | 0.00 | 3645  |
| E. Subtotal (Line 9C multiplied by Line 9D) .....  |   |      | 0    | 3655  |
| F. Deduction for specific risk, unless included in Lines 9A-9E above .....                       |   |      | 0    | 3646  |

Name of Firm: \_\_\_\_\_

As of: \_\_\_\_\_

**COMPUTATION OF NET CAPITAL (FILER AUTHORIZED TO USE MODELS)**  
**PART II**

**BROKER OR DEALER:** CANTOR FITZGERALD & CO. **as of:** 11/30/2023

**COMPUTATION OF NET CAPITAL**

|  |      |       |  |
|--|------|-------|--|
| G. Risk deduction using scenario analysis (sum of Lines 9G1-9G5) .....   | 0    | 3647  |  |
| 1. Fixed income .....  | 0    | 3648  |  |
| 2. Currency .....  | 0    | 3649  |  |
| 3. Commodities .....   | 0    | 3651  |  |
| 4. Equities .....  | 0    | 3652  |  |
| 5. Credit derivatives .....  | 0    | 3653  |  |
| H. Residual marketable securities (see Rule 15c3-1(c)(2)(vi) or 18a-1 (c)(1)(vii), as applicable) .....                                  | 0    | 3665  |  |
| 10. Market risk exposure - for Basel 2.5 firms (sum of Lines 10E, 10H, 10I, 10J, 10K, 10L, 10N, and 10O) .....                           | 0    | 12776 |  |
| A. Total value at risk (sum of Lines 10A1-10A5) .....  | 0    | 12762 |  |
| Value at risk components   |      |       |  |
| 1. Fixed income VaR .....  | 0    | 12758 |  |
| 2. Currency VaR .....  | 0    | 12759 |  |
| 3. Commodities VaR .....   | 0    | 12760 |  |
| 4. Equities VaR .....  | 0    | 12761 |  |
| 5. Credit derivatives VaR .....  | 0    | 12029 |  |
| B. Diversification benefit .....   | 0    | 12763 |  |
| C. Total diversified VaR (sum of Line 10A and 10B) .....   | 0    | 12030 |  |
| D. Multiplication factor .....   | 0.00 | 12764 |  |
| E. Subtotal (Line 10C is multiplied by Line 10D) .....   | 0.00 | 12765 |  |
| F. Total stressed VaR (SVar) .....   | 0    | 12766 |  |
| G. Multiplication factor .....   | 0.00 | 12767 |  |
| H. Subtotal (Line 10F multiplied by Line 10G) .....  | 0    | 12768 |  |
| I. Incremental risk charge (IRC) .....   | 0    | 12769 |  |
| J. Comprehensive risk measure (CRM) .....  | 0    | 12770 |  |
| K. Specific risk - standard specific market risk (SSMR) .....  | 0    | 12771 |  |
| L. Specific risk - securitization (SFA / SSFA) .....   | 0    | 12772 |  |
| M. Alternative method for equities under Appendix A to Rule 15c3-1 or Rule 18a-1a, as applicable .....                                   | 0    | 12773 |  |
| N. Residual positions .....  | 0    | 12774 |  |
| O. Other .....   | 0    | 12775 |  |
| 11. Credit risk exposure for certain counterparties (see Appendix E to Rule 15c3-1 or Rule 18a-1(e)(2), as applicable) .....             | 0    | 3676  |  |
| A. Counterparty exposure charge (add Lnes 11A1 and 11A2) .....   | 0    | 12049 |  |
| 1. Net replacement value default, bankruptcy .....   | 0    | 12050 |  |
| 2. Credit equivalent amount exposure to the counterparty multiplied by the credit-risk weight of the counterparty multiplied by 8% ..... | 0    | 12050 |  |
| B. Concentration charge .....  | 0    | 3656  |  |
| 1. Credit risk weight ≤ 20% .....  | 0    | 3657  |  |
| 2. Credit risk weight > 20% and ≤ 50% .....  | 0    | 3658  |  |
| 3. Credit risk weight > 50% .....  | 0    | 3658  |  |
| C. Portfolio concentration charge .....  | 0    | 3678  |  |
| 12. Total credit risk exposure (add Lines 11A, 11B and 11C) .....  | 0    | 3688  |  |
| 13. Net capital/(for VaR firms, subtract Lines 9 and 12 from Line 8)/(for Basel 2.5 firms, subtract Lines 10 and 12 from Line 8) .....   | 0    | 3750  |  |

Name of Firm: \_\_\_\_\_

As of: \_\_\_\_\_

**COMPUTATION OF NET CAPITAL (FILER NOT AUTHORIZED TO USE MODELS)**

**PART II**

|                          |                         |                          |
|--------------------------|-------------------------|--------------------------|
| <b>BROKER OR DEALER:</b> | CANTOR FITZGERALD & CO. | <b>as of:</b> 11/30/2023 |
|--------------------------|-------------------------|--------------------------|

**COMPUTATION OF NET CAPITAL**

|  |                   |                |      |
|--|-------------------|----------------|------|
| 1. Total ownership equity from item 1800 .....   | \$ 425,195,104.00 | 3480           |      |
| 2. Deduct ownership equity not allowable for net capital .....   | 0                 | 3490           |      |
| 3. Total ownership equity qualified for net capital .....  | 425,195,104       | 3500           |      |
| 4. Add:  |                   |                |      |
| A. Liabilities subordinated to claims of creditors allowable in computation of net capital .....       | 205,000,000       | 3520           |      |
| B. Other (deductions) or allowable credits (list) .....  | 0                 | 3525           |      |
| 5. Total capital and allowable subordinated liabilities .....  | \$ 630,195,104    | 3530           |      |
| 6. Deductions and/or charges   |                   |                |      |
| A. Total non-allowable assets from Statement of Financial Condition .....                              | 86,485,261        | 3540           |      |
| 1. Additional charges for customers' and non-customers' security accounts .....                        | 0                 | 3550           |      |
| 2. Additional charges for customers' and non-customers' commodity accounts .....                       | 0                 | 3560           |      |
| 3. Additional charges for customers' and non-customers' security-based swap accounts .....             | 0                 | 12051          |      |
| 4. Additional charges for customers' and non-customers' swap accounts.....                             | 0                 | 12052          |      |
| B. Aged fail-to-deliver .....  | 509,404           | 3570           |      |
| 1. Number of items .....   | 49                | 3450           |      |
| 2. Number of items .....   | 0                 | 3460           |      |
| C. Aged short security differences-less reserve of .....   | 0                 | 3580           |      |
| 1. Number of items .....   | 0                 | 3470           |      |
| D. Secured demand note deficiency .....  | 0                 | 3590           |      |
| E. Commodity futures contracts and spot commodities - proprietary capital charges .....                | 10,067,804        | 3600           |      |
| F. Other deductions and/or charges .....   | 9,944,676         | 3610           |      |
| G. Deductions for accounts carried under Rules 15c3-1(a)(6) and (c)(2)(x) .....                        | 0                 | 3615           |      |
| H. Total deductions and/or charges .....   |                   | (107,007,145)  | 3620 |
| 7. Other additions and/or allowable credits .....  |                   | 0              | 3630 |
| 8. Tentative net capital (net capital before haircuts).....  |                   | \$ 523,187,959 | 3640 |
| 9. Haircuts on securities other than security-based swaps  |                   |                |      |
| A. Contractual securities commitments .....  | 0                 | 3660           |      |
| B. Subordinated securities borrowings .....  | 0                 | 3670           |      |
| C. Trading and investment securities   |                   |                |      |
| 1. Bankers' acceptances, certificates of deposit, commercial paper, and money market instruments ..... | 0                 | 3680           |      |
| 2. U.S. and Canadian government obligations .....  | 64,640,851        | 3690           |      |
| 3. State and municipal government obligations .....  | 5,843             | 3700           |      |
| 4. Corporate obligations .....   | 39,442,504        | 3710           |      |
| 5. Stocks and warrants .....   | 12,061,758        | 3720           |      |
| 6. Options .....   | 0                 | 3730           |      |
| 7. Arbitrage .....   | 0                 | 3732           |      |
| 8. Risk-based haircuts computed under 17 CFR 240.15c3-1a or 17 CFR 240.18a-1a .....                    | 0                 | 12028          |      |
| 9. Other securities .....  | 170,147           | 3734           |      |
| D. Undue concentration .....   | 0                 | 3650           |      |
| E. Other (List _____) .....  | 0                 | 3736           |      |
| 10. Haircuts on security-based swaps .....   | 0                 | 12053          |      |
| 11. Haircuts on swaps .....  | 10,011,000        | 12054          |      |
| 12. Total haircuts (sum of Lnes 9A-9E, 10, and 11) .....   |                   | (126,332,103)  | 3740 |
| 13. Net capital (Line 8 minus Line 12) .....   |                   | \$ 396,855,856 | 3750 |

Name of Firm: \_\_\_\_\_

As of: \_\_\_\_\_



Items on this page to be reported by a: Stand-Alone Broker-Dealer  
Broker-Dealer SBSB (other than OTC Derivatives Dealer)  
Broker-Dealer MSBSP

**BROKER OR DEALER:** CANTOR FITZGERALD & CO.

**as of:** 11/30/2023

**Calculation of Excess Tentative Net Capital (If Applicable)**

|  |    |   |       |
|--|----|---|-------|
| 1. Tentative net capital .....   | \$ | 0 | 3640  |
| 2. Minimum tentative net capital requirement .....   | \$ | 0 | 12055 |
| 3. Excess tentative net capital (difference between Lines 1 and 2) .....   | \$ | 0 | 12056 |
| 4. Tentative net capital in excess of 120% of minimum tentative net capital requirement reported on Line 2 ..... | \$ | 0 | 12057 |

**Calculation of Minimum Net Capital Requirement**

|   |    |             |       |
|---|----|-------------|-------|
| 5. Ratio minimum net capital requirement  |    |             |       |
| A. 6 2/3% of total aggregate indebtedness (Line Item 3840) .....  | \$ | 0           | 3756  |
| B. 2% of aggregate debit items as shown in the Formula for Reserve Requirements pursuant to Rule 15c3-3 .....                                   | \$ | 642,370     | 3870  |
| i. Minimum CFTC net capital requirement (if applicable) .....   | \$ | 1,000,000   | 7490  |
| C. Percentage of risk margin amount computed under 17 CFR 240.15c3-1 (a)(7)(i) or (a)(10) .....   | \$ | 0           | 12058 |
| D. For broker-dealers engaged in reverse repurchase agreements, 10% of the amounts in 17 CFR 240.15c3-1(a)(9)(i)-(iii) .....                    | \$ | 357,630     | 12059 |
| E. Minimum ratio requirement (sum of Lines 5A, 5B, 5C, and/or 5D, as applicable) .....  | \$ | 1,000,000   | 12060 |
| 6. Fixed-dollar minimum net capital requirement .....   | \$ | 1,500,000   | 3880  |
| 7. Minimum net capital requirement (greater of Lines 5E and 6) .....  | \$ | 1,500,000   | 3760  |
| 8. Excess net capital (Item 3750 minus Item 3760) .....   | \$ | 395,355,856 | 3910  |
| 9. Net capital and tentative net capital in relation to early warning thresholds  |    |             |       |
| A. Net capital in excess of 120% of minimum net capital requirement reported on Line 7 .....  | \$ | 395,055,856 | 12061 |
| B. Net capital in excess of 5% of combined aggregate debit items as shown in the Formula for Reserve Requirements pursuant to Rule 15c3-3 ..... | \$ | 395,249,931 | 3920  |

**Computation of Aggregate Indebtedness (If Applicable)**

|  |    |   |      |
|--|----|---|------|
| 10. Total aggregate indebtedness liabilities from Statement of Financial Condition (Item 1760) .....   | \$ | 0 | 3790 |
| 11. Add:   |    |   |      |
| A. Drafts for immediate credit .....   | \$ | 0 | 3800 |
| B. Market value of securities borrowed for which no equivalent value is paid or credited ..  | \$ | 0 | 3810 |
| C. Other unrecorded amounts (list) .....   | \$ | 0 | 3820 |
| D. Total additions (sum of Line Items 3800, 3810, and 3820) .....  | \$ | 0 | 3830 |
| 12. Deduct: Adjustment based on deposits in Special Reserve Bank Accounts (see Rule 15c3-1(c)(1)(vii)) .....   | \$ | 0 | 3838 |
| 13. Total aggregate indebtedness (sum of Line Items 3790 and 3830) .....   | \$ | 0 | 3840 |
| 14. Percentage of aggregate indebtedness to net capital (Item 3840 divided by Item 3750) .....   | %  | 0 | 3850 |
| 15. Percentage of aggregate indebtedness to net capital <i>after</i> anticipated capital withdrawals (Item 3840 divided by Item 3750 less Item 4880) ..... | %  | 0 | 3853 |

**Calculation of Other Ratios**

|   |    |       |      |
|---|----|-------|------|
| 16. Percentage of net capital to aggregate debits (Item 3750 divided by Item 4470) .....  | %  | 1,236 | 3851 |
| 17. Percentage of net capital, <i>after</i> anticipated capital withdrawals, to aggregate debits (Item 3750 less Item 4880, divided by Item 4470) .....                   | %  | 1,236 | 3854 |
| 18. Percentage of debt to debt-to-equity total, computed in accordance with Rule 15c3-1(d) .....  | %  | 0     | 3860 |
| 19. Options deductions/net capital ratio (1000% test) total deductions exclusive of liquidating equity under Rule 15c3-1(a)(6) and (c)(2)(x) divided by net capital ..... | \$ | 0     | 3852 |

Name of Firm: \_\_\_\_\_

As of: \_\_\_\_\_

Items on this page to be reported by a: Stand-Alone SBSB  
SBSB registered as an OTC Derivatives Dealer

**BROKER OR DEALER:** CANTOR FITZGERALD & CO. **as of:** 11/30/2023

**Calculation of Excess Tentative Net Capital (If Applicable)**

|   |    |   |       |
|---|----|---|-------|
| 1. Tentative net capital .....  | \$ | 0 | 3640  |
| 2. Fixed-dollar minimum tentative net capital requirement.....  | \$ | 0 | 12062 |
| 3. Excess tentative net capital (difference between Lines 1 and 2) .....  | \$ | 0 | 12063 |
| 4. Tentative net capital in excess of 120% of minimum tentative net capital requirements reported on Line 2 ..... | \$ | 0 | 12064 |

**Calculation of Minimum Net Capital Requirement**

|   |    |   |       |
|---|----|---|-------|
| 5. Ratio minimum net capital requirement - Percentage of risk margin amount computed under 17 CFR 240.18a-1(a)(1) ...                   | \$ | 0 | 12065 |
| 6. Fixed-dollar minimum net capital requirement .....   | \$ | 0 | 3880  |
| 7. Minimum net capital requirement (greater of Lines 5 and 6) .....   | \$ | 0 | 3760  |
| 8. Excess net capital (Item 3750 minus Item 3760) .....   | \$ | 0 | 3910  |
| 9. Net capital in excess of 120% of minimum net capital requirement reported on Line 7 (Line Item 3750 - [Line Item 3760 x 120%]) ..... | \$ | 0 | 12066 |

Name of Firm: \_\_\_\_\_

As of: \_\_\_\_\_

COMPUTATION OF TANGIBLE NET WORTH

Items on this page to be reported by a: Stand-Alone MSBSP

**Firm Name:** CANTOR FITZGERALD & CO. **as of:** 11/30/2023

|   |   |       |
|---|---|-------|
| 1. Total ownership equity from Item 1800    | 0 | 1800  |
| 2. Goodwill and other intangible assets     | 0 | 12067 |
| 3. Tangible net worth (Line 1 minus Line 2) | 0 | 12068 |

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

as of: 11/30/2023

**FINANCIAL AND OPERATIONAL DATA**

|  |                     |                  |                                     |               |                                  |
|--|---------------------|------------------|-------------------------------------|---------------|----------------------------------|
| 1. Month end total number of stock record breaks   |                     | <u>Valuation</u> |                                     | <u>Number</u> |                                  |
| A. Breaks long unresolved for more than three business days  |                     | 0                | 4890                                | 0             | 4900                             |
| B. Breaks short unresolved for more than seven business days after discovery   |                     | 0                | 4910                                | 0             | 4920                             |
| 2. Is the firm in compliance with Rule 17a-13 or 18a-9, as applicable, regarding periodic count and verification of securities positions and locations at least once in each calendar quarter? (Check one) |                     |                  |                                     |               |                                  |
|  |                     | Yes              | <input checked="" type="checkbox"/> | 4930          | No <input type="checkbox"/> 4940 |
| 3. Personnel employed at end of reporting period:  |                     |                  |                                     |               |                                  |
| A. Income producing personnel  |                     |                  |                                     | 428           | 4950                             |
| B. Non-income producing personnel (all other)  |                     |                  |                                     | 148           | 4960                             |
| C. Total (sum of Lines 3A-3B)  |                     |                  |                                     | 576           | 4970                             |
| 4. Actual number of tickets executed during the reporting period   |                     |                  |                                     | 4,865,698     | 4980                             |
| 5. Number of corrected customer confirmations sent after settlement date   |                     |                  |                                     | 0             | 4990                             |
| 6. Failed to deliver 5 business days or longer (21 business days or longer in the case of municipal securities)  |                     |                  |                                     |               |                                  |
|  | <u>No. of Items</u> |                  | <u>Ledger Amount</u>                |               | <u>Market Value</u>              |
|  | 57                  | 5360             | 3,175,270                           | 5361          | \$ 0 5362                        |
| 7. Failed to receive 5 business days or longer (21 business days or longer in the case of municipal securities)  |                     |                  |                                     |               |                                  |
|  | 57                  | 5363             | 2,810,048                           | 5364          | \$ 0 5365                        |
| 8. Security (including security-based swap) concentrations   |                     |                  |                                     |               |                                  |
| A. Proprietary positions for which there is an undue concentration   |                     |                  |                                     | \$ 0          | 5370                             |
| B. Customers' and security-based swap customers' accounts under Rules 15c3-3 or 18a-4, as applicable   |                     |                  |                                     | \$ 0          | 5374                             |
| 9. Total of personal capital borrowings due within six months  |                     |                  |                                     | \$ 0          | 5378                             |
| 10. Maximum haircuts on underwriting commitments during the reporting period   |                     |                  |                                     | \$ 3,082,550  | 5380                             |
| 11. Planned capital expenditures for business expansion during the next six months   |                     |                  |                                     | \$ 0          | 5382                             |
| 12. Liabilities of other individuals or organizations guaranteed by respondent   |                     |                  |                                     | \$ 0          | 5384                             |
| 13. Lease and rentals payable within one year  |                     |                  |                                     | \$ 3,171,981  | 5386                             |
| 14. Aggregate lease and rental commitments payable for entire term of the lease  |                     |                  |                                     |               |                                  |
| A. Gross   |                     |                  |                                     | \$ 13,337,427 | 5388                             |
| B. Net   |                     |                  |                                     | \$ 13,337,427 | 5390                             |

**Operational Deductions from Capital - Note A**

**Part II**

|   |                          |
|---|--------------------------|
| <b>Firm Name:</b> CANTOR FITZGERALD & CO. | <b>as of:</b> 11/30/2023 |
|---|--------------------------|

|  | I            | II  | III   | IV   |
|--|--------------|---|---|--|
|  | No. of Items | Debits (Short Value)<br><small>(Omit 000's)</small> | Credits (Long Value)<br><small>(Omit 000's)</small> | Deductions in Computing<br>Net Capital <small>(Omit Pennies)</small> |
| 1. Money suspense and balancing differences.....   | \$0 5610     | \$0 5810  | \$0 6010  | \$0 6012   |
| 2. Security suspense and differences with related<br>money balances.....   | L \$0 5620   | \$0 5820  | \$0 6020  | \$0 6022   |
|  | S \$0 5625   | \$0 5825  | \$0 6025  | \$0 6027   |
| 3. Market value of short and long security suspense and differences without<br>related money balances (other than reported in Line 4, below) ..... | \$0 5630     | \$0 5830  | \$0 6030  | \$0 6032   |
| 4. Market value of security record breaks.....   | \$0 5640     | \$0 5840  | \$0 6040  | \$0 6042   |
| 5. Unresolved reconciling differences with others  |              |   |   |  |
| A. Correspondents, broker-dealers, SBSs, and MSBSPs  | L \$0 5650   | \$0 5850  | \$0 6050  | \$0 6052   |
|  | S \$0 5655   | \$0 5855  | \$0 6055  | \$0 6057   |
| B. Depositories.....   | \$0 5660     | \$0 5860  | \$0 6060  | \$0 6062   |
| C. Clearing organizations.....   | L \$0 5670   | \$0 5870  | \$0 6070  | \$0 6072   |
|  | S \$0 5675   | \$0 5875  | \$0 6075  | \$0 6077   |
| D. Inter-company accounts.....   | \$0 5680     | \$0 5880  | \$0 6080  | \$0 6082   |
| E. Bank accounts and loans.....  | \$0 5690     | \$0 5890  | \$0 6090  | \$0 6092   |
| F. Other.....  | \$0 5700     | \$0 5900  | \$0 6100  | \$0 6102   |
| G. (Offsetting) Lines 5A through 5F.....   | \$0 5720     | \$0 5920  | \$0 6120  |  |
| TOTAL (Lines 5A-5G).....   | \$0 5730     | \$0 5930  | \$0 6130  | \$0 6132   |
| 6. Commodity differences.....  | \$0 5740     | \$0 5940  | \$0 6140  | \$0 6142   |
| 7. Open transfers and reorganization account items over<br>40 days not confirmed or verified .....   | \$0 5760     | \$0 5960  | \$0 6160  | \$0 6162   |
| 8. TOTAL (Lines 1-7).....  | \$0 5770     | \$0 5970  | \$0 6170  | \$0 6172   |
| 9. Lines 1-6 resolved subsequent to report date.....   | \$0 5775     | \$0 5975  | \$0 6175  | \$0 6177   |
| 10. Aged fails - to deliver.....   | \$0 5780     | \$0 5980  | \$0 6180  | \$0 6182   |
| to receive .....   | \$0 5785     | \$0 5985  | \$0 6185  | \$0 6187   |

**NOTE A - This section must be completed as follows:**

1. The filers must complete Column IV, Lines 1 through 8 and 10, reporting deductions from capital as of the report date whether resolved subsequently or not (see instructions relative to each line item).
2. Columns I, II and III of Lines 1 through 8 must be completed only if the total deduction on Column IV of Line 8 equals or exceeds 25% of excess net capital as of the prior month end reporting date. All columns of Line 10 require completion.
3. A response to Columns I through IV of Line 9 and the "Potential Operational Charges Not Deducted From Capital-Note B" are required only if:
  - A. The parameters cited in Note A-2 exist, and
  - B. The total deduction, Line 8, Column IV, for the current month exceeds the total deductions for the prior month by 50% or more.
4. All columns and Lines 1 through 10 must be answered if required. If respondent has nothing to report, enter "0".

**Other Operational Data (Items 1, 2 and 3 below require an answer)**

Item 1. Have the accounts enumerated on Lines 5A through 5F above been reconciled with statements received from others within 35 days for Lines 5A through 5D and 65 days for Lines 5E and 5F prior to the report date and have all reconciling differences been appropriately comprehended in the computation of net capital at the report date? If this has not been done in all respects, answer No.

|     |                                     |      |
|-----|-------------------------------------|------|
| Yes | <input checked="" type="checkbox"/> | 5600 |
| No  | <input type="checkbox"/>            | 5601 |

Item 2. Do the respondent's books reflect a concentrated position in commodities? If yes, report the totals (\$000 omitted) in accordance with the specific instructions. If No, answer "0" for:

|     |                          |      |
|-----|--------------------------|------|
| \$0 | <input type="checkbox"/> | 5602 |
| \$0 | <input type="checkbox"/> | 5603 |

- A. Firm trading and investment accounts.....
- B. Customers' and non-customers' and other accounts.....

Item 3. Does respondent have any planned operational changes? (Answer Yes or No based on specific instructions.)

|     |                                     |      |
|-----|-------------------------------------|------|
| Yes | <input type="checkbox"/>            | 5604 |
| No  | <input checked="" type="checkbox"/> | 5605 |

**Name of Firm:** \_\_\_\_\_

**As of:** \_\_\_\_\_

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

as of: 11/30/2023

**FINANCIAL AND OPERATIONAL DATA - NOTE B**

|  | <b>I</b>            | <b>II</b>                   | <b>III</b>                  | <b>IV</b>   |
|--|---------------------|-----------------------------|-----------------------------|---|
|  | <b>No. of Items</b> | <b>Debits (Short Value)</b> | <b>Credits (Long Value)</b> | <b>Deductions in<br/>Computing Net<br/>Capital<br/>(Omit Pennies)</b> |
|  |                     | (Report in Thousands)       | (Report in Thousands)       |   |
| 1. Money suspense and balancing differences  | 0                   | 6210                        | 0 6410                      | 0 6610 0 6612   |
| 2. Security suspense and differences with related money balances   | (L) 0               | 6220                        | 0 6420                      | 0 6620 0 6622   |
|  | (S) 0               | 6225                        | 0 6425                      | 0 6625 0 6627   |
| 3. Market value of short and long security suspense and differences without related money (other than reported in Line 4. below) | 0                   | 6230                        | 0 6430                      | 0 6630 0 6632   |
| 4. Market value of security record breaks  | 0                   | 6240                        | 0 6440                      | 0 6640 0 6642   |
| 5. Unresolved reconciling differences with others  |                     |                             |                             |   |
| A. Correspondents, broker-dealers, SBSDs, and MSBSPs   | (L) 0               | 6250                        | 0 6450                      | 0 6650 0 6652   |
|  | (S) 0               | 6255                        | 0 6455                      | 0 6655 0 6657   |
| B. Depositories  | 0                   | 6260                        | 0 6460                      | 0 6660 0 6662   |
| C. Clearing organizations  | (L) 0               | 6270                        | 0 6470                      | 0 6670 0 6672   |
|  | (S) 0               | 6275                        | 0 6475                      | 0 6675 0 6677   |
| D. Inter-company accounts  | 0                   | 6280                        | 0 6480                      | 0 6680 0 6682   |
| E. Bank accounts and loans   | 0                   | 6290                        | 0 6490                      | 0 6690 0 6692   |
| F. Other   | 0                   | 6300                        | 0 6500                      | 0 6700 0 6702   |
| G. (Offsetting) Lines 5A through 5F  | 0                   | 6310                        | 0 6510                      | 0 6710  |
| TOTAL (Lines 5A-5G)  | 0                   | 6330                        | 0 6530                      | 0 6730 0 6732   |
| 6. Commodity differences   | 0                   | 6340                        | 0 6540                      | 0 6740 0 6742   |
| 7. TOTAL (Lines 1-6)   | 0                   | 6370                        | 0 6570                      | 0 6770 0 6772   |

**NOTE B** - This section must be completed as follows:

1. Lines 1 through 6 and Columns I through IV must be completed only if:

A. The total deductions on Line 8, Column IV, of the "Operational Deductions From Capital- Note A" equal or exceed 25% of excess net capital as of the prior month end reporting date; and

B. The total deduction on Line 8, Column IV, of the "Operational Deductions From Capital- Note A" for the current month exceeds the total deductions for the prior month by 50% or more. If respondent has nothing to report, enter "0"

2. Include only suspense and difference items open at the report date which were NOT required to be deducted in the computation of net capital AND which were not resolved seven (7) business days subsequent to the report date.

3. Include in Column IV only additional deductions not comprehended in the computation of net capital at the report date.

4. Include on Lines 5A through 5F unfavorable differences offset by favorable differences at the report date if resolution of the favorable items resulted in additional deductions in the computation of net capital subsequent to the report date.

5. Exclude from Lines 5A through 5F new reconciling differences disclosed as a result of reconciling with the books of account statements received subsequent to the report date.

Items on this page to be reported by a: Stand-Alone Broker-Dealer  
Broker-Dealer SBSD  
Broker-Dealer MSBSP

Firm Name: CANTOR FITZGERALD & CO. as of: 11/30/2023

**CREDIT BALANCES**

|  |               |      |                    |
|--|---------------|------|--------------------|
| 1. Free credit balances and other credit balances in customers' security accounts (see Note A)   | \$ 34,534,480 | 4340 |                    |
| 2. Monies borrowed collateralized by securities carried for the accounts of customers (See Note B)   | 0             | 4350 |                    |
| 3. Monies payable against customers' securities loaned (See Note C)  | 307,254       | 4360 |                    |
| 4. Customers' securities failed to receive (See Note D)  | 14,015,738    | 4370 |                    |
| 5. Credit balances in firm accounts which are attributable to principal sales to customers   | 4,541,871     | 4380 |                    |
| 6. Market value of stock dividends, stock splits and similar distributions receivable outstanding over 30 calendar days  | 0             | 4390 |                    |
| 7. **Market value of short security count differences over 30 calendar days old  | 0             | 4400 |                    |
| 8. **Market value of short securities and credits (not to be offset by long or by debits) in all suspense accounts over 30 calendar days   | 3,018,995     | 4410 |                    |
| 9. Market value of securities which are in transfer in excess of 40 calendar days and have not been confirmed to be in transfer by the transfer agent or the issuer during the 40 days | 0             | 4420 |                    |
| 10. Other (List)   | 0             | 4425 |                    |
| 11. TOTAL CREDITS (sums of Lines 1-10)   |               |      | \$ 56,418,338 4430 |

**DEBIT BALANCES**

|   |               |      |                    |
|---|---------------|------|--------------------|
| 12. **Debit balances in customers' cash and margin accounts excluding unsecured accounts and accounts doubtful of collection (See Note E)   | \$ 19,248,675 | 4440 |                    |
| 13. Securities borrowed to effectuate short sales by customers and securities borrowed to make delivery on customers' securities failed to deliver  | 23,695        | 4450 |                    |
| 14. Failed to deliver of customers' securities not older than 30 calendar days  | 12,846,122    | 4460 |                    |
| 15. Margin required and on deposit with the Options Clearing Corporation for all option contracts written or purchased in customer accounts (See Note F)  | 0             | 4465 |                    |
| 16. Margin required and on deposit with a clearing agency registered with the Commission under section 17A of the Act (15 U.S.C. 78q-1) or a derivatives clearing organization registered with the Commodity Futures Trading Commission under section 5b of the Commodity Exchange Act(7 U.S.C. 7a-1) related to the following types of positions written, purchased or sold in customer accounts: (1) security futures products and (2) futures contracts (and options thereon) carried in a securities account pursuant to an SRO portfolio margining rule (See Note G) | 0             | 4467 |                    |
| 17. Other (List)  | 0             | 4469 |                    |
| 18. **Aggregate debit items (sum of Lines 12-17)  |               |      | \$ 32,118,492 4470 |
| 19. **Less 3% (for alternative method only - see Rule 15c3-1(a)(1)(ii)) (3% x Line Item 4470)   |               |      | (963,555) 4471     |
| 20. **TOTAL DEBITS (Line 18 less Line 19)   |               |      | \$ 31,154,937 4472 |

**RESERVE COMPUTATION**

|   |               |      |  |
|---|---------------|------|--|
| 21. Excess of total debits over total credits (Line 20 less Line 11)  | \$ 0          | 4480 |  |
| 22. Excess of total credits over total debits (Line 11 less Line 20)  | 25,263,401    | 4490 |  |
| 23. If computation is made monthly as permitted, enter 105% of excess of total credits over total debits                                    | 0             | 4500 |  |
| 24. Amount held on deposit in "Reserve Bank Account(s)", including 0.00 [4505] value of qualified securities, at end of reporting period    | 37,286,045    | 4510 |  |
| 25. Amount of deposit (or withdrawal) including \$0 [4515] value of qualified securities  | 3,700,000     | 4520 |  |
| 26. New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal including \$0 [4525] value of qualified securities | \$ 40,986,045 | 4530 |  |
| 27. Date of deposit (MMDDYY)  | 12/04/2023    | 4540 |  |

**FREQUENCY OF COMPUTATION**

28. Daily [4332] Weekly X [4333] Monthly [4334]

\*\*In the event the net capital requirement is computed under the alternative method, this reserve formula must be prepared in accordance with the requirements of paragraph (a)(1)(ii) of Rule 15c3-1.  
References to notes in this section refer to the notes to 17 CFR 240.15c3-1a.



**FOCUS  
Report  
Part II**

**POSSESSION OR CONTROL FOR CUSTOMERS**

Items on this page to be reported by a: Stand-Alone Broker-Dealer  
Broker-Dealer SBSD  
Broker-Dealer MSBSP

**Firm Name:** CANTOR FITZGERALD & CO. **as of:** 11/30/2023

State the market valuation and the number of items of:

1. Customers' fully paid securities and excess margin securities not in the respondent's possession or control as of the report date (for which instructions to reduce to possession or control had been issued as of the report date) but for which the required action was not taken by respondent within the time frames specified under Rule 15c3-3. Notes A and B
 

|                    |   |      |
|--------------------|---|------|
|                    | 0 | 4586 |
| A. Number of items | 0 | 4587 |
  
2. Customers' fully paid securities and excess margin securities for which instructions to reduce to possession or control had not been issued as of the report date, excluding items arising from "temporary lags which result from normal business operations" as permitted under Rule 15c3-3. Notes B,C and D
 

|                    |   |      |
|--------------------|---|------|
|                    | 0 | 4588 |
| A. Number of items | 0 | 4589 |
  
3. The system and procedures utilized in complying with the requirement to maintain physical possession or control of customers' fully paid and excess margin securities have been tested and are functioning in a manner adequate to fulfill the requirements of Rule 15c3-3.
 

|  |     |   |      |    |      |
|--|-----|---|------|----|------|
|  | Yes | X | 4584 | No | 4585 |
|--|-----|---|------|----|------|

**NOTES**

- A. - Do not include in Line 1 customers' fully paid and excess margin securities required by Rule 15c3-3 to be in possession or control but for which no action was required by the respondent as of the report date or required action was taken by respondent within the time frames specified under Rule 15c3-3.
- B. - State separately in response to Lines 1 and 2 whether the securities reported in response thereto were subsequently reduced to possession or control by the respondent.
- C. - Be sure to include in Line 2 only items not arising from "temporary lags which result from normal business operations" as permitted under Rule 15c3-3.
- D. - Line 2 must be responded to only with a report which is filed as of the date selected for the broker's or dealer's annual audit of financial statements, whether or not such date is the end of a calendar quarter. The response to Line 2 should be filed within 60 calendar days after such date, rather than with the remainder of this report. This information may be required on a more frequent basis by the Commission or the designated examining authority in accordance with Rule 17a-5(a)(2)(iv).

**COMPUTATION FOR DETERMINATION OF PAB REQUIREMENTS  
PART II**

**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

**as of:** 11/30/2023

**PAB Reserve Requirements**

**CREDIT BALANCES**

|  |              |      |                    |
|--|--------------|------|--------------------|
| 1. Free credit balances and other credit balances in PAB security accounts (See Note A) .....  | \$ 6,373,919 | 2110 |                    |
| 2. Monies borrowed collateralized by securities carried for the accounts of PAB (See Note B) .....   | \$ 0         | 2120 |                    |
| 3. Monies payable against PAB securities loaned (See Note C) .....   | \$3,862,751  | 2130 |                    |
| 4. PAB securities failed to receive (See Note D) .....   | \$27,303     | 2140 |                    |
| 5. Credit balances in firm accounts which are attributable to principal sales to PAB .....   | \$1,480,907  | 2150 |                    |
| 6. Market value of stock dividends, stock splits and similar distributions receivable outstanding over 30 calendar days .....  | \$ 0         | 2152 |                    |
| 7. ** Market value of short security count differences over 30 calendar days old .....   | \$ 0         | 2154 |                    |
| 8. ** Market value of short securities and credits (not to be offset by longs or by debits) in all suspense accounts over 30 calendar days .....   | \$ 0         | 2156 |                    |
| 9. Market value of securities which are in transfer in excess of 40 calendar days and have not been confirmed to be in transfer by the transfer agent or the issuer during the 40 days ..... | \$ 0         | 2158 |                    |
| 10. Other (List: ) .....   | \$ 0         | 2160 |                    |
| 11. TOTAL PAB CREDITS(sum of Lines 1-10).....  |              |      | \$ 11,744,880 2170 |

**DEBIT BALANCES**

|   |          |      |                |
|---|----------|------|----------------|
| 12. Debit balances in PAB cash and margin accounts, excluding unsecured accounts and accounts doubtful of collection (See Note E) .....   | \$ 0     | 2180 |                |
| 13. Securities borrowed to effectuate short sales by PAB and securities borrowed to make delivery on PAB securities failed to deliver .....   | \$41,947 | 2190 |                |
| 14. Failed to deliver of PAB securities not older than 30 calendar days .....   | \$ 0     | 2200 |                |
| 15. Margin required and on deposit with Options Clearing Corporation for all option contracts written or purchased in PAB accounts (See Note F) .....   | \$ 0     | 2210 |                |
| 16. Margin required and on deposit with a clearing agency registered with the Commission under section 17 A of the Exchange Act (15 U.S.C. 78q-1) or a derivatives clearing organization registered with the Commodity Futures Trading Commission under section 5b of the Commodity Exchange Act (7 U.S.C. 7a-1) related to the following types of positions written, purchased or sold in PAB accounts: (1) security futures products and (2) futures contracts (and options thereon) carried in a securities account pursuant to an SRO portfolio margining rule (see Note G) ..... | \$ 0     | 2215 |                |
| 17. Other (List: ) .....  | \$ 0     | 2220 |                |
| 18. TOTAL PAB DEBITS(sum of Lines 12-17).....   |          |      | \$ 41,947 2230 |

**RESERVE COMPUTATION**

|   |               |      |  |
|---|---------------|------|--|
| 19. Excess of total PAB debits over total PAB credits (Line 18 less Line 11) .....  | \$ 0          | 2240 |  |
| 20. Excess of total PAB credits over total PAB debits (Line 11 less Line 18) .....  | \$11,702,933  | 2250 |  |
| 21. Excess debits in customer reserve formula computation .....   | \$ 0          | 2260 |  |
| 22. PAB reserve requirement (Line 20 less Line 21) .....  | \$11,702,933  | 2270 |  |
| 23. Amount held on deposit in Reserve Bank Account(s) including \$0 [2275] value of qualified securities, at end of reporting period .....        | \$10,500,000  | 2280 |  |
| 24. Amount of deposit (or withdrawal) including \$0 [2285] value of qualified securities .....  | \$3,300,000   | 2290 |  |
| 25. New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal including \$0 [2295] value of qualified securities ..... | \$ 13,800,000 | 2300 |  |
| 26. Date of deposit (MMDDYY) .....  | 12/04/2023    | 2310 |  |

**FREQUENCY OF COMPUTATION**

27. Daily  2315      Weekly  2320      Monthly  2330

\* See notes regarding PAB Reserve Bank Account Computation (Notes 1-10).

\*\* In the event the net capital requirement is computed under the alternative method, this reserve formula must be prepared in accordance with the requirements of paragraph (a)(1)(ii) of Rule 15c3-1.

References to notes in this section refer to the notes to 17 CFR 240.15c3-1a.

Name of Firm: \_\_\_\_\_

As of: \_\_\_\_\_

**CLAIMING AN EXEMPTION FROM RULE 15c3-3  
PART II**

|                          |                         |                          |
|--------------------------|-------------------------|--------------------------|
| <b>BROKER OR DEALER:</b> | CANTOR FITZGERALD & CO. | <b>as of:</b> 11/30/2023 |
|--------------------------|-------------------------|--------------------------|

**EXEMPTIVE PROVISION UNDER RULE 15c3-3**

If an exemption from Rule 15c3-3 is claimed, identify below the section upon which such exemption is based (check all that apply):

- |   |                          |                               |
|---|--------------------------|-------------------------------|
| A. (k)(1) - Limited business (mutual funds and/or variable annuities only).....   | <input type="checkbox"/> | <input type="checkbox"/> 4550 |
| B. (k)(2)(i) - "Special Account for the Exclusive Benefit of Customers" maintained .....  | <input type="checkbox"/> | <input type="checkbox"/> 4560 |
| C. (k)(2)(ii) - All customer transactions cleared through another broker-dealer on a fully disclosed basis<br>Name of clearing firm: <span style="float: right; border: 1px solid black; padding: 2px;">4335</span> ..... | <input type="checkbox"/> | <input type="checkbox"/> 4570 |
| D. (k)(3) - Exempted by order of the Commission (include copy of letter) .....  | <input type="checkbox"/> | <input type="checkbox"/> 4580 |

**Name of Firm:** \_\_\_\_\_

**As of:** \_\_\_\_\_

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

|                          |               |
|--------------------------|---------------|
| <b>BROKER OR DEALER:</b> | <b>as of:</b> |
|--------------------------|---------------|

**SB SWAP RESERVE REQUIREMENTS**

**CREDIT BALANCES**

|  |       |       |       |
|--|-------|-------|-------|
| 1. Free credit balances and other credit balances in the accounts carried for security-based swap customers (see Note A)   | _____ | 12069 |       |
| 2. Monies borrowed collateralized by securities in accounts carried for security-based swap customers (see Note B)   | _____ | 12070 |       |
| 3. Monies payable against security-based swap customers' securities loaned (see Note C)  | _____ | 12071 |       |
| 4. Security-based swap customers' securities failed to receive (see Note D)  | _____ | 12072 |       |
| 5. Credit balances in firm, accounts attributable to principal sales to security-based swap customers  | _____ | 12073 |       |
| 6. Market value of stock dividends, stock splits and similar distributions receivable outstanding over 30 calendar days  | _____ | 12074 |       |
| 7. **Market value of short security count differences over 30 calendar days old  | _____ | 12075 |       |
| 8. **Market value of short securities and credits (not to be offset by longs or by debits) in all suspense accounts over 30 calendar days  | _____ | 12076 |       |
| 9. Market value of securities which are in transfer in excess of 40 calendar days and have not been confirmed to be in transfer by the transfer agent or the issuer during the 40 days | _____ | 12077 |       |
| 10. Other (List: _____ )   | _____ | 12078 |       |
| 11. TOTAL CREDITS (sum of Lines 1-10)  | _____ |       | 12089 |

**DEBIT BALANCES**

|  |       |       |       |
|--|-------|-------|-------|
| 12. Debit balances in accounts carried for security-based swap customers, excluding unsecured accounts and accounts doubtful of collection (see Note E)  | _____ | 12079 |       |
| 13. Securities borrowed to effectuate short sales by security-based swap customers and securities borrowed to make delivery on security-based swap customers' securities failed to deliver   | _____ | 12080 |       |
| 14. Failed to deliver of security-based swap customers' securities not older than 30 calendar days   | _____ | 12081 |       |
| 15. Margin required and on deposit with Options Clearing Corporation for all option contracts written or purchased in accounts carried for security-based swap customers (see Note F)  | _____ | 12082 |       |
| 16. Margin related to security future products written, purchased or sold in accounts carried for security-based swap customers required and on deposit in a qualified clearing agency account at a clearing agency registered with the Commission under section 17A of the Exchange Act (15 U.S.C. 78q-1) or a derivative clearing organization registered with the Commodity Futures Trading Commission under section 5b of the Commodity Exchange Act (7 U.S.C. 7a-1 ) (see Note G) | _____ | 12083 |       |
| 17. Margin related to cleared security-based swap transactions in accounts carried for security-based swap customers required and on deposit in a qualified clearing agency account at a clearing agency registered with the Commission pursuant to section 17A of the Exchange Act (15 U.S.C. 78q-1)  | _____ | 12084 |       |
| 18. Margin related to non-cleared security-based swap transactions in accounts carried for security-based swap customers required and held in a qualified registered security-based swap dealer account at another security-based swap dealer  | _____ | 12085 |       |
| 19. Other (List: _____ )   | _____ | 12086 |       |
| 20. **Aggregate debit items  | _____ |       | 12090 |
| 21. **TOTAL DEBITS (sum of Lines 12-19)  | _____ |       | 12091 |

**RESERVE COMPUTATION**

|   |       |       |
|---|-------|-------|
| 22. Excess of total debits over total credits (Line 21 less Line 11)  | _____ | 12092 |
| 23. Excess of total credits over total debits (Line 11 less Line 21)  | _____ | 12093 |
| 24. Amount held on deposit in "Reserve Account(s)," including value of qualified securities, at end of reporting period                 | _____ | 12094 |
| 25. Amount of deposit (or withdrawal) including _____ 12087 value of qualified securities   | _____ | 12095 |
| 26. New amount in Reserve Account(s) after adding deposit or subtracting withdrawal including _____ 12088 value of qualified securities | _____ | 12096 |
| 27. Date of deposit (MM/DD/YY)  | _____ | 12097 |

\*\* In the event the net capital requirement is computed under the alternative method, this reserve formula must be prepared in accordance with the requirements of paragraph (a)(1)(ii) of Rule 15c3-1.

References to notes in this section refer to the notes to 17 CFR 240.15c3-3b or 17 CFR 240.18a-4a, as applicable.

**POSSESSION OR CONTROL FOR SECURITY-BASED SWAP CUSTOMERS  
PART II**

**BROKER OR DEALER:** CANTOR FITZGERALD & CO. **as of:** 11/30/2023

**SB SWAP RESERVE REQUIREMENTS**

**State the market valuation and number of items of:**

- Security-based swap customers' excess securities collateral not in the respondent's possession or control as of the report date (for which instructions to reduce to possession or control had been issued as of the report date) but for which the required action was not taken by respondent within the time frame specified under Rule 15c3-3(p) or Rule 18a-4, as applicable. Notes A and B
 

|       |   |       |
|-------|---|-------|
| _____ | 0 | 12098 |
| _____ | 0 | 12099 |

  - Number of items
- Security-based swap customers' excess securities collateral for which instructions to reduce possession or control had not been issued as of the report date under Rule 15c3-3(p) or Rule 18a-4, as applicable
 

|       |   |       |
|-------|---|-------|
| _____ | 0 | 12100 |
| _____ | 0 | 12101 |

  - Number of items
- The system and procedures utilized in complying with the requirement to maintain physical possession or control of security-based swap customers' excess securities collateral have been tested and are functioning in a manner adequate to fulfill the requirements of Rule 15c3-3(p) or Rule 18a-4, as applicable
 

|     |             |       |    |             |       |
|-----|-------------|-------|----|-------------|-------|
| Yes | False _____ | 12102 | No | False _____ | 12103 |
|-----|-------------|-------|----|-------------|-------|

**Notes:**

- A - Do not include in Line 1 security-based swap customers' excess securities collateral required to be in possession or control but for which no action was required by the respondent as of the report date or required action was taken by respondent within the required time frames.
- B - State separately in response to Line 1 whether the securities reported in response thereto were subsequently reduced to possession or control by the respondent.

**EXEMPTION FROM RULE 18a-4**

If an exemption from Rule 18a-4 is claimed, check the box False \_\_\_\_\_ 12104

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

PART II

STATEMENT DETAILS

**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

**as of:** 11/30/2023

**Box 4930 Description:**

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

|                   |                         |                          |
|-------------------|-------------------------|--------------------------|
| <b>Firm Name:</b> | CANTOR FITZGERALD & CO. | <b>as of:</b> 11/30/2023 |
|-------------------|-------------------------|--------------------------|

**COMPUTATION OF CFTC MINIMUM CAPITAL REQUIREMENTS**

**NET CAPITAL REQUIRED**

|       |   |         |              |      |
|-------|---|---------|--------------|------|
| A.    | Risk-based requirement  |         |              |      |
|       | i. Amount of customer risk  |         |              |      |
|       | <b>Maintenance margin</b>   | \$ 0    | 7415         |      |
|       | ii. Enter 8% of Line A.i  |         | 0            | 7425 |
|       | iii. Amount of non-customer risk  |         |              |      |
|       | <b>Maintenance margin</b>   | 475,250 | 7435         |      |
|       | iv. Enter 8% of Line A.iii  |         | 38,020       | 7445 |
|       | v. Amount of uncleared swap margin  | 0       | 7446         |      |
|       | vi. If the FCM is also registered as a swap dealer, enter 2% of Line A.v  |         | 0            | 7447 |
|       | vii. Enter the sum of Lines A.ii, A.iv, and A.vi.   |         | 38,020       | 7455 |
|       |   |         |              |      |
| B.    | Minimum dollar amount requirement   |         | 1,000,000    | 7465 |
| C.    | Other NFA requirement   |         | 0            | 7475 |
|       |   |         |              |      |
| D.    | Minimum CFTC net capital requirement.   |         |              |      |
|       | Enter the greatest of Lines A.vii, B, or C  |         | \$ 1,000,000 | 7490 |
|       |   |         |              |      |
| Note: | If amount of Line D is greater than the minimum net capital requirement computer on Item 3760, then enter this greater amount on Item 3760. The greater of the amount required by the SEC or CFTC is the minimum net capital requirement. |         |              |      |
|       |   |         |              |      |
|       | CFTC early warning level - enter the greatest of 110% of Line A.vii. or 150% of Line B or 150% of Line C or \$375,000   |         | \$ 1,500,000 | 7495 |

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

as of: 11/30/2023

**STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION  
FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES**

**SEGREGATION REQUIREMENTS**

|   |   |      |      |      |
|---|---|------|------|------|
| 1. Net ledger balance   |   |      |      |      |
| A. Cash   |   |      | \$ 0 | 7010 |
| B. Securities (at market)   |   |      | 0    | 7020 |
| 2. Net unrealized profit (loss) in open futures contracts traded on a contract market |   |      | 0    | 7030 |
| 3. Exchange traded options  |   |      |      |      |
| A. Add: Market value of open option contracts purchased on a contract market          |   |      | 0    | 7032 |
| B. Deduct Market value of open option contracts granted (sold) on a contract market   |   |      | 0    | 7033 |
| 4. Net equity (deficit) (total of Lines 1, 2 and 3)                                   |   |      | 0    | 7040 |
| 5. Accounts liquidating to a deficit and accounts with debit balances - gross amount  | 0 | 7045 |      |      |
| Less: amount offset by customer owned securities                                      | 0 | 7047 | 0    | 7050 |
| 6. Amount required to be segregated (add Lines 4 and 5)                               |   |      | \$ 0 | 7060 |

**FUNDS IN SEGREGATED ACCOUNTS**

|   |  |  |              |      |
|---|--|--|--------------|------|
| 7. Deposited in segregated funds bank accounts  |  |  |              |      |
| A. Cash   |  |  | 5,159,829    | 7070 |
| B. Securities representing investments of customers' funds (at market)                      |  |  | 0            | 7080 |
| C. Securities held for particular customers or option customers in lieu of cash (at market) |  |  | 0            | 7090 |
| 8. Margin on deposit with derivatives clearing organizations of contract markets            |  |  |              |      |
| A. Cash   |  |  | 0            | 7100 |
| B. Securities representing investments of customers' funds (at market)                      |  |  | 0            | 7110 |
| C. Securities held for particular customers or option customers in lieu of cash (at market) |  |  | 0            | 7120 |
| 9. Net settlement from (to) derivatives clearing organizations of contract markets          |  |  | 0            | 7130 |
| 10. Exchange traded options   |  |  |              |      |
| A. Value of open long option contracts  |  |  | 0            | 7132 |
| B. Value of open short option contracts   |  |  | 0            | 7133 |
| 11. Net equities with other FCMs  |  |  |              |      |
| A. Net liquidating equity   |  |  | 0            | 7140 |
| B. Securities representing investments of customers' funds (at market)                      |  |  | 0            | 7160 |
| C. Securities held for particular customers or option customers in lieu of cash (at market) |  |  | 0            | 7170 |
| 12. Segregated funds on hand (describe: )   |  |  | 0            | 7150 |
| 13. Total amount in segregation (add Lines 7 through 12)                                    |  |  | 5,159,829    | 7180 |
| 14. Excess (deficiency) funds in segregation (subtract Line 6 from Line 13)                 |  |  | \$ 5,159,829 | 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   |  |  | 2,159,829    | 7198 |



**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

as of: 11/30/2023

**STATEMENT OF CLEARED SWAPS 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   |  |      | \$ 0 | 8500 |
| B. Securities (at market)   |  |      | 0    | 8510 |
| 2. Net unrealized profit (loss) in open cleared swaps                               |  |      | 0    | 8520 |
| 3. Cleared swaps options  |  |      |      |      |
| A. Market value of open cleared swaps option contracts purchased                    |  |      | 0    | 8530 |
| B. Market value of open cleared swaps option contracts granted (sold)               |  |      | 0    | 8540 |
| 4. Net equity (deficit) (add lines 1, 2 and 3)                                      |  |      | 0    | 8550 |
| 5. Accounts liquidating to a deficit and accounts with debit balances               |  |      |      |      |
| - gross amount  |  | \$ 0 | 8560 |      |
| Less: amount offset by customer owned securities                                    |  | 0    | 8570 | 0    |
| 6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5) |  |      |      | 0    |

**Funds in Cleared Swaps Customer Segregated Accounts**

|   |  |  |      |      |
|---|--|--|------|------|
| 7. Deposited in cleared swaps customer segregated accounts at banks   |  |  |      |      |
| A. Cash   |  |  | \$ 0 | 8600 |
| B. Securities representing investments of cleared swaps customers' funds (at market)                              |  |  | 0    | 8610 |
| C. Securities held for particular cleared swaps customers in lieu of cash (at market)                             |  |  | 0    | 8620 |
| 8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts       |  |  |      |      |
| A. Cash   |  |  | 0    | 8630 |
| B. Securities representing investments of cleared swaps customers' funds (at market)                              |  |  | 0    | 8640 |
| C. Securities held for particular cleared swaps customers in lieu of cash (at market)                             |  |  | 0    | 8650 |
| 9. Net settlement from (to) derivatives clearing organizations  |  |  |      | 0    |
| 10. Cleared swaps options   |  |  |      |      |
| A. Value of open cleared swaps long option contracts  |  |  | 0    | 8670 |
| B. Value of open cleared swaps short option contracts   |  |  | 0    | 8680 |
| 11. Net equities with other FCMs  |  |  |      |      |
| A. Net liquidating equity   |  |  | 0    | 8690 |
| B. Securities representing investments of cleared swaps customers' funds (at market)                              |  |  | 0    | 8700 |
| C. Securities held for particular cleared swaps customers in lieu of cash (at market)                             |  |  | 0    | 8710 |
| 12. Cleared swaps customer funds on hand (describe: )   |  |  |      | 0    |
| 13. Total amount in cleared swaps customer segregation (add lines 7 through 12)                                   |  |  |      | 0    |
| 14. Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)                |  |  | \$ 0 | 8730 |
| 15. Management target Amount for Excess funds in cleared swaps segregated accounts                                |  |  | \$ 0 | 8760 |
| 16. Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) management target excess |  |  | \$ 0 | 8770 |

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

|                          |                         |                          |
|--------------------------|-------------------------|--------------------------|
| <b>BROKER OR DEALER:</b> | CANTOR FITZGERALD & CO. | <b>as of:</b> 11/30/2023 |
|--------------------------|-------------------------|--------------------------|

**STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION  
FOR CUSTOMERS' DEALER OPTIONS ACCOUNTS**

|  |      |      |      |
|--|------|------|------|
| 1. Amount required to be segregated in accordance with 17 CFR 32.6         |      | \$ 0 | 7200 |
| 2. Funds/property in segregated accounts                                   |      |      |      |
| A. Cash  | \$ 0 |      | 7210 |
| B. Securities (at market value)  | 0    |      | 7220 |
| C. Total funds/property in segregated accounts                             |      | 0    | 7230 |
| 3. Excess (deficiency) funds in segregation (subtract Line 2C from Line 1) |      | \$ 0 | 7240 |

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

|                          |                         |                          |
|--------------------------|-------------------------|--------------------------|
| <b>BROKER OR DEALER:</b> | CANTOR FITZGERALD & CO. | <b>as of:</b> 11/30/2023 |
|--------------------------|-------------------------|--------------------------|

**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 |      | \$ 0 | 7305 |
| 1. Net ledger balance - Foreign futures and foreign options trading - All customers   |      |      |      |
| A. Cash   |      | \$ 0 | 7315 |
| B. Securities (at market)   |      | \$ 0 | 7317 |
| 2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade  |      | \$ 0 | 7325 |
| 3. Exchange traded options  |      |      |      |
| A. Market value of open option contracts purchased on a foreign board of trade  |      | \$ 0 | 7335 |
| B. Market value of open option contracts granted (sold) on a foreign board of trade   |      | \$ 0 | 7337 |
| 4. Net equity (deficit) (add Lines 1, 2, and 3)   |      | \$ 0 | 7345 |
| 5. Accounts liquidating to a deficit and accounts with debit balances - gross amount  | \$ 0 |      | 7351 |
| Less: Amount offset by customer owned securities  | \$ 0 |      | 7352 |
| 6. Amount required to be set aside as the secured amount - Net liquidating equity method (add Lines 4 and 5)  |      | \$ 0 | 7355 |
| 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or Line 6.   |      | \$ 0 | 7360 |

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

|                          |                         |                          |
|--------------------------|-------------------------|--------------------------|
| <b>BROKER OR DEALER:</b> | CANTOR FITZGERALD & CO. | <b>as of:</b> 11/30/2023 |
|--------------------------|-------------------------|--------------------------|

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

**FUNDS DEPOSITED IN SEPARATE 17 CFR. 30.7 ACCOUNTS**

|   |      |      |      |      |
|---|------|------|------|------|
| 1. Cash in banks  |      |      |      |      |
| A. Banks located in the United States   | \$ 0 | 7500 |      |      |
| B. Other banks qualified under 17 CFR. 30.7   |      |      |      |      |
| Name(s): _  |      | 7510 | 0    | 7520 |
|   |      |      | \$ 0 | 7530 |
| 2. Securities   |      |      |      |      |
| A. In safekeeping with banks located in the United States   | \$ 0 | 7540 |      |      |
| B. In safekeeping with other banks designated by 17 CFR. 30.7   |      |      |      |      |
| Name(s): _  |      | 7550 | 0    | 7570 |
| 3. Equities with registered futures commission merchants  |      |      |      |      |
| A. Cash   | \$ 0 | 7580 |      |      |
| B. Securities   | 0    | 7590 |      |      |
| C. Unrealized gain (loss) on open futures contracts   | 0    | 7600 |      |      |
| D. Value of long option contracts   | 0    | 7610 |      |      |
| E. Value of short option contracts  | 0    | 7615 | 0    | 7620 |
| 4. Amounts held by clearing organizations of foreign boards of trade                                    |      |      |      |      |
| Name(s): _  |      | 7630 |      |      |
| A. Cash   | \$ 0 | 7640 |      |      |
| B. Securities   | 0    | 7650 |      |      |
| C. Amount due to (from) clearing organization - daily variation   | 0    | 7660 |      |      |
| D. Value of long option contracts   | 0    | 7670 |      |      |
| E. Value of short option contracts  | 0    | 7675 | 0    | 7680 |
| 5. Amounts held by members of foreign boards of trade   |      |      |      |      |
| Name(s): _  |      | 7690 |      |      |
| A. Cash   | \$ 0 | 7700 |      |      |
| B. Securities   | 0    | 7710 |      |      |
| C. Unrealized gain (loss) on open futures contracts   | 0    | 7720 |      |      |
| D. Value of long option contracts   | 0    | 7730 |      |      |
| E. Value of short option contracts  | 0    | 7735 | 0    | 7740 |
| 6. Amounts with other depositories designated by a foreign board of trade                               |      |      |      |      |
| Name(s): _  |      | 7750 | 0    | 7760 |
| 7. Segregated funds on hand (describe): _   |      |      |      |      |
|   |      |      | 0    | 7765 |
| 8. Total funds in separate 17 CFR 30.7 accounts   |      |      | \$ 0 | 7770 |
| 9. Excess (deficiency) set aside funds for secured amount<br>(Line Item 7770 minus Line Item 7360)      |      |      | 0    | 7380 |
| 10. Management target amount for excess funds in separate 17 CFR 30.7 accounts                          |      |      | 0    | 7780 |
| 11. Excess (deficiency) funds in separate 17 CFR 30.7 accounts<br>over (under) management target excess |      |      | 0    | 7785 |

**SCHEDULE 1 - AGGREGATE SECURITIES, COMMODITIES, AND SWAPS POSITIONS**

**Part II**

|   |                          |
|---|--------------------------|
| <b>Firm Name:</b> CANTOR FITZGERALD & CO. | <b>as of:</b> 11/30/2023 |
|---|--------------------------|

**SCHEDULE 1**

**Aggregate Securities, Commodities, and Swaps Positions**

|  | <u>LONG/BOUGHT</u> |       | <u>SHORT/SOLD</u> |       |
|--|--------------------|-------|-------------------|-------|
| 1. U.S. treasury securities.....   | \$579,229,310      | 8200  | \$883,325,743     | 8201  |
| 2. U.S. government agency and U.S. government-sponsored enterprises.....                                       | \$3,443,536,860    | 8210  | \$16,398,343      | 8211  |
| A. Mortgage-backed securities issued by U.S. government agency and U.S. government-sponsored enterprises ..... | \$3,281,886,812    | 18001 | \$1               | 18002 |
| B. Debt securities issued by U.S. government agency and U.S. government-sponsored enterprises .....            | \$161,650,048      | 18003 | \$16,398,342      | 18004 |
| 3. Securities issued by states and political subdivisions in the U.S. ....                                     | \$194,752          | 8220  | \$0               | 8221  |
| 4. Foreign securities  |                    |       |                   |       |
| A. Debt securities.....  | \$3,491,634        | 8230  | \$5,312,819       | 8231  |
| B. Equity securities.....  | \$8,848,122        | 8235  | \$856,995         | 8236  |
| 5. Money market instruments.....   | \$0                | 8240  | \$0               | 8241  |
| 6. Private label mortgage backed securities.....   | \$325,582,998      | 8250  | \$0               | 8251  |
| 7. Other asset-backed securities.....  | \$66,244,014       | 8260  | \$0               | 8261  |
| 8. Corporate obligations .....   | \$20,563,857       | 8270  | \$9,408,370       | 8271  |
| 9. Stocks and warrants (other than arbitrage positions).....   | \$42,581,487       | 8280  | \$16,764,210      | 8281  |
| 10. Arbitrage.....   | \$0                | 8290  | \$0               | 8291  |
| 11. Spot commodities.....  | \$0                | 8330  | \$0               | 8331  |
| 12. Other securities and commodities.....  | \$0                | 8360  | \$0               | 8361  |
| 13. Securities with no ready market  |                    |       |                   |       |
| A. Equity.....   | \$6,422,265        | 8340  | \$246,163         | 8341  |
| B. Debt.....   | \$12,341,738       | 8345  | \$0               | 8346  |
| C. Other.....  | \$0                | 8350  | \$0               | 8351  |
| D. Total securities with no ready market.....  | \$18,764,003       | 12777 | \$246,163         | 12782 |
| 14. Total net securities and spot commodities (sum of Lines 1-12 and 13D).....                                 | \$4,509,037,037    | 12778 | \$932,312,643     | 12783 |
| 15. Security-based swaps   |                    |       |                   |       |
| A. Cleared.....  | \$0                | 12106 | \$0               | 12114 |
| B. Non-cleared.....  | \$0                | 12107 | \$0               | 12115 |
| 16. Mixed swaps  |                    |       |                   |       |
| A. Cleared.....  | \$0                | 12108 | \$0               | 12116 |
| B. Non-cleared.....  | \$0                | 12109 | \$0               | 12117 |
| 17. Swaps  |                    |       |                   |       |
| A. Cleared.....  | \$1,731,955        | 12110 | \$0               | 12118 |
| B. Non-cleared.....  | \$0                | 12111 | \$0               | 12119 |
| 18. Other derivatives and options.....   | \$35,082,398       | 8295  | \$56,781,780      | 8296  |
| 19. Counterparty netting.....  | \$0                | 12779 | \$0               | 12784 |
| 20. Cash collateral netting.....   | \$0                | 12780 | \$0               | 12785 |
| 21. Total derivative receivables and payables (sum of Lines 15-20) .....                                       | \$36,814,353       | 12781 | \$56,781,780      | 12786 |
| 22. Total net securities, commodities, and swaps positions (sum of Lines 14 and 21).....                       | \$ 4,545,851,390   | 8370  | \$989,094,423     | 8371  |

Name of Firm: \_\_\_\_\_

As of: \_\_\_\_\_

**SCHEDULE 2 - CREDIT CONCENTRATION REPORT FOR FIFTEEN LARGEST EXPOSURES IN DERIVATIVES**

**PART II**

**BROKER OR DEALER:** CANTOR FITZGERALD & CO.

**as of:** 11/30/2023

**SCHEDULE 2**

**I. By Current Net Exposure**

|                          | Counterparty Identifier | Gross Replacement Value |                      |   | Net Replacement Value | Current Net Exposure | Current Net and Potential Exposure |   | Margin Collected |   |       |   |       |
|--------------------------|-------------------------|-------------------------|----------------------|---|-----------------------|----------------------|------------------------------------|---|------------------|---|-------|---|-------|
|                          |                         | Receivable (Gross Gain) | Payable (Gross Loss) |   |                       |                      |                                    |   |                  |   |       |   |       |
| 1                        | 12120                   | 0                       | 12135                | 0 | 12151                 | 0                    | 12167                              | 0 | 12183            | 0 | 12199 | 0 | 12215 |
| 2                        | 12121                   | 0                       | 12136                | 0 | 12152                 | 0                    | 12168                              | 0 | 12184            | 0 | 12200 | 0 | 12216 |
| 3                        | 12122                   | 0                       | 12137                | 0 | 12153                 | 0                    | 12169                              | 0 | 12185            | 0 | 12201 | 0 | 12217 |
| 4                        | 12123                   | 0                       | 12138                | 0 | 12154                 | 0                    | 12170                              | 0 | 12186            | 0 | 12202 | 0 | 12218 |
| 5                        | 12124                   | 0                       | 12139                | 0 | 12155                 | 0                    | 12171                              | 0 | 12187            | 0 | 12203 | 0 | 12219 |
| 6                        | 12125                   | 0                       | 12140                | 0 | 12156                 | 0                    | 12172                              | 0 | 12188            | 0 | 12204 | 0 | 12220 |
| 7                        | 12126                   | 0                       | 12141                | 0 | 12157                 | 0                    | 12173                              | 0 | 12189            | 0 | 12205 | 0 | 12221 |
| 8                        | 12127                   | 0                       | 12142                | 0 | 12158                 | 0                    | 12174                              | 0 | 12190            | 0 | 12206 | 0 | 12222 |
| 9                        | 12128                   | 0                       | 12143                | 0 | 12159                 | 0                    | 12175                              | 0 | 12191            | 0 | 12207 | 0 | 12223 |
| 10                       | 12129                   | 0                       | 12144                | 0 | 12160                 | 0                    | 12176                              | 0 | 12192            | 0 | 12208 | 0 | 12224 |
| 11                       | 12130                   | 0                       | 12145                | 0 | 12161                 | 0                    | 12177                              | 0 | 12193            | 0 | 12209 | 0 | 12225 |
| 12                       | 12131                   | 0                       | 12146                | 0 | 12162                 | 0                    | 12178                              | 0 | 12194            | 0 | 12210 | 0 | 12226 |
| 13                       | 12132                   | 0                       | 12147                | 0 | 12163                 | 0                    | 12179                              | 0 | 12195            | 0 | 12211 | 0 | 12227 |
| 14                       | 12133                   | 0                       | 12148                | 0 | 12164                 | 0                    | 12180                              | 0 | 12196            | 0 | 12212 | 0 | 12228 |
| 15                       | 12134                   | 0                       | 12149                | 0 | 12165                 | 0                    | 12181                              | 0 | 12197            | 0 | 12213 | 0 | 12229 |
| All other counterparties |                         | 0                       | 12150                | 0 | 12166                 | 0                    | 12182                              | 0 | 12198            | 0 | 12214 | 0 | 12230 |
| Totals:                  |                         | 0                       | 7810                 | 0 | 7811                  | 0                    | 7812                               | 0 | 7813             | 0 | 7814  | 0 | 12231 |

**II. By Current Net and Potential Exposure**

|                          | Counterparty Identifier | Gross Replacement Value |                      |   | Net Replacement Value | Current Net Exposure | Current Net and Potential Exposure |   | Margin Collected |   |       |   |       |
|--------------------------|-------------------------|-------------------------|----------------------|---|-----------------------|----------------------|------------------------------------|---|------------------|---|-------|---|-------|
|                          |                         | Receivable (Gross Gain) | Payable (Gross Loss) |   |                       |                      |                                    |   |                  |   |       |   |       |
| 1                        | 12232                   | 0                       | 12247                | 0 | 12264                 | 0                    | 12281                              | 0 | 12298            | 0 | 12315 | 0 | 12332 |
| 2                        | 12233                   | 0                       | 12248                | 0 | 12265                 | 0                    | 12282                              | 0 | 12299            | 0 | 12316 | 0 | 12333 |
| 3                        | 12234                   | 0                       | 12249                | 0 | 12266                 | 0                    | 12283                              | 0 | 12300            | 0 | 12317 | 0 | 12334 |
| 4                        | 12235                   | 0                       | 12250                | 0 | 12267                 | 0                    | 12284                              | 0 | 12301            | 0 | 12318 | 0 | 12335 |
| 5                        | 12236                   | 0                       | 12251                | 0 | 12268                 | 0                    | 12285                              | 0 | 12302            | 0 | 12319 | 0 | 12336 |
| 6                        | 12237                   | 0                       | 12252                | 0 | 12269                 | 0                    | 12286                              | 0 | 12303            | 0 | 12320 | 0 | 12337 |
| 7                        | 12238                   | 0                       | 12253                | 0 | 12270                 | 0                    | 12287                              | 0 | 12304            | 0 | 12321 | 0 | 12338 |
| 8                        | 12239                   | 0                       | 12254                | 0 | 12271                 | 0                    | 12288                              | 0 | 12305            | 0 | 12322 | 0 | 12339 |
| 9                        | 12240                   | 0                       | 12255                | 0 | 12272                 | 0                    | 12289                              | 0 | 12306            | 0 | 12323 | 0 | 12340 |
| 10                       | 12241                   | 0                       | 12256                | 0 | 12273                 | 0                    | 12290                              | 0 | 12307            | 0 | 12324 | 0 | 12341 |
| 11                       | 12242                   | 0                       | 12257                | 0 | 12274                 | 0                    | 12291                              | 0 | 12308            | 0 | 12325 | 0 | 12342 |
| 12                       | 12243                   | 0                       | 12258                | 0 | 12275                 | 0                    | 12292                              | 0 | 12309            | 0 | 12326 | 0 | 12343 |
| 13                       | 12244                   | 0                       | 12259                | 0 | 12276                 | 0                    | 12293                              | 0 | 12310            | 0 | 12327 | 0 | 12344 |
| 14                       | 12245                   | 0                       | 12260                | 0 | 12277                 | 0                    | 12294                              | 0 | 12311            | 0 | 12328 | 0 | 12345 |
| 15                       | 12246                   | 0                       | 12261                | 0 | 12278                 | 0                    | 12295                              | 0 | 12312            | 0 | 12329 | 0 | 12346 |
| All other counterparties |                         | 0                       | 12262                | 0 | 12279                 | 0                    | 12296                              | 0 | 12313            | 0 | 12330 | 0 | 12347 |
| Totals:                  |                         | 0                       | 12263                | 0 | 12280                 | 0                    | 12297                              | 0 | 12314            | 0 | 12331 | 0 | 12348 |

**SCHEDULE 3 - PORTFOLIO SUMMARY OF DERIVATIVES EXPOSURE BY INTERNAL CREDIT RATING**

**PART II**

**BROKER OR DEALER:** CANTOR FITZGERALD & CO.

**as of:** 11/30/2023

**SCHEDULE 3**

|          | Internal Credit Rating | Gross Replacement Value |         | Net Replacement Value | Current Net Exposure | Current Net and Potential Exposure |       | Margin Collected |       |   |       |   |       |
|----------|------------------------|-------------------------|---------|-----------------------|----------------------|------------------------------------|-------|------------------|-------|---|-------|---|-------|
|          |                        | Receivable              | Payable |                       |                      |                                    |       |                  |       |   |       |   |       |
| 1        | 12349                  | 0                       | 12386   | 0                     | 12423                | 0                                  | 12460 | 0                | 12497 | 0 | 12534 | 0 | 12572 |
| 2        | 12350                  | 0                       | 12387   | 0                     | 12424                | 0                                  | 12461 | 0                | 12498 | 0 | 12535 | 0 | 12573 |
| 3        | 12351                  | 0                       | 12388   | 0                     | 12425                | 0                                  | 12462 | 0                | 12499 | 0 | 12536 | 0 | 12574 |
| 4        | 12352                  | 0                       | 12389   | 0                     | 12426                | 0                                  | 12463 | 0                | 12500 | 0 | 12537 | 0 | 12575 |
| 5        | 12353                  | 0                       | 12390   | 0                     | 12427                | 0                                  | 12464 | 0                | 12501 | 0 | 12538 | 0 | 12576 |
| 6        | 12354                  | 0                       | 12391   | 0                     | 12428                | 0                                  | 12465 | 0                | 12502 | 0 | 12539 | 0 | 12577 |
| 7        | 12355                  | 0                       | 12392   | 0                     | 12429                | 0                                  | 12466 | 0                | 12503 | 0 | 12540 | 0 | 12578 |
| 8        | 12356                  | 0                       | 12393   | 0                     | 12430                | 0                                  | 12467 | 0                | 12504 | 0 | 12541 | 0 | 12579 |
| 9        | 12357                  | 0                       | 12394   | 0                     | 12431                | 0                                  | 12468 | 0                | 12505 | 0 | 12542 | 0 | 12580 |
| 10       | 12358                  | 0                       | 12395   | 0                     | 12432                | 0                                  | 12469 | 0                | 12506 | 0 | 12543 | 0 | 12581 |
| 11       | 12359                  | 0                       | 12396   | 0                     | 12433                | 0                                  | 12470 | 0                | 12507 | 0 | 12544 | 0 | 12582 |
| 12       | 12360                  | 0                       | 12397   | 0                     | 12434                | 0                                  | 12471 | 0                | 12508 | 0 | 12545 | 0 | 12583 |
| 13       | 12361                  | 0                       | 12398   | 0                     | 12435                | 0                                  | 12472 | 0                | 12509 | 0 | 12546 | 0 | 12584 |
| 14       | 12362                  | 0                       | 12399   | 0                     | 12436                | 0                                  | 12473 | 0                | 12510 | 0 | 12547 | 0 | 12585 |
| 15       | 12363                  | 0                       | 12400   | 0                     | 12437                | 0                                  | 12474 | 0                | 12511 | 0 | 12548 | 0 | 12586 |
| 16       | 12364                  | 0                       | 12401   | 0                     | 12438                | 0                                  | 12475 | 0                | 12512 | 0 | 12549 | 0 | 12587 |
| 17       | 12365                  | 0                       | 12402   | 0                     | 12439                | 0                                  | 12476 | 0                | 12513 | 0 | 12550 | 0 | 12588 |
| 18       | 12366                  | 0                       | 12403   | 0                     | 12440                | 0                                  | 12477 | 0                | 12514 | 0 | 12551 | 0 | 12589 |
| 19       | 12367                  | 0                       | 12404   | 0                     | 12441                | 0                                  | 12478 | 0                | 12515 | 0 | 12552 | 0 | 12590 |
| 20       | 12368                  | 0                       | 12405   | 0                     | 12442                | 0                                  | 12479 | 0                | 12516 | 0 | 12553 | 0 | 12591 |
| 21       | 12369                  | 0                       | 12406   | 0                     | 12443                | 0                                  | 12480 | 0                | 12517 | 0 | 12554 | 0 | 12592 |
| 22       | 12370                  | 0                       | 12407   | 0                     | 12444                | 0                                  | 12481 | 0                | 12518 | 0 | 12555 | 0 | 12593 |
| 23       | 12371                  | 0                       | 12408   | 0                     | 12445                | 0                                  | 12482 | 0                | 12519 | 0 | 12556 | 0 | 12594 |
| 24       | 12372                  | 0                       | 12409   | 0                     | 12446                | 0                                  | 12483 | 0                | 12520 | 0 | 12557 | 0 | 12595 |
| 25       | 12373                  | 0                       | 12410   | 0                     | 12447                | 0                                  | 12484 | 0                | 12521 | 0 | 12558 | 0 | 12596 |
| 26       | 12374                  | 0                       | 12411   | 0                     | 12448                | 0                                  | 12485 | 0                | 12522 | 0 | 12559 | 0 | 12597 |
| 27       | 12375                  | 0                       | 12412   | 0                     | 12449                | 0                                  | 12486 | 0                | 12523 | 0 | 12560 | 0 | 12598 |
| 28       | 12376                  | 0                       | 12413   | 0                     | 12450                | 0                                  | 12487 | 0                | 12524 | 0 | 12561 | 0 | 12599 |
| 29       | 12377                  | 0                       | 12414   | 0                     | 12451                | 0                                  | 12488 | 0                | 12525 | 0 | 12562 | 0 | 12600 |
| 30       | 12378                  | 0                       | 12415   | 0                     | 12452                | 0                                  | 12489 | 0                | 12526 | 0 | 12563 | 0 | 12601 |
| 31       | 12379                  | 0                       | 12416   | 0                     | 12453                | 0                                  | 12490 | 0                | 12527 | 0 | 12564 | 0 | 12602 |
| 32       | 12380                  | 0                       | 12417   | 0                     | 12454                | 0                                  | 12491 | 0                | 12528 | 0 | 12565 | 0 | 12603 |
| 33       | 12381                  | 0                       | 12418   | 0                     | 12455                | 0                                  | 12492 | 0                | 12529 | 0 | 12566 | 0 | 12604 |
| 34       | 12382                  | 0                       | 12419   | 0                     | 12456                | 0                                  | 12493 | 0                | 12530 | 0 | 12567 | 0 | 12605 |
| 35       | 12383                  | 0                       | 12420   | 0                     | 12457                | 0                                  | 12494 | 0                | 12531 | 0 | 12568 | 0 | 12606 |
| 36       | 12384                  | 0                       | 12421   | 0                     | 12458                | 0                                  | 12495 | 0                | 12532 | 0 | 12569 | 0 | 12607 |
| Unrated: | 12385                  | 0                       | 12422   | 0                     | 12459                | 0                                  | 12496 | 0                | 12533 | 0 | 12570 | 0 | 12608 |
| Totals:  |                        | 0                       | 7822    | 0                     | 7823                 | 0                                  | 7821  | 0                | 7820  | 0 | 12571 | 0 | 12609 |

Name of Firm: \_\_\_\_\_

As of: \_\_\_\_\_

**SCHEDULE 4 - GEOGRAPHIC DISTRIBUTION OF DERIVATIVES EXPOSURES FOR TEN LARGEST COUNTRIES**  
Part II

|   |                          |
|---|--------------------------|
| <b>Firm Name:</b> CANTOR FITZGERALD & CO. | <b>as of:</b> 11/30/2023 |
|---|--------------------------|

**SCHEDULE 4**

**I. By Current Net Exposure**

| Country | Gross Replacement Value |         | Net Replacement | Current Net Exposure | Current Net and Potential Exposure | Margin Collected |       |   |       |   |       |   |       |
|---------|-------------------------|---------|-----------------|----------------------|------------------------------------|------------------|-------|---|-------|---|-------|---|-------|
|         | Receivable              | Payable |                 |                      |                                    |                  |       |   |       |   |       |   |       |
| 1       | 12610                   | 0       | 12620           | 0                    | 12630                              | 0                | 12640 | 0 | 12650 | 0 | 12661 | 0 | 12671 |
| 2       | 12611                   | 0       | 12621           | 0                    | 12631                              | 0                | 12641 | 0 | 12651 | 0 | 12662 | 0 | 12672 |
| 3       | 12612                   | 0       | 12622           | 0                    | 12632                              | 0                | 12642 | 0 | 12652 | 0 | 12663 | 0 | 12673 |
| 4       | 12613                   | 0       | 12623           | 0                    | 12633                              | 0                | 12643 | 0 | 12653 | 0 | 12664 | 0 | 12674 |
| 5       | 12614                   | 0       | 12624           | 0                    | 12634                              | 0                | 12644 | 0 | 12654 | 0 | 12665 | 0 | 12675 |
| 6       | 12615                   | 0       | 12625           | 0                    | 12635                              | 0                | 12645 | 0 | 12655 | 0 | 12666 | 0 | 12676 |
| 7       | 12616                   | 0       | 12626           | 0                    | 12636                              | 0                | 12646 | 0 | 12656 | 0 | 12667 | 0 | 12677 |
| 8       | 12617                   | 0       | 12627           | 0                    | 12637                              | 0                | 12647 | 0 | 12657 | 0 | 12668 | 0 | 12678 |
| 9       | 12618                   | 0       | 12628           | 0                    | 12638                              | 0                | 12648 | 0 | 12658 | 0 | 12669 | 0 | 12679 |
| 10      | 12619                   | 0       | 12629           | 0                    | 12639                              | 0                | 12649 | 0 | 12659 | 0 | 12670 | 0 | 12680 |
| Totals: |                         | 0       | 7803            | 0                    | 7804                               | 0                | 7802  | 0 | 12660 | 0 | 7801  | 0 | 12681 |

**II. By Current Net and Potential Exposure**

| Country | Gross Replacement Value |         | Net Replacement Value | Current Net Exposure | Current Net and Potential Exposure | Margin Collected |       |   |       |   |       |   |       |
|---------|-------------------------|---------|-----------------------|----------------------|------------------------------------|------------------|-------|---|-------|---|-------|---|-------|
|         | Receivable              | Payable |                       |                      |                                    |                  |       |   |       |   |       |   |       |
| 1       | 12682                   | 0       | 12692                 | 0                    | 12703                              | 0                | 12714 | 0 | 12725 | 0 | 12736 | 0 | 12747 |
| 2       | 12683                   | 0       | 12693                 | 0                    | 12704                              | 0                | 12715 | 0 | 12726 | 0 | 12737 | 0 | 12748 |
| 3       | 12684                   | 0       | 12694                 | 0                    | 12705                              | 0                | 12716 | 0 | 12727 | 0 | 12738 | 0 | 12749 |
| 4       | 12685                   | 0       | 12695                 | 0                    | 12706                              | 0                | 12717 | 0 | 12728 | 0 | 12739 | 0 | 12750 |
| 5       | 12686                   | 0       | 12696                 | 0                    | 12707                              | 0                | 12718 | 0 | 12729 | 0 | 12740 | 0 | 12751 |
| 6       | 12687                   | 0       | 12697                 | 0                    | 12708                              | 0                | 12719 | 0 | 12730 | 0 | 12741 | 0 | 12752 |
| 7       | 12688                   | 0       | 12698                 | 0                    | 12709                              | 0                | 12720 | 0 | 12731 | 0 | 12742 | 0 | 12753 |
| 8       | 12689                   | 0       | 12699                 | 0                    | 12710                              | 0                | 12721 | 0 | 12732 | 0 | 12743 | 0 | 12754 |
| 9       | 12690                   | 0       | 12700                 | 0                    | 12711                              | 0                | 12722 | 0 | 12733 | 0 | 12744 | 0 | 12755 |
| 10      | 12691                   | 0       | 12701                 | 0                    | 12712                              | 0                | 12723 | 0 | 12734 | 0 | 12745 | 0 | 12756 |
| Totals: |                         | 0       | 12702                 | 0                    | 12713                              | 0                | 12724 | 0 | 12735 | 0 | 12746 | 0 | 12757 |

Name of Firm: \_\_\_\_\_

As of: \_\_\_\_\_

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

|                          |                         |                          |
|--------------------------|-------------------------|--------------------------|
| <b>BROKER OR DEALER:</b> | CANTOR FITZGERALD & CO. | <b>as of:</b> 11/30/2023 |
|--------------------------|-------------------------|--------------------------|

**EXCHANGE SUPPLEMENTARY INFORMATION**

|  |         |      |
|--|---------|------|
| 1. Capital to be withdrawn within 6 months   | \$ 0    | 8000 |
| 2. Subordinated debt maturing within 6 months  | 0       | 8010 |
| 3. Subordinated debt due to mature within 6 months that you plan to renew            | 0       | 8020 |
| 4. Additional capital requirement for excess margin on Reverse Repurchase Agreements | 185,418 | 8045 |

if Adjusted Net Capital is less than \$2,000,000 please complete lines 5 through 8:

|   |   |      |
|---|---|------|
| 5. Number of Associated Persons                           | 0 | 8100 |
| 6. Number of Branch Offices                               | 0 | 8110 |
| 7. Number of Guaranteed Introducing Brokers               | 0 | 8120 |
| 8. Number of Guaranteed Introducing Broker Branch Offices | 0 | 8130 |

Futures Commission Merchants offering off-exchange foreign currency futures ("forex") to retail customers

|  |      |       |
|--|------|-------|
| 9. Is the firm a registered Futures Commission Merchant ("FCM") that offers to be or acts as a counterparty to retail foreign exchange transactions or a Retail Foreign Exchange Dealer ("RFED")?  | No   | 8135  |
| 10. Gross revenue from Forex transactions with retail customers  | 0    | 8140  |
| 11. total net aggregate notional value of all open forex transactions in retail customer and non-customer (not proprietary) accounts   | 0    | 8150  |
| 12. Total aggregate retail forex assets [Reference CFTC Regulation 5.1(b)]   | 0.00 | 8160  |
| 13. Total amount of retail forex obligation [Reference CFTC Regulation 5.1(l)]   | 0.00 | 8170  |
| 14. Retail forex related Minimum Dollar Amount Requirement reported in Other NFA Requirement, Box 7475, Statement of Computation of the Minimum Capital Requirements, Line C.  |      |       |
| A. If offering to be or engaging as a counterparty in retail foreign exchange enter \$20 million   | 0.00 | 8175  |
| B. 5% of all liabilities the Forex Dealer Member ("FDM") owes to customers and eligible contract participant (ECP) counterparties that are not an affiliate of the FDM and are not acting as a dealer exceeding \$10,000,000                       | 0.00 | 8190  |
| C. 10% of all liabilities the fdm owes to ecp counterparties that are an affiliate of the fdm not acting as a dealer   | 0.00 | 8195  |
| D. 10% of all liabilities ECP counterparties that are an affiliate of the FDM and acting as a dealer owe to their customers (including ECPs), including liabilities related to retail commodity transactions as described in 2(c)(2)(D) of the Act | 0.00 | 8200N |
| E. 10% of all liabilities the FDM owes to ECP counterparties acting as a dealer that are not an affiliate of the FDM, including liabilities related to retail commodity transactions as described in 2(c)(2)(D) of the Act                         | 0.00 | 8205  |
| F. Sum of 14.A. - 14.E.  | 0.00 | 8210N |
| 15. Is the firm an IB?   | No   | 8740  |

|   |              |      |
|---|--------------|------|
| 16. The aggregate performance bond requirement for all Customer and House accounts containing CME-cleared IRS positions. (Applicable for FCMs and broker-dealers which clear CME-cleared IRS products for customer or house accounts) | \$ 9,332,063 | 8750 |
|---|--------------|------|

**General Comments:**



Leverage

|  |                  |      |
|--|------------------|------|
| 1. Total Assets  | \$13,637,333,815 | 8800 |
| 2. Amount required to be segregated  | 0                | 8810 |
| 3. Amount required to be set aside in separate section 30.7 accounts   | 0                | 8820 |
| 4. Amount required to be segregated for cleared swaps customers  | 0                | 8830 |
| 5. Reserve Requirement   | 25,263,401       | 8840 |
| 6. US Treasury securities - Long (firm owned)  | 556,280,291      | 8850 |
| 7. US Government agency and government sponsored entities - Long(firm owned)   | 3,393,017,620    | 8860 |
| 8. Reverse Repos backed by US Treasury securities and US Government agency and government sponsored entities(firm owned) | 4,988,018,478    | 8870 |
| 9. Ownership Equity  | 425,195,104      | 8880 |
| 10. Subordinated Loans   | 205,000,000      | 8890 |
| 11. Leverage   | 7.42             | 8900 |

Depositories

|  |    |      |
|--|----|------|
| During the month did the firm maintain customer segregated funds at a depository which is an affiliate ?               | No | 8910 |
| During the month did the firm maintain separate 30.7 funds at a depository which is an affiliate ?                     | No | 8920 |
| During the month did the firm maintain cleared swaps customer segregated funds at a depository which is an affiliate ? | No | 8925 |

**FCM's Customer Segregated Funds Residual Interest Target (choose one):**

- A. Minimum dollar amount: \$ 3,000,000 8930 ; or
- B. Minimum percentage of customer segregated funds required: 0.00 8940 ; or
- C. Dollar amount range between: 0 8950a and 0 8950b ; or
- D. Percentage range of customer segregated funds required between 0.00 8960a and 0.00 8960b

**FCM's Customer Secured Amount Funds Residual Interest Target (choose one):**

- A. Minimum dollar amount: \$ 0 8970 ; or
- B. Minimum percentage of customer secured funds required 0.00 8980 ; or
- C. Dollar amount range between: 0 8990a and 0 8990b ; or
- D. Percentage range of customer secured funds required between 0.00 9000a and 0.00 9000b

**FCM's Cleared Swaps Customer Collateral Residual Interest Target (choose one):**

- A. Minimum dollar amount: \$ 0 9010 ; or
- B. Minimum percentage of cleared swaps customer collateral required: 0.00 9020 ; or
- C. Dollar amount range between: 0 9030 and 0 9031 ; or
- D. Percentage range of cleared swaps customer collateral required between: 0.00 9040 and 0.00 9041

**Eligible Contract Participants**

|  |   |      |
|--|---|------|
| Did the firm act as counterparty to a forex transaction with any Eligible Contract Participants (ECP)? | 0 | 9042 |
| If yes, indicate the number of ECPs that the firm acted as a counterparty to a forex transaction(s).   | 0 | 9043 |

**WINJAMMER FILING**

**INITIAL**

**End Date:11/30/2023**

**Firm Name:Cantor Fitzgerald & Co.**

**Form:Focus II**

**Submit Date:12/26/2023**