## Edgar Filing: Cantor Richard - Form 4

Check this box Washington, D.C. 20549 Nu   Check this box if no longer Ex   subject to STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Ex   Section 16. SECURITIES but								OMB Number: Expires: Estimated a burden hour response	•		
(Print or Type Res	sponses)										
Cantor Richard Sym			Symbol	r Name <b>and</b> YS CORI			C	5. Relationship of Reporting Person(s) to Issuer			
(Last)	(First)	(Middle)		f Earliest Tı	-			(Check	c all applicable)	)	
(Month/I 7 WORLD TRADE CENTER, 250 02/25/2 GREENWICH STREET			th/Day/Year) 5/2019				Director 10% Owner X Officer (give title Other (specify below) below) Chief Risk Officer				
			endment, Date Original onth/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person				
NEW YORK, NY 10007 Form filed by More than O Person							ore than One Rep	porting			
(City)	(State)	(Zip)	Tabl	le I - Non-E	Derivative	Secur	rities Acqu	iired, Disposed of,	or Beneficiall	y Owned	
	. Transaction Da Month/Day/Year	) Execution any		3. Transactic Code (Instr. 8) Code V	(Instr. 3,	spose	d of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
Common 0 Stock 0	2/25/2019			А	5,099 (1)	А	\$ 173.58	57,571	D		
Common Stock								0.3496 <u>(2)</u>	I	401-K	

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	4. Transacti Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Tit Amou Unde Secur (Instr	int of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

## **Reporting Owners**

<b>Reporting Owner Name / Address</b>	Relationships							
1	Director	10% Owner	Officer	Other				
Cantor Richard 7 WORLD TRADE CENTER 250 GREENWICH STREET NEW YORK, NY 10007			Chief Risk Officer					
Signatures								
Elizabeth McCarroll, by power Cantor	of attorne	ey for Richa	rd 02/27/2	2019				

\*\*Signature of Reporting Person

## **Explanation of Responses:**

- If the form is filed by more than one reporting person, *see* Instruction 4(b)(v). \*
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Exempt grant of restricted stock units.
- (2) As of the last statement dated December 31, 2018.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

Date