



**Companies House**

— for the record —

Company Name

**CANTOR FITZGERALD EUROPE**

# 363s Annual Return

215 NAT  
023683

Company Type

**Private Company Unlimited With Share Capital**

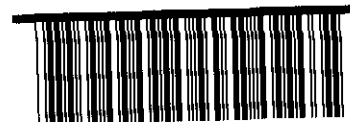
Company Number

**2505767**

Information extracted from  
Companies House records on  
**19th January 2001**

- > Please check the details printed in blue on this statement.
- > If any details are wrong, strike them through and write the correct details in the "Amended details" column.
- > Please use black pen and write in capitals.

## Section 1: Company details



A15  
COMPANIES HOUSE

0678  
04/05/01

Ref: 2505767/03/10

### Current details

### Amended details

- > Registered Office Address  
*If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.*

**One America Square  
London  
EC3N 2LS**

Address

UK Postcode

- > Register of Members  
*If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.*

**Address where the Register is held**

**At Registered Office**

Address

UK Postcode

- > Register of Debenture Holders  
*If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.*

**Not Applicable**

Address

UK Postcode

- > Principal Business Activities  
*If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.*

**SIC Code**

**Description**

**6523**

**Other financial  
intermediation**

**SIC CODE**

**Description**

- > *Please enter additional principal activity code(s) in "Amended details" column. See notes for guidance for list of activity codes.*

## Section 2: Details of Officers of the Company

|  | Current details  | Amended details   |
|--|--|---|
| <b>&gt; Company Secretary</b><br>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.<br><br>Particulars of a new Company Secretary must be notified on form 288. | <b>Name</b><br>Robert Pearce FALKNER<br><br><b>Address</b><br>6 Thornhill Grove<br>London<br>N1 1JG  | <b>Name</b><br><br><b>Address</b><br><br><br>UK Postcode _ _ _ _ _<br>Date of change _ _ / _ _ / _ _ _ _<br>Date Robert Pearce FALKNER ceased to be secretary (if applicable)<br>_ _ / _ _ / _ _ _ _  |
| <b>&gt; Director</b><br>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.<br><br>Particulars of a new Director must be notified on form 288.                   | <b>Name</b><br>Lee Martin AMAITIS<br><br><b>Address</b><br>56 Chelsea Tower<br>West Chelsea Manor Gardens<br>London<br>SW3 5PN<br><br><b>Date of birth</b> 19/12/1949<br><b>Nationality</b> American<br><b>Occupation</b> Senior Managing Director | <b>Name</b><br><u>LEE MARTIN AMAITIS</u><br><b>Address</b><br><u>27 CHELSEA TOWERS</u><br><u>CHELSEA MANOR GARDENS</u><br><u>LONDON</u><br>UK Postcode <u>SW3 5PN</u><br>Date of birth _ _ / _ _ / _ _ _ _<br>Nationality <u>AMERICAN</u><br>Occupation <u>PRESIDENT &amp; C.E.O.</u><br>Date of change <u>22 / 03 / 2000</u><br>Date Lee Martin AMAITIS ceased to be director (if applicable)<br>_ _ / _ _ / _ _ _ _ |
| <b>&gt; Director</b><br>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.<br><br>Particulars of a new Director must be notified on form 288.                   | <b>Name</b><br>Robert Pearce FALKNER<br><br><b>Address</b><br>6 Thornhill Grove<br>London<br>N1 1JG<br><br><b>Date of birth</b> 11/08/1959<br><b>Nationality</b> <del>British</del><br><b>Occupation</b> General Counsel                           | <b>Name</b><br><br><b>Address</b><br><br><br>UK Postcode _ _ _ _ _<br>Date of birth _ _ / _ _ / _ _ _ _<br>Nationality <u>NEW ZEALANDER</u><br>Occupation _ _ _ _ _<br>Date of change _ _ / _ _ / _ _ _ _<br>Date Robert Pearce FALKNER ceased to be director (if applicable)<br>_ _ / _ _ / _ _ _ _  |

|  | Current details  | Amended details  |
|--|--|--|
| <b>&gt; Director</b><br>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.<br><br>Particulars of a new Director must be notified on form 288. | <b>Name</b><br>Douglas Benjamin GARDNER<br><br><b>Address</b><br>75 Central Park West<br>No 2B<br>New York<br>Ny<br>U.S.A<br>10023<br><br><b>Date of birth</b> 05/10/1961<br><br><b>Nationality</b> American<br><br><b>Occupation</b> Chief Administrative Officer         | <b>Name</b><br>_____<br><br><b>Address</b><br>_____<br>_____<br>_____<br><br><b>UK Postcode</b> _____<br><b>Date of birth</b> ____ / ____ / ____<br><b>Nationality</b> _____<br><b>Occupation</b> _____<br><b>Date of change</b> ____ / ____ / ____<br><b>Date</b> Douglas Benjamin GARDNER ceased to be director (if applicable)<br>____ / ____ / ____        |
| <b>&gt; Director</b><br>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.<br><br>Particulars of a new Director must be notified on form 288. | <b>Name</b><br>Mark HANNEY<br><br><b>Address</b><br>9 Kingsdown Road<br>Epsom<br>Surrey<br>KT17 3PU<br><br><b>Date of birth</b> 27/09/1968<br><br><b>Nationality</b> British<br><br><b>Occupation</b> <del>Accountant</del>  | <b>Name</b><br>_____<br><br><b>Address</b><br>_____<br>_____<br>_____<br><br><b>UK Postcode</b> _____<br><b>Date of birth</b> ____ / ____ / ____<br><b>Nationality</b> _____<br><b>Occupation</b> <u>FINANCE DIRECTOR</u><br><b>Date of change</b> <u>2 / 10 / 1998</u><br><b>Date</b> Mark HANNEY ceased to be director (if applicable)<br>____ / ____ / ____ |
| <b>&gt; Director</b><br>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.<br><br>Particulars of a new Director must be notified on form 288. | <b>Name</b><br>Howard LUTNICK<br><br><b>Address</b><br>200 East 69TH Street<br>Apartment 32A<br>New York<br>New York State<br>Usa<br>10021<br><br><b>Date of birth</b> 14/06/1961<br><br><b>Nationality</b> American<br><br><b>Occupation</b> <del>Executive Manager</del> | <b>Name</b><br>_____<br><br><b>Address</b><br>_____<br>_____<br>_____<br><br><b>UK Postcode</b> _____<br><b>Date of birth</b> ____ / ____ / ____<br><b>Nationality</b> _____<br><b>Occupation</b> <u>CHAIRMAN</u><br><b>Date of change</b> <u>13 / 08 / 1999</u><br><b>Date</b> Howard LUTNICK ceased to be director (if applicable)<br>____ / ____ / ____     |

> **Director**

If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.

Particulars of a new Director must be notified on form 288.

**Current details**

**Name**  
Stephen MERKEL

**Address**  
61 Jane Street  
Apartment 19K  
New York  
New York  
U.S.A.  
NY10014

**Date of birth** 22/06/1958

**Nationality** American

**Occupation** General  
Counsel/Senior Vice President

**Amended details**

**Name**

**Address**

**UK Postcode** \_ \_ \_ \_ \_

**Date of birth** \_ \_ / \_ \_ / \_ \_ \_ \_

**Nationality** \_ \_ \_ \_ \_

**Occupation** \_ \_ \_ \_ \_

**Date of change** \_ \_ / \_ \_ / \_ \_ \_ \_

**Date** Stephen MERKEL ceased to be director (if applicable)  
\_ \_ / \_ \_ / \_ \_ \_ \_

> **Director**

If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.

Particulars of a new Director must be notified on form 288.

**Name**  
Clive TRIANCE

**Address**  
48 Primrose Drive  
Kingsnorth  
Ashford  
Kent  
TN23 3NP

**Date of birth** 19/01/1967

**Nationality** British

**Occupation** Head Of Settlements

**Name**

**Address**

**UK Postcode** \_ \_ \_ \_ \_

**Date of birth** \_ \_ / \_ \_ / \_ \_ \_ \_

**Nationality** \_ \_ \_ \_ \_

**Occupation** \_ \_ \_ \_ \_

**Date of change** \_ \_ / \_ \_ / \_ \_ \_ \_

**Date** Clive TRIANCE ceased to be director (if applicable)  
\_ \_ / \_ \_ / \_ \_ \_ \_

|   | Current details   | Amended details  |
|---|---|--|
| <b>&gt; Issued Share Capital</b><br><i>This table shows the total number of shares that have been issued by your company and their Nominal Value. If any of the details are wrong, please fill in the correct details.</i>  | <b>Class of share</b><br>Ordinary<br><b>Nominal value of each share</b><br>£1.00<br><b>Number of shares issued</b><br>265,000<br><b>Aggregate Nominal Value of issued shares</b><br>£265,000.00 | <b>Class of share</b><br><u>ORDINARY</u><br><b>Nominal value of each share</b><br><u>£1.00</u><br><b>Number of shares issued</b><br><u>17,896,714</u><br><b>Aggregate Nominal Value of issued shares</b><br><u>£17,896,714</u> |
| <b>&gt; Total shares issued and value</b><br><i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>   | <b>Total number of shares issued</b><br>265,000<br><b>Total Nominal value of shares issued</b><br>£265,000.00   | <b>Total number of shares issued</b><br><u>17,896,714</u><br><b>Total Nominal value of shares issued</b><br><u>£17,896,714</u>   |
| <b>&gt; At the date of this Annual Return, if the company has altered or changed its share capital in any way or allotted new shares, please refer to the guidance notes for details of the appropriate form that should be sent with this Annual Return. Annual return guidance notes are available on the Companies House web site at <a href="http://www.companieshouse.gov.uk">www.companieshouse.gov.uk</a> or by ringing 029 2038 0801.</b> |   |  |

**Section 4: Details of Shareholders**

- > The details we hold on your company's shareholders and their shareholdings are printed below. These are based on your last Annual Return.
- > If any details have changed, or if any shares have been transferred, please fill in the details in the "Amended details" or "Shares transferred" column.
- > Please give details of any other shareholders in Section 5.

| Current details |   |  | Amended details                         |  | Shares transferred  |  |  |
|-----------------|---|--|---|--|---|--|--|
| >               | Shareholder Name<br>CANTOR FITZGERALD<br>INTERNATIO                       |  | Name<br>CANTOR FITZGERALD INTERNATIONAL |  | Shares transferred by<br>CANTOR FITZGERALD<br>INTERNATIONAL |  |  |
|                 | Address<br>One America Square<br>1 America Square<br>London<br>EC3N 2LS   |  | Address<br><br><br><br>UK Postcode      |  |   |  |  |
|                 | Shares held<br>Class<br>Ordinary  |  | Shares held<br>Class<br>ORDINARY        |  |   |  |  |
|                 | Number<br>254759  |  | Number<br>263,232                       |  | Class<br>ORDINARY   |  |  |
|                 |   |  |   |  | Number<br>263,232 31/10/2000                                |  |  |
|                 |   |  |   |  |   |  |  |
| >               | Shareholder Name<br>CF GILTZ HOLDINGS LLC                                 |  | Name<br>CF GILTZ HOLDINGS LLC           |  | Shares transferred by<br>CF GILTZ HOLDINGS<br>LLC           |  |  |
|                 | Address<br>One World Trade Centre<br>New York<br>United States Of America |  | Address<br><br><br><br>UK Postcode      |  |   |  |  |
|                 | Shares held<br>Class<br>Ordinary  |  | Shares held<br>Class<br>ORDINARY        |  |   |  |  |
|                 | Number<br>10241   |  | Number<br>8473                          |  | Class<br>ORDINARY   |  |  |
|                 |   |  |   |  | Number<br>1768 28/09/2000                                   |  |  |
|                 |   |  |   |  |   |  |  |

**Section 5: Details of Other Shareholders**

- > Please fill in details of any persons or corporate bodies who are shareholders of the company at the date of this return, but whose details are not printed in Section 4.
- > Also, provide the details of any persons who became but have ceased to be shareholders of the company since the date of the last annual return.
- > For jointly held shares please list those joint shareholders consecutively on the form. If a joint shareholder also holds shares in their own right, list that holding separately.
- > Please copy this page if there is not enough space to enter all the company's other shareholders.

| Shareholders details   | Class and number of shares or amount of stock held  | Class and number of shares or amount of stock transferred (If appropriate)                         | Date of registration of transfer (If appropriate) |
|--|---|--|---|
| Name <u>CF GILTS HOLDING, LLC</u><br>Address<br><u>ONE WORLD TRADE CENTER</u><br><u>NEW YORK</u><br><u>NY 10048</u><br>UK Postcode - - - - - | ORDINARY<br>10,241                                  | ORDINARY<br>8473<br>(TRANSFERRED TO CFI)<br><hr/> ORDINARY<br>1768<br>(TRANSFERRED TO CFI HLP LLC) | 28.09.00<br><br><br><br><br>28.09.00              |
| Name<br><u>CFI</u><br>Address<br><u>ONE WORLD TRADE CENTER</u><br><u>NEW YORK</u><br><u>NY 10048</u><br>UK Postcode - - - - -                | ORDINARY/<br>263,332<br>(INCLUDING 8473 ABOVE)      | ORDINARY<br>263,332<br>(TRANSFERRED TO CFI HLP)  | 31.10.00  |
| Name<br><u>CFI HLP, LLC</u><br>Address<br><u>ONE WORLD TRADE CENTER</u><br><u>NEW YORK</u><br><u>NY 10048</u><br>UK Postcode - - - - -       | ORDINARY<br>118,068<br>(INCLUDING 1768 ABOVE)       |  |   |
| Name<br><u>CFI HLP</u><br>Address<br><u>ONE WORLD TRADE CENTER</u><br><u>NEW YORK</u><br><u>NY 10048</u><br>UK Postcode - - - - -            | ORDINARY<br>17,505,173<br>(INCLUDING 263,332 ABOVE) |  |   |



Companies House

— for the record —

## 363s Annual Return Declaration

- > When you have checked all the sections of this form, please complete this page and sign the declaration below.
- > If you want to change the made up date of this annual return, please complete 2 below.

### 1. Declaration

- ☐ I confirm that the details in this annual return are correct as at the made-up-date (shown at 2 below). I enclose the filing fee of £15.

Signature

*[Handwritten Signature]*  
(Director / Secretary)

Date

03 / 05 / 2001

*This date must not be earlier than the return date at 2 below*

#### What to do now

Complete this page then send the whole of the Annual Return and the declaration to the address shown at 4 below.

### 2. Date of this return

- ☐ This AR is made up to 4/2/2001
- If you are making this return up to an earlier date, please give the date here

— / — / —

*Note: The form must be delivered to CH within 28 days of this date*

### 3. Date of next return

- ☐ If you wish to change your next return to a date earlier than 4th February 2002 please give the new date here:

— / — / —

### 4. Where to send this form

- ☒ Please return this form to:

Registrar of Companies  
Companies House  
Crown Way  
Cardiff CF14 3UZ

OR

For members of the Hays Document  
Exchange service  
DX 33050 Cardiff

**Have you enclosed the filing fee with the company number written on the reverse of the cheque?**

Cheque ☒ Postal Order ☐ Cheque / Postal Order  
Number

*(Please complete as appropriate)*

### Contact Address

Please give the name and address of the person who should be contacted if there are any queries about this form.

Contact Name

M DOWNIE

Telephone number inc code

0207 8948557

Address

CANTOR FITZGERALD

DX number if applicable

ONE AMERICA SQUARE

DX exchange

LONDON

Postcode

EC3N 2LS