



Number of Other Included Managers: 1  
Form 13F Information Table Entry Total: 383  
Form 13F Information Table Value Total: 358,952  
(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 |

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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  
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**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     | SHRS OR   | SH/ | PUT/ | INVESTMENT | OTHER    | VOTING AUTHORITY |        |        |
|                              |                  |           | (x\$1000) | PRN AMT   | PRN | CALL | DISCRETION | MANAGER  | SOLE             | SHARED | NONE   |
| A10 NETWORKS INC             | COM              | 002121101 | 437       | 75,000    | SH  |      | DFND       |          | 75,000           | 0      | 0      |
| ABBOTT LABS                  | COM              | 002824100 | 51        | 853       | SH  |      | DFND       | 1        | 853              | 0      | 0      |
| ABBOTT LABS                  | COM              | 002824100 | 222       | 3,701     | SH  |      | DFND       |          | 0                | 0      | 3,701  |
| ABBVIE INC                   | COM              | 00287Y109 | 138       | 1,453     | SH  |      | DFND       | 1        | 1,453            | 0      | 0      |
| ABBVIE INC                   | COM              | 00287Y109 | 361       | 3,811     | SH  |      | DFND       |          | 0                | 0      | 3,811  |
| ACACIA RESH CORP             | ACACIA TCH COM   | 003881307 | 508       | 145,000   | SH  |      | DFND       |          | 145,000          | 0      | 0      |
| ACACIA RESH CORP             | ACACIA TCH COM   | 003881307 | 1,663     | 475,000   | SH  |      | DFND       | 1        | 475,000          | 0      | 0      |
| ADVISORSHARES TR             | ADVISORSHS ETF   | 00768Y206 | 763       | 12,981    | SH  |      | DFND       |          | 0                | 0      | 12,981 |
| AEGEAN MARINE PETROLEUM NETW | SHS              | Y0017S102 | 2,993     | 1,330,200 | SH  |      | DFND       | 1        | 1,330,200        | 0      | 0      |
| AEHR TEST SYSTEMS            | COM              | 00760J108 | 349       | 155,000   | SH  |      | DFND       |          | 155,000          | 0      | 0      |
| ALIBABA GROUP HLDG LTD       | SPONSORED ADS    | 01609W102 | 10        | 55        | SH  |      | DFND       | 1        | 55               | 0      | 0      |
| ALIBABA GROUP HLDG LTD       | SPONSORED ADS    | 01609W102 | 239       | 1,303     | SH  |      | DFND       |          | 0                | 0      | 1,303  |
| ALPHABET INC                 | CAP STK CL C     | 02079K107 | 164       | 159       | SH  |      | DFND       |          | 0                | 0      | 159    |
| ALPHABET INC                 | CAP STK CL C     | 02079K107 | 181       | 175       | SH  |      | DFND       | 1        | 175              | 0      | 0      |
| ALPS ETF TR                  | ALERIAN MLP      | 00162Q866 | 138       | 14,720    | SH  |      | DFND       | 1        | 14,720           | 0      | 0      |
| ALPS ETF TR                  | ALERIAN MLP      | 00162Q866 | 207       | 22,051    | SH  |      | DFND       |          | 0                | 0      | 22,051 |
| ALTRIA GROUP INC             | COM              | 02209S103 | 47        | 750       | SH  |      | DFND       | 1        | 750              | 0      | 0      |
| ALTRIA GROUP INC             | COM              | 02209S103 | 289       | 4,637     | SH  |      | DFND       |          | 0                | 0      | 4,637  |
| AMAZON COM INC               | COM              | 023135106 | 156       | 108       | SH  |      | DFND       | 1        | 108              | 0      | 0      |
| AMAZON COM INC               | COM              | 023135106 | 1,798     | 1,242     | SH  |      | DFND       |          | 0                | 0      | 1,242  |
| AMC ENTMT HLDGS INC          | CL A COM         | 00165C104 | 1,201     | 85,504    | SH  |      | DFND       | 1        | 85,504           | 0      | 0      |
| AMERI HLDGS INC              | *W EXP 11/08/202 | 02362F112 | 66        | 150,000   | SH  |      | DFND       |          | 150,000          | 0      | 0      |
| AMYRIS INC                   | COM NEW          | 03236M200 | 294       | 44,000    | SH  |      | DFND       | 1        | 44,000           | 0      | 0      |
| APOLLO INVT CORP             | COM              | 03761U106 | 254       | 48,606    | SH  |      | DFND       | 1        | 48,606           | 0      | 0      |
| APOLLO SR FLOATING RATE FDI  | COM              | 037636107 | 757       | 44,973    | SH  |      | DFND       | 1        | 44,973           | 0      | 0      |

|                                    |             |           |       |         |    |      |   |         |   |        |
|------------------------------------|-------------|-----------|-------|---------|----|------|---|---------|---|--------|
| APOLLO TACTICAL<br>INCOME FD IN    | COM         | 037638103 | 374   | 23,833  | SH | DFND | 1 | 23,833  | 0 | 0      |
| APPLE INC                          | COM         | 037833100 | 1,291 | 7,696   | SH | DFND |   | 0       | 0 | 7,696  |
| APPLE INC                          | COM         | 037833100 | 1,630 | 9,716   | SH | DFND | 1 | 9,716   | 0 | 0      |
| ARES CAP CORP                      | COM         | 04010L103 | 27    | 1,715   | SH | DFND |   | 0       | 0 | 1,715  |
| ARES CAP CORP                      | COM         | 04010L103 | 1,226 | 77,233  | SH | DFND | 1 | 77,233  | 0 | 0      |
| ARES DYNAMIC CR<br>ALLOCATION F    | COM         | 04014F102 | 235   | 14,489  | SH | DFND | 1 | 14,489  | 0 | 0      |
| AT&T INC                           | COM         | 00206R102 | 69    | 1,942   | SH | DFND | 1 | 1,942   | 0 | 0      |
| AT&T INC                           | COM         | 00206R102 | 335   | 9,410   | SH | DFND |   | 0       | 0 | 9,410  |
| AVISTA<br>HEALTHCARE PUB<br>ACQ CO | CL A        | G0726L125 | 991   | 100,000 | SH | DFND | 1 | 100,000 | 0 | 0      |
| BANK AMER CORP                     | COM         | 060505104 | 10    | 320     | SH | DFND | 1 | 320     | 0 | 0      |
| BANK AMER CORP                     | COM         | 060505104 | 203   | 6,759   | SH | DFND |   | 0       | 0 | 6,759  |
| BBX CAP CORP NEW                   | CL A        | 05491N104 | 936   | 101,600 | SH | DFND |   | 101,600 | 0 | 0      |
| BERKSHIRE<br>HATHAWAY INC DEL      | CL A        | 084670108 | 299   | 1       | SH | DFND | 1 | 1       | 0 | 0      |
| BERKSHIRE<br>HATHAWAY INC DEL      | CL B NEW    | 084670702 | 175   | 875     | SH | DFND |   | 0       | 0 | 875    |
| BERKSHIRE<br>HATHAWAY INC DEL      | CL B NEW    | 084670702 | 519   | 2,600   | SH | DFND | 1 | 2,600   | 0 | 0      |
| BERRY GLOBAL<br>GROUP INC          | COM         | 08579W103 | 214   | 3,900   | SH | DFND |   | 0       | 0 | 3,900  |
| BGC PARTNERS INC                   | CL A        | 05541T101 | 188   | 14,000  | SH | DFND |   | 0       | 0 | 14,000 |
| BLACKBERRY LTD                     | COM         | 09228F103 | 1     | 75      | SH | DFND | 1 | 75      | 0 | 0      |
| BLACKBERRY LTD                     | COM         | 09228F103 | 75    | 6,550   | SH | DFND |   | 0       | 0 | 6,550  |
| BLACKBERRY LTD                     | COM         | 09228F103 | 1,610 | 140,000 | SH | DFND |   | 140,000 | 0 | 0      |
| BLACKSTONE GSO<br>FLTING RTE FU    | COM         | 09256U105 | 185   | 10,000  | SH | DFND | 1 | 10,000  | 0 | 0      |
| BOEING CO                          | COM         | 097023105 | 369   | 1,124   | SH | DFND |   | 0       | 0 | 1,124  |
| BROOKFIELD REAL<br>ASSETS INCOM    | SHS BEN INT | 112830104 | 238   | 10,938  | SH | DFND | 1 | 10,938  | 0 | 0      |
| BRT APARTMENTS<br>CORP             | COM         | 055645303 | 1,006 | 85,627  | SH | DFND | 1 | 85,627  | 0 | 0      |
| CADIZ INC                          | COM NEW     | 127537207 | 135   | 10,000  | SH | DFND |   | 10,000  | 0 | 0      |
| CAMTEK LTD                         | ORD         | M20791105 | 165   | 24,439  | SH | DFND |   | 24,439  | 0 | 0      |
| CATERPILLAR INC<br>DEL             | COM         | 149123101 | 291   | 1,974   | SH | DFND |   | 0       | 0 | 1,974  |
| CENTURY CMNTYS<br>INC              | COM         | 156504300 | 287   | 9,592   | SH | DFND | 1 | 9,592   | 0 | 0      |
| CHEVRON CORP<br>NEW                | COM         | 166764100 | 60    | 526     | SH | DFND | 1 | 526     | 0 | 0      |
| CHEVRON CORP<br>NEW                | COM         | 166764100 | 358   | 3,143   | SH | DFND |   | 0       | 0 | 3,143  |
| CISCO SYS INC                      | COM         | 17275R102 | 92    | 2,140   | SH | DFND | 1 | 2,140   | 0 | 0      |
| CISCO SYS INC                      | COM         | 17275R102 | 442   | 10,310  | SH | DFND |   | 0       | 0 | 10,310 |
| COCA COLA CO                       | COM         | 191216100 | 17    | 400     | SH | DFND | 1 | 400     | 0 | 0      |
| COCA COLA CO                       | COM         | 191216100 | 217   | 5,003   | SH | DFND |   | 0       | 0 | 5,003  |
| COHEN & STEERS<br>LTD DUR PFD I    | COM         | 19248C105 | 701   | 27,475  | SH | DFND | 1 | 27,475  | 0 | 0      |

|                                   |                     |           |       |           |    |      |   |           |   |        |
|-----------------------------------|---------------------|-----------|-------|-----------|----|------|---|-----------|---|--------|
| COMSTOCK RES INC                  | NOTE 7.750%<br>4/0  | 205768AM6 | 27    | 29,162    | SH | DFND |   | 29,162    | 0 | 0      |
| COMSTOCK RES INC                  | NOTE 9.500%<br>6/1  | 205768AN4 | 127   | 136,385   | SH | DFND |   | 136,385   | 0 | 0      |
| COSTCO WHSL CORP<br>NEW           | COM                 | 22160K105 | 106   | 564       | SH | DFND |   | 0         | 0 | 564    |
| COSTCO WHSL CORP<br>NEW           | COM                 | 22160K105 | 252   | 1,335     | SH | DFND | 1 | 1,335     | 0 | 0      |
| CUMMINS INC                       | COM                 | 231021106 | 285   | 1,760     | SH | DFND |   | 0         | 0 | 1,760  |
| DISNEY WALT CO                    | COM DISNEY          | 254687106 | 202   | 2,012     | SH | DFND |   | 0         | 0 | 2,012  |
| DISNEY WALT CO                    | COM DISNEY          | 254687106 | 231   | 2,298     | SH | DFND | 1 | 2,298     | 0 | 0      |
| DOUBLELINE<br>INCOME SOLUTIONS    | COM                 | 258622109 | 19    | 930       | SH | DFND |   | 0         | 0 | 930    |
| DOUBLELINE<br>INCOME SOLUTIONS    | COM                 | 258622109 | 1,547 | 77,046    | SH | DFND | 1 | 77,046    | 0 | 0      |
| DOWDUPONT INC                     | COM                 | 26078J100 | 346   | 5,427     | SH | DFND |   | 0         | 0 | 5,427  |
| DXC TECHNOLOGY<br>CO              | COM                 | 23355L106 | 32    | 320       | SH | DFND |   | 0         | 0 | 320    |
| DXC TECHNOLOGY<br>CO              | COM                 | 23355L106 | 478   | 4,751     | SH | DFND | 1 | 4,751     | 0 | 0      |
| EATON CORP PLC                    | SHS                 | G29183103 | 269   | 3,369     | SH | DFND |   | 0         | 0 | 3,369  |
| ECO STIM ENERGY<br>SOLUTIONS IN   | COM                 | 27888D101 | 184   | 193,702   | SH | DFND | 1 | 193,702   | 0 | 0      |
| EMERGE ENERGY<br>SVCS LP          | COM REP<br>PARTN    | 29102H108 | 141   | 22,900    | SH | DFND |   | 0         | 0 | 22,900 |
| EMERSON ELEC CO                   | COM                 | 291011104 | 205   | 3,007     | SH | DFND |   | 0         | 0 | 3,007  |
| ENTERPRISE PRODS<br>PARTNERS L    | COM                 | 293792107 | 27    | 1,116     | SH | DFND | 1 | 1,116     | 0 | 0      |
| ENTERPRISE PRODS<br>PARTNERS L    | COM                 | 293792107 | 329   | 13,450    | SH | DFND |   | 0         | 0 | 13,450 |
| EVERSPIN<br>TECHNOLOGIES INC      | COM                 | 30041T104 | 547   | 72,500    | SH | DFND |   | 72,500    | 0 | 0      |
| EXXON MOBIL CORP                  | COM                 | 30231G102 | 39    | 517       | SH | DFND | 1 | 517       | 0 | 0      |
| EXXON MOBIL CORP                  | COM                 | 30231G102 | 208   | 2,782     | SH | DFND |   | 0         | 0 | 2,782  |
| FACEBOOK INC                      | CL A                | 30303M102 | 495   | 3,096     | SH | DFND |   | 0         | 0 | 3,096  |
| FACEBOOK INC                      | CL A                | 30303M102 | 574   | 3,591     | SH | DFND | 1 | 3,591     | 0 | 0      |
| FERROGLOBE PLC                    | SHS                 | G33856108 | 1,687 | 157,181   | SH | DFND |   | 157,181   | 0 | 0      |
| FERROGLOBE PLC                    | SHS                 | G33856108 | 7,011 | 653,443   | SH | DFND | 1 | 653,443   | 0 | 0      |
| FINJAN HLDGS INC                  | COM NEW             | 31788H303 | 853   | 262,578   | SH | DFND |   | 262,578   | 0 | 0      |
| FINJAN HLDGS INC                  | COM NEW             | 31788H303 | 5,702 | 1,754,531 | SH | DFND | 1 | 1,754,531 | 0 | 0      |
| FINTECH<br>ACQUISITION CORP<br>II | COM                 | 31810G109 | 994   | 100,000   | SH | DFND | 1 | 100,000   | 0 | 0      |
| FIRST TR EXCH TRD<br>ALPHA FDI    | EMERG MKT<br>ALPH   | 33737J182 | 465   | 15,865    | SH | DFND |   | 0         | 0 | 15,865 |
| FIRST TR EXCHANGE<br>TRADED FD    | TECH<br>ALPHADEX    | 33734X176 | 1,394 | 25,343    | SH | DFND |   | 0         | 0 | 25,343 |
| FIRST TR EXCHANGE<br>TRADED FD    | RISNG DIVD<br>ACHIV | 33738R506 | 1,901 | 63,971    | SH | DFND |   | 0         | 0 | 63,971 |
| FIRST TR EXCHANGE<br>TRADED FD    | DORSEY<br>WRIGHT    | 33738R878 | 731   | 27,350    | SH | DFND |   | 0         | 0 | 27,350 |
| FIRST TR<br>EXCHANGE-TRADED<br>FD | PFD SECS INC<br>ETF | 33739E108 | 461   | 23,700    | SH | DFND |   | 0         | 0 | 23,700 |

|                                 |                     |           |       |           |    |          |   |           |   |        |
|---------------------------------|---------------------|-----------|-------|-----------|----|----------|---|-----------|---|--------|
| FIRST TR VALUE<br>LINE DIVID IN | SHS                 | 33734H106 | 502   | 16,786    | SH | DFND     |   | 0         | 0 | 16,786 |
| FIRST TR EXCHANGE<br>TRADED FD  | DJ INTERN T<br>IDX  | 33733E302 | 595   | 4,940     | SH | DFND     |   | 0         | 0 | 4,940  |
| FIRST TR EXCH<br>TRADED FD III  | RIVRFRNT<br>DYN DEV | 33739P608 | 250   | 3,911     | SH | DFND     |   | 0         | 0 | 3,911  |
| FIRST TR EXCH<br>TRADED FD III  | RIVRFRNT<br>DYN EUR | 33739P806 | 975   | 15,000    | SH | DFND     |   | 0         | 0 | 15,000 |
| FIRST TR EXCH<br>TRADED FD III  | INSTL PFD<br>SECS   | 33739P855 | 774   | 39,700    | SH | DFND     |   | 0         | 0 | 39,700 |
| FIRST TR SR<br>FLOATING RATE 20 | COM SHS             | 33740K101 | 138   | 14,733    | SH | DFND     |   | 0         | 0 | 14,733 |
| FORTRESS TRANS<br>INFRST INVS L | COM REP LTD<br>LIAB | 34960P101 | 174   | 10,900    | SH | DFND     |   | 0         | 0 | 10,900 |
| GARRISON CAP INC                | COM                 | 366554103 | 19    | 2,300     | SH | DFND     |   | 0         | 0 | 2,300  |
| GARRISON CAP INC                | COM                 | 366554103 | 442   | 54,435    | SH | DFND     | 1 | 54,435    | 0 | 0      |
| GASTAR EXPL INC<br>NEW          | COM                 | 36729W202 | 14    | 20,000    | SH | DFND     |   | 0         | 0 | 20,000 |
| GENERAL CABLE<br>CORP DEL NEW   | COM                 | 369300108 | 289   | 9,751     | SH | DFND     |   | 9,751     | 0 | 0      |
| GENERAL ELECTRIC<br>CO          | COM                 | 369604103 | 56    | 4,136     | SH | DFND     | 1 | 4,136     | 0 | 0      |
| GENERAL ELECTRIC<br>CO          | COM                 | 369604103 | 205   | 15,192    | SH | DFND     |   | 0         | 0 | 15,192 |
| GLOBAL MED REIT<br>INC          | COM NEW             | 37954A204 | 153   | 22,025    | SH | DFND     |   | 0         | 0 | 22,025 |
| GLOBAL SHIP LEASE<br>INC NEW    | SHS A               | Y27183105 | 629   | 572,076   | SH | DFND     | 1 | 572,076   | 0 | 0      |
| GOLDMAN SACHS<br>MLP INC OPP FD | COM SHS             | 38147W103 | 617   | 79,344    | SH | DFND     | 1 | 79,344    | 0 | 0      |
| GORDON POINTE<br>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 | 1,500 | 150,000   | SH | DFND     | 1 | 150,000   | 0 | 0      |
| GORES HLDGS II INC              | *W EXP<br>01/13/202 | 382867117 | 89    | 50,000    | SH | DFND     | 1 | 50,000    | 0 | 0      |
| GROUPON INC                     | COM                 | 399473107 | 1,137 | 262,016   | SH | DFND     | 1 | 262,016   | 0 | 0      |
| GSV CAP CORP                    | COM                 | 36191J101 | 35    | 4,600     | SH | DFND     | 1 | 4,600     | 0 | 0      |
| GSV CAP CORP                    | COM                 | 36191J101 | 61    | 8,100     | SH | DFND     |   | 0         | 0 | 8,100  |
| GTY TECHNOLOGY<br>HOLDINGS INC  | CL A                | G4182A102 | 2,478 | 250,099   | SH | DFND     | 1 | 250,099   | 0 | 0      |
| GTY TECHNOLOGY<br>HOLDINGS INC  | *W EXP<br>10/25/202 | G4182A128 | 71    | 58,333    | SH | DFND     | 1 | 58,333    | 0 | 0      |
| GW<br>PHARMACEUTICALS<br>PLC    | ADS                 | 36197T103 | 225   | 2,000     | SH | Put DFND |   | 2,000     | 0 | 0      |
| HC2 HLDGS INC                   | COM                 | 404139107 | 1,557 | 296,002   | SH | DFND     |   | 296,002   | 0 | 0      |
| HC2 HLDGS INC                   | COM                 | 404139107 | 5,807 | 1,103,999 | SH | DFND     | 1 | 1,103,999 | 0 | 0      |
| HEALTH INS<br>INNOVATIONS INC   | COM CL A            | 42225K106 | 3,954 | 136,800   | SH | DFND     | 1 | 136,800   | 0 | 0      |
| HEALTH INS<br>INNOVATIONS INC   | COM CL A            | 42225K106 | 6,098 | 211,000   | SH | DFND     |   | 211,000   | 0 | 0      |
| HENRY JACK &<br>ASSOC INC       | COM                 | 426281101 | 451   | 3,730     | SH | DFND     |   | 0         | 0 | 3,730  |
| HERBALIFE LTD                   | COM USD SHS         | G4412G101 | 1,949 | 20,000    | SH | Put DFND |   | 20,000    | 0 | 0      |
| HEWLETT PACKARD<br>ENTERPRISE C | COM                 | 42824C109 | 4     | 241       | SH | DFND     |   | 0         | 0 | 241    |

|                              |                  |           |       |         |    |      |   |         |   |        |
|------------------------------|------------------|-----------|-------|---------|----|------|---|---------|---|--------|
| HEWLETT PACKARD ENTERPRISE C | COM              | 42824C109 | 970   | 55,312  | SH | DFND | 1 | 55,312  | 0 | 0      |
| HI-CRUSH PARTNERS LP         | COM UNIT LTD     | 428337109 | 93    | 8,800   | SH | DFND |   | 0       | 0 | 8,800  |
| HI-CRUSH PARTNERS LP         | COM UNIT LTD     | 428337109 | 250   | 23,630  | SH | DFND | 1 | 23,630  | 0 | 0      |
| HI-CRUSH PARTNERS LP         | COM UNIT LTD     | 428337109 | 854   | 80,570  | SH | DFND |   | 80,570  | 0 | 0      |
| HOME DEPOT INC               | COM              | 437076102 | 242   | 1,360   | SH | DFND | 1 | 1,360   | 0 | 0      |
| HOME DEPOT INC               | COM              | 437076102 | 243   | 1,365   | SH | DFND |   | 0       | 0 | 1,365  |
| HORMEL FOODS CORP            | COM              | 440452100 | 362   | 10,544  | SH | DFND |   | 0       | 0 | 10,544 |
| HORNBECK OFFSHORE SVCS INC N | NOTE 1.500% 9/0  | 440543AN6 | 210   | 271,000 | SH | DFND |   | 271,000 | 0 | 0      |
| HP INC                       | COM              | 40434L105 | 2,390 | 109,048 | SH | DFND | 1 | 109,048 | 0 | 0      |
| II VI INC                    | COM              | 902104108 | 1,023 | 25,000  | SH | DFND |   | 25,000  | 0 | 0      |
| ILLINOIS TOOL WKS INC        | COM              | 452308109 | 530   | 3,383   | SH | DFND |   | 0       | 0 | 3,383  |
| IMMERSION CORP               | COM              | 452521107 | 1,434 | 120,000 | SH | DFND |   | 120,000 | 0 | 0      |
| INDUSTRIAL LOGISTICS PPTYS T | COM SHS BEN INT  | 456237106 | 299   | 14,714  | SH | DFND | 1 | 14,714  | 0 | 0      |
| INSEEGO CORP                 | NOTE 5.500% 6/1  | 45782BAA2 | 193   | 250,000 | SH | DFND |   | 250,000 | 0 | 0      |
| INTEL CORP                   | COM              | 458140100 | 21    | 400     | SH | DFND | 1 | 400     | 0 | 0      |
| INTEL CORP                   | COM              | 458140100 | 328   | 6,295   | SH | DFND |   | 0       | 0 | 6,295  |
| INTERNATIONAL BUSINESS MACHS | COM              | 459200101 | 275   | 1,795   | SH | DFND |   | 0       | 0 | 1,795  |
| INTERNATIONAL BUSINESS MACHS | COM              | 459200101 | 767   | 5,000   | SH | DFND |   | 5,000   | 0 | 0      |
| INVUITY INC                  | COM NEW          | 46187J205 | 555   | 144,100 | SH | DFND |   | 144,100 | 0 | 0      |
| ISHARES INC                  | MSCI BRAZIL ETF  | 464286400 | 196   | 4,375   | SH | DFND |   | 0       | 0 | 4,375  |
| ISHARES INC                  | MSCI BRAZIL ETF  | 464286400 | 343   | 7,640   | SH | DFND | 1 | 7,640   | 0 | 0      |
| ISHARES INC                  | MIN VOL GBL ETF  | 464286525 | 1,217 | 14,523  | SH | DFND | 1 | 14,523  | 0 | 0      |
| ISHARES INC                  | MSCI JPN ETF NEW | 46434G822 | 8     | 131     | SH | DFND | 1 | 131     | 0 | 0      |
| ISHARES INC                  | MSCI JPN ETF NEW | 46434G822 | 198   | 3,270   | SH | DFND |   | 0       | 0 | 3,270  |
| ISHARES TR                   | SELECT DIVID ETF | 464287168 | 861   | 9,054   | SH | DFND | 1 | 9,054   | 0 | 0      |
| ISHARES TR                   | MSCI EMG MKT ETF | 464287234 | 407   | 8,427   | SH | DFND | 1 | 8,427   | 0 | 0      |
| ISHARES TR                   | MSCI EMG MKT ETF | 464287234 | 407   | 8,435   | SH | DFND |   | 0       | 0 | 8,435  |
| ISHARES TR                   | IBOXX INV CP ETF | 464287242 | 1,169 | 9,959   | SH | DFND | 1 | 9,959   | 0 | 0      |
| ISHARES TR                   | S&P 500 GRWT ETF | 464287309 | 430   | 2,773   | SH | DFND |   | 0       | 0 | 2,773  |
| ISHARES TR                   | LATN AMER 40 ETF | 464287390 | 115   | 3,070   | SH | DFND |   | 0       | 0 | 3,070  |
| ISHARES TR                   | LATN AMER 40 ETF | 464287390 | 257   | 6,849   | SH | DFND | 1 | 6,849   | 0 | 0      |

|            |                     |           |       |        |    |      |   |        |   |        |
|------------|---------------------|-----------|-------|--------|----|------|---|--------|---|--------|
| ISHARES TR | MSCI EAFE<br>ETF    | 464287465 | 935   | 13,425 | SH | DFND |   | 0      | 0 | 13,425 |
| ISHARES TR | MSCI EAFE<br>ETF    | 464287465 | 1,384 | 19,864 | SH | DFND | 1 | 19,864 | 0 | 0      |
| ISHARES TR | RUS MDCP<br>VAL ETF | 464287473 | 60    | 693    | SH | DFND | 1 | 693    | 0 | 0      |
| ISHARES TR | RUS MDCP<br>VAL ETF | 464287473 | 398   | 4,605  | SH | DFND |   | 0      | 0 | 4,605  |
| ISHARES TR | RUS MD CP GR<br>ETF | 464287481 | 71    | 581    | SH | DFND | 1 | 581    | 0 | 0      |
| ISHARES TR | RUS MD CP GR<br>ETF | 464287481 | 2,307 | 18,765 | SH | DFND |   | 0      | 0 | 18,765 |
| ISHARES TR | RUS MID CAP<br>ETF  | 464287499 | 191   | 927    | SH | DFND |   | 0      | 0 | 927    |
| ISHARES TR | RUS MID CAP<br>ETF  | 464287499 | 3,551 | 17,199 | SH | DFND | 1 | 17,199 | 0 | 0      |
| ISHARES TR | CORE S&P<br>MCP ETF | 464287507 | 191   | 1,018  | SH | DFND |   | 0      | 0 | 1,018  |
| ISHARES TR | CORE S&P<br>MCP ETF | 464287507 | 491   | 2,616  | SH | DFND | 1 | 2,616  | 0 | 0      |
| ISHARES TR | NASDAQ<br>BIOTECH   | 464287556 | 27    | 249    | SH | DFND |   | 0      | 0 | 249    |
| ISHARES TR | NASDAQ<br>BIOTECH   | 464287556 | 679   | 6,357  | SH | DFND | 1 | 6,357  | 0 | 0      |
| ISHARES TR | S&P MC<br>400GR ETF | 464287606 | 13    | 61     | SH | DFND | 1 | 61     | 0 | 0      |
| ISHARES TR | S&P MC<br>400GR ETF | 464287606 | 340   | 1,556  | SH | DFND |   | 0      | 0 | 1,556  |
| ISHARES TR | RUS 1000 GRW<br>ETF | 464287614 | 280   | 2,057  | SH | DFND | 1 | 2,057  | 0 | 0      |
| ISHARES TR | RUS 1000 GRW<br>ETF | 464287614 | 384   | 2,818  | SH | DFND |   | 0      | 0 | 2,818  |
| ISHARES TR | RUS 2000 GRW<br>ETF | 464287648 | 261   | 1,369  | SH | DFND |   | 0      | 0 | 1,369  |
| ISHARES TR | RUS 2000 GRW<br>ETF | 464287648 | 460   | 2,416  | SH | DFND | 1 | 2,416  | 0 | 0      |
| ISHARES TR | CORE S&P SCP<br>ETF | 464287804 | 264   | 3,422  | SH | DFND | 1 | 3,422  | 0 | 0      |
| ISHARES TR | CORE S&P SCP<br>ETF | 464287804 | 509   | 6,615  | SH | DFND |   | 0      | 0 | 6,615  |
| ISHARES TR | S&P SML 600<br>GWT  | 464287887 | 732   | 4,208  | SH | DFND |   | 0      | 0 | 4,208  |
| ISHARES TR | MSCI ACWI EX<br>US  | 464288240 | 527   | 10,611 | SH | DFND | 1 | 10,611 | 0 | 0      |
| ISHARES TR | EAFE SML CP<br>ETF  | 464288273 | 3     | 46     | SH | DFND | 1 | 46     | 0 | 0      |
| ISHARES TR | EAFE SML CP<br>ETF  | 464288273 | 295   | 4,519  | SH | DFND |   | 0      | 0 | 4,519  |
| ISHARES TR | JPMORGAN<br>USD EMG | 464288281 | 259   | 2,299  | SH | DFND |   | 0      | 0 | 2,299  |
| ISHARES TR | JPMORGAN<br>USD EMG | 464288281 | 1,202 | 10,652 | SH | DFND | 1 | 10,652 | 0 | 0      |
| ISHARES TR | NEW YORK<br>MUN ETF | 464288323 | 1,553 | 28,347 | SH | DFND | 1 | 28,347 | 0 | 0      |
| ISHARES TR | CALIF MUN<br>BD ETF | 464288356 | 373   | 6,382  | SH | DFND | 1 | 6,382  | 0 | 0      |
| ISHARES TR | NATIONAL<br>MUN ETF | 464288414 | 1,101 | 10,108 | SH | DFND | 1 | 10,108 | 0 | 0      |



|                                    |                        |           |        |           |    |     |      |   |           |   |        |
|------------------------------------|------------------------|-----------|--------|-----------|----|-----|------|---|-----------|---|--------|
| ISHARES TR                         | INTL SEL DIV<br>ETF    | 464288448 | 1,794  | 54,346    | SH |     | DFND | 1 | 54,346    | 0 | 0      |
| ISHARES TR                         | 1 3 YR CR BD<br>ETF    | 464288646 | 1,986  | 19,133    | SH |     | DFND | 1 | 19,133    | 0 | 0      |
| ISHARES TR                         | GLOBAL<br>MATER ETF    | 464288695 | 368    | 5,448     | SH |     | DFND | 1 | 5,448     | 0 | 0      |
| ISHARES TR                         | EAFE GRWTH<br>ETF      | 464288885 | 404    | 5,026     | SH |     | DFND |   | 0         | 0 | 5,026  |
| ISHARES TR                         | RUS TP200 GR<br>ETF    | 464289438 | 3,379  | 45,803    | SH |     | DFND |   | 0         | 0 | 45,803 |
| ISHARES TR                         | MSCI INDIA<br>ETF      | 46429B598 | 20     | 590       | SH |     | DFND | 1 | 590       | 0 | 0      |
| ISHARES TR                         | MSCI INDIA<br>ETF      | 46429B598 | 445    | 13,050    | SH |     | DFND |   | 0         | 0 | 13,050 |
| ISHARES TR                         | FLTG RATE NT<br>ETF    | 46429B655 | 3,284  | 64,484    | SH |     | DFND | 1 | 64,484    | 0 | 0      |
| ISHARES TR                         | MIN VOL EAFE<br>ETF    | 46429B689 | 651    | 8,831     | SH |     | DFND | 1 | 8,831     | 0 | 0      |
| ISHARES TR                         | MIN VOL USA<br>ETF     | 46429B697 | 826    | 15,902    | SH |     | DFND | 1 | 15,902    | 0 | 0      |
| ISHARES TR                         | BARCLAYS 7<br>10 YR    | 464287440 | 10,319 | 100,000   | SH | Put | DFND | 1 | 100,000   | 0 | 0      |
| ISHARES INC                        | CORE MSCI<br>EMKT      | 46434G103 | 287    | 4,909     | SH |     | DFND |   | 0         | 0 | 4,909  |
| ISHARES TR                         | USA<br>MOMENTUM<br>FCT | 46432F396 | 1,077  | 10,167    | SH |     | DFND |   | 0         | 0 | 10,167 |
| ISHARES TR                         | CORE MSCI<br>EAFE      | 46432F842 | 682    | 10,352    | SH |     | DFND | 1 | 10,352    | 0 | 0      |
| ITERIS INC                         | COM                    | 46564T107 | 995    | 200,688   | SH |     | DFND | 1 | 200,688   | 0 | 0      |
| J JILL INC                         | COM                    | 46620W102 | 88     | 20,000    | SH |     | DFND | 1 | 20,000    | 0 | 0      |
| JOHNSON &<br>JOHNSON               | COM                    | 478160104 | 149    | 1,160     | SH |     | DFND | 1 | 1,160     | 0 | 0      |
| JOHNSON &<br>JOHNSON               | COM                    | 478160104 | 566    | 4,413     | SH |     | DFND |   | 0         | 0 | 4,413  |
| JPMORGAN CHASE &<br>CO             | COM                    | 46625H100 | 26     | 232       | SH |     | DFND | 1 | 232       | 0 | 0      |
| JPMORGAN CHASE &<br>CO             | COM                    | 46625H100 | 250    | 2,271     | SH |     | DFND |   | 0         | 0 | 2,271  |
| KAYNE ANDERSON<br>ACQUISITION      | COM CL A               | 48661U102 | 2,056  | 209,998   | SH |     | DFND | 1 | 209,998   | 0 | 0      |
| KAYNE ANDERSON<br>ACQUISITION      | *W EXP<br>06/30/202    | 48661U110 | 62     | 66,666    | SH |     | DFND | 1 | 66,666    | 0 | 0      |
| KBL MERGER CORP<br>IV              | UNIT<br>01/15/2024     | 48242A203 | 416    | 40,000    | SH |     | DFND | 1 | 40,000    | 0 | 0      |
| KEARNY FINL CORP<br>MD             | COM                    | 48716P108 | 390    | 30,000    | SH |     | DFND |   | 30,000    | 0 | 0      |
| KINDRED<br>BIOSCIENCES INC         | COM                    | 494577109 | 1,120  | 129,513   | SH |     | DFND | 1 | 129,513   | 0 | 0      |
| KRATOS DEFENSE &<br>SEC SOLUTIO    | COM NEW                | 50077B207 | 1,219  | 118,422   | SH |     | DFND | 1 | 118,422   | 0 | 0      |
| LADENBURG<br>THALMAN FIN SVCS<br>I | COM                    | 50575Q102 | 491    | 150,000   | SH |     | DFND | 1 | 150,000   | 0 | 0      |
| LIMELIGHT<br>NETWORKS INC          | COM                    | 53261M104 | 1,312  | 319,130   | SH |     | DFND |   | 319,130   | 0 | 0      |
| LIMELIGHT<br>NETWORKS INC          | COM                    | 53261M104 | 6,876  | 1,673,040 | SH |     | DFND | 1 | 1,673,040 | 0 | 0      |

|                                    |                     |           |        |           |    |      |      |           |   |        |
|------------------------------------|---------------------|-----------|--------|-----------|----|------|------|-----------|---|--------|
| LINCOLN ELEC<br>HLDGS INC          | COM                 | 533900106 | 263    | 2,921     | SH | DFND |      | 0         | 0 | 2,921  |
| LOCKHEED MARTIN<br>CORP            | COM                 | 539830109 | 799    | 2,365     | SH | DFND |      | 0         | 0 | 2,365  |
| LONESTAR RES US<br>INC             | CL A VTG            | 54240F103 | 4,548  | 1,048,028 | SH | DFND |      | 1,048,028 | 0 | 0      |
| LUMENTUM HLDGS<br>INC              | COM                 | 55024U109 | 32     | 500       | SH | DFND |      | 0         | 0 | 500    |
| LUMENTUM HLDGS<br>INC              | COM                 | 55024U109 | 1,099  | 17,231    | SH | DFND | 1    | 17,231    | 0 | 0      |
| MAGICJACK<br>VOCALTEC LTD          | SHS                 | M6787E101 | 10,497 | 1,249,600 | SH | DFND |      | 1,249,600 | 0 | 0      |
| MAMMOTH ENERGY<br>SVCS INC         | COM                 | 56155L108 | 481    | 15,000    | SH | DFND |      | 15,000    | 0 | 0      |
| MANPOWERGROUP<br>INC               | COM                 | 56418H100 | 401    | 3,483     | SH | DFND |      | 0         | 0 | 3,483  |
| MARTIN<br>MIDSTREAM<br>PRTNRS L P  | UNIT L P INT        | 573331105 | 304    | 22,509    | SH | DFND | 1    | 22,509    | 0 | 0      |
| MARVELL<br>TECHNOLOGY<br>GROUP LTD | ORD                 | G5876H105 | 15     | 700       | SH | DFND |      | 0         | 0 | 700    |
| MARVELL<br>TECHNOLOGY<br>GROUP LTD | ORD                 | G5876H105 | 1,058  | 50,396    | SH | DFND | 1    | 50,396    | 0 | 0      |
| MATLIN &<br>PARTNERS<br>ACQUISITIO | CL A                | 57682V106 | 980    | 100,000   | SH | DFND | 1    | 100,000   | 0 | 0      |
| MATLIN &<br>PARTNERS<br>ACQUISITIO | *W EXP<br>05/28/202 | 57682V114 | 50     | 100,000   | SH | DFND | 1    | 100,000   | 0 | 0      |
| MATTERSIGHT CORP                   | COM                 | 577097108 | 105    | 50,000    | SH | DFND |      | 50,000    | 0 | 0      |
| MERCK & CO INC                     | COM                 | 58933Y105 | 46     | 852       | SH | DFND | 1    | 852       | 0 | 0      |
| MERCK & CO INC                     | COM                 | 58933Y105 | 278    | 5,104     | SH | DFND |      | 0         | 0 | 5,104  |
| MICRON<br>TECHNOLOGY INC           | COM                 | 595112103 | 104    | 2,000     | SH | DFND |      | 2,000     | 0 | 0      |
| MICRON<br>TECHNOLOGY INC           | COM                 | 595112103 | 490    | 9,405     | SH | DFND |      | 0         | 0 | 9,405  |
| MICROSOFT CORP                     | COM                 | 594918104 | 959    | 10,508    | SH | DFND |      | 0         | 0 | 10,508 |
| MICROSOFT CORP                     | COM                 | 594918104 | 3,264  | 35,761    | SH | DFND | 1    | 35,761    | 0 | 0      |
| MITEL NETWORKS<br>CORP             | COM                 | 60671Q104 | 1,603  | 172,748   | SH | DFND |      | 172,748   | 0 | 0      |
| MONDELEZ INTL INC                  | CL A                | 609207105 | 310    | 7,419     | SH | DFND |      | 0         | 0 | 7,419  |
| MONOTYPE<br>IMAGING HOLDINGS<br>IN | COM                 | 61022P100 | 1,066  | 47,476    | SH | DFND | 1    | 47,476    | 0 | 0      |
| MONSANTO CO NEW                    | COM                 | 61166W101 | 223    | 1,911     | SH | DFND |      | 0         | 0 | 1,911  |
| NATURAL<br>RESOURCE<br>PARTNERS L  | COM UNIT<br>LTD PAR | 63900P608 | 694    | 24,171    | SH | DFND |      | 24,171    | 0 | 0      |
| NATURAL<br>RESOURCE<br>PARTNERS L  | COM UNIT<br>LTD PAR | 63900P608 | 1,570  | 54,700    | SH | Call | DFND | 54,700    | 0 | 0      |
| NETSCOUT SYS INC                   | COM                 | 64115T104 | 1,205  | 45,732    | SH | DFND | 1    | 45,732    | 0 | 0      |
| NEW MTN FIN CORP                   | COM                 | 647551100 | 395    | 30,000    | SH | DFND | 1    | 30,000    | 0 | 0      |
| NOVAVAX INC                        | COM                 | 670002104 | 22     | 10,500    | SH | DFND | 1    | 10,500    | 0 | 0      |

|                              |                  |           |       |         |    |      |   |         |   |        |
|------------------------------|------------------|-----------|-------|---------|----|------|---|---------|---|--------|
| NUVEEN BUILD AMER BDFD       | COM              | 67074C103 | 496   | 23,847  | SH | DFND | 1 | 23,847  | 0 | 0      |
| NUVEEN CR OPPORTUNITIES 2022 | COM              | 67075U102 | 450   | 46,824  | SH | DFND |   | 0       | 0 | 46,824 |
| NUVEEN HIGH INCOME 2020 TARG | COM              | 67075L102 | 612   | 62,363  | SH | DFND |   | 0       | 0 | 62,363 |
| NUVEEN HIGH INCOME DECMBR 20 | COM              | 67076E107 | 599   | 60,786  | SH | DFND |   | 0       | 0 | 60,786 |
| NUVEEN HIGH INCOME NOVEMBER  | COM              | 67077N106 | 917   | 94,786  | SH | DFND |   | 0       | 0 | 94,786 |
| NUVEEN MTG OPPORTUNITY TERM  | COM              | 670735109 | 223   | 9,383   | SH | DFND | 1 | 9,383   | 0 | 0      |
| O REILLY AUTOMOTIVE INC NEW  | COM              | 67103H107 | 255   | 1,030   | SH | DFND |   | 0       | 0 | 1,030  |
| OAKTREE STRATEGIC INCOME COR | COM              | 67402D104 | 160   | 20,300  | SH | DFND |   | 20,300  | 0 | 0      |
| OHA INVT CORP                | COM              | 67091U102 | 126   | 90,000  | SH | DFND |   | 90,000  | 0 | 0      |
| ON SEMICONDUCTOR CORP        | COM              | 682189105 | 1,514 | 61,898  | SH | DFND | 1 | 61,898  | 0 | 0      |
| ONE LIBERTY PPTYS INC        | COM              | 682406103 | 434   | 19,644  | SH | DFND | 1 | 19,644  | 0 | 0      |
| OOMA INC                     | COM              | 683416101 | 1,095 | 100,441 | SH | DFND | 1 | 100,441 | 0 | 0      |
| OPKO HEALTH INC              | COM              | 68375N103 | 32    | 10,000  | SH | DFND |   | 0       | 0 | 10,000 |
| PAYPAL HLDGS INC             | COM              | 70450Y103 | 317   | 4,184   | SH | DFND |   | 0       | 0 | 4,184  |
| PENNANTPARK FLOATING RATE CA | COM              | 70806A106 | 2,421 | 184,936 | SH | DFND | 1 | 184,936 | 0 | 0      |
| PENNANTPARK INVT CORP        | COM              | 708062104 | 2,686 | 402,120 | SH | DFND | 1 | 402,120 | 0 | 0      |
| PFIZER INC                   | COM              | 717081103 | 183   | 5,150   | SH | DFND | 1 | 5,150   | 0 | 0      |
| PFIZER INC                   | COM              | 717081103 | 538   | 15,168  | SH | DFND |   | 0       | 0 | 15,168 |
| PHYSICIANS RLTY TR           | COM              | 71943U104 | 159   | 10,200  | SH | DFND |   | 0       | 0 | 10,200 |
| PIMCO ETF TR                 | ENHNCD LW DUR AC | 72201R718 | 3,017 | 30,188  | SH | DFND | 1 | 30,188  | 0 | 0      |
| PIMCO ETF TR                 | ENHAN SHRT MA AC | 72201R833 | 203   | 2,000   | SH | DFND |   | 0       | 0 | 2,000  |
| PIMCO ETF TR                 | ENHAN SHRT MA AC | 72201R833 | 7,768 | 76,491  | SH | DFND | 1 | 76,491  | 0 | 0      |
| PLATFORM SPECIALTY PRODS COR | COM              | 72766Q105 | 578   | 60,000  | SH | DFND | 1 | 60,000  | 0 | 0      |
| POWERSHARES ETF TR II        | PFD PORTFOLIO    | 73936T565 | 777   | 53,197  | SH | DFND | 1 | 53,197  | 0 | 0      |
| POWERSHARES ETF TRUST        | DWA MOMENTUM PTF | 73935X153 | 387   | 7,350   | SH | DFND |   | 0       | 0 | 7,350  |
| POWERSHARES ETF TRUST        | HI YLD EQ DVDN   | 73935X302 | 501   | 29,435  | SH | DFND |   | 0       | 0 | 29,435 |
| POWERSHARES ETF TRUST        | DYN BIOT & GEN   | 73935X856 | 300   | 6,102   | SH | DFND | 1 | 6,102   | 0 | 0      |
| POWERSHARES ETF TRUST II     | DWA EMKT MOM PTF | 73936Q207 | 467   | 21,732  | SH | DFND |   | 0       | 0 | 21,732 |
| POWERSHARES QQQ TRUST        | UNIT SER 1       | 73935A104 | 192   | 1,201   | SH | DFND |   | 0       | 0 | 1,201  |

|                              |                  |           |        |         |    |     |      |   |         |   |        |
|------------------------------|------------------|-----------|--------|---------|----|-----|------|---|---------|---|--------|
| POWERSHARES QQQ TRUST        | UNIT SER 1       | 73935A104 | 1,222  | 7,632   | SH |     | DFND | 1 | 7,632   | 0 | 0      |
| POWERSHARES QQQ TRUST        | UNIT SER 1       | 73935A104 | 24,020 | 150,000 | SH | Put | DFND |   | 150,000 | 0 | 0      |
| POWERSHS DB MULTI SECT COMM  | DB OIL FUND      | 73936B507 | 196    | 17,564  | SH |     | DFND |   | 0       | 0 | 17,564 |
| PRIMO WTR CORP               | COM              | 74165N105 | 1,304  | 111,358 | SH |     | DFND | 1 | 111,358 | 0 | 0      |
| PROCTER AND GAMBLE CO        | COM              | 742718109 | 15     | 187     | SH |     | DFND | 1 | 187     | 0 | 0      |
| PROCTER AND GAMBLE CO        | COM              | 742718109 | 529    | 6,672   | SH |     | DFND |   | 0       | 0 | 6,672  |
| PROSHARES TR                 | PSHS LC COR PLUS | 74347R248 | 387    | 5,814   | SH |     | DFND |   | 0       | 0 | 5,814  |
| RADISYS CORP                 | COM              | 750459109 | 62     | 96,600  | SH |     | DFND |   | 96,600  | 0 | 0      |
| RANGER ENERGY SVCS INC       | COM CL A         | 75282U104 | 3,379  | 415,170 | SH |     | DFND |   | 415,170 | 0 | 0      |
| RAYTHEON CO                  | COM NEW          | 755111507 | 427    | 1,976   | SH |     | DFND |   | 0       | 0 | 1,976  |
| RED LION HOTELS CORP         | COM              | 756764106 | 1,166  | 119,594 | SH |     | DFND | 1 | 119,594 | 0 | 0      |
| RENT A CTR INC NEW           | COM              | 76009N100 | 876    | 101,500 | SH |     | DFND |   | 101,500 | 0 | 0      |
| RUBICON PROJ INC             | COM              | 78112V102 | 180    | 100,000 | SH |     | DFND |   | 100,000 | 0 | 0      |
| S&W SEED CO                  | COM              | 785135104 | 1,137  | 315,770 | SH |     | DFND | 1 | 315,770 | 0 | 0      |
| SACHEM CAP CORP              | COM              | 78590A109 | 1,235  | 355,850 | SH |     | DFND | 1 | 355,850 | 0 | 0      |
| SACHEM CAP CORP              | COM              | 78590A109 | 1,321  | 380,704 | SH |     | DFND |   | 380,704 | 0 | 0      |
| SELECT ENERGY SVCS INC       | CL A COM         | 81617J301 | 5,493  | 435,267 | SH |     | DFND | 1 | 435,267 | 0 | 0      |
| SELECT SECTOR SPDR TR        | SBI CONS DISCR   | 81369Y407 | 348    | 3,440   | SH |     | DFND | 1 | 3,440   | 0 | 0      |
| SELECT SECTOR SPDR TR        | SBI CONS DISCR   | 81369Y407 | 381    | 3,759   | SH |     | DFND |   | 0       | 0 | 3,759  |
| SELECT SECTOR SPDR TR        | SBI INT-FINL     | 81369Y605 | 5      | 184     | SH |     | DFND | 1 | 184     | 0 | 0      |
| SELECT SECTOR SPDR TR        | SBI INT-FINL     | 81369Y605 | 855    | 31,010  | SH |     | DFND |   | 0       | 0 | 31,010 |
| SELECT SECTOR SPDR TR        | SBI INT-INDS     | 81369Y704 | 221    | 2,972   | SH |     | DFND |   | 0       | 0 | 2,972  |
| SELECT SECTOR SPDR TR        | TECHNOLOGY       | 81369Y803 | 614    | 9,380   | SH |     | DFND |   | 0       | 0 | 9,380  |
| SHERWIN WILLIAMS CO          | COM              | 824348106 | 537    | 1,369   | SH |     | DFND |   | 0       | 0 | 1,369  |
| SHOPIFY INC                  | CL A             | 82509L107 | 324    | 2,600   | SH |     | DFND |   | 0       | 0 | 2,600  |
| SIGA TECHNOLOGIES INC        | COM              | 826917106 | 266    | 43,418  | SH |     | DFND |   | 43,418  | 0 | 0      |
| SINCLAIR BROADCAST GROUP INC | CL A             | 829226109 | 290    | 9,252   | SH |     | DFND | 1 | 9,252   | 0 | 0      |
| SKYWORKS SOLUTIONS INC       | COM              | 83088M102 | 1,093  | 10,905  | SH |     | DFND | 1 | 10,905  | 0 | 0      |
| SNAP INC                     | CL A             | 83304A106 | 170    | 10,700  | SH |     | DFND |   | 0       | 0 | 10,700 |
| SNAP INC                     | CL A             | 83304A106 | 529    | 33,314  | SH |     | DFND | 1 | 33,314  | 0 | 0      |
| SOGO INC                     | ADR REPSTG A     | 83409V104 | 456    | 55,300  | SH | Put | DFND |   | 55,300  | 0 | 0      |
| SOLAR SR CAP LTD             | COM              | 83416M105 | 4,480  | 266,689 | SH |     | DFND | 1 | 266,689 | 0 | 0      |

|                              |                  |           |       |           |    |      |   |           |   |        |
|------------------------------|------------------|-----------|-------|-----------|----|------|---|-----------|---|--------|
| SOUTHCROSS ENERGY PARTNERS L | COM UNIT LTDPT   | 84130C100 | 79    | 48,370    | SH | DFND |   | 0         | 0 | 48,370 |
| SOUTHWESTERN ENERGY CO       | COM              | 845467109 | 297   | 68,629    | SH | DFND | 1 | 68,629    | 0 | 0      |
| SPDR DOW JONES INDL AVRG ETF | UT SER 1         | 78467X109 | 535   | 2,217     | SH | DFND | 1 | 2,217     | 0 | 0      |
| SPDR DOW JONES INDL AVRG ETF | UT SER 1         | 78467X109 | 978   | 4,050     | SH | DFND |   | 0         | 0 | 4,050  |
| SPDR INDEX SHS FDS           | GLB NAT RESRCE   | 78463X541 | 967   | 19,992    | SH | DFND | 1 | 19,992    | 0 | 0      |
| SPDR INDEX SHS FDS           | S&P EMKTSC ETF   | 78463X756 | 1,099 | 20,930    | SH | DFND |   | 0         | 0 | 20,930 |
| SPDR S&P MIDCAP 400 ETF TR   | UTSER1 S&PDCRP   | 78467Y107 | 974   | 2,851     | SH | DFND |   | 0         | 0 | 2,851  |
| SPDR SERIES TRUST            | BLMBRG BRC CNVRT | 78464A359 | 206   | 3,997     | SH | DFND |   | 0         | 0 | 3,997  |
| SPDR SERIES TRUST            | BLOOMBERG BRCLYS | 78464A417 | 5     | 135       | SH | DFND | 1 | 135       | 0 | 0      |
| SPDR SERIES TRUST            | BLOOMBERG BRCLYS | 78464A417 | 313   | 8,740     | SH | DFND |   | 0         | 0 | 8,740  |
| SPDR SERIES TRUST            | DJ REIT ETF      | 78464A607 | 372   | 4,316     | SH | DFND |   | 0         | 0 | 4,316  |
| SPDR S&P 500 ETF TR          | TR UNIT          | 78462F103 | 1,207 | 4,587     | SH | DFND |   | 0         | 0 | 4,587  |
| SPDR S&P 500 ETF TR          | TR UNIT          | 78462F103 | 1,798 | 6,834     | SH | DFND | 1 | 6,834     | 0 | 0      |
| SPIRIT AEROSYSTEMS HLDGS INC | COM CL A         | 848574109 | 422   | 5,043     | SH | DFND |   | 0         | 0 | 5,043  |
| SPLUNK INC                   | COM              | 848637104 | 64    | 653       | SH | DFND |   | 0         | 0 | 653    |
| SPLUNK INC                   | COM              | 848637104 | 590   | 6,000     | SH | DFND | 1 | 6,000     | 0 | 0      |
| SQUARE INC                   | CL A             | 852234103 | 248   | 5,050     | SH | DFND |   | 0         | 0 | 5,050  |
| STAMPS COM INC               | COM NEW          | 852857200 | 101   | 500       | SH | DFND |   | 0         | 0 | 500    |
| STAMPS COM INC               | COM NEW          | 852857200 | 1,131 | 5,627     | SH | DFND | 1 | 5,627     | 0 | 0      |
| STARBUCKS CORP               | COM              | 855244109 | 382   | 6,599     | SH | DFND |   | 0         | 0 | 6,599  |
| STEWART INFORMATION SVCS COR | COM              | 860372101 | 313   | 7,124     | SH | DFND | 1 | 7,124     | 0 | 0      |
| TELENAV INC                  | COM              | 879455103 | 130   | 23,985    | SH | DFND |   | 23,985    | 0 | 0      |
| TELENAV INC                  | COM              | 879455103 | 6,009 | 1,112,695 | SH | DFND | 1 | 1,112,695 | 0 | 0      |
| TEMPUR SEALY INTL INC        | COM              | 88023U101 | 2,237 | 49,385    | SH | DFND |   | 49,385    | 0 | 0      |
| TEMPUR SEALY INTL INC        | COM              | 88023U101 | 6,119 | 135,100   | SH | DFND | 1 | 135,100   | 0 | 0      |
| THL CR INC                   | COM              | 872438106 | 163   | 21,000    | SH | DFND | 1 | 21,000    | 0 | 0      |
| TORTOISE MLP FD INC          | COM              | 89148B101 | 828   | 51,878    | SH | DFND | 1 | 51,878    | 0 | 0      |
| TRUECAR INC                  | COM              | 89785L107 | 1,117 | 118,102   | SH | DFND | 1 | 118,102   | 0 | 0      |
| TWITTER INC                  | COM              | 90184L102 | 135   | 4,650     | SH | DFND |   | 0         | 0 | 4,650  |
| TWITTER INC                  | COM              | 90184L102 | 223   | 7,700     | SH | DFND | 1 | 7,700     | 0 | 0      |
| UMH PPTYS INC                | COM              | 903002103 | 315   | 23,480    | SH | DFND | 1 | 23,480    | 0 | 0      |
| UNION PAC CORP               | COM              | 907818108 | 367   | 2,733     | SH | DFND |   | 0         | 0 | 2,733  |
| URBAN EDGE PPTYS             | COM              | 91704F104 | 307   | 14,365    | SH | DFND | 1 | 14,365    | 0 | 0      |

|                              |                  |           |       |        |    |     |      |   |        |   |        |
|------------------------------|------------------|-----------|-------|--------|----|-----|------|---|--------|---|--------|
| VAIL RESORTS INC             | COM              | 91879Q109 | 554   | 2,500  | SH | Put | DFND |   | 2,500  | 0 | 0      |
| VANGUARD BD INDEX FD INC     | LONG TERM BOND   | 921937793 | 323   | 3,555  | SH |     | DFND |   | 0      | 0 | 3,555  |
| VANGUARD BD INDEX FD INC     | INTERMED TERM    | 921937819 | 52    | 640    | SH |     | DFND | 1 | 640    | 0 | 0      |
| VANGUARD BD INDEX FD INC     | INTERMED TERM    | 921937819 | 1,180 | 14,433 | SH |     | DFND |   | 0      | 0 | 14,433 |
| VANGUARD GROUP               | DIV APP ETF      | 921908844 | 1,576 | 15,592 | SH |     | DFND | 1 | 15,592 | 0 | 0      |
| VANGUARD INTL EQUITY INDEX F | ALLWRLD EX US    | 922042775 | 359   | 6,612  | SH |     | DFND | 1 | 6,612  | 0 | 0      |
| VANGUARD INTL EQUITY INDEX F | FTSE EMR MKT ETF | 922042858 | 135   | 2,872  | SH |     | DFND |   | 0      | 0 | 2,872  |
| VANGUARD INTL EQUITY INDEX F | FTSE EMR MKT ETF | 922042858 | 2,581 | 54,931 | SH |     | DFND | 1 | 54,931 | 0 | 0      |
| VANGUARD INTL EQUITY INDEX F | FTSE PACIFIC ETF | 922042866 | 682   | 9,349  | SH |     | DFND | 1 | 9,349  | 0 | 0      |
| VANGUARD INTL EQUITY INDEX F | FTSE EUROPE ETF  | 922042874 | 34    | 587    | SH |     | DFND |   | 0      | 0 | 587    |
| VANGUARD INTL EQUITY INDEX F | FTSE EUROPE ETF  | 922042874 | 539   | 9,273  | SH |     | DFND | 1 | 9,273  | 0 | 0      |
| VANGUARD MALVERN FDS         | STRM INFPROIDX   | 922020805 | 2,212 | 45,228 | SH |     | DFND | 1 | 45,228 | 0 | 0      |
| VANGUARD SCOTTSDALE FDS      | SHRT TRM CORP BD | 92206C409 | 1,063 | 13,556 | SH |     | DFND |   | 0      | 0 | 13,556 |
| VANGUARD SCOTTSDALE FDS      | SHRT TRM CORP BD | 92206C409 | 4,011 | 51,143 | SH |     | DFND | 1 | 51,143 | 0 | 0      |
| VANGUARD SCOTTSDALE FDS      | LG-TERM CORP BD  | 92206C813 | 721   | 7,891  | SH |     | DFND | 1 | 7,891  | 0 | 0      |
| VANGUARD STAR FD             | VG TL INTL STK F | 921909768 | 564   | 9,971  | SH |     | DFND | 1 | 9,971  | 0 | 0      |
| VANGUARD TAX MANAGED INTL FD | FTSE DEV MKT ETF | 921943858 | 113   | 2,553  | SH |     | DFND | 1 | 2,553  | 0 | 0      |
| VANGUARD TAX MANAGED INTL FD | FTSE DEV MKT ETF | 921943858 | 417   | 9,420  | SH |     | DFND |   | 0      | 0 | 9,420  |
| VANGUARD INDEX FDS           | REAL ESTATE ETF  | 922908553 | 328   | 4,346  | SH |     | DFND |   | 0      | 0 | 4,346  |
| VANGUARD INDEX FDS           | SML CP GRW ETF   | 922908595 | 43    | 263    | SH |     | DFND | 1 | 263    | 0 | 0      |
| VANGUARD INDEX FDS           | SML CP GRW ETF   | 922908595 | 564   | 3,439  | SH |     | DFND |   | 0      | 0 | 3,439  |
| VANGUARD INDEX FDS           | SM CP VAL ETF    | 922908611 | 492   | 3,802  | SH |     | DFND |   | 0      | 0 | 3,802  |
| VANGUARD INDEX FDS           | MID CAP ETF      | 922908629 | 54    | 351    | SH |     | DFND |   | 0      | 0 | 351    |
| VANGUARD INDEX FDS           | MID CAP ETF      | 922908629 | 3,476 | 22,541 | SH |     | DFND | 1 | 22,541 | 0 | 0      |
| VANGUARD INDEX FDS           | LARGE CAP ETF    | 922908637 | 5     | 45     | SH |     | DFND |   | 0      | 0 | 45     |
| VANGUARD INDEX FDS           | LARGE CAP ETF    | 922908637 | 9,254 | 76,343 | SH |     | DFND | 1 | 76,343 | 0 | 0      |
| VANGUARD INDEX FDS           | GROWTH ETF       | 922908736 | 366   | 2,578  | SH |     | DFND | 1 | 2,578  | 0 | 0      |
| VANGUARD INDEX FDS           | GROWTH ETF       | 922908736 | 3,369 | 23,742 | SH |     | DFND |   | 0      | 0 | 23,742 |
| VANGUARD INDEX FDS           | VALUE ETF        | 922908744 | 132   | 1,276  | SH |     | DFND | 1 | 1,276  | 0 | 0      |
| VANGUARD INDEX FDS           | VALUE ETF        | 922908744 | 3,469 | 33,621 | SH |     | DFND |   | 0      | 0 | 33,621 |

|                            |                  |           |       |         |    |      |   |         |   |        |
|----------------------------|------------------|-----------|-------|---------|----|------|---|---------|---|--------|
| VANGUARD INDEX FDS         | SMALL CP ETF     | 922908751 | 64    | 439     | SH | DFND | 1 | 439     | 0 | 0      |
| VANGUARD INDEX FDS         | SMALL CP ETF     | 922908751 | 183   | 1,244   | SH | DFND |   | 0       | 0 | 1,244  |
| VANGUARD INDEX FDS         | TOTAL STK MKT    | 922908769 | 225   | 1,655   | SH | DFND |   | 0       | 0 | 1,655  |
| VANGUARD INDEX FDS         | TOTAL STK MKT    | 922908769 | 2,060 | 15,179  | SH | DFND | 1 | 15,179  | 0 | 0      |
| VANGUARD SCOTTSDALE FDS    | INT-TERM CORP    | 92206C870 | 2,452 | 28,902  | SH | DFND | 1 | 28,902  | 0 | 0      |
| VERIZON COMMUNICATIONS INC | COM              | 92343V104 | 79    | 1,655   | SH | DFND | 1 | 1,655   | 0 | 0      |
| VERIZON COMMUNICATIONS INC | COM              | 92343V104 | 239   | 5,003   | SH | DFND |   | 0       | 0 | 5,003  |
| VIASAT INC                 | COM              | 92552V100 | 26    | 400     | SH | DFND |   | 0       | 0 | 400    |
| VIASAT INC                 | COM              | 92552V100 | 1,071 | 16,293  | SH | DFND | 1 | 16,293  | 0 | 0      |
| VISA INC                   | COM CL A         | 92826C839 | 239   | 1,998   | SH | DFND |   | 0       | 0 | 1,998  |
| VITAMIN SHOPPE INC         | NOTE 2.250%12/0  | 92849EAB7 | 383   | 525,000 | SH | DFND |   | 525,000 | 0 | 0      |
| WESTERN DIGITAL CORP       | COM              | 958102105 | 1,541 | 16,700  | SH | DFND |   | 16,700  | 0 | 0      |
| WIDEPOINT CORP             | COM              | 967590100 | 116   | 200,000 | SH | DFND |   | 200,000 | 0 | 0      |
| WISDOMTREE TR              | HEDGED HI YLD BD | 97717W430 | 416   | 17,411  | SH | DFND |   | 0       | 0 | 17,411 |
| WISDOMTREE TR              | GLB US QTLY DIV  | 97717W844 | 728   | 12,222  | SH | DFND | 1 | 12,222  | 0 | 0      |
| XERIUM TECHNOLOGIES INC    | COM NEW          | 98416J118 | 1,032 | 160,000 | SH | DFND |   | 160,000 | 0 | 0      |