



Companies House

— for the record —

Company Name

CANTOR FITZGERALD GILTS

## 363s Annual Return

- > 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.

Company Type

Private Company Unlimited With  
Share Capital

Company Number

2505767

Information extracted from  
Companies House records on  
20th January 2000

### Section 1: Company details



A34  
COMPANIES HOUSE

\*AUMTCOGZ\*  
0298  
02/03/00

Ref: 2505767/03/10

	Current details	Amended details																								
> Registered Office Address <i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>	<b>One America Square</b> <b>London</b> <b>EC3N 2LS</b>	Address _____ _____ _____ UK Postcode    _ _ _ _ _																								
> Register of Members <i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>	<b>Address where the Register is held</b>  <b>At Registered Office</b>	Address _____ _____ _____ UK Postcode    _ _ _ _ _																								
> Register of Debenture Holders <i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>	<b>Not Applicable</b>	Address _____ _____ _____ UK Postcode    _ _ _ _ _																								
> Principal Business Activities <i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>	<table border="1"> <thead> <tr> <th>SIC Code</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>6523</td> <td>Other financial intermediation</td> </tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>	SIC Code	Description	6523	Other financial intermediation									<table border="1"> <thead> <tr> <th>SIC CODE</th> <th>Description</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>	SIC CODE	Description										
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> <i>If no entries are shown, please enter principal activity code(s) in "Amended details" column. See notes for guidance for list of activity codes.</i>																										

	Current details	Amended details
<p><b>&gt; Company Secretary</b>  <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i></p> <p><i>Particulars of a new Company Secretary must be notified on form 288.</i></p>	<p><b>Name</b>  <b>Robert Pearce FALKNER</b></p> <p><b>Address</b>  <b>6 Thornhill Grove</b>  <b>London</b>  <b>N1 1JG</b></p>	<p><b>Name</b>          _____</p> <p><b>Address</b>          _____          _____          _____</p> <p><b>UK Postcode</b>    _ _ _ _ _</p> <p><b>Date of change</b>    _ _ / _ _ / _ _ _ _</p> <p><b>Date Robert Pearce FALKNER ceased to be secretary (if applicable)</b>                                       _ _ / _ _ / _ _ _ _</p>
<p><b>&gt; Director</b>  <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i></p> <p><i>Particulars of a new Director must be notified on form 288.</i></p>	<p><b>Name</b>  <b>Lee Martin AMAITIS</b></p> <p><b>Address</b>  <b>56 Chelsea Tower</b>  <b>West Chelsea Manor Gardens</b>  <b>London</b>  <b>SW3 5PN</b></p> <p><b>Date of birth</b>    19/12/1949</p> <p><b>Nationality</b>    American</p> <p><b>Occupation</b>    Senior Managing Director</p>	<p><b>Name</b>          _____</p> <p><b>Address</b>          _____          _____          _____</p> <p><b>UK Postcode</b>    _ _ _ _ _</p> <p><b>Date of birth</b>    _ _ / _ _ / _ _ _ _</p> <p><b>Nationality</b>    _____</p> <p><b>Occupation</b>    _____</p> <p><b>Date of change</b>    _ _ / _ _ / _ _ _ _</p> <p><b>Date Lee Martin AMAITIS ceased to be director (if applicable)</b>                                       _ _ / _ _ / _ _ _ _</p>
<p><b>&gt; Director</b>  <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i></p> <p><i>Particulars of a new Director must be notified on form 288.</i></p>	<p><b>Name</b>  <b>Andrew ANDREOU</b></p> <p><b>Address</b>  <b>46 Meadway</b>  <b>Hampstead Gardens Suberb</b>  <b>London</b>  <b>NW11 6PR</b></p> <p><b>Date of birth</b>    20/03/1959</p> <p><b>Nationality</b>    British</p> <p><b>Occupation</b>    Chief Administrative Officer</p>	<p><b>Name</b>          _____</p> <p><b>Address</b>          _____          _____          _____</p> <p><b>UK Postcode</b>    _ _ _ _ _</p> <p><b>Date of birth</b>    _ _ / _ _ / _ _ _ _</p> <p><b>Nationality</b>    _____</p> <p><b>Occupation</b>    _____</p> <p><b>Date of change</b>    _ _ / _ _ / _ _ _ _</p> <p><b>Date Andrew ANDREOU ceased to be director (if applicable)</b>                                       _ _ / _ _ / _ _ _ _</p>

	Current details	Amended details
<b>&gt; Director</b> <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>  <i>Particulars of a new Director must be notified on form 288.</i>	<b>Name</b> <b>Robert Pearce FALKNER</b>  <b>Address</b> <b>6 Thornhill Grove</b> <b>London</b> <b>N1 1JG</b>  <b>Date of birth</b> 11/08/1959  <b>Nationality</b> New Zealander  <b>Occupation</b> General Counsel	<b>Name</b> ✓  <b>Address</b>    <b>UK Postcode</b> _ _ _ _ _ <b>Date of birth</b> _ _ / _ _ / _ _ _ _ <b>Nationality</b> _____ <b>Occupation</b> _____ <b>Date of change</b> _ _ / _ _ / _ _ _ _ <b>Date</b> Robert Pearce FALKNER ceased to be director (if applicable) _ _ / _ _ / _ _ _ _
<b>&gt; Director</b> <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>  <i>Particulars of a new Director must be notified on form 288.</i>	<b>Name</b> <b>Douglas Benjamin GARDNER</b>  <b>Address</b> <b>75 Central Park West</b> <b>No 2B</b> <b>New York</b> <b>Ny</b> <b>U.S.A</b> <b>10023</b>  <b>Date of birth</b> 05/10/1961  <b>Nationality</b> American  <b>Occupation</b> Chief Administrative Officer	<b>Name</b> ✓  <b>Address</b>    <b>UK Postcode</b> _ _ _ _ _ <b>Date of birth</b> _ _ / _ _ / _ _ _ _ <b>Nationality</b> _____ <b>Occupation</b> _____ <b>Date of change</b> _ _ / _ _ / _ _ _ _ <b>Date</b> Douglas Benjamin GARDNER ceased to be director (if applicable) _ _ / _ _ / _ _ _ _
<b>&gt; Director</b> <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>  <i>Particulars of a new Director must be notified on form 288.</i>	<b>Name</b> <b>Mark HANNEY</b>  <b>Address</b> <b>9 Kingsdown Road</b> <b>Epsom</b> <b>Surrey</b> <b>KT17 3PU</b>  <b>Date of birth</b> 27/09/1968  <b>Nationality</b> British  <b>Occupation</b> Accountant	<b>Name</b> ✓  <b>Address</b>    <b>UK Postcode</b> _ _ _ _ _ <b>Date of birth</b> _ _ / _ _ / _ _ _ _ <b>Nationality</b> _____ <b>Occupation</b> _____ <b>Date of change</b> _ _ / _ _ / _ _ _ _ <b>Date</b> Mark HANNEY ceased to be director (if applicable) _ _ / _ _ / _ _ _ _

	Current details	Amended details
<b>&gt; Director</b> <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>  <i>Particulars of a new Director must be notified on form 288.</i>	<b>Name</b> Howard LUTNICK  <b>Address</b> 200 East 69TH Street Apartment 32A New York New York State Usa 10021  <b>Date of birth</b> 14/06/1961  <b>Nationality</b> American  <b>Occupation</b> Executive Manager	<b>Name</b> _____  <b>Address</b> _____ _____ _____  <b>UK Postcode</b> _ _ _ _ _ <b>Date of birth</b> _ _ / _ _ / _ _ _ _ <b>Nationality</b> _____ <b>Occupation</b> _____ <b>Date of change</b> _ _ / _ _ / _ _ _ _ <b>Date</b> Howard LUTNICK ceased to be director (if applicable) _ _ / _ _ / _ _ _ _
<b>&gt; Director</b> <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>  <i>Particulars of a new Director must be notified on form 288.</i>	<b>Name</b> Stephen MERKEL  <b>Address</b> 61 Jane Street Apartment 19K New York New York U.S.A. NY10014  <b>Date of birth</b> 22/06/1958  <b>Nationality</b> American  <b>Occupation</b> General Counsel/Senior Vice Pr	<b>Name</b> _____  <b>Address</b> _____ _____ _____  <b>UK Postcode</b> _ _ _ _ _ <b>Date of birth</b> _ _ / _ _ / _ _ _ _ <b>Nationality</b> _____ <b>Occupation</b> _____ <b>Date of change</b> _ _ / _ _ / _ _ _ _ <b>Date</b> Stephen MERKEL ceased to be director (if applicable) _ _ / _ _ / _ _ _ _
<b>&gt; Director</b> <i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>  <i>Particulars of a new Director must be notified on form 288.</i>	<b>Name</b> Clive TRIANCE  <b>Address</b> 48 Primrose Drive Kingsnorth Ashford Kent TN23 3NP  <b>Date of birth</b> 19/01/1967  <b>Nationality</b> British  <b>Occupation</b> Head Of Settlements	<b>Name</b> _____  <b>Address</b> _____ _____ _____  <b>UK Postcode</b> _ _ _ _ _ <b>Date of birth</b> _ _ / _ _ / _ _ _ _ <b>Nationality</b> _____ <b>Occupation</b> _____ <b>Date of change</b> _ _ / _ _ / _ _ _ _ <b>Date</b> Clive TRIANCE ceased to be director (if applicable) _ _ / _ _ / _ _ _ _

## Section 3: Share Capital

	Current details	Amended details
<b>&gt; Issued Share Capital</b> <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> <b>Ordinary</b> <b>Nominal value of each share</b> <b>£1.00</b> <b>Number of shares issued</b> <b>2,500,000</b> <b>Aggregate Nominal Value of issued shares</b> <b>£2,500,000.00</b>	<b>Class of share</b>  <b>Nominal value of each share</b>  <b>Number of shares issued</b> <u>2 65 000</u> <b>Aggregate Nominal Value of issued shares</b> <u>£ 2 65 0 0 0</u>
<b>&gt; Total shares issued and value</b> <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> <b>2,500,000</b> <b>Total Nominal value of shares issued</b> <b>£2,500,000.00</b>	<b>Total number of shares issued</b> <u>2 65 000</u> <b>Total Nominal value of shares issued</b> <u>£ 2 65, 0 0 0</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		
<b>&gt; Shareholder Name</b> <b>CANTOR FITZGERALD INTERNATIONAL</b>		<b>Name</b>  			
<b>Address</b> <b>Park House</b> <b>16 Finsbury Circus London</b> <b>EC2M 7DJ</b>		<b>Address</b> <b>ONE AMERICA SQUARE</b> <b>LONDON E</b>			
		<b>UK Postcode</b> <b>EC3N 2LS</b>			
<b>Shares held</b> <b>Class</b> <b>Ordinary</b>	<b>Number</b> <b>2475000</b>	<b>Shares held</b> <b>Class</b> <b>254,759 ORDINARY</b>	<b>Class</b>  	<b>Number</b>  	<b>Date of transfer</b>  
<b>&gt; Shareholder Name</b> <b>C.F. PARTNERS INC.</b>		<b>Name</b> <b>CF PARTNERS INC</b>			
<b>Address</b> <b>One World Trade Centre</b> <b>New York</b> <b>United States Of America</b>		<b>Address</b>  			
		<b>UK Postcode</b> <b>_____</b>			
<b>Shares held</b> <b>Class</b> <b>Ordinary</b>	<b>Number</b> <b>25000</b>	<b>Shares held</b> <b>Class</b> <b>10,241 - ORDINARY</b>	<b>Class</b> <b>ORDINARY</b>	<b>Number</b> <b>10241</b>	<b>Date of transfer</b> <b>08/11/1999</b>
		<b>(CAPITAL REDUCED FROM 25,000 TO 10,241 ON 20.08.99)</b>			

**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 HOLDINGS LLC</u> Address <u>ONE WORLD TRADE</u> <u>CENTER NEW YORK NY 10008</u> UK Postcode    _ _ _ _ _	ORDINARY 10,241		
Name _____ Address _____ _____ _____ UK Postcode    _ _ _ _ _			
Name _____ Address _____ _____ _____ UK Postcode    _ _ _ _ _			
Name _____ Address _____ _____ _____ UK Postcode    _ _ _ _ _			



Companies House

— for the record —

# 363s Annual Return Declaration

- > When you have checked all the sections of this form, please complete this page and tick 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

(Director / Secretary)

Date

28 / 02 / 2000

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

### What to do now

Please detach and retain the covering letter, 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 4/2/2000 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 2001** 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

**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

RM SNELLING

Telephone number inc code

0171 8947000

Address

ONE AMERICA SQUARE

DX number if applicable

LONDON

DX exchange

Postcode

EC3N 2LS