

BrokerCheck Report
FMX EXECUTION, LLC
 CRD# 154075

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 Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**FMX EXECUTION, LLC**

CRD# 154075

SEC# 8-68606

Main Office Location

55 WATER STREET
NEW YORK, NY 10041
Regulated by FINRA New York Office

Mailing Address

55 WATER STREET
NEW YORK, NY 10041

Business Telephone Number

212 968-4122

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in New York on 04/20/2010.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 18 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 4 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

The number of disclosures from non-registered control affiliates is 1



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in New York on 04/20/2010.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

FMX EXECUTION, LLC

Doing business as FMX EXECUTION, LLC

CRD# 154075

SEC# 8-68606

Main Office Location

55 WATER STREET
NEW YORK, NY 10041

Regulated by FINRA New York Office

Mailing Address

55 WATER STREET
NEW YORK, NY 10041

Business Telephone Number

212 968-4122



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	FENICS MARKETS XCHANGE, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SOLE MEMBER
Position Start Date	07/2023
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ANZALONE, THOMAS JOSEPH 1161513
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF OPERATIONS OFFICER/PRINCIPAL OPERATIONS OFFICER
Position Start Date	04/2018
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HAUF, JASON WILLIAMS 4163331
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF FINANCIAL OFFICER
Position Start Date	06/2022

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): RINALDO, MARK J
4824739

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF OPERATING OFFICER

Position Start Date 10/2023

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): SCOTTO, LOUIS JAMES
1483052

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF EXECUTIVE OFFICER

Position Start Date 01/2021

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): SULFARO, MICHAEL CARL

Firm Profile



Direct Owners and Executive Officers (continued)

	2483562
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	08/2024
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No



Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any): BGC GP LIMITED

Is this a domestic or foreign entity or an individual? Foreign Entity

Company through which indirect ownership is established BGC GP, LLC

Relationship to Direct Owner MEMBER

Relationship Established 03/2008

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): BGC GROUP, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established BGC HOLDINGS MERGER SUB, LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 07/2023

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? Yes

Legal Name & CRD# (if any): BGC GROUP, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity



Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established BGC PARTNERS, INC.

Relationship to Direct Owner SOLE SHAREHOLDER

Relationship Established 07/2023

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? Yes

Legal Name & CRD# (if any): BGC HOLDINGS MERGER SUB, LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established BGC HOLDINGS, LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 07/2023

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): BGC HOLDINGS U.S., INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established BGC FINANCIAL GROUP, INC.

Relationship to Direct Owner SOLE SHAREHOLDER

Relationship Established 03/2008

Firm Profile



Indirect Owners (continued)

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): BGC PARTNERS, INC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established BGC GP LIMITED

Relationship to Direct Owner SOLE SHAREHOLDER

Relationship Established 06/2006

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): BGC PARTNERS, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established BGC HOLDINGS U.S., INC.

Relationship to Direct Owner SOLE SHAREHOLDER

Relationship Established 04/2008

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting No

Firm Profile



Indirect Owners (continued) company?

Legal Name & CRD# (if any):	BGC PARTNERS, L.P.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	FENICS MARKETS XCHANGE, LLC
Relationship to Direct Owner	SOLE SHARHOLDER
Relationship Established	05/2019
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
Legal Name & CRD# (if any):	HOWARD W. LUTNICK REVOCABLE TRUST
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	CF GROUP MANAGEMENT, INC.
Relationship to Direct Owner	SOLE SHAREHOLDER
Relationship Established	01/2010
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
Legal Name & CRD# (if any):	LUTNICK, HOWARD WILLIAM 1157026
Is this a domestic or foreign	Individual

Firm Profile



Indirect Owners (continued)

entity or an individual?

Company through which indirect ownership is established HWL PERSONAL ASSET TRUST

Relationship to Direct Owner SOLE TRUSTEE

Relationship Established 05/2009

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): LUTNICK, HOWARD WILLIAM
1157026

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is established HOWARD W. LUTNICK REVOCABLE TRUST

Relationship to Direct Owner SOLE TRUSTEE

Relationship Established 10/2002

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): BGC PARTNERS, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established BGC PARTNERS, L.P

Firm Profile



Indirect Owners (continued)

Relationship to Direct Owner LIMITED PARTNER

Relationship Established 04/2008

Percentage of Ownership 50% but less than 75%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): HWL PERSONAL ASSET TRUST

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established CANTOR FITZGERALD, L.P.

Relationship to Direct Owner LIMITED PARTNER

Relationship Established 01/2010

Percentage of Ownership 50% but less than 75%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): BGC FINANCIAL GROUP, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established BGC PARTNERS, L.P.

Relationship to Direct Owner LIMITED PARTNER

Relationship Established 04/2008

Percentage of Ownership 25% but less than 50%

Does this owner direct the management or policies of the firm? Yes

Firm Profile



Indirect Owners (continued) the firm?

Is this a public reporting company? No

Legal Name & CRD# (if any): BGC GP, LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established BGC HOLDINGS MERGER SUB, LLC

Relationship to Direct Owner GENERAL PARTNER

Relationship Established 07/2023

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): BGC HOLDINGS, LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established BGC PARTNERS, L.P.

Relationship to Direct Owner GENERAL PARTNER

Relationship Established 04/2008

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): BGC PARTNERS, INC

Firm Profile



Indirect Owners (continued)

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established BGC GP, LLC

Relationship to Direct Owner MANAGING MEMBER

Relationship Established 04/2008

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): CANTOR FITZGERALD, L.P.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established BGC GROUP, INC.

Relationship to Direct Owner CONTROLLING ENTITY

Relationship Established 07/2023

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): CF GROUP MANAGEMENT, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established CANTOR FITZGERALD, L.P.

Firm Profile



Indirect Owners (continued)

Relationship to Direct Owner	MANAGING GENERAL PARTNER
Relationship Established	09/1992
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 18 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/10/2011

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	03/10/2011



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	06/30/2025
Colorado	Approved	06/18/2025
Connecticut	Approved	07/01/2025
Florida	Approved	08/02/2021
Georgia	Approved	06/26/2025
Illinois	Approved	09/19/2023
Michigan	Approved	07/14/2025
Minnesota	Approved	07/16/2025
Missouri	Approved	07/17/2025
New Jersey	Approved	06/13/2024
New York	Approved	04/08/2011
North Carolina	Approved	06/24/2025
Ohio	Approved	06/10/2025
Pennsylvania	Approved	06/16/2025
Tennessee	Approved	08/11/2025
Utah	Approved	06/26/2025
Vermont	Approved	06/11/2025
Wisconsin	Approved	07/08/2025

Firm Operations



Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 4 types of businesses.

Types of Business

Exchange member engaged in exchange commission business other than floor activities

Broker or dealer selling corporate debt securities

U S. government securities broker

Non-exchange member arranging for transactions in listed securities by exchange member

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	GOLDMAN SACHS & CO. LLC
CRD #:	361
Business Address:	200 WEST STREET NEW YORK, NY 10282
Effective Date:	04/28/2017
Description:	FMX EXECUTION, LLC AND GOLDMAN SACHS HAVE A FULLY DISCLOSED CLEARING AGREEMENT

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: IT CONVERGENCE
Business Address: 118-35 QUEENS BLVD
 SUITE 400
 FOREST HILLS, NY 11375
Effective Date: 02/25/2016
Description: THIRD PARTY STORAGE - WITH APPROPRIATE EXPERTISE

Name: HITACHI
Business Address: 2845 LAFAYETTE STREET
 SANTA CLARA, CA 95050-2639
Effective Date: 02/25/2016
Description: THIRD PARTY STORAGE - WITH APPROPRIATE EXPERTISE

Name: DELL EMC
Business Address: 8444 WEST PARK DR
 #900
 TYSONS, VA 22102
Effective Date: 02/25/2016
Description: THIRD PARTY STORAGE - WITH APPROPRIATE EXPERTISE

Name: GOLDMAN SACHS & CO. LLC
CRD #: 361
Business Address: 200 WEST STREET
 NEW YORK, NY 10282
Effective Date: 04/28/2017
Description: FMX EXECUTION, LLC AND GOLDMAN SACHS HAVE A FULLY DISCLOSED CLEARING AGREEMENT.

This firm does have accounts, funds, or securities maintained by a third party.

Name: CANTOR FITZGERALD & CO.
CRD #: 134
Business Address: 110 EAST 59TH STREET
 NEW YORK, NY 10022



Firm Operations

Industry Arrangements (continued)

Effective Date: 08/01/2023

Description: FMX EXECUTION, LLC AND CANTOR FITZGERALD & CO. HAVE A FULLY DISCLOSED CLEARING AGREEMENT.

Name: GOLDMAN SACHS & CO. LLC

CRD #: 361

Business Address: 200 WEST STREET
NEW YORK, NY 10282

Effective Date: 04/28/2017

Description: FMX EXECUTION, LLC AND GOLDMAN SACHS HAVE A FULLY DISCLOSED CLEARING AGREEMENT.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: GOLDMAN SACHS & CO. LLC

CRD #: 361

Business Address: 200 WEST STREET
NEW YORK, NY 10282

Effective Date: 04/28/2017

Description: FMX EXECUTION, LLC SECURITIES AND GOLDMAN SACHS HAVE A FULLY DISCLOSED CLEARING AGREEMENT.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

O'CONNOR ALTERNATIVE INVESTMENTS, LLC is under common control with the firm.

CRD #:	336332
Business Address:	110 EAST 59TH STREET NEW YORK, NY 10022
Effective Date:	06/23/2025
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE ULTIMATE PARENT OF FMX EXECUTION, LLC IS BGC GROUP, INC. AND THE ULTIMATE PARENT OF O'CONNOR ALTERNATIVE INVESTMENTS, LLC IS CANTOR FITZGERALD, L.P., WHICH IS THE CONTROLLING STOCKHOLDER OF BGC GROUP, INC

CONTINENTAL CAPITAL MARKETS S.A. is under common control with the firm.

Business Address:	CHEMIN DE CHANTAVRIL 1 1260 NYON, SWITZERLAND
Effective Date:	01/11/2023
Foreign Entity:	Yes
Country:	SWITZERLAND
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF CONTINENTAL CAPITAL MARKETS S.A. AND FMX EXECUTION, LLC IS BGC GROUP, INC.

Firm Operations



Organization Affiliates (continued)

CANTOR FITZGERALD ASSET MANAGEMENT EUROPE LIMITED is under common control with the firm.

Business Address:	23 ST. STEPHEN'S GREEN DUBLIN, IRELAND
Effective Date:	11/01/2018
Foreign Entity:	Yes
Country:	IRELAND
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF CANTOR FITZGERALD ASSET MANAGEMENT EUROPE LIMITED AND FMX EXECUTION, LLC IS BGC GROUP, INC

GFI AFRICAN MONEY BROKERS (PTY) LTD. is under common control with the firm.

Business Address:	EQUITY HOUSE, 18 BOMPAS ROAD DUNKELD WEST JOHANNESBURG, SOUTH AFRICA 2196
Effective Date:	01/31/2017
Foreign Entity:	Yes
Country:	SOUTH AFRICA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF GFI AFRICAN MONEY BROKERS (PTY) LTD. AND FMX EXECUTION, LLC IS BGC GROUP, INC.

S.A.M. AUREL BGC MONACO is under common control with the firm.

Business Address:	5 AVENUE STREET, MICEL, VILLA CLAUDE-RDC-1ER& 2E SOUS-SOL MONACO, MONACO 98000
Effective Date:	11/16/2021
Foreign Entity:	Yes
Country:	MONACO
Securities Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF S.A.M. AUREL BGC MONACO AND FMX EXECUTION, LLC IS BGC GROUP, INC.

SMITH GROUP ASSET MANAGEMENT, LLC is under common control with the firm.

CRD #: 313265

Business Address: 100 CRESCENT COURT
DALLAS, TX 75201

Effective Date: 05/05/2021

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE ULTIMATE PARENT OF SMITH GROUP ASSET MANAGEMENT, LLC AND THE ULTIMATE PARENT OF FMX EXECUTION, LLC IS CANTOR FITZGERALD LP, WHICH IS THE CONTROLLING STOCK HOLDER OF BGC GROUP, INC.

NEWMARK SECURITIES, LLC is under common control with the firm.

CRD #: 309193

Business Address: 125 PARK AVENUE
NEW YORK, NY 10017

Effective Date: 04/08/2021

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF FMX EXECUTION, LLC IS BGC GROUP, INC. AND THE ULTIMATE PARENT OF NEWMARK SECURITIES, LLC IS NEWMARK GROUP, INC. THE ULTIMATE PARENT OF BGC GROUP, INC. AND NEWMARK GROUP INC. IS CANTOR FITZGERALD, LP., AS THE CONTROLLING STOCKHOLDER.

Firm Operations



Organization Affiliates (continued)

GFI GROUP (PHILIPPINES) INC. is under common control with the firm.

Business Address:	12/F UNIT C, MENARCO TOWER 32ND STREET BONIFACIO GLOBAL CITY, TAGUIG METRO MANILA, PHILIPPINES 1634
Effective Date:	06/14/2019
Foreign Entity:	Yes
Country:	PHILIPPINES
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF GFI GROUP (PHILIPPINES) INC. AND FMX EXECUTION, LLC. IS BGC GROUP, INC.

CANTOR FITZGERALD SINGAPORE PTE LTD is under common control with the firm.

Business Address:	3 TEMASEK AVENUE #04-01 SINGAPORE, SINGAPORE 039139
Effective Date:	08/15/2018
Foreign Entity:	Yes
Country:	SINGAPORE
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF FMX EXECUTION, LLC IS BGC GROUP, INC. AND THE ULTIMATE PARENT OF CANTOR FITZGERALD SINGAPORE PT LTE IS CANTOR FITZGERALD, L.P., WHICH IS THE CONTROLLING STOCK HOLDER OF BGC GROUP, INC.

CANTOR FITZGERALD SECURITIES JAPAN CO., LTD. is under common control with the firm.

Business Address:	AKASAKA BIZ TOWER, 38F, 5-3-1 AKASAKA MINATO-KU TOKYO, JAPAN 107-6338
Effective Date:	03/28/2018
Foreign Entity:	Yes
Country:	JAPAN

Firm Operations



Organization Affiliates (continued)

Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF FMX EXECUTION, LLC IS BGC GROUP, INC. AND THE ULTIMATE PARENT OF CANTOR FITZGERALD SECURITIES JAPAN CO., LTD. IS CANTOR FITZGERALD, L.P., WHICH IS THE CONTROLLING STOCK HOLDER OF BGC GROUP, INC.

GFI SOUTH AFRICA (PTY) LTD is under common control with the firm.

Business Address:	EQUITY HOUSE, 18 BOMPAS ROAD DUNKELD WEST JOHANNESBURG, SOUTH AFRICA 2196
Effective Date:	01/31/2017
Foreign Entity:	Yes
Country:	SOUTH AFRICA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF GFI SOUTH AFRICA (PTY) LTD AND FMX EXECUTION, LLC IS BGC GROUP, INC.

GFI INTERNATIONAL & CAPITAL MARKET BROKERS (PTY) LIMITED is under common control with the firm.

Business Address:	EQUITY HOUSE, 18 BOMPAS ROAD DUNKELD WEST JOHANNESBURG, SOUTH AFRICA 2196
Effective Date:	01/31/2017
Foreign Entity:	Yes
Country:	SOUTH AFRICA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF GFI INTERNATIONAL & CAPITAL MARKET BROKERS (PTY) LIMITED AND FMX EXECUTION, LLC IS BGC GROUP, INC.

CF SECURED, LLC is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

CRD #: 285841

Business Address: 110 EAST 59TH STREET
NEW YORK, NY 10022

Effective Date: 05/16/2017

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF FMX EXECUTION, LLC IS BGC GROUP, INC. AND THE ULTIMATE PARENT OF CF SECURED, LLC IS CANTOR FITZGERALD, L.P., WHICH IS THE CONTROLLING STOCK HOLDER OF BGC GROUP, INC.

SUNRISE BROKERS (HONG KONG) LTD is under common control with the firm.

Business Address: AIA CENTRAL, SUITES 3001-3007, 30/F
1 CONNAUGHT ROAD
CENTRAL, HONG KONG

Effective Date: 12/15/2016

Foreign Entity: Yes

Country: HONG KONG

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF SUNRISE BROKERS (HONG KONG) LTD AND FMX EXECUTION, LLC IS BGC GROUP, INC.

FREEDOM INTERNATIONAL BROKERAGE COMPANY is under common control with the firm.

Business Address: 181 UNIVERSITY AVENUE
SUITE 1500
TORONTO, ONTARIO, CANADA M5H 3M7

Effective Date: 12/05/2013

Foreign Entity: Yes

Country: CANADA

Securities Activities: Yes

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF FREEDOM INTERNATIONAL BROKERAGE COMPANY AND FMX EXECUTION, LLC IS BGC GROUP, INC.

CANTOR FITZGERALD IRELAND LIMITED is under common control with the firm.

Business Address:	23 ST. STEPHEN'S GREEN DUBLIN 2, IRELAND D02 AR55
Effective Date:	11/30/2012
Foreign Entity:	Yes
Country:	IRELAND
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF FMX EXECUTION, LLC IS BGC GROUP, INC. AND THE ULTIMATE PARENT OF CANTOR FITZGERALD IRELAND LIMITED IS CANTOR FITZGERALD, L.P., WHICH IS THE CONTROLLING STOCK HOLDER OF BGC GROUP, INC.

CANTOR FITZGERALD INVESTMENT ADVISORS is under common control with the firm.

CRD #:	159296
Business Address:	110 EAST 59TH STREET NEW YORK, NY 10022
Effective Date:	11/15/2011
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE ULTIMATE PARENT OF FMX EXECUTION, LLC IS BGC GROUP, INC. AND THE ULTIMATE PARENT OF CANTOR FITZGERALD INVESTMENT ADVISORS, LP IS CANTOR FITZGERALD, L.P., WHICH IS THE CONTROLLING STOCK HOLDER OF BGC GROUP, INC.

CANTOR FITZGERALD EUROPE is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

Business Address: 5 CHURCHILL PLACE
CANARY WHARF
LONDON, UNITED KINGDOM E14 5HU

Effective Date: 01/14/2014

Foreign Entity: Yes

Country: UNITED KINGDOM

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF FMX EXECUTION, LLC IS BGC GROUP, INC. AND THE ULTIMATE PARENT OF CANTOR FITZGERALD EUROPE IS CANTOR FITZGERALD, L.P., WHICH IS THE CONTROLLING STOCK HOLDER OF BGC GROUP, INC.

CANTOR FITZGERALD CANADA CORPORATION is under common control with the firm.

Business Address: 181 UNIVERSITY AVENUE
SUITE 1500
TORONTO, ON, CANADA MH 3M7

Effective Date: 12/13/2007

Foreign Entity: Yes

Country: CANADA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF FMX EXECUTION, LLC IS BGC GROUP, INC. AND THE ULTIMATE PARENT OF CANTOR FITZGERALD CANADA CORPORATION IS CANTOR FITZGERALD, L.P., WHICH IS THE CONTROLLING STOCK HOLDER OF BGC GROUP, INC.

CANTOR FITZGERALD (HONG KONG) CAPITAL MARKETS LIMITED is under common control with the firm.

Business Address: 6710-6712 THE CENTER
99 QUEEN'S ROAD
CENTRAL, HONG KONG

Effective Date: 07/15/2004

Foreign Entity: Yes

Firm Operations



Organization Affiliates (continued)

Country: HONG KONG

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF FMX EXECUTION, LLC IS BGC GROUP, INC. AND THE ULTIMATE PARENT OF CANTOR FITZGERALD (HONG KONG) CAPITAL MARKETS LIMITED IS CANTOR FITZGERALD, L.P., WHICH IS THE CONTROLLING STOCK HOLDER OF BGC GROUPS, INC.

REMATE LINCE, S.A.P.I. DE C.V. is under common control with the firm.

Business Address: AV. VASCO DE QUIROGA 2121
1ER PISO COL. SANTA FE
MEXICO CITY, DF, MEXICO 01210

Effective Date: 01/07/2016

Foreign Entity: Yes

Country: MEXICO

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF REMATE LINCE, S.A.P.I. DE C.V. AND FMX EXECUTION, LLC IS BGC GROUP, INC.

PERIMETER MARKETS, INC. is under common control with the firm.

Business Address: 36 LOMBARD STREET
SUITE 502
TORONTO, ON, CANADA M5C 2X3

Effective Date: 09/23/2016

Foreign Entity: Yes

Country: CANADA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF PERIMETER MARKETS, INC. AND FMX EXECUTION, LLC IS BGC GROUP, INC.

Firm Operations



Organization Affiliates (continued)

CHINA CREDIT BGC MONEY BROKING COMPANY LIMITED is under common control with the firm.

Business Address:	NO. 8, 1, WEST TOWER, 12TH FLOOR, BUILDING 1201 NO. 1202 CHONGWENMENWAI STREET DONGCHENG DISTRICT, CHINA
Effective Date:	03/25/2010
Foreign Entity:	Yes
Country:	CHINA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF CHINA CREDIT BGC MONEY BROKING COMPANY LIMITED AND FMX EXECUTION, LLC IS BGC GROUP, INC.

BGC SHOKEN KAISHA LIMITED (TOKYO BRANCH) is under common control with the firm.

Business Address:	AKASAKA BIZ TOWER, 38F 5-3-1 AKSAKA, MINATO-KU TOKYO, JAPAN 107-6338
Effective Date:	10/13/1993
Foreign Entity:	Yes
Country:	JAPAN
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF BGC SHOKEN KAISHA LIMITED (TOKYO BRANCH) AND FMX EXECUTION, LLC IS BGC GROUP, INC.

BGC SECURITIES (HONG KONG) LLC is under common control with the firm.

Business Address:	AIA CENTRAL, SUITES 3001-3007, 30/F 1 CONNAUGHT ROAD CENTRAL, HONG KONG
Effective Date:	02/07/2005
Foreign Entity:	Yes
Country:	HONG KONG

Firm Operations



Organization Affiliates (continued)

Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF BGC SECURITIES (HONG KONG) LLC AND FMX EXECUTION, LLC IS BGC GROUP, INC.

FIXED INCOME SOLUTIONS PTY LTD is under common control with the firm.

Business Address:	LEVEL 56 25 MARTIN PLACE SYDNEY, AUSTRALIA NSW 2000
Effective Date:	09/16/2016
Foreign Entity:	Yes
Country:	AUSTRALIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF FIXED INCOME SOLUTIONS PTY LTD AND FMX EXECUTION, LLC IS BGC GROUP, INC.

BGC SA FINANCIAL BROKERS (PROPRIETARY) LIMITED is under common control with the firm.

Business Address:	EQUITY HOUSE, 18 BOMPAS ROAD DUNKELD WEST JOHANNESBURG, SOUTH AFRICA 2196
Effective Date:	08/10/2008
Foreign Entity:	Yes
Country:	SOUTH AFRICA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF BGC SA FINANCIAL BROKERS (PROPRIETARY) LIMITED AND FMX EXECUTION, LLC IS BGC GROUP, INC.

BGC PARTNERS (SINGAPORE) LIMITED is under common control with the firm.

Business Address:	3 TEMASEK AVENUE #04-01 SINGAPORE, SINGAPORE 039139
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Firm Operations



Organization Affiliates (continued)

Effective Date: 06/06/2013
Foreign Entity: Yes
Country: SINGAPORE
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE ULTIMATE PARENT OF BGC PARTNERS (SINGAPORE) LIMITED AND FMX EXECUTION, LLC IS BGC GROUP, INC.

BGC PARTNERS (AUSTRALIA) PTY LIMITED is under common control with the firm.

Business Address: LEVEL 56, 25 MARTIN PLACE
 SYDNEY, AUSTRALIA NSW 2000
Effective Date: 12/23/2012
Foreign Entity: Yes
Country: AUSTRALIA
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE ULTIMATE PARENT OF BGC PARTNERS (AUSTRALIA) PTY LIMITED AND FMX EXECUTION, LLC IS BGC GROUP, INC.

BGC LIQUIDEZ DISTRIBUIDORA DE TITULOS E VALORES MOBILIARIOS LTDA. (TRADING NAME BGC LIQUIDEZ) is under common control with the firm.

Business Address: AVENIDA ALMIRANTE BARROSO, #52
 23RD FLOOR, DOWNTOWN
 RIO DE JANEIRO, BRAZIL 20031-000
Effective Date: 01/30/2014
Foreign Entity: Yes
Country: BRAZIL
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE ULTIMATE PARENT OF BGC LIQUIDEZ DISTRIBUIDORA DE TITULOS E

Firm Operations



Organization Affiliates (continued)

VALORES MOBILIARIOS LTDA. (TRADING NAME BGC LIQUIDEZ) AND FMX EXECUTION, LLC IS BGC GROUP, INC.

BGC CAPITAL MARKETS AND FOREIGN EXCHANGE BROKER (KOREA) LIMITED is under common control with the firm.

Business Address:	10F SEOUL FINANCE CENTER 136, SEJONG-DAERO SEOUL, KOREA 04520
Effective Date:	11/26/2013
Foreign Entity:	Yes
Country:	KOREA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF BGC CAPITAL MARKETS AND FOREIGN EXCHANGE BROKER (KOREA) LIMITED AND FMX EXECUTION, LLC IS BGC GROUP, INC.

BGC BROKERS L.P. is under common control with the firm.

Business Address:	5 CHURCHILL PLACE CANARY WHARF LONDON, UNITED KINGDOM E14 5HU
Effective Date:	04/01/2013
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF BGC BROKERS L.P. AND FMX EXECUTION, LLC IS BGC GROUP, INC.

AUREL BGC is under common control with the firm.

Business Address:	15-17, RUE VIVIENNE PARIS, FRANCE 75002
Effective Date:	06/03/2013

Firm Operations



Organization Affiliates (continued)

Foreign Entity:	Yes
Country:	FRANCE
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF AUREL BGC AND FMX EXECUTION, LLC IS BGC GROUP, INC.

GFI SECURITIES LIMITED is under common control with the firm.

Business Address:	1 SNOWDEN STREET LONDON, UNITED KINGDOM EC2A 2DQ
Effective Date:	02/25/2015
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF GFI SECURITIES LIMITED AND FMX EXECUTION, LLC IS BGC GROUP, INC.

GFI SECURITIES COLOMBIA S.A. is under common control with the firm.

Business Address:	CALLE 100 #8A-49 TORRE B OFICINA 715 BOGOTA, COLOMBIA 110221
Effective Date:	02/25/2015
Foreign Entity:	Yes
Country:	COLOMBIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ULTIMATE PARENT OF GFI SECURITIES COLOMBIA S.A. AND FMX EXECUTION, LLC IS BGC GROUP, INC.

GFI KOREA MONEY BROKERAGE LIMITED is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

Business Address: 19F ENA CENTER BLDG.
120 SEOSOMUN-RO JUNG-GU
SEOUL, KOREA 04514

Effective Date: 02/25/2015

Foreign Entity: Yes

Country: KOREA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF GFI KOREA MONEY BROKERAGE LIMITED AND FMX EXECUTION, LLC IS BGC GROUP, INC.

GFI GROUP PTE LIMITED is under common control with the firm.

Business Address: 3 TEMASEK AVENUE #04-01
SINGAPORE, SINGAPORE 039139

Effective Date: 02/25/2015

Foreign Entity: Yes

Country: SINGAPORE

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF GFI GROUP PTE LIMITED AND FMX EXECUTION, LLC IS BGC GROUP, INC.

GFI GROUP MEXICO S.A. DE C.V. is under common control with the firm.

Business Address: MONTES URALES 470, 4 FLOOR, LOMAS DE CHAPULTEPEC
MIGUEL HIDALGO
MEXICO CITY CDMX, MEXICO 11000

Effective Date: 02/25/2015

Foreign Entity: Yes

Country: MEXICO

Securities Activities: Yes

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF GFI GROUP MEXICO S.A. DE C.V. AND FMX EXECUTION, LLC IS BGC GROUP, INC.

GFI EXCHANGE COLOMBIA S.A. is under common control with the firm.

Business Address: CALLE 100 #8A-49
TORRE B OFICINA 715
BOGOTA, COLOMBIA

Effective Date: 02/25/2015

Foreign Entity: Yes

Country: COLOMBIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF GFI EXCHANGE COLOMBIA S.A. AND FMX EXECUTION, LLC IS BGC GROUP, INC.

GFI BROKERS (CHILE) ARGENTES DE VALORES SPA is under common control with the firm.

Business Address: AVENIDA ISIDORA GOYENECHEA #3162
LAS CONDES, OF #203
SANTIAGO, CHILE 7550083

Effective Date: 02/25/2015

Foreign Entity: Yes

Country: CHILE

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF GFI BROKERS (CHILE) ARGENTES DE VALORES SPA AND FMX EXECUTION, LLC IS BGC GROUP, INC.

GFI (HK) SECURITIES, L.L.C. is under common control with the firm.

Business Address: AIA CENTRAL SUITE 1306-09, 13/F
1 CONNAUGHT ROAD
CENTRAL, HONG KONG

Firm Operations



Organization Affiliates (continued)

Effective Date: 02/25/2015

Foreign Entity: Yes

Country: HONG KONG

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF GFI (HK) SECURITIES, L.L.C. AND FMX EXECUTION, LLC IS BGC GROUP, INC.

MINT BROKERS is under common control with the firm.

CRD #: 13681

Business Address: 55 WATER STREET
NEW YORK, NY 10041

Effective Date: 06/16/1983

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF MINT BROKERS AND FMX EXECUTION, LLC IS BGC GROUP, INC.

BGC FINANCIAL, L.P. is under common control with the firm.

CRD #: 19801

Business Address: 55 WATER STREET
NEW YORK, NY 10041

Effective Date: 04/04/2005

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Firm Operations



Organization Affiliates (continued)

Description: THE ULTIMATE PARENT OF BGC FINANCIAL, L.P. AND FMX EXECUTION, LLC IS BGC GROUP, INC.

CANTOR FITZGERALD & CO. is under common control with the firm.

CRD #: 134

Business Address: 110 EAST 59TH STREET
NEW YORK, NY 10022

Effective Date: 12/29/1947

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF FMX EXECUTION, LLC IS BGC GROUP, INC. AND THE ULTIMATE PARENT OF CANTOR FITZGERALD & CO. IS CANTOR FITZGERALD, L.P., WHICH IS THE CONTROLLING STOCK HOLDER OF BGC GROUP, INC.

GFI SECURITIES LLC is under common control with the firm.

CRD #: 19982

Business Address: 55 WATER STREET
NEW YORK, NY 10041

Effective Date: 02/25/2015

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ULTIMATE PARENT OF GFI SECURITIES LLC AND FMX EXECUTION, LLC IS BGC GROUP, INC.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank

Firm Operations



Organization Affiliates (continued)

- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

Disclosure Events for Non-Registered Control Affiliates



All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

Regulatory - Final

Disclosure 1 of 1

Reporting Source:	Firm
Affiliate:	CANTOR FITZGERALD, L.P.
Current Status:	Final
Allegations:	<p>THE SECURITIES AND EXCHANGE COMMISSION ("COMMISSION") DEEMS IT APPROPRIATE THAT CEASE-AND-DESIST PROCEEDINGS BE, AND HEREBY ARE, INSTITUTED AGAINST CANTOR FITZGERALD, L.P. ("CFLP"). IN ANTICIPATION OF THE INSTITUTION OF THESE PROCEEDINGS, CFLP HAS SUBMITTED AN OFFER OF SETTLEMENT WHICH THE COMMISSION HAS DETERMINED TO ACCEPT. THE COMMISSION FINDS THAT THIS MATTER CONCERNS MATERIALLY FALSE AND MISLEADING STATEMENTS MADE BY TWO SPECIAL PURPOSE ACQUISITION COMPANIES ("SPACS") CONTROLLED BY CANTOR FITZGERALD, L.P. ("CFLP"). THE MISSTATEMENTS RELATE TO ACTIVITIES CFLP, ACTING THROUGH A SMALL TEAM CONSISTING OF CFLP EXECUTIVES AS WELL AS PERSONNEL EMPLOYED BY CFLP SUBSIDIARIES, CAUSED EACH SPAC TO TAKE PRIOR TO ITS INITIAL PUBLIC OFFERING. THIS SMALL CFLP TEAM CONTROLLED THE ACTIONS OF THE CFLP SPACS, INCLUDING CONDUCTING A CENTRALIZED SEARCH FOR POTENTIAL BUSINESS COMBINATION TARGETS, AND ENGAGING IN SUBSTANTIVE DISCUSSIONS WITH POTENTIAL TARGETS. TO DATE CFLP HAS SPONSORED NINE SPACS THROUGH SUBSIDIARIES, WITH THE MAJORITY LAUNCHING THEIR IPOS OVER THE SEVEN MONTHS SPANNING AUGUST 2020 TO FEBRUARY 2021. IN NOVEMBER 2020, A CFLP SPAC, CF FINANCE ACQUISITION CORP. II ("CFAC II"), ANNOUNCED AN AGREEMENT TO MERGE WITH VIEW, INC. IN FORM S-1 FILINGS AND A PROSPECTUS CFLP CAUSED CFAC II TO FILE WITH THE COMMISSION BEFORE ITS AUGUST 2020 IPO, CFAC II FALSELY STATED THAT NEITHER CFAC II NOR ANYONE ACTING ON ITS BEHALF HAD INITIATED ANY SUBSTANTIVE DISCUSSIONS WITH ANY BUSINESS COMBINATION TARGET, CONTACTED ANY OF THE PROSPECTIVE TARGET BUSINESSES CONSIDERED BY CFLP'S PRIOR SPAC CF FINANCE ACQUISITION CORP., OR APPROACHED ANY SPECIFIC TARGET BUSINESS. IN FACT, CFLP PERSONNEL, ACTING ON BEHALF OF THE SPAC, HAD ALREADY INITIATED DISCUSSIONS WITH VIEW AND AT LEAST ONE OTHER POTENTIAL TARGET REGARDING A POTENTIAL BUSINESS COMBINATION AS EARLY AS JUNE 2020, AND THOSE DISCUSSIONS CONTINUED DURING THE TIME PERIOD BEFORE THE CFAC II IPO. THE FORM S-4 FILINGS AND A BUSINESS COMBINATION PROXY STATEMENT CFLP CAUSED CFAC II TO FILE WITH THE COMMISSION IN FEBRUARY 2021 ALSO INCLUDED FALSE</p>



STATEMENTS ABOUT THE TRUE HISTORY OF CFLP'S INTERACTIONS WITH VIEW. SIMILARLY, IN JULY 2021, ANOTHER CFLP SPAC, CF ACQUISITION CORP. V ("CFAC V"), ANNOUNCED AN AGREEMENT TO MERGE WITH SATELLOGIC INC. THE FORM S-1 FILINGS AND A PROSPECTUS CFLP CAUSED CFAC V TO FILE WITH THE COMMISSION BEFORE ITS JANUARY 2021 IPO FALSELY STATED THAT NEITHER CFAC V NOR ANYONE ACTING ON ITS BEHALF HAD INITIATED ANY SUBSTANTIVE DISCUSSIONS WITH ANY BUSINESS COMBINATION TARGET, CONTACTED ANY OF THE PROSPECTIVE TARGET BUSINESSES CONSIDERED BY THE FOUR PRIOR CFLP SPACS, OR APPROACHED ANY SPECIFIC TARGET BUSINESS. IN FACT, CFLP PERSONNEL, ACTING ON BEHALF OF ITS SPACS, HAD ALREADY INITIATED DISCUSSIONS WITH SATELLOGIC AND AT LEAST TWO OTHER POTENTIAL TARGETS REGARDING A POTENTIAL BUSINESS COMBINATION AS EARLY AS DECEMBER 2020, AND THOSE DISCUSSIONS CONTINUED DURING THE TIME PERIOD BEFORE THE CFAC V IPO. PRE-IPO DISCUSSIONS WITH SATELLOGIC ABOUT A POTENTIAL BUSINESS COMBINATION WITH A CFLP SPAC EXPLICITLY INCLUDED THE POSSIBILITY OF USING THE NOT-YET-LAUNCHED CFAC V AS THE ACQUISITION VEHICLE. THE BUSINESS COMBINATION PROXY STATEMENT CFLP CAUSED CFAC V TO FILE WITH THE COMMISSION IN NOVEMBER 2021 ALSO INCLUDED FALSE STATEMENTS ABOUT THE TRUE HISTORY OF CFLP'S INTERACTIONS WITH SATELLOGIC. AS A RESULT OF THE MATERIALLY MISLEADING STATEMENTS DESCRIBED THROUGHOUT THIS ORDER, CFLP CAUSED CFAC II AND CFAC V TO VIOLATE SECTIONS 17(A)(2) AND 17(A)(3) OF THE SECURITIES ACT, ANTIFRAUD PROVISIONS OF THE FEDERAL SECURITIES LAWS. CFLP ALSO CAUSED CFAC II AND CFAC V TO VIOLATE SECTION 14(A) OF THE EXCHANGE ACT AND RULE 14A-3 THEREUNDER.

Initiated By: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Date Initiated: 12/12/2024

Docket/Case Number: 3-22348

Principal Product Type: Other

Other Product Type(s): UNSPECIFIED SECURITIES

Principal Sanction(s)/Relief Sought: Cease and Desist

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 12/12/2024

Sanctions Ordered: Monetary/Fine \$6,750,000.00
Cease and Desist/Injunction



Other Sanctions Ordered:

Sanction Details:

CFLP IS ORDERED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTIONS 17(A)(2) OR 17(A)(3) OF THE SECURITIES ACT AND SECTION 14(A) OF THE EXCHANGE ACT AND RULE 14A-3 THEREUNDER AND SHALL PAY A CIVIL MONEY PENALTY OF \$6.75 MILLION.

Firm Statement

WE ARE REQUIRED TO MAKE THIS DISCLOSURE IN REGARD TO CANTOR FITZGERALD LP ("CFLP") WITH RESPECT TO A SETTLEMENT ENTERED INTO BY CFLP WITH THE SEC.

End of Report



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