

The Securities and Exchange Commission has not necessarily reviewed the information in this filing and has not determined if it is accurate and complete.

The reader should not assume that the information is accurate and complete.

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
Washington, D.C. 20549  
**FORM 13F**

OMB APPROVAL

OMB Number: 3235-0006  
Expires: July 31, 2015  
Estimated average burden  
hours per response: 23.8

**FORM 13F COVER PAGE**

Report for the Calendar Year or Quarter Ended: 06-30-2018

Check here if Amendment  Amendment Number:

This Amendment (Check only one.):  is a restatement.

adds new holdings entries.

**Institutional Investment Manager Filing this Report:**

Name: B. Riley Financial, Inc.  
Address: 21255 Burbank Blvd.  
Suite 400  
Woodland Hills, CA 91367

Form 13F File Number: 028-17148

The institutional investment manager filing this report and the person by whom it is signed hereby represent that the person signing the report is authorized to submit it, that all information contained herein is true, correct and complete, and that it is understood that all required items, statements, schedules, lists, and tables, are considered integral parts of this form.

Person Signing this Report on Behalf of Reporting Manager:

Name: Michael Markunas  
Title: Chief Compliance Officer  
Phone: 310-689-2220

**Signature, Place, and Date of Signing:**

/s/ Michael Markunas Los Angeles, CA 08-14-2018  
[Signature] [City, State] [Date]

**Report Type (Check only one.):**

- 13F HOLDINGS REPORT. (Check here if all holdings of this reporting manager are reported in this report.)  
 13F NOTICE. (Check here if no holdings reported are in this report, and all holdings are reported by other reporting manager(s).)  
 13F COMBINATION REPORT. (Check here if a portion of the holdings for this reporting manager are reported in this report and a portion are reported by other reporting manager(s).)

**List of Other Managers Reporting for this Manager:**  
[If there are no entries in this list, omit this section.]

Form 13F File Number	Name
028-03991	FIDUCIARY FINANCIAL SERVICES OF THE SOUTHWEST INC /TX

**Form 13F Summary Page**

**Report Summary:**

Number of Other Included Managers: 2  
Form 13F Information Table Entry Total: 408  
Form 13F Information Table Value Total: 381,561  
(thousands)

**List of Other Included Managers:**

Provide a numbered list of the name(s) and Form 13F file number(s) of all institutional investment managers with respect to which this report is filed, other than the manager filing this report.

[If there are no entries in this list, state "NONE" and omit the column headings and list entries.]

No.	Form 13F File Number	Name
1	028-17147	B. RILEY CAPITAL MANAGEMENT, LLC
2	028-16196	B. Riley Wealth Management, Inc.

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**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
 Washington, D.C. 20549  
**FORM 13F**

OMB APPROVAL	
OMB Number:	3235-0006
Expires:	July 31, 2015
Estimated average burden hours per response:	23.8

**FORM 13F INFORMATION TABLE**

COLUMN 1	COLUMN 2	COLUMN 3	COLUMN 4	COLUMN 5	COLUMN 6	COLUMN 7	COLUMN 8				
NAME OF ISSUER	TITLE OF CLASS	CUSIP	VALUE (x\$1000)	SHRS OR PRN AMT	SH/ CALL	PUT/ DISCRETION	INVESTMENT MANAGER	OTHER	VOTING AUTHORITY		
									SOLE	SHARED	NONE
ALPS ETF TR	ALERIAN MLP	00162Q866	99	9,766	SH	DFND	1		9,766	0	0
ALPS ETF TR	ALERIAN MLP	00162Q866	185	18,051	SH	DFND	2		0	0	18,051
AT&T INC	COM	00206R102	122	3,808	SH	DFND	1		3,808	0	0
AT&T INC	COM	00206R102	290	8,935	SH	DFND	2		0	0	8,935
A10 NETWORKS INC	COM	002121101	467	75,000	SH	DFND			75,000	0	0
ARK ETF TR	INNOVATION ETF	00214Q104	819	17,432	SH	DFND	2		0	0	17,432
ABBOTT LABS	COM	002824100	52	853	SH	DFND	1		853	0	0
ABBOTT LABS	COM	002824100	233	3,706	SH	DFND	2		0	0	3,706
ABBVIE INC	COM	00287Y109	79	853	SH	DFND	1		853	0	0
ABBVIE INC	COM	00287Y109	360	3,643	SH	DFND	2		0	0	3,643
AEHR TEST SYSTEMS	COM	00760J108	411	175,000	SH	DFND	1		175,000	0	0
ADVISORSHARES TR	ADVISORSHS ETF	00768Y206	252	4,663	SH	DFND	2		0	0	4,663
AEGEAN MARINE PETE NETWORK I	NOTE 4.250%12/1	00773VAB2	255	750,000	PRN	DFND			750,000	0	0
ALIBABA GROUP HLDG LTD	SPONSORED ADS	01609W102	112	605	SH	DFND	1		605	0	0
ALIBABA GROUP HLDG LTD	SPONSORED ADS	01609W102	292	1,516	SH	DFND	2		0	0	1,516
ALPHABET INC	CAP STK CL C	02079K107	188	163	SH	DFND	2		0	0	163
ALPHABET INC	CAP STK CL C	02079K107	195	175	SH	DFND	1		175	0	0
ALPHABET INC	CAP STK CL A	02079K305	34	30	SH	DFND	1		30	0	0
ALPHABET INC	CAP STK CL A	02079K305	840	720	SH	DFND	2		0	0	720
ALTRIA GROUP INC	COM	02209S103	43	750	SH	DFND	1		750	0	0
ALTRIA GROUP INC	COM	02209S103	237	4,041	SH	DFND	2		0	0	4,041
AMAZON COM INC	COM	023135106	184	108	SH	DFND	1		108	0	0
AMAZON COM INC	COM	023135106	2,860	1,641	SH	DFND	2		0	0	1,641
AMYRIS INC	COM NEW	03236M200	27	4,000	SH	DFND	2		0	0	4,000
AMYRIS INC	COM NEW	03236M200	481	320,240	SH	DFND	1		320,240	0	0
APOLLO INVT CORP	COM	03761U106	269	48,206	SH	DFND	1		48,206	0	0
APOLLO SR FLOATING RATE FDI	COM	037636107	734	44,973	SH	DFND	1		44,973	0	0

APOLLO TACTICAL INCOME FD IN	COM	037638103	407	26,082	SH	DFND	1	26,082	0	0
APPLE INC	COM	037833100	1,727	9,331	SH	DFND	1	9,331	0	0
APPLE INC	COM	037833100	2,085	10,954	SH	DFND	2	0	0	10,954
ARCHROCK INC	COM	03957W106	404	310,038	SH	DFND	1	310,038	0	0
ARES CAP CORP	COM	04010L103	17	1,000	SH	DFND	2	0	0	1,000
ARES CAP CORP	COM	04010L103	1,264	76,833	SH	DFND	1	76,833	0	0
ARES DYNAMIC CR ALLOCATION F	COM	04014F102	233	14,489	SH	DFND	1	14,489	0	0
AROTECH CORP	COM NEW	042682203	400	336,582	SH	DFND	1	336,582	0	0
BBX CAP CORP NEW	CL A	05491N104	744	82,400	SH	DFND		82,400	0	0
BRT APARTMENTS CORP	COM	055645303	722	56,616	SH	DFND	1	56,616	0	0
BABCOCK & WILCOX ENTERPRIS I	COM	05614L100	3,690	1,550,276	SH	DFND	1	1,550,276	0	0
BABCOCK & WILCOX ENTERPRIS I	COM	05614L100	23,188	9,742,915	SH	DFND		9,742,915	0	0
BERKSHIRE HATHAWAY INC DEL	CL A	084670108	282	1	SH	DFND	1	1	0	0
BERKSHIRE HATHAWAY INC DEL	CL B NEW	084670702	204	1,075	SH	DFND	2	0	0	1,075
BERKSHIRE HATHAWAY INC DEL	CL B NEW	084670702	485	2,600	SH	DFND	1	2,600	0	0
BLACKSTONE GSO FLTING RTE FU	COM	09256U105	180	10,000	SH	DFND	1	10,000	0	0
BOEING CO	COM	097023105	398	1,146	SH	DFND	2	0	0	1,146
BROOKFIELD REAL ASSETS INCOM	SHS BEN INT	112830104	238	10,479	SH	DFND	1	10,479	0	0
CANADIAN SOLAR INC	NOTE 4.250% 2/1	136635AE9	46	48,000	PRN	DFND		48,000	0	0
CATERPILLAR INC DEL	COM	149123101	270	1,908	SH	DFND	2	0	0	1,908
CENTURY CMNTYS INC	COM	156504300	407	310,457	SH	DFND	1	310,457	0	0
CHENIERE ENERGY INC	NOTE 4.250% 3/1	16411RAG4	8	10,000	PRN	DFND		10,000	0	0
CHEVRON CORP NEW	COM	166764100	67	526	SH	DFND	1	526	0	0
CHEVRON CORP NEW	COM	166764100	394	3,090	SH	DFND	2	0	0	3,090
CHILDRENS PL INC	COM	168905107	28	235	SH	DFND	2	0	0	235
CHILDRENS PL INC	COM	168905107	362	299,022	SH	DFND	1	299,022	0	0
CISCO SYS INC	COM	17275R102	83	1,940	SH	DFND	1	1,940	0	0
CISCO SYS INC	COM	17275R102	418	9,743	SH	DFND	2	0	0	9,743
COCA COLA CO	COM	191216100	18	400	SH	DFND	1	400	0	0
COCA COLA CO	COM	191216100	212	4,709	SH	DFND	2	0	0	4,709
COHEN & STEERS LTD DUR PFD I	COM	19248C105	850	33,256	SH	DFND	1	33,256	0	0
COHU INC	COM	192576106	577	482,520	SH	DFND	1	482,520	0	0
COMSTOCK RES INC	NOTE 7.750% 4/0	205768AM6	383	390,679	PRN	DFND		390,679	0	0

COSTCO WHSL CORP NEW	COM	22160K105	120	565	SH	DFND	2	0	0	565
COSTCO WHSL CORP NEW	COM	22160K105	279	1,335	SH	DFND	1	1,335	0	0
CUMMINS INC	COM	231021106	241	1,760	SH	DFND	2	0	0	1,760
DIGITAL TURBINE INC	COM NEW	25400W102	16	10,850	SH	DFND		10,850	0	0
DISNEY WALT CO	COM DISNEY	254687106	202	1,908	SH	DFND	2	0	0	1,908
DISNEY WALT CO	COM DISNEY	254687106	241	2,298	SH	DFND	1	2,298	0	0
DOUBLELINE INCOME SOLUTIONS	COM	258622109	19	930	SH	DFND	2	0	0	930
DOUBLELINE INCOME SOLUTIONS	COM	258622109	1,577	78,889	SH	DFND	1	78,889	0	0
DOWDUPONT INC	COM	26078J100	369	5,441	SH	DFND	2	0	0	5,441
DYCOM INDS INC	COM	267475101	380	298,373	SH	DFND	1	298,373	0	0
ECO STIM ENERGY SOLUTIONS IN	COM	27888D101	126	193,787	SH	DFND		193,787	0	0
EMERSON ELEC CO	COM	291011104	214	3,010	SH	DFND	2	0	0	3,010
EMERGE ENERGY SVCS LP	COM REP PARTN	29102H108	156	21,000	SH	DFND	2	0	0	21,000
ENTERPRISE PRODS PARTNERS L	COM	293792107	31	1,116	SH	DFND	1	1,116	0	0
ENTERPRISE PRODS PARTNERS L	COM	293792107	378	13,450	SH	DFND	2	0	0	13,450
EVERSPIN TECHNOLOGIES INC	COM	30041T104	535	60,000	SH	DFND	1	60,000	0	0
EXXON MOBIL CORP	COM	30231G102	43	517	SH	DFND	1	517	0	0
EXXON MOBIL CORP	COM	30231G102	227	2,719	SH	DFND	2	0	0	2,719
FACEBOOK INC	CL A	30303M102	620	3,191	SH	DFND	1	3,191	0	0
FACEBOOK INC	CL A	30303M102	1,213	5,958	SH	DFND	2	0	0	5,958
FINJAN HLDGS INC	COM NEW	31788H303	3,475	1,021,912	SH	DFND	1	1,021,912	0	0
FINTECH ACQUISITION CORP II	COM	31810G109	1,000	100,000	SH	DFND	1	100,000	0	0
FIRST TR EXCHANGE TRADED FD	DJ INTERNT IDX	33733E302	1,188	8,328	SH	DFND	2	0	0	8,328
FIRST TR EXCHANGE TRADED FD	TECH ALPHADEX	33734X176	975	16,680	SH	DFND	2	0	0	16,680
FIRST TR MID CAP CORE ALPHAD	COM SHS	33735B108	209	2,971	SH	DFND	2	0	0	2,971
FIRST TR EXCNGE TRD ALPHADEX	SML CP GRW ALP	33737M300	1,133	22,658	SH	DFND	2	0	0	22,658
FIRST TR EXCHANGE TRADED FD	RISNG DIVD ACHIV	33738R506	2,149	70,251	SH	DFND	2	0	0	70,251
FIRST TR EXCHANGE TRADED FD	DORSEY WRIGHT	33738R878	832	29,315	SH	DFND	2	0	0	29,315
FIRST TR EXCHANGE-TRADED FD	PFD SECS INC ETF	33739E108	455	23,700	SH	DFND	2	0	0	23,700
FIRST TR EXCH TRADED FD III	RIVRFRNT DYN EUR	33739P806	635	9,851	SH	DFND	2	0	0	9,851
FIRST TR EXCH TRADED FD III	INSTL PFD SECS	33739P855	805	42,200	SH	DFND	2	0	0	42,200
FIRST TR SR FLOATING RATE 20	COM SHS	33740K101	137	14,733	SH	DFND	2	0	0	14,733

FLOTEK INDS INC DEL	COM	343389102	113	35,000	SH	DFND		35,000	0	0
FORTRESS TRANS INFRST INVS L	COM REP LTD LIAB	34960P101	205	10,900	SH	DFND	2	0	0	10,900
GSV CAP CORP	COM	36191J101	32	4,600	SH	DFND	1	4,600	0	0
GSV CAP CORP	COM	36191J101	55	7,875	SH	DFND	2	0	0	7,875
GARRISON CAP INC	COM	366554103	19	2,300	SH	DFND	2	0	0	2,300
GARRISON CAP INC	COM	366554103	387	47,568	SH	DFND	1	47,568	0	0
GASTAR EXPL INC NEW	COM	36729W202	11	20,000	SH	DFND	2	0	0	20,000
GENERAL ELECTRIC CO	COM	369604103	51	3,780	SH	DFND	1	3,780	0	0
GENERAL ELECTRIC CO	COM	369604103	230	16,204	SH	DFND	2	0	0	16,204
GENTHERM INC	COM	37253A103	252	151,731	SH	DFND	1	151,731	0	0
GLOBAL MED REIT INC	COM NEW	37954A204	204	23,034	SH	DFND	2	0	0	23,034
GOLDMAN SACHS MLP INC OPP FD	COM SHS	38147W103	712	78,935	SH	DFND	1	78,935	0	0
GOPRO INC	NOTE 3.500% 4/1	38268TAB9	46	50,000	PRN	DFND		50,000	0	0
GORDON POINTE ACQUISITION CO	COM CLASS A	382788107	1,215	125,000	SH	DFND	1	125,000	0	0
GORES HLDGS II INC	COM CL A	382867109	1,523	150,000	SH	DFND	1	150,000	0	0
GORES HLDGS II INC	*W EXP 01/13/202	382867117	56	35,000	SH	DFND	1	35,000	0	0
GROUPON INC	COM	399473107	376	340,113	SH	DFND	1	340,113	0	0
HC2 HLDGS INC	COM	404139107	4,140	707,734	SH	DFND		707,734	0	0
HC2 HLDGS INC	COM	404139107	6,432	1,493,350	SH	DFND	1	1,493,350	0	0
HP INC	COM	40434L105	1,521	67,048	SH	DFND	1	67,048	0	0
HANNON ARMSTRONG SUST INFR C	COM	41068X100	433	314,718	SH	DFND	1	314,718	0	0
HEALTH INS INNOVATIONS INC	COM CL A	42225K106	24	700	SH	DFND	2	0	0	700
HEALTH INS INNOVATIONS INC	COM CL A	42225K106	1,764	54,542	SH	DFND		54,542	0	0
HEALTH INS INNOVATIONS INC	COM CL A	42225K106	6,199	191,620	SH	DFND	1	191,620	0	0
HENRY JACK & ASSOC INC	COM	426281101	16	122	SH	DFND	1	122	0	0
HENRY JACK & ASSOC INC	COM	426281101	501	3,730	SH	DFND	2	0	0	3,730
HEWLETT PACKARD ENTERPRISE C	COM	42824C109	4	241	SH	DFND	2	0	0	241
HEWLETT PACKARD ENTERPRISE C	COM	42824C109	336	22,982	SH	DFND	1	22,982	0	0
HI-CRUSH PARTNERS LP	COM UNIT LTD	428337109	107	8,800	SH	DFND	2	0	0	8,800
HI-CRUSH PARTNERS LP	COM UNIT LTD	428337109	332	287,458	SH	DFND	1	287,458	0	0
HOME DEPOT INC	COM	437076102	265	1,360	SH	DFND	1	1,360	0	0
HOME DEPOT INC	COM	437076102	272	1,376	SH	DFND	2	0	0	1,376

HORMEL FOODS CORP	COM	440452100	394	10,544	SH		DFND	2	0	0	10,544
HORNBECK OFFSHORE SVCS INC N	NOTE 1.500% 9/0	440543AN6	21	25,000	PRN		DFND		25,000	0	0
HUDSON GLOBAL INC	COM	443787106	125	76,928	SH		DFND		76,928	0	0
ILLINOIS TOOL WKS INC	COM	452308109	488	3,385	SH		DFND	2	0	0	3,385
IMAX CORP	COM	45245E109	23	1,000	SH		DFND	2	0	0	1,000
IMAX CORP	COM	45245E109	219	151,704	SH		DFND	1	151,704	0	0
IMMUNOMEDICS INC	COM	452907108	353	287,091	SH		DFND	1	287,091	0	0
INDEXIQ ETF TR	IQ MRGR ARB ETF	45409B800	284	9,152	SH		DFND	2	0	0	9,152
INDUSTRIAL LOGISTICS PPTYS T	COM SHS BEN INT	456237106	401	301,592	SH		DFND	1	301,592	0	0
INSEEGO CORP	NOTE 5.500% 6/1	45782BAA2	21	25,000	PRN		DFND		25,000	0	0
INTEL CORP	COM	458140100	20	400	SH		DFND	1	400	0	0
INTEL CORP	COM	458140100	332	6,360	SH		DFND	2	0	0	6,360
INTERNATIONAL BUSINESS MACHS	COM	459200101	233	1,610	SH		DFND	2	0	0	1,610
INTERNATIONAL BUSINESS MACHS	COM	459200101	699	5,000	SH		DFND	1	5,000	0	0
INVESCO QQQ TR	UNIT SER 1	46090E103	213	1,201	SH		DFND	2	0	0	1,201
INVESCO QQQ TR	UNIT SER 1	46090E103	1,282	7,470	SH		DFND	1	7,470	0	0
INVESCO QQQ TR	UNIT SER 1	46090E103	25,748	150,000	SH	Put	DFND	1	150,000	0	0
INVESCO ACTIVELY MANAGD ETF	OPTIMUM YIELD	46090F100	510	27,806	SH		DFND	2	0	0	27,806
INVESCO EXCHANGE TRADED FD T	S&P500 EQL WGT	46137V357	2,895	27,727	SH		DFND	2	0	0	27,727
INVESCO EXCHANGE TRADED FD T	HIG YLD EQ DIV	46137V563	528	29,346	SH		DFND	2	0	0	29,346
INVESCO EXCHANGE TRADED FD T	DYNMC BIOTECH	46137V787	334	6,102	SH		DFND	1	6,102	0	0
INVESCO EXCHANGE TRADED FD T	DWA MOMENTUM	46137V837	416	7,350	SH		DFND	2	0	0	7,350
INVESCO DB COMMDY INDX TRCK	UNIT	46138B103	181	10,358	SH		DFND	2	0	0	10,358
INVESCO EXCHNG TRADED FD TR	PFD ETF	46138E511	876	60,149	SH		DFND	1	60,149	0	0
INVESCO EXCHNG TRADED FD TR	DWA EMERG MKTS	46138E867	465	23,265	SH		DFND	2	0	0	23,265
INVESCO DB MLTI SECTR CMMTY	ENERGY FD	46140H304	189	11,048	SH		DFND	2	0	0	11,048
INVESCO DB MLTI SECTR CMMTY	OIL FD	46140H403	220	17,564	SH		DFND	2	0	0	17,564
ISHARES INC	MSCI BRAZIL ETF	464286400	10	300	SH		DFND	2	0	0	300
ISHARES INC	MSCI BRAZIL ETF	464286400	245	7,640	SH		DFND	1	7,640	0	0
ISHARES INC	MIN VOL GBL ETF	464286525	1,194	14,373	SH		DFND	1	14,373	0	0
ISHARES TR	SELECT DIVID ETF	464287168	900	9,204	SH		DFND	1	9,204	0	0

ISHARES TR	MSCIEMG MKT ETF	464287234	117	2,657	SH	DFND	2	0	0	2,657
ISHARES TR	MSCIEMG MKT ETF	464287234	365	8,427	SH	DFND	1	8,427	0	0
ISHARES TR	IBOXX INV CP ETF	464287242	1,093	9,539	SH	DFND	1	9,539	0	0
ISHARES TR	S&P 500 GRWT ETF	464287309	539	3,213	SH	DFND	2	0	0	3,213
ISHARES TR	LATN AMER 40 ETF	464287390	202	6,812	SH	DFND	1	6,812	0	0
ISHARES TR	MSCIEAFE ETF	464287465	912	13,376	SH	DFND	2	0	0	13,376
ISHARES TR	MSCIEAFE ETF	464287465	1,330	19,864	SH	DFND	1	19,864	0	0
ISHARES TR	RUS MDCP VAL ETF	464287473	56	629	SH	DFND	1	629	0	0
ISHARES TR	RUS MDCP VAL ETF	464287473	415	4,608	SH	DFND	2	0	0	4,608
ISHARES TR	RUS MD CP GR ETF	464287481	67	527	SH	DFND	1	527	0	0
ISHARES TR	RUS MD CP GR ETF	464287481	3,002	23,045	SH	DFND	2	0	0	23,045
ISHARES TR	RUS MID CAP ETF	464287499	208	957	SH	DFND	2	0	0	957
ISHARES TR	RUS MID CAP ETF	464287499	3,523	16,605	SH	DFND	1	16,605	0	0
ISHARES TR	CORE S&P MCP ETF	464287507	204	1,018	SH	DFND	2	0	0	1,018
ISHARES TR	CORE S&P MCP ETF	464287507	510	2,616	SH	DFND	1	2,616	0	0
ISHARES TR	NASDAQ BIOTECH	464287556	29	249	SH	DFND	2	0	0	249
ISHARES TR	NASDAQ BIOTECH	464287556	710	6,469	SH	DFND	1	6,469	0	0
ISHARES TR	S&P MC 400GR ETF	464287606	14	61	SH	DFND	1	61	0	0
ISHARES TR	S&P MC 400GR ETF	464287606	562	2,431	SH	DFND	2	0	0	2,431
ISHARES TR	RUS 1000 GRW ETF	464287614	59	400	SH	DFND	2	0	0	400
ISHARES TR	RUS 1000 GRW ETF	464287614	283	1,965	SH	DFND	1	1,965	0	0
ISHARES TR	RUS 2000 GRW ETF	464287648	389	1,846	SH	DFND	2	0	0	1,846
ISHARES TR	RUS 2000 GRW ETF	464287648	494	2,416	SH	DFND	1	2,416	0	0
ISHARES TR	RUSSELL 2000 ETF	464287655	8,189	50,000	SH Put	DFND	1	50,000	0	0
ISHARES TR	RUSSELL 2000 ETF	464287655	8,189	50,000	SH Put	DFND	1	50,000	0	0
ISHARES TR	CORE S&P SCP ETF	464287804	85	1,015	SH	DFND	1	1,015	0	0
ISHARES TR	CORE S&P SCP ETF	464287804	696	8,052	SH	DFND	2	0	0	8,052
ISHARES TR	S&P SML 600 GWT	464287887	743	3,797	SH	DFND	2	0	0	3,797
ISHARES TR	MSCI ACWI EX US	464288240	507	10,730	SH	DFND	1	10,730	0	0



ISHARES TR	JPMORGAN USD EMG	464288281	264	2,429	SH	DFND	2	0	0	2,429
ISHARES TR	JPMORGAN USD EMG	464288281	977	9,147	SH	DFND	1	9,147	0	0
ISHARES TR	NEW YORK MUN ETF	464288323	1,548	28,247	SH	DFND	1	28,247	0	0
ISHARES TR	CALIF MUN BD ETF	464288356	374	6,382	SH	DFND	1	6,382	0	0
ISHARES TR	NATIONAL MUN ETF	464288414	1,102	10,108	SH	DFND	1	10,108	0	0
ISHARES TR	INTL SEL DIV ETF	464288448	1,818	56,712	SH	DFND	1	56,712	0	0
ISHARES TR	1 3 YR CR BD ETF	464288646	2,383	22,984	SH	DFND	1	22,984	0	0
ISHARES TR	GLOBAL MATER ETF	464288695	366	5,448	SH	DFND	1	5,448	0	0
ISHARES TR	EAFE GRWTH ETF	464288885	286	3,576	SH	DFND	2	0	0	3,576
ISHARES TR	RUS TP200 GR ETF	464289438	3,444	42,736	SH	DFND	2	0	0	42,736
ISHARES TR	MSCI INDIA ETF	46429B598	209	6,150	SH	DFND	2	0	0	6,150
ISHARES TR	FLTG RATE NT ETF	46429B655	33	650	SH	DFND	2	0	0	650
ISHARES TR	FLTG RATE NT ETF	46429B655	3,088	60,544	SH	DFND	1	60,544	0	0
ISHARES TR	MIN VOL EAFE ETF	46429B689	657	9,238	SH	DFND	1	9,238	0	0
ISHARES TR	MIN VOL USA ETF	46429B697	845	15,902	SH	DFND	1	15,902	0	0
ISHARES TR	USA MOMENTUM FCT	46432F396	1,324	11,760	SH	DFND	2	0	0	11,760
ISHARES TR	CORE MSCI EAFE	46432F842	656	10,352	SH	DFND	1	10,352	0	0
ISHARES INC	CORE MSCI EMKT	46434G103	261	4,909	SH	DFND	2	0	0	4,909
ITERIS INC	COM	46564T107	467	485,399	SH	DFND	1	485,399	0	0
J JILL INC	COM	46620W102	187	20,000	SH	DFND	1	20,000	0	0
JPMORGAN CHASE & CO	COM	46625H100	24	232	SH	DFND	1	232	0	0
JPMORGAN CHASE & CO	COM	46625H100	223	2,091	SH	DFND	2	0	0	2,091
JOHNSON & JOHNSON	COM	478160104	141	1,160	SH	DFND	1	1,160	0	0
JOHNSON & JOHNSON	COM	478160104	512	4,016	SH	DFND	2	0	0	4,016
KBL MERGER CORP IV	COM	48242A104	398	40,000	SH	DFND	1	40,000	0	0
KBL MERGER CORP IV	*W EXP 01/15/202	48242A112	12	40,000	SH	DFND	1	40,000	0	0
KBL MERGER CORP IV	RIGHT 03/22/2019	48242A120	13	40,000	SH	DFND	1	40,000	0	0
KAYNE ANDERSON ACQUISITION	COM CL A	48661U102	2,075	209,998	SH	DFND	1	209,998	0	0
KAYNE ANDERSON ACQUISITION	*W EXP 06/30/202	48661U110	80	66,666	SH	DFND	1	66,666	0	0
KINDRED BIOSCIENCES INC	COM	494577109	213	20,000	SH	DFND		20,000	0	0

KOPPERS HOLDINGS INC	COM	50060P106	301	281,348	SH	DFND	1	281,348	0	0
LF CAP ACQUISITION CORP	UNIT 06/19/2025	50200K207	1,064	105,700	SH	DFND		105,700	0	0
LADENBURG THALMAN FIN SVCS I	COM	50575Q102	510	150,000	SH	DFND	1	150,000	0	0
LIBERTY TAX INC	CL A	53128T102	1,127	139,586	SH	DFND		139,586	0	0
LIMELIGHT NETWORKS INC	COM	53261M104	268	60,000	SH	DFND		60,000	0	0
LIMELIGHT NETWORKS INC	COM	53261M104	1,765	394,841	SH	DFND	1	394,841	0	0
LINCOLN ELEC HLDGS INC	COM	533900106	263	2,922	SH	DFND	2	0	0	2,922
LOCKHEED MARTIN CORP	COM	539830109	717	2,321	SH	DFND	2	0	0	2,321
LONESTAR RES US INC	CL A VTG	54240F103	9,897	1,172,622	SH	DFND	1	1,172,622	0	0
LUMENTUM HLDGS INC	COM	55024U109	29	500	SH	DFND	2	0	0	500
LUMENTUM HLDGS INC	COM	55024U109	409	145,798	SH	DFND	1	145,798	0	0
MGIC INVT CORP WIS	COM	552848103	399	315,171	SH	DFND	1	315,171	0	0
MANPOWERGROUP INC	COM	56418H100	301	3,483	SH	DFND	2	0	0	3,483
MARATHON PETE CORP	COM	56585A102	222	3,083	SH	DFND	2	0	0	3,083
MARTIN MIDSTREAM PRTRNS L P	UNIT L P INT	573331105	361	307,521	SH	DFND	1	307,521	0	0
MATLIN & PARTNERS ACQUISITIO	CL A	57682V106	987	100,000	SH	DFND	1	100,000	0	0
MATLIN & PARTNERS ACQUISITIO	*W EXP 05/28/202	57682V114	68	100,000	SH	DFND	1	100,000	0	0
MATTHEWS INTL CORP	CL A	577128101	418	306,281	SH	DFND	1	306,281	0	0
MAXWELL TECHNOLOGIES INC	COM	577767106	130	25,000	SH	DFND		25,000	0	0
MERCK & CO INC	COM	58933Y105	52	852	SH	DFND	1	852	0	0
MERCK & CO INC	COM	58933Y105	316	5,071	SH	DFND	2	0	0	5,071
META FINL GROUP INC	COM	59100U108	371	335,008	SH	DFND	1	335,008	0	0
MICROSOFT CORP	COM	594918104	285	2,794	SH	DFND	2	0	0	2,794
MICROSOFT CORP	COM	594918104	3,593	36,438	SH	DFND	1	36,438	0	0
MICRON TECHNOLOGY INC	COM	595112103	105	2,000	SH	DFND	1	2,000	0	0
MICRON TECHNOLOGY INC	COM	595112103	137	2,450	SH	DFND	2	0	0	2,450
MITSUBISHI UFJ FINL GROUP IN	SPONSORED ADS	606822104	62	10,825	SH	DFND	2	0	0	10,825
MONDELEZ INTL INC	CL A	609207105	323	7,671	SH	DFND	2	0	0	7,671
NII HLDGS INC	COM PAR	62913F508	367	94,045	SH	DFND	1	94,045	0	0

NATURAL RESOURCE PARTNERS L	COM UNIT LTD PAR	63900P608	2,355	75,000	SH	Call	DFND	1	75,000	0	0
NETFLIX INC	COM	64110L106	247	595	SH		DFND	2	0	0	595
NETSCOUT SYS INC	COM	64115T104	439	282,349	SH		DFND	1	282,349	0	0
NEW MTN FIN CORP	COM	647551100	408	30,000	SH		DFND	1	30,000	0	0
NOVAVAX INC	COM	670002104	3	2,000	SH		DFND	2	0	0	2,000
NOVAVAX INC	COM	670002104	354	383,595	SH		DFND	1	383,595	0	0
NVIDIA CORP	COM	67066G104	269	1,064	SH		DFND	2	0	0	1,064
NUVEEN MTG OPPORTUNITY TERM	COM	670735109	218	9,283	SH		DFND	1	9,283	0	0
NUVEEN BUILD AMER BD FD	COM	67074C103	483	23,447	SH		DFND	1	23,447	0	0
NUVEEN HIGH INCOME 2020 TARG	COM	67075L102	534	54,008	SH		DFND	2	0	0	54,008
NUVEEN HGH INC DEC18 TRGT TR	COM	67075P103	143	14,597	SH		DFND	2	0	0	14,597
NUVEEN CR OPPORTUNITIES 2022	COM	67075U102	464	48,868	SH		DFND	2	0	0	48,868
NUVEEN HIGH INCOME DECMBR 20	COM	67076E107	598	60,800	SH		DFND	2	0	0	60,800
NUVEEN HIGH INCOME NOVEMBER	COM	67077N106	837	86,782	SH		DFND	2	0	0	86,782
OHA INVT CORP	COM	67091U102	71	46,800	SH		DFND		46,800	0	0
O REILLY AUTOMOTIVE INC NEW	COM	67103H107	297	1,030	SH		DFND	2	0	0	1,030
ON SEMICONDUCTOR CORP	COM	682189105	325	14,600	SH		DFND	1	14,600	0	0
ONE LIBERTY PPTYS INC	COM	682406103	409	15,482	SH		DFND	1	15,482	0	0
OOMA INC	COM	683416101	471	288,441	SH		DFND	1	288,441	0	0
OPGEN INC	COM NEW	68373L208	246	138,000	SH		DFND	1	138,000	0	0
OPKO HEALTH INC	COM	68375N103	58	10,000	SH		DFND	2	0	0	10,000
PAYPAL HLDGS INC	COM	70450Y103	344	3,994	SH		DFND	2	0	0	3,994
PENNANTPARK INVT CORP	COM	708062104	2,825	403,237	SH		DFND	1	403,237	0	0
PENNANTPARK FLOATING RATE CA	COM	70806A106	2,544	186,236	SH		DFND	1	186,236	0	0
PFIZER INC	COM	717081103	187	5,150	SH		DFND	1	5,150	0	0
PFIZER INC	COM	717081103	449	11,984	SH		DFND	2	0	0	11,984
PHYSICIANS RLTY TR	COM	71943U104	163	10,200	SH		DFND	2	0	0	10,200
PIMCO ETF TR	ENHNCD LW DUR AC	72201R718	3,023	30,319	SH		DFND	1	30,319	0	0
PIMCO ETF TR	ENHAN SHRT MA AC	72201R833	8,111	79,877	SH		DFND	1	79,877	0	0
PLATFORM SPECIALTY PRODS COR	COM	72766Q105	696	60,000	SH		DFND	1	60,000	0	0
PREFERRED BK LOS ANGELES CA	COM NEW	740367404	355	293,691	SH		DFND	1	293,691	0	0

PRIMO WTR CORP	COM	74165N105	406	200,773	SH	DFND	1	200,773	0	0
PROCTER AND GAMBLE CO	COM	742718109	15	187	SH	DFND	1	187	0	0
PROCTER AND GAMBLE CO	COM	742718109	550	6,888	SH	DFND	2	0	0	6,888
PROSHARES TR	RUSS 2000 DIVD	74347B698	207	3,535	SH	DFND	2	0	0	3,535
PROSHARES TR	PSHS LC COR PLUS	74347R248	405	5,833	SH	DFND	2	0	0	5,833
RPM INTL INC	COM	749685103	257	4,255	SH	DFND	2	0	0	4,255
RADISYS CORP	COM	750459109	68	96,600	SH	DFND		96,600	0	0
RANGER ENERGY SVCS INC	COM CL A	75282U104	4,962	541,166	SH	DFND	1	541,166	0	0
RAYTHEON CO	COM NEW	755111507	388	1,983	SH	DFND	2	0	0	1,983
RENT A CTR INC NEW	COM	76009N100	821	55,798	SH	DFND		55,798	0	0
RIGEL PHARMACEUTICALS INC	COM NEW	766559603	920	325,000	SH	DFND	1	325,000	0	0
RUBICON PROJ INC	COM	78112V102	65	22,961	SH	DFND		22,961	0	0
RUBICON PROJ INC	COM	78112V102	5,784	2,029,437	SH	DFND	1	2,029,437	0	0
SPDR S&P 500 ETF TR	TR UNIT	78462F103	797	2,859	SH	DFND	2	0	0	2,859
SPDR S&P 500 ETF TR	TR UNIT	78462F103	1,827	6,734	SH	DFND	1	6,734	0	0
SPDR INDEX SHS FDS	GLB NAT RESRCE	78463X541	991	19,789	SH	DFND	1	19,789	0	0
SPDR INDEX SHS FDS	S&P EMKTSC ETF	78463X756	1,040	21,874	SH	DFND	2	0	0	21,874
SPDR SERIES TRUST	BLMBRG BRC CNVRT	78464A359	207	3,832	SH	DFND	2	0	0	3,832
SPDR SERIES TRUST	BLOOMBERG BRCLYS	78464A417	2	64	SH	DFND	1	64	0	0
SPDR SERIES TRUST	BLOOMBERG BRCLYS	78464A417	305	8,549	SH	DFND	2	0	0	8,549
SPDR SERIES TRUST	DJ REIT ETF	78464A607	403	4,251	SH	DFND	2	0	0	4,251
SPDR SERIES TRUST	S&P OILGAS EXP	78464A730	256	5,758	SH	DFND	2	0	0	5,758
SPDR DOW JONES INDL AVRG ETF	UT SER 1	78467X109	494	2,037	SH	DFND	1	2,037	0	0
SPDR DOW JONES INDL AVRG ETF	UT SER 1	78467X109	1,986	7,970	SH	DFND	2	0	0	7,970
SPDR S&P MIDCAP 400 ETF TR	UTSER1 S&PDCRP	78467Y107	1,031	2,821	SH	DFND	2	0	0	2,821
S&W SEED CO	COM	785135104	551	493,922	SH	DFND	1	493,922	0	0
SACHEM CAP CORP	COM	78590A109	877	213,973	SH	DFND	1	213,973	0	0
SACHEM CAP CORP	COM	78590A109	1,872	456,619	SH	DFND		456,619	0	0
SANOFI	RIGHT 12/31/2020	80105N113	0	17	SH	DFND	1	17	0	0
SANOFI	RIGHT 12/31/2020	80105N113	122	244,754	SH	DFND		244,754	0	0
SELECT SECTOR SPDR TR	SBI CONS DISCR	81369Y407	376	3,440	SH	DFND	1	3,440	0	0
SELECT SECTOR SPDR TR	SBI CONS DISCR	81369Y407	449	4,010	SH	DFND	2	0	0	4,010

SELECT SECTOR SPDR TR	SBI INT-FINL	81369Y605	5	184	SH	DFND	1	184	0	0
SELECT SECTOR SPDR TR	SBI INT-FINL	81369Y605	413	15,178	SH	DFND	2	0	0	15,178
SELECT SECTOR SPDR TR	SBI INT-INDS	81369Y704	242	3,287	SH	DFND	2	0	0	3,287
SELECT SECTOR SPDR TR	TECHNOLOGY	81369Y803	657	9,156	SH	DFND	2	0	0	9,156
SELECT ENERGY SVCS INC	CL A COM	81617J301	368	264,192	SH	DFND	1	264,192	0	0
SHERWIN WILLIAMS CO	COM	824348106	548	1,308	SH	DFND	2	0	0	1,308
SHOPIFY INC	CL A	82509L107	413	2,600	SH	DFND	2	0	0	2,600
SIGA TECHNOLOGIES INC	COM	826917106	129	21,709	SH	DFND		21,709	0	0
SINCLAIR BROADCAST GROUP INC	CL A	829226109	1,570	348,630	SH	DFND	1	348,630	0	0
SNAP INC	CL A	83304A106	12	900	SH	DFND	2	0	0	900
SNAP INC	CL A	83304A106	358	27,314	SH	DFND	1	27,314	0	0
SOGO INC	ADR REPSTG A	83409V104	632	55,300	SH	Put DFND	1	55,300	0	0
SOLAR SR CAP LTD	COM	83416M105	4,352	266,815	SH	DFND	1	266,815	0	0
SOUTHCROSS ENERGY PARTNERS L	COM UNIT LTDPT	84130C100	76	48,370	SH	DFND	2	0	0	48,370
SOUTHWESTERN ENERGY CO	COM	845467109	417	313,192	SH	DFND	1	313,192	0	0
SPECTRUM PHARMACEUTICALS INC	COM	84763A108	405	302,915	SH	DFND	1	302,915	0	0
SPIRIT AEROSYSTEMS HLDGS INC	COM CL A	848574109	433	5,043	SH	DFND	2	0	0	5,043
SPLUNK INC	COM	848637104	33	333	SH	DFND	2	0	0	333
SPLUNK INC	COM	848637104	595	6,000	SH	DFND	1	6,000	0	0
SQUARE INC	CL A	852234103	307	4,740	SH	DFND	2	0	0	4,740
STAMPS COM INC	COM NEW	852857200	135	500	SH	DFND	2	0	0	500
STAMPS COM INC	COM NEW	852857200	335	253,238	SH	DFND	1	253,238	0	0
STARBUCKS CORP	COM	855244109	285	5,661	SH	DFND	2	0	0	5,661
STEWART INFORMATION SVCS COR	COM	860372101	307	7,124	SH	DFND	1	7,124	0	0
THL CR INC	COM	872438106	164	21,000	SH	DFND	1	21,000	0	0
TELENAV INC	COM	879455103	4,168	744,317	SH	DFND	1	744,317	0	0
TEMPUR SEALY INTL INC	COM	88023U101	2,611	54,341	SH	DFND		54,341	0	0
TEMPUR SEALY INTL INC	COM	88023U101	4,985	103,736	SH	DFND	1	103,736	0	0
TIVO CORP	COM	88870P106	381	319,908	SH	DFND	1	319,908	0	0
TORTOISE MLP FD INC	COM	89148B101	886	51,878	SH	DFND	1	51,878	0	0
TORTOISE MLP FD INC	RIGHT 07/18/2018	89148B119	19	51,900	SH	DFND	1	51,900	0	0

TRAVELCENTERS AMER LLC	COM	894174101	420	354,801	SH		DFND	1	354,801	0	0
TRINITY MERGER CORP	*W EXP 05/11/202	89653L114	117	292,400	SH		DFND		292,400	0	0
TRINITY MERGER CORP	UNIT 05/11/2025	89653L205	1,459	145,000	SH		DFND	1	145,000	0	0
TRUECAR INC	COM	89785L107	401	332,679	SH		DFND	1	332,679	0	0
TUESDAY MORNING CORP	COM NEW	899035505	306	100,375	SH		DFND		100,375	0	0
TWITTER INC	COM	90184L102	169	3,866	SH		DFND	2	0	0	3,866
TWITTER INC	COM	90184L102	336	7,700	SH		DFND	1	7,700	0	0
USA COMPRESSION PARTNERS LP	COMUNIT LTDPAR	90290N109	394	337,362	SH		DFND	1	337,362	0	0
UMH PPTYS INC	COM	903002103	400	301,465	SH		DFND	1	301,465	0	0
U.S. AUTO PARTS NETWORK INC	COM	90343C100	273	182,018	SH		DFND		182,018	0	0
UNION PAC CORP	COM	907818108	394	2,733	SH		DFND	2	0	0	2,733
URBAN EDGE PPTYS	COM	91704F104	329	14,365	SH		DFND	1	14,365	0	0
VAIL RESORTS INC	COM	91879Q109	685	2,500	SH	Put	DFND	1	2,500	0	0
VANGUARD GROUP	DIV APP ETF	921908844	1,528	15,032	SH		DFND	1	15,032	0	0
VANGUARD STAR FD	VG TL INTL STK F	921909768	437	8,074	SH		DFND	1	8,074	0	0
VANGUARD BD INDEX FD INC	LONG TERM BOND	921937793	327	3,664	SH		DFND	2	0	0	3,664
VANGUARD BD INDEX FD INC	INTERMED TERM	921937819	52	640	SH		DFND	1	640	0	0
VANGUARD BD INDEX FD INC	INTERMED TERM	921937819	1,126	13,919	SH		DFND	2	0	0	13,919
VANGUARD MALVERN FDS	STRM INFPROIDX	922020805	2,204	45,125	SH		DFND	1	45,125	0	0
VANGUARD INTL EQUITY INDEX F	ALLWRLD EX US	922042775	343	6,612	SH		DFND	1	6,612	0	0
VANGUARD INTL EQUITY INDEX F	FTSE EMR MKT ETF	922042858	72	1,677	SH		DFND	2	0	0	1,677
VANGUARD INTL EQUITY INDEX F	FTSE EMR MKT ETF	922042858	2,320	54,974	SH		DFND	1	54,974	0	0
VANGUARD INTL EQUITY INDEX F	FTSE PACIFIC ETF	922042866	668	9,540	SH		DFND	1	9,540	0	0
VANGUARD INTL EQUITY INDEX F	FTSE EUROPE ETF	922042874	29	500	SH		DFND	2	0	0	500
VANGUARD INTL EQUITY INDEX F	FTSE EUROPE ETF	922042874	476	8,473	SH		DFND	1	8,473	0	0
VANGUARD SCOTTSDALE FDS	SHRT TRM CORP BD	92206C409	1,061	13,598	SH		DFND	2	0	0	13,598
VANGUARD SCOTTSDALE FDS	SHRT TRM CORP BD	92206C409	7,256	92,906	SH		DFND	1	92,906	0	0
VANGUARD SCOTTSDALE FDS	LG-TERM COR BD	92206C813	687	7,841	SH		DFND	1	7,841	0	0
VANGUARD SCOTTSDALE FDS	INT-TERM CORP	92206C870	3,017	36,121	SH		DFND	1	36,121	0	0
VANGUARD INDEX FDS	REAL ESTATE ETF	922908553	357	4,322	SH		DFND	2	0	0	4,322
VANGUARD INDEX FDS	SML CP GRW ETF	922908595	46	263	SH		DFND	1	263	0	0
VANGUARD INDEX FDS	SML CP GRW ETF	922908595	707	3,893	SH		DFND	2	0	0	3,893

VANGUARD INDEX FDS	SM CP VAL ETF	922908611	406	2,910	SH	DFND	2	0	0	2,910
VANGUARD INDEX FDS	MID CAP ETF	922908629	54	335	SH	DFND	2	0	0	335
VANGUARD INDEX FDS	MID CAP ETF	922908629	3,447	21,869	SH	DFND	1	21,869	0	0
VANGUARD INDEX FDS	LARGE CAP ETF	922908637	6	45	SH	DFND	2	0	0	45
VANGUARD INDEX FDS	LARGE CAP ETF	922908637	9,306	74,594	SH	DFND	1	74,594	0	0
VANGUARD INDEX FDS	GROWTH ETF	922908736	386	2,578	SH	DFND	1	2,578	0	0
VANGUARD INDEX FDS	GROWTH ETF	922908736	3,668	23,792	SH	DFND	2	0	0	23,792
VANGUARD INDEX FDS	VALUE ETF	922908744	132	1,276	SH	DFND	1	1,276	0	0
VANGUARD INDEX FDS	VALUE ETF	922908744	3,861	36,199	SH	DFND	2	0	0	36,199
VANGUARD INDEX FDS	SMALL CP ETF	922908751	68	439	SH	DFND	1	439	0	0
VANGUARD INDEX FDS	SMALL CP ETF	922908751	199	1,243	SH	DFND	2	0	0	1,243
VANGUARD INDEX FDS	TOTAL STK MKT	922908769	239	1,655	SH	DFND	2	0	0	1,655
VANGUARD INDEX FDS	TOTAL STK MKT	922908769	2,154	15,336	SH	DFND	1	15,336	0	0
VERIZON COMMUNICATIONS INC	COM	92343V104	83	1,655	SH	DFND	1	1,655	0	0
VERIZON COMMUNICATIONS INC	COM	92343V104	232	4,519	SH	DFND	2	0	0	4,519
VIASAT INC	COM	92552V100	28	400	SH	DFND	2	0	0	400
VIASAT INC	COM	92552V100	398	279,908	SH	DFND	1	279,908	0	0
VIEWRAY INC	COM	92672L107	334	285,871	SH	DFND	1	285,871	0	0
VISA INC	COM CL A	92826C839	258	1,887	SH	DFND	2	0	0	1,887
VITAMIN SHOPPE INC	NOTE 2.250%12/0	92849EAB7	284	374,000	PRN	DFND		374,000	0	0
WESTERN DIGITAL CORP	COM	958102105	774	10,000	SH	DFND	1	10,000	0	0
WISDOMTREE TR	HEDGED HI YLD BD	97717W430	471	19,660	SH	DFND	2	0	0	19,660
WISDOMTREE TR	GLB US QTLY DIV	97717W844	698	12,222	SH	DFND	1	12,222	0	0
AVISTA HEALTHCARE PUB ACQ CO	CL A	G0726L125	1,001	100,000	SH	DFND	1	100,000	0	0
EATON CORP PLC	SHS	G29183103	272	3,473	SH	DFND	2	0	0	3,473
FERROGLOBE PLC	SHS	G33856108	2,041	238,181	SH	DFND	1	238,181	0	0
GTY TECHNOLOGY HOLDINGS INC	CL A	G4182A102	2,516	250,099	SH	DFND	1	250,099	0	0
GTY TECHNOLOGY HOLDINGS INC	*W EXP 10/25/202	G4182A128	73	58,333	SH	DFND	1	58,333	0	0
WEATHERFORD INTL PLC	ORD SHS	G48833100	63	18,000	SH	DFND	2	0	0	18,000
MARVELL TECHNOLOGY GROUP LTD	ORD	G5876H105	16	700	SH	DFND	2	0	0	700

MARVELL TECHNOLOGY GROUP LTD	ORD	G5876H105	294	202,178	SH	DFND	1	202,178	0	0
ATTUNITY LTD	SHS NEW	M15332121	999	86,015	SH	DFND	1	86,015	0	0
MAGICJACK VOCALTEC LTD	SHS	M6787E101	10,622	1,249,600	SH	DFND		1,249,600	0	0
POINTER TELOCATION LTD	SHS	M7946T104	389	364,925	SH	DFND	1	364,925	0	0
AEGEAN MARINE PETROLEUM NETW	SHS	Y0017S102	304	458,342	SH	DFND		458,342	0	0
AEGEAN MARINE PETROLEUM NETW	SHS	Y0017S102	484	730,030	SH	DFND	1	730,030	0	0
AEGEAN MARINE PETE NETWORK I	NOTE 4.000%11/0	Y0020QAA9	167	341,000	PRN	DFND		341,000	0	0
AEGEAN MARINE PETE NETWORK I	NOTE 4.000%11/0	Y0020QAA9	2,836	5,750,000	PRN	DFND	1	5,750,000	0	0
GLOBAL SHIP LEASE INC NEW	SHS A	Y27183105	152	114,796	SH	DFND		114,796	0	0