

**FORM  
X-17A-5**

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

**Part II**

(Read instructions before preparing Form)

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

- 1) Rule 17a-5(a)   2) Rule 17a-5(b)   
4) Special request by designated examining authority  3) Rule 17a-11   
5) Other

NAME OF BROKER-DEALER  
CANTOR FITZGERALD & CO.

SEC FILE NO  
 201

ADDRESS OF PRINCIPAL PLACE OF BUSINESS (Do not use P.O. Box No.)  
110 EAST 59TH STREET 4TH FLOOR

FIRM ID NO  
 134

(No. and Street)  
NEW YORK  NY  10022  
(City) (State) (Zip Code)

FOR PERIOD BEGINNING (MM/DD/YY)  
 01/01/2020

AND ENDING (MM/DD/YY)  
03/31/2020

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT  
Ken Paulson

(Area Code)---Telephone No.  
 (212) 294-7922

NAME(S) OF SUBSIDIARIES OR AFFILIATES CONSOLIDATED IN THIS REPORT:

OFFICIAL USE

DOES RESPONDENT CARRY ITS OWN CUSTOMER ACCOUNT? YES   NO

CHECK HERE IF RESPONDENT IS FILING AN AUDIT REPORT?

**EXECUTION:**  
The registrant/broker or dealer 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

Dated 04/23/2020 Electronically submitted through WinJammer

Manual signatures of:

1) Robert Krupa,

Principal Executive Officer of Managing Partner

2) \_\_\_\_\_

Principal Financial Officer or Partner

3) \_\_\_\_\_

Principal Operations Officer or Partner

**Attention** - Intentional misstatements or omissions of facts constitute Federal Criminal Violations. (See 18 U.S.C. 1001 and 15 U.S.C. 78:f(a))

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

<b>BROKER OR DEALER:</b>	CANTOR FITZGERALD & CO.	<b>as of:</b> 03/31/2020
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**STATEMENT OF FINANCIAL CONDITION**

As of (MMDDYY)	201	99
SEC FILE NO.		98
Consolidated		198
Unconsolidated	X	199

**ASSETS**

	<u>Allowable</u>		<u>Non-Allowable</u>		<u>Total</u>	
1. Cash	\$ 378,493,693	200			\$ 378,493,693	750
2. Cash segregated in compliance with federal and other regulations	55,749,158	210			55,749,158	760
3. Receivable from brokers or dealers and clearing organizations:						
A. Failed to deliver:						
1. Includable in "Formula for Reserve Requirements"	27,718,039	220				
2. Other	93,376,164	230			121,094,203	770
B. Securities borrowed:						
1. Includable in "Formula for Reserve Requirements"	13,231,048	240				
2. Other	1,651,425,028	250			1,664,656,076	780
C. Omnibus accounts:						
1. Includable in "Formula for Reserve Requirements"	0	260				
2. Other	0	270			0	790
D. Clearing organizations:						
1. Includable in "Formula for Reserve Requirements"	3,582,452	280				
2. Other	132,082,159	290			135,664,611	800
E. Other	522,889,621	300	\$ 4,056,472	550	526,946,093	810
4. Receivables from customers:						
A. Securities accounts:						
1. Cash and fully secured accounts	57,500,030	310				
2. Partly secured accounts	0	320	0	560		
3. Unsecured accounts			8,003,394	570		
B. Commodity accounts	0	330	0	580		
C. Allowance for doubtful accounts	0	335	0	590	65,503,424	820
5. Receivables from non-customers:						
A. Cash and fully secured accounts	0	340				
B. Partly secured and unsecured accounts	0	350	4,133	600	4,133	830
6. Securities purchased under agreements to resell	9,156,522,989	360	0	605	9,156,522,989	840
7. Securities and spot commodities owned, at market value:						
A. Bankers acceptances, certificates of deposit and commercial paper	0	370				
B. U.S. and Canadian government obligations	4,246,970,232	380				
C. State and municipal government obligations	3,774,540	390				
D. Corporate obligations	77,912,364	400				

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

**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

as of: 03/31/2020

**STATEMENT OF FINANCIAL CONDITION**

**ASSETS**

**Allowable**

**Non-Allowable**

**Total**

E. Stock and warrants	\$ 88,861,749	410				
F. Options	39,241,060	420				
G. Arbitrage	0	422				
H. Other securities	0	424				
I. Spot commodities	0	430				
J. Total Inventory - includes encumbered securities of \$0 [120]					\$ 4,456,759,945	850
8. Securities owned not readily marketable:						
A. At Cost \$0 [130]	0	440	\$ 11,330,394	610	11,330,394	860
9. Other investments not readily marketable:						
A. At Cost \$0 [140]						
B. At estimated fair value	0	450	5,000,000	620	5,000,000	870
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	2,804,312	670	2,804,312	910
14. Property, furniture, equipment, leasehold improvements and rights under lease agreements:						
At cost (net of accumulated depreciation and amortization)	19,821,465	490	4,731,114	680	24,552,579	920
15. Other Assets:						
A. Dividends and interest receivable	1,943,523	500	149,554	690		
B. Free shipments	0	510	0	700		
C. Loans and advances	0	520	139,187	710		
D. Miscellaneous	36,723,001	530	37,347,819	720		
E. Collateral accepted under SFAS 140	0	536				
F. SPE Assets	0	537			76,303,084	930
16. TOTAL ASSETS	\$ 16,607,818,315	540	\$ 73,566,379	740	\$ 16,681,384,694	940

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

**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

as of: 03/31/2020

**STATEMENT OF FINANCIAL CONDITION**  
**LIABILITIES AND OWNERSHIP EQUITY**

<u>Liabilities</u>	<u>A.I.</u> <u>Liabilities *</u>		<u>Non-A.I.</u> <u>Liabilities *</u>		<u>Total</u>	
17. Bank loans payable:						
A. Includable in "Formula for Reserve Requirements"	\$ 0	1030	\$ 0	1240	\$ 0	1460
B. Other	0	1040	0	1250	0	1470
18. Securities sold under repurchase agreements			0	1260	13,048,759,731	1480
19. Payable to brokers or dealers and clearing organizations:						
A. Failed to receive:						
1. Includable in "Formula for Reserve Requirements"	0	1050	0	1270	16,199,556	1490
2. Other	0	1060	0	1280	77,856,791	1500
B. Securities loaned:						
1. Includable in "Formula for Reserve Requirements"	0	1070			0	1510
2. Other	0	1080	0	1290	711,773,340	1520
C. Omnibus accounts:						
1. Includable in "Formula for Reserve Requirements"	0	1090			0	1530
2. Other	0	1095	0	1300	0	1540
D. Clearing organizations:						
1. Includable in "Formula for Reserve Requirements"	0	1100			14,769,600	1550
2. Other	0	1105	0	1310	80,008,728	1560
E. Other	0	1110	0	1320	18,944,830	1570
20. Payable to customers:						
A. Securities accounts - including free credits of \$98,830,476 [950]	0	1120			197,017,516	1580
B. Commodities accounts	0	1130	0	1330	0	1590
21. Payable to non customers:						
A. Securities accounts	0	1140	0	1340	9,020	1600
B. Commodities accounts	0	1150	0	1350	5,090,235	1610
22. Securities sold not yet purchased at market value - including arbitrage of \$0 [960]			0	1360	1,727,540,337	1620
23. Accounts payable and accrued liabilities and expenses:						
A. Drafts payable	0	1160			21,471	1630
B. Accounts payable	0	1170			1,170,373	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			74,071,803	1670
F. Other	0	1200	0	1380	38,614,352	1680
G. Obligation to return securities			0	1386	0	1686
H. SPE Liabilities			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: 03/31/2020

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

<u>Liabilities</u>	A.I. <u>Liabilities *</u>	Non A.I. <u>Liabilities *</u>	<u>Total</u>
24. Notes and mortgages payable:			
A. Unsecured	\$ 0		\$ 0
B. Secured	0	\$ 0	0
25. Liabilities subordinated to claims of general creditors:			
A. Cash borrowings		0	205,000,000
1. from outsiders \$0 [970]			
2. Includes equity subordination(15c3-1(d)) of \$205,000,000 [980]			
B. Securities borrowings, at market value		0	0
1. from outsiders \$0 [990]			
C. Pursuant to secured demand note collateral agreements		0	0
1. from outsiders \$0 [1000]			
2. Includes equity subordination(15c3-1(d)) of \$0 [1010]			
D. Exchange memberships contributed for use of company, at market value		0	0
E. Accounts and other borrowings not qualified for net capital purposes	0	0	0
26. TOTAL LIABILITIES	\$ 0	\$ 0	\$ 16,216,847,683
<b><u>Ownership Equity</u></b>			
27. Sole proprietorship			\$ 0
28. Partnership- limited partners	\$ 0		\$ 464,537,011
29. Corporation:			
A. Preferred stock			0
B. Common stock			0
C. Additional paid-in capital			0
D. Retained earnings			0
E. Accumulated other comprehensive income			0
F. Total			0
G. Less capital stock in treasury			0
30. TOTAL OWNERSHIP EQUITY			\$ 464,537,011
31. TOTAL LIABILITIES AND OWNERSHIP EQUITY			\$ 16,681,384,694

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

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

**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

as of: 03/31/2020

**COMPUTATION OF NET CAPITAL**

1. Total ownership equity (from Statement of Financial Condition - Item 1800)	\$ 464,537,011	3480	
2. Deduct: Ownership equity not allowable for net capital	0	3490	
3. Total ownership equity qualified for net capital	464,537,011	3500	
4. Add:			
A. Liabilities subordinated to claims of general 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	\$ 669,537,011	3530	
6. Deductions and/or charges:			
A. Total non-allowable assets from Statement of Financial Condition (Notes B and C)	\$ 73,566,379	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	
B. Aged fail-to-deliver	1,856,061	3570	
1. Number of items	53	3450	
C. Aged short security differences-less reserve of	\$ 0	3460	0
number of items	0	3470	3580
D. Secured demand note deficiency	0	3590	
E. Commodity futures contracts and spot commodities proprietary capital charges	22,305,106	3600	
F. Other deductions and/or charges	41,599,390	3610	
G. Deductions for accounts carried under Rule 15c3-1(a)(6),(a)(7) and (c)(2)(x)	0	3615	
H. Total deductions and/or charges	(139,326,936)	3620	
7. Other additions and/or allowable credits (List)	0	3630	
8. Net Capital before haircuts on securities positions	\$ 530,210,075	3640	
9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):			
A. Contractual securities commitments	\$ 0	3660	
B. Subordinated securities borrowings	0	3670	
C. Trading and Investment securities:			
1. Bankers' acceptances, certificates of deposit and commercial paper	0	3680	
2. U.S. and Canadian government obligations	117,411,530	3690	
3. State and municipal government obligations	178,106	3700	
4. Corporate obligations	9,260,093	3710	
5. Stocks and warrants	22,887,194	3720	
6. Options	0	3730	
7. Arbitrage	0	3732	
8. Other securities	1,056,375	3734	
D. Undue concentration	0	3650	
E. Other (list)	0	3736	(150,793,298)
10. Net Capital	\$ 379,416,777	3750	

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

<b>BROKER OR DEALER:</b>	CANTOR FITZGERALD & CO.	<b>as of:</b> 03/31/2020
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**COMPUTATION OF BASIC NET CAPITAL REQUIREMENT**

11. Minimum net capital required (6-2/3% of line 19)	\$ 0	3756
12. Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital requirement of subsidiaries computed in accordance with Note (A)	\$ 0	3758
13. Net capital requirement (greater of line 11 or 12)	\$ 0	3760
14. Excess net capital (line 10 less 13)	\$ 0	3770
15. Excess net capital at 1000% (line 10 less 10% of line 19)	\$ 0	3780

**COMPUTATION OF AGGREGATE INDEBTEDNESS**

16. Total A.I. liabilities from Statement of Financial Condition	\$ 0	3790
17. 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
18. Deduct: Adjustment based on deposits in Special Reserve Bank Accounts (15c3-1(c)(1)(vii))	\$ 0	3838
19. Total aggregate indebtedness	\$ 0	3840
20. Percentage of aggregate indebtedness to net capital (line 19 divided by line 10)	0.00 %	3850
21. Percentage of aggregate indebtedness to net capital after anticipated capital withdrawals (line 19 divided by line 10 less item 4880 page 11)	0.00 %	3853

**COMPUTATION OF ALTERNATIVE NET CAPITAL REQUIREMENT**

22. 2% of combined aggregate debit items as shown in Formula for Reserve Requirements pursuant to Rule 15c3-3 prepared as of the date of the net capital computation including both brokers or dealers and consolidated subsidiaries' debits	\$ 7,838,323	3870
23. Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital requirement of subsidiaries computed in accordance with Note (A)	\$ 7,838,323	3880
24. Net capital requirement (greater of line 22 or 23)	\$ 7,838,323	3760
25. Excess net capital (line 10 less line 24)	\$ 371,578,454	3910
26. Percentage of Net Capital to Aggregate Debits (line 10 divided by line 18 page 8)	390%	3851
27. Percentage of Net Capital, after anticipated capital withdrawals, to Aggregate Debits (line 10 less item 4880 page 11 divided by line 18 page 8)	390%	3854
28. Net capital in excess of the greater of:		
A. 5% of combined aggregate debit items or 110% of minimum Net Capital Requirement	\$ 370,794,622	3920

**OTHER RATIOS**

29. Percentage of debt to debt-equity total computed in accordance with Rule 15c3-1(d)	0.00 %	3860
30. Options deductions/Net Capital ratio (1000% test) total deductions exclusive of liquidating equity under Rule 15c3-1(a)(6),(a)(7) and (c)(2)(x) divided by Net Capital	0.00 %	3852

**NOTES:**

- (A) The minimum net capital requirement should be computed by adding the minimum dollar net capital requirement of the reporting broker dealer and, for each subsidiary to be consolidated, the greater of:
1. Minimum dollar net capital requirement, or
  2. 6-2/3% of aggregate indebtedness or 2% of aggregate debits if alternative method is used.
- (B) Do not deduct the value of securities borrowed under subordination agreements or secured demand notes covered by subordination agreements not in satisfactory form and the market values of memberships in exchanges contributed for use of company (contra to item 1740) and partners' securities which were included in non-allowable assets.
- (C) For reports filed pursuant to paragraph (d) of Rule 17a-5, respondent should provide a list of material non-allowable assets.

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

**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

as of: 03/31/2020

**FORMULA FOR DETERMINATION OF CUSTOMER ACCOUNT RESERVE REQUIREMENTS  
FOR BROKER AND DEALERS UNDER RULE 15c3-3  
(See Rule 15c3-3, Exhibit A and Related Notes)**

**CREDIT BALANCES**

1. Free credit balances and other credit balances in customers' security accounts (See Note A))	\$ 157,322,536	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)	0	4360	
4. Customers' securities failed to receive (See Note D)	30,969,156	4370	
5. Credit balances in firm accounts which are attributable to principal sales to customers	7,055,998	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	4,715,441	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			\$ 200,063,131
			4430

**DEBIT BALANCES**

12. **Debit balances in customers' cash and margin accounts excluding unsecured accounts and accounts doubtful of collection (See Note E)	\$ 52,738,993	4440	
13. Securities borrowed to effectuate short sales by customers and securities borrowed to make delivery on customers' securities failed to deliver	13,231,048	4450	
14. Failed to deliver of customers' securities not older than 30 calendar days	31,300,491	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)			
18. **Aggregate debit items			\$ 97,270,532
19. **less 3% (for alternative method only -- see Rule 15c3-1(f)(5)(i))			(2,918,116)
20. **TOTAL 15c3-3 DEBITS			\$ 94,352,416
			4472

**RESERVE COMPUTATION**

21. Excess of total debits over total credits (line 19 less line 11)	\$ 0	4480	
22. Excess of total credits over total debits (line 11 less line 19)	105,710,715	4490	
23. If computation is made monthly as permitted, enter 105% of excess 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	50,779,238	4510	
25. Amount of deposit (or withdrawal) including \$73,139,860 [4515] value of qualified securities	73,139,860	4520	
26. New amount in reserve Bank Account(s) after adding deposit or subtracting withdrawal including \$73,139,860 [4525] value of qualified securities	\$ 123,919,098	4530	
27. Date of deposit (MMDDYY)	04/02/2020	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" shall be prepared in accordance with the requirements of paragraph (f) of Rule 15c3-1.

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

<b>BROKER OR DEALER:</b>	CANTOR FITZGERALD & CO.	as of: 03/31/2020
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**COMPUTATION FOR DETERMINATION OF RESERVE REQUIREMENTS  
FOR BROKER-DEALERS UNDER RULE 15c3-3(continued)**

**EXEMPTIVE PROVISIONS**

28. If an exemption from Rule 15c3-3 is claimed, identify below the section upon which such exemption is based (check one only)

A. (k)(1)-\$2,500 capital category as per Rule 15c3-1

No	4550
No	4560

B. (k)(2)(A)-"Special Account for the Exclusive Benefit of customers" maintained

C. (k)(2)(B)-All customer transactions cleared through another broker-dealer on a fully disclosed basis.

4335	No	4570
	No	4580

Name of clearing firm

D. (k)(3)-Exempted by order of the Commission

**Information for Possession or Control Requirements Under Rule 15c3-3**

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
0	4587

A. Number of items

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
0	4589

A. Number of items

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
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**NOTES**

A. - Do not include in item one 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 items one and two whether the securities reported in response thereto were subsequently reduced to possession or control by the respondent.

C. - Be sure to include in item two only items not arising from "temporary lags which result from normal business operations" as permitted under Rule 15c3-3.

D - Item two must be responded to only with 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 item two 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).

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

<b>BROKER OR DEALER:</b>	CANTOR FITZGERALD & CO.	<b>as of:</b> 03/31/2020
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**FORMULA FOR DETERMINATION OF PAB ACCOUNT RESERVE REQUIREMENTS  
FOR BROKER AND DEALERS UNDER RULE 15c3-3**

**CREDIT BALANCES**

1. Free credit balances and other credit balances in PAB security accounts (See Note A)	\$ 5,593,290	2110	
2. Monies borrowed collateralized by securities carried for accounts of PAB (See Note B)	0	2120	
3. Monies payable against PAB securities loaned (See Note C)	0	2130	
4. PAB securities failed to receive (See Note D)	0	2140	
5. Credit balances in firm accounts which are attributable to principal sales to PAB	134,008	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			\$ 5,727,298
			2170

**DEBIT BALANCES**

12. Debit balances in PAB cash and margin accounts excluding unsecured accounts and accounts doubtful of collection (See Note E)	\$ 42,720	2180	
13. Securities borrowed to effectuate short sales by PAB and securities borrowed to make delivery on PAB securities failed to deliver	0	2190	
14. Failed to deliver of PAB securities not older than 30 calendar days	0	2200	
15. Margin required and on deposit with the 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 17A of the Act (15 U.S.C. 78q-1) or a derivatives 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			\$ 42,720
			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)		5,684,578	2250
21. Excess debits in customer reserve formula computation		0	2260
22. PAB Reserve Requirement (line 20 less line 21)		5,684,578	2270
23. Amount held on deposit in "Reserve Bank Account(s)", including \$8,401,356 [2275] value of qualified securities, at end of reporting period		8,401,356	2280
24. Amount of deposit (or withdrawal) including \$431,708 [2285] value of qualified securities		431,708	2290
25. New amount in Reserve Bank Account(s) after adding deposit or subtracting \$8,833,064 [2295] value of qualified securities		\$ 8,833,064	2300
26. Date of deposit (MMDDYY)		04/02/2020	2310

**FREQUENCY OF COMPUTATION**

Daily  2315 Weekly  2320 Monthly  2330

\* See Notes regarding the PAB Reserve Bank Account Computation (Notes 1 through 10)

\*\* In the even the Net Capital Requirement is computed under the alternative method, this "Reserve Formula" shall be prepared in accordance with the requirement of paragraph (a)(1)(ii) of Rule 15c3-1

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**COMPUTATION OF CFTC MINIMUM NET CAPITAL REQUIREMENT**

A.	Risk Based Requirement				
	i. Amount of Customer Risk Maintenance	\$ 0	7415		
	Margin				
	ii. Enter 8% of line A.i			0	7425
	iii. Amount of Non-Customer Risk Maintenance				
	Margin	4,550,756	7435		
	iv. Enter 8% of line A.iii			364,060	7445
	v. Enter the sum of A.ii and A.iv			364,060	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.v., B. or C. (See Note)			\$ 1,000,000	7490
E.	CFTC Early Warning Level			\$ 1,500,000	7495

Note: If the Minimum Net Capital Requirement computed on line D (7490) is:  
The Risk Based Requirement, enter 110% of line A (7455), or  
The Minimum Dollar Requirement of \$1,000,000, enter 150% of line B. (7465), or  
The Minimum Dollar Requirement of \$20,000,000 for FCMs offering or engaging in retail forex transactions or Retail Foreign Exchange Dealers ("RFED"), enter 110% of line B (7465), or  
Other NFA Requirement for FCMs offering or engaging in retail forex transaction or Retail Foreign Exchange Dealers ("RFED"), as calculated on line 11.F (8210) of Exchange Supplementary Schedule, enter 110% of line 22.C. (7475), or

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

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

1.	Net ledger balance			
	A. Cash	\$ 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) (add 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 securities	0		7047
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	4,969,921		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.	Margins 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)	4,969,921		7180
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	\$ 4,969,921		7190
15.	Management Target Amount for Excess funds in segregation	3,000,000		7194
16.	Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	1,969,921		7198

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

1.	Amount required to be segregated in accordance with Commission regulation 32.6		\$ 0	7200
2.	Funds in segregated accounts			
	A. Cash	\$ 0		7210
	B. Securities (at market)	0		7220
	C. Total		0	7230
3.	Excess (deficiency) funds in segregation (subtract line 1. from line 2.C.)		\$ 0	7240

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

**FOREIGN FUTURES AND FOREIGN OPTIONS SECURED AMOUNTS**

Amount required to be set aside pursuant to law, rule or regulation  
of a foreign government or a rule of a self-regulatory organization  
authorized thereunder

	\$ 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 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

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

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks				
A. Banks located in the United States		\$ 0	7500	
B. Other banks qualified under Regulation 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 qualified under Regulation 30.7				
Name(s): _	7550	0	7560	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 section 30.7 accounts				\$ 0
				7770
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)				0
				7380
10. Management Target Amount for Excess funds in separate section 30.7 accounts				0
				7780
11. Excess (deficiency) funds in separate section 30.7 accounts over (under) Management Target Amount				0
				7785



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BROKER OR DEALER:

CANTOR FITZGERALD & CO.

as of: 03/31/2020

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 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 securities	0	8570	0	8580
6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)			0	8590

**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	8660	
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	8715	
13. Total amount in cleared swaps customer segregation (add lines 7 through 12)		0	8720	
14. Excess (deficiency) funds in 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 segregation over (under) Management Target Excess		\$ 0	8770	

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
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**Ownership Equity and Subordinated Liabilities maturing or proposed to be withdrawn within the next six months and accruals, (as defined below), which have not been deducted in the computation of Net Capital**

Type of Proposed withdrawal or Accrual See below for code to enter	Name of Lender or Contributor	Insider or Outsider? (In or Out)	Amount to be With-drawn (cash amount and/or Net Capital Value of Securities)	(MMDDYY) Withdrawal or Maturity Date	Expect to Renew (yes or no)
4600	4601	4602	\$0 4603	4604	4605
4610	4611	4612	0 4613	4614	4615
4620	4621	4622	0 4623	4624	4625
4630	4631	4632	0 4633	4634	4635
4640	4641	4642	0 4643	4644	4645
4650	4651	4652	0 4653	4654	4655
4660	4661	4662	0 4663	4664	4665
4670	4671	4672	0 4673	4674	4675
4680	4681	4682	0 4683	4684	4685
4690	4691	4692	0 4693	4694	4695
			\$0 4699		

**Instructions:** Detail listing must include the total of items maturing during the six month period following the report date, regardless of whether or not the capital contribution is expected to be renewed. The schedule must also include proposed capital withdrawals scheduled within the six month period following the report date including the proposed redemption of stock and payments of liabilities secured by fixed assets (which are considered allowable assets in the capital computation pursuant to Rule 15c3-1(c)(2)(iv)), which could be required by the lender on demand or in less than six months.

- |                         |                              |
|-------------------------|------------------------------|
| <b>WITHDRAWAL CODE:</b> | <b>DESCRIPTIONS</b>          |
| 1.                      | Equity Capital               |
| 2.                      | Subordinated Liabilities     |
| 3.                      | Accruals                     |
| 4.                      | 15c3-1(c)(2)(iv) Liabilities |

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
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**BROKER OR DEALER:**

CANTOR FITZGERALD & CO.

as of: 03/31/2020

**FINANCIAL AND OPERATIONAL DATA**

1.	Month end total number of stock record breaks unresolved over three business days	<u>Valuation</u>		<u>Number</u>					
	A. breaks long	0	4890	0	4900				
	B. breaks short	0	4910	0	4920				
2.	Is the firm in compliance with Rule 17a-13 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		
	A) If response is negative attach explanation of steps being taken to comply with Rule 17a-13								
3.	Personnel employed at end of reporting period:								
	A. Income producing personnel					467	4950		
	B. Non-income producing personnel (all other)					120	4960		
	C. Total					587	4970		
4.	Actual number of tickets executed during current month of reporting period					9,673,228	4980		
5.	Number of corrected customer confirmations mailed after settlement date					0	4990		
6.	Monev differences	0	5000	0	5010	0	5030		
7.	Security suspense accounts	0	5040	0	5050	0	5070		
8.	Security difference accounts	0	5080	0	5090	0	5110		
9.	Commodity suspense accounts	0	5120	0	5130	0	5150		
10.	Open transactions with correspondents, other brokers, clearing organizations, depositories and interoffice and inter-company accounts which could result in a charge - unresolved amounts over 30 calendar days	0	5160	\$ 0	5170	0	5180	0	5190
11.	Bank account reconciliations-unresolved amounts over 30 calendar days	0	5200	\$ 0	5210	0	5220	0	5230
12.	Open transfers over 40 calendar days, not confirmed	0	5240	\$ 0	5250	0	5260	0	5270
13.	Transactions in reorganization accounts-over 60 calendar days	0	5280	\$ 0	5290	0	5300	0	5310
14.	Total	0	5320	\$ 0	5330	0	5340	0	5350
15.	Failed to deliver 11 business days or longer (21 business days or longer in the case of Municipal Securities)	63	5360	30,460,542	5361	\$ 30,460,542	5362		
16.	Failed to receive 11 business days or longer (21 business days or longer in the case of Municipal Securities)	58	5363	18,882,044	5364	\$ 18,882,044	5365		
17.	Security concentrations (See instructions in Part I):								
	A. Proprietary positions					\$ 0	5370		
	B. Customers' accounts under Rule 15c3-3					\$ 0	5374		
18.	Total of personal capital borrowings due within six months					\$ 0	5378		
19.	Maximum haircuts on underwriting commitments during the period					\$ 0	5380		
20.	Planned capital expenditures for business expansion during the next six months					\$ 0	5382		
21.	Liabilities of other individuals or organizations guaranteed by respondent					\$ 0	5384		
22.	Lease and rentals payable within one year					\$ 3,784,754	5386		
23.	Aggregate lease and rental commitments payable for entire term of the lease								
	A. Gross					\$ 22,398,445	5388		
	B. Net					\$ 22,398,445	5390		

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**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	5,892,912	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 ("RFFD")?	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	8200
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	8210

15. Is the firm an IB?	No	8740
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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)	\$ 0	8750
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**General Comments:**

Leverage

1. Total Assets	\$16,681,384,694	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	105,710,715	8840
6. US Treasury securities - Long (firm owned)	183,208,261	8850
7. US Government agency and government sponsored entities - Long(firm owned)	4,039,194,791	8860
8. Reverse Repos backed by US Treasury securities and US Government agency and government sponsored entities(firm owned)	8,939,695,792	8870
9. Ownership Equity	464,537,011	8880
10. Subordinated Loans	205,000,000	8890
11. Leverage	5.10	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