

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: **06-30-2019**

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: **COWEN INC.**

Address: **599 LEXINGTON AVENUE, 20TH FLOOR**

**NEW YORK, NY 10022**

Form 13F File  
Number: **028-14571**

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: **Owen Littman**

Title: **General Counsel**

Phone: **212-201-4841**

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

**/s/ Owen Littman    New York, NY    08-05-2019**

[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).)

**Form 13F Summary Page**

**Report Summary:**

Number of Other Included Managers: **4**

Form 13F Information Table Entry Total: **452**

Form 13F Information Table Value Total: **1,298,546**

(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   | 028-04125            | COWEN & COMPANY, LLC            |
| 2   | 028-18771            | COWEN EXECUTION SERVICES LLC    |
| 3   | 028-13626            | Cowen Investment Management LLC |
| 4   | 028-10674            | RAMIUS ADVISORS LLC             |

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Washington, D.C. 20549  
**FORM 13F**

| OMB APPROVAL                                    |               |
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| OMB Number:                                     | 3235-0006     |
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**FORM 13F INFORMATION TABLE**

| COLUMN 1<br>NAME OF ISSUER   | COLUMN 2<br>TITLE OF CLASS | COLUMN 3<br>CUSIP | COLUMN 4           | COLUMN 5                 |     |              | COLUMN 6                 | COLUMN 7         | COLUMN 8                             |   |   |
|------------------------------|----------------------------|-------------------|--------------------|--------------------------|-----|--------------|--------------------------|------------------|--------------------------------------|---|---|
|                              |                            |                   | VALUE<br>(x\$1000) | SHRS<br>OR<br>PRN<br>AMT | SH/ | PUT/<br>CALL | INVESTMENT<br>DISCRETION | OTHER<br>MANAGER | VOTING AUTHORITY<br>SOLE SHARED NONE |   |   |
| 8I ENTERPRISES ACQUISITIN CO | *W EXP 10/29/202           | G2956M112         | 122                | 435,067                  | SH  |              | DFND                     | 1                | 435,067                              | 0 | 0 |
| 8I ENTERPRISES ACQUISITIN CO | RIGHT 10/29/2020           | G2956M120         | 30                 | 77,959                   | SH  |              | DFND                     | 1                | 77,959                               | 0 | 0 |
| 8I ENTERPRISES ACQUISITIN CO | SHS                        | G2956M104         | 3,465              | 350,000                  | SH  |              | DFND                     | 3                | 350,000                              | 0 | 0 |
| 8I ENTERPRISES ACQUISITIN CO | SHS                        | G2956M104         | 69                 | 6,966                    | SH  |              | DFND                     | 1                | 6,966                                | 0 | 0 |
| 8I ENTERPRISES ACQUISITIN CO | UNIT 99/99/9999            | G2956M138         | 164                | 15,573                   | SH  |              | DFND                     | 1                | 15,573                               | 0 | 0 |
| ABBVIE INC                   | COM                        | 00287Y109         | 514                | 2,068                    | SH  | Call         | DFND                     | 1                | 2,068                                | 0 | 0 |
| ABBVIE INC                   | COM                        | 00287Y109         | 29                 | 1,435                    | SH  | Put          | DFND                     | 1                | 1,435                                | 0 | 0 |
| ACAMAR PARTNERS ACQSITION CO | UNIT 12/30/2025            | 004285201         | 999                | 100,000                  | SH  |              | DFND                     | 1                | 100,000                              | 0 | 0 |
| ACAMAR PARTNERS ACQSITION CO | UNIT 12/30/2025            | 004285201         | 2,008              | 201,000                  | SH  |              | DFND                     | 3                | 201,000                              | 0 | 0 |
| ACT II GLOBAL ACQUISITION CO | UNIT 04/30/2026            | G0080J112         | 643                | 63,555                   | SH  |              | DFND                     | 1                | 63,555                               | 0 | 0 |
| ADVANCED MICRO DEVICES INC   | COM                        | 007903107         | 547                | 18,000                   | SH  |              | DFND                     | 1                | 18,000                               | 0 | 0 |
| ADVANCED MICRO DEVICES INC   | COM                        | 007903107         | 13                 | 400                      | SH  | Put          | DFND                     | 1                | 400                                  | 0 | 0 |
| AGBA ACQUISITION LTD         | UNIT 05/10/2024            | G0120M133         | 645                | 64,324                   | SH  |              | DFND                     | 1                | 64,324                               | 0 | 0 |
| ALBERTON ACQUISITION CORP    | *W EXP 04/26/202           | G35006124         | 74                 | 669,780                  | SH  |              | DFND                     | 1                | 669,780                              | 0 | 0 |
| ALBERTON ACQUISITION CORP    | ORD SHS                    | G35006108         | 379                | 37,364                   | SH  |              | DFND                     | 1                | 37,364                               | 0 | 0 |
| ALBERTON ACQUISITION CORP    | RIGHT 10/04/2020           | G35006132         | 30                 | 121,149                  | SH  |              | DFND                     | 1                | 121,149                              | 0 | 0 |
| ALLEGRO MERGER CORP          | *W EXP 01/06/202           | 01749N111         | 7                  | 24,278                   | SH  |              | DFND                     | 1                | 24,278                               | 0 | 0 |
| ALLEGRO MERGER CORP          | COM                        | 01749N103         | 546                | 54,529                   | SH  |              | DFND                     | 1                | 54,529                               | 0 | 0 |
| ALLEGRO MERGER CORP          | RIGHT 12/31/2023           | 01749N129         | 14                 | 68,978                   | SH  |              | DFND                     | 1                | 68,978                               | 0 | 0 |
| ALTA MESA RES INC            | *W EXP 03/28/202           | 02133L117         | 22                 | 3,075,558                | SH  |              | DFND                     | 1                | 3,075,558                            | 0 | 0 |
| AMCI ACQUISITION CORP        | *W EXP 05/20/202           | 00165R119         | 4                  | 13,000                   | SH  |              | DFND                     | 1                | 13,000                               | 0 | 0 |
| AMERIGAS PARTNERS L P        | UNIT L P INT               | 030975106         | 1,606              | 46,083                   | SH  |              | DFND                     | 3                | 46,083                               | 0 | 0 |
| ANADARKO PETE CORP           | COM                        | 032511107         | 42,756             | 605,955                  | SH  |              | DFND                     | 4                | 605,955                              | 0 | 0 |
| ANADARKO PETE CORP           | COM                        | 032511107         | 91                 | 1,135                    | SH  | Put          | DFND                     | 1                | 1,135                                | 0 | 0 |

|                              |                  |           |        |           |     |      |      |   |           |   |   |
|------------------------------|------------------|-----------|--------|-----------|-----|------|------|---|-----------|---|---|
| ANADARKO PETE CORP           | COM              | 032511107 | 131    | 492,200   | SH  | Put  | DFND | 4 | 492,200   | 0 | 0 |
| ANDINA ACQUISITION CORP III  | *W EXP 07/31/202 | G04415124 | 22     | 102,810   | SH  |      | DFND | 1 | 102,810   | 0 | 0 |
| ANDINA ACQUISITION CORP III  | RIGHT 07/31/2020 | G04415132 | 93     | 358,207   | SH  |      | DFND | 1 | 358,207   | 0 | 0 |
| ANDINA ACQUISITION CORP III  | SHS              | G04415108 | 318    | 32,104    | SH  |      | DFND | 1 | 32,104    | 0 | 0 |
| ANDINA ACQUISITION CORP III  | UNIT 09/24/2020  | G04415116 | 947    | 92,157    | SH  |      | DFND | 1 | 92,157    | 0 | 0 |
| APHRIA INC                   | COM              | 03765K104 | 4,927  | 702,864   | SH  |      | DFND | 2 | 702,864   | 0 | 0 |
| APHRIA INC                   | COM              | 03765K104 | 15     | 976       | SH  | Call | DFND | 1 | 976       | 0 | 0 |
| APHRIA INC                   | COM              | 03765K104 | 257    | 117,200   | SH  | Put  | DFND | 2 | 117,200   | 0 | 0 |
| APHRIA INC                   | COM              | 03765K104 | 245    | 35,000    | SH  |      | DFND | 1 | 35,000    | 0 | 0 |
| APPLIED MATLS INC            | COM              | 038222105 | 221    | 550       | SH  | Call | DFND | 1 | 550       | 0 | 0 |
| ARRAY BIOPHARMA INC          | COM              | 04269X105 | 10,073 | 217,408   | SH  |      | DFND | 4 | 217,408   | 0 | 0 |
| ARRAY BIOPHARMA INC          | COM              | 04269X105 | 64     | 787,100   | SH  | Put  | DFND | 4 | 787,100   | 0 | 0 |
| ARYA SCIENCES ACQUISITION CO | UNIT 10/04/2023  | G3165V117 | 265    | 24,800    | SH  |      | DFND | 1 | 24,800    | 0 | 0 |
| AT HOME GROUP INC            | COM              | 04650Y100 | 343    | 51,449    | SH  |      | DFND | 4 | 51,449    | 0 | 0 |
| AT HOME GROUP INC            | COM              | 04650Y100 | 21     | 250       | SH  | Call | DFND | 1 | 250       | 0 | 0 |
| AT HOME GROUP INC            | COM              | 04650Y100 | 371    | 546,400   | SH  | Call | DFND | 4 | 546,400   | 0 | 0 |
| AT&T INC                     | COM              | 00206R102 | 898    | 26,800    | SH  |      | DFND | 1 | 26,800    | 0 | 0 |
| AT&T INC                     | COM              | 00206R102 | 88     | 1,000     | SH  | Call | DFND | 1 | 1,000     | 0 | 0 |
| ATHENE HLDG LTD              | CL A             | G0684D107 | 1,077  | 25,000    | SH  |      | DFND | 1 | 25,000    | 0 | 0 |
| ATLAS AIR WORLDWIDE HLDGS IN | NOTE 1.875% 6/0  | 049164BJ4 | 307    | 300,000   | PRN |      | DFND | 1 | 300,000   | 0 | 0 |
| AUDENTES THERAPEUTICS INC    | COM              | 05070R104 | 1,446  | 38,190    | SH  |      | DFND | 3 | 38,190    | 0 | 0 |
| AURORA CANNABIS INC          | COM              | 05156X108 | 490    | 62,700    | SH  |      | DFND | 1 | 62,700    | 0 | 0 |
| AURORA CANNABIS INC          | COM              | 05156X108 | 76     | 606       | SH  | Call | DFND | 1 | 606       | 0 | 0 |
| AVAYA HLDGS CORP             | COM              | 05351X101 | 655    | 55,000    | SH  |      | DFND | 1 | 55,000    | 0 | 0 |
| AVAYA HLDGS CORP             | COM              | 05351X101 | 2      | 202       | SH  | Call | DFND | 1 | 202       | 0 | 0 |
| AVAYA HLDGS CORP             | COM              | 05351X101 | 25     | 125,000   | SH  | Call | DFND | 4 | 125,000   | 0 | 0 |
| AVON PRODS INC               | COM              | 054303102 | 506    | 130,500   | SH  |      | DFND | 1 | 130,500   | 0 | 0 |
| AVON PRODS INC               | COM              | 054303102 | 617    | 7,532     | SH  | Call | DFND | 1 | 7,532     | 0 | 0 |
| AVON PRODS INC               | COM              | 054303102 | 4      | 400       | SH  | Put  | DFND | 1 | 400       | 0 | 0 |
| AXALTA COATING SYS LTD       | COM              | G0750C108 | 997    | 33,500    | SH  |      | DFND | 1 | 33,500    | 0 | 0 |
| B RILEY PRINCIPAL MERGER COR | CL A             | 05586Y106 | 183    | 18,800    | SH  |      | DFND | 1 | 18,800    | 0 | 0 |
| B RILEY PRINCIPAL MERGER COR | UNIT 99/99/9999  | 05586Y205 | 3,194  | 320,411   | SH  |      | DFND | 1 | 320,411   | 0 | 0 |
| BANCO SANTANDER MEXICO S A   | SPONSORED ADS B  | 05969B103 | 2,481  | 324,337   | SH  |      | DFND | 2 | 324,337   | 0 | 0 |
| BANCO SANTANDER SA           | ADR              | 05964H105 | 41,379 | 9,034,700 | SH  |      | DFND | 2 | 9,034,700 | 0 | 0 |

|                                |                  |           |        |           |    |      |      |   |           |   |   |
|--------------------------------|------------------|-----------|--------|-----------|----|------|------|---|-----------|---|---|
| BANCO SANTANDER SA             | ADR              | 05964H105 | 20,232 | 4,417,479 | SH |      | DFND | 3 | 4,417,479 | 0 | 0 |
| BANK N S HALIFAX               | COM              | 064149107 | 54,350 | 1,000,000 | SH |      | DFND | 3 | 1,000,000 | 0 | 0 |
| BANK N S HALIFAX               | COM              | 064149107 | 5,811  | 1,000,000 | SH | Put  | DFND | 3 | 1,000,000 | 0 | 0 |
| BARCLAYS PLC                   | ADR              | 06738E204 | 2,468  | 324,358   | SH |      | DFND | 3 | 324,358   | 0 | 0 |
| BB&T CORP                      | COM              | 054937107 | 198    | 201,300   | SH | Put  | DFND | 4 | 201,300   | 0 | 0 |
| BEYOND MEAT INC                | COM              | 08862E109 | 41     | 16,200    | SH | Call | DFND | 2 | 16,200    | 0 | 0 |
| BHP GROUP PLC                  | SPONSORED ADR    | 05545E209 | 4,644  | 90,868    | SH |      | DFND | 2 | 90,868    | 0 | 0 |
| BIG ROCK PARTNERS ACQUI SI CO  | *W EXP 12/01/202 | 089482111 | 15     | 67,000    | SH |      | DFND | 1 | 67,000    | 0 | 0 |
| BIG ROCK PARTNERS ACQUI SI CO  | RIGHT 12/01/2022 | 089482129 | 17     | 90,020    | SH |      | DFND | 1 | 90,020    | 0 | 0 |
| BIOHAVEN PHARMA CT L HLDG CO L | COM              | G11196105 | 119    | 125       | SH | Put  | DFND | 1 | 125       | 0 | 0 |
| BIOHAVEN PHARMA CT L HLDG CO L | COM              | G11196105 | 48     | 302       | SH | Call | DFND | 1 | 302       | 0 | 0 |
| BIOHAVEN PHARMA CT L HLDG CO L | COM              | G11196105 | 543    | 105,000   | SH | Call | DFND | 4 | 105,000   | 0 | 0 |
| BIOSCRIP INC                   | COM              | 09069N108 | 27     | 10,239    | SH |      | DFND | 4 | 10,239    | 0 | 0 |
| BLACK RIDGE ACQUISITION CORP   | *W EXP 07/10/202 | 09216T115 | 27     | 65,600    | SH |      | DFND | 1 | 65,600    | 0 | 0 |
| BLACK RIDGE ACQUISITION CORP   | *W EXP 07/10/202 | 09216T115 | 21     | 50,000    | SH |      | DFND | 3 | 50,000    | 0 | 0 |
| BLACK RIDGE ACQUISITION CORP   | COM              | 09216T107 | 6,894  | 670,000   | SH |      | DFND | 3 | 670,000   | 0 | 0 |
| BLACK RIDGE ACQUISITION CORP   | COM              | 09216T107 | 1      | 100       | SH |      | DFND | 1 | 100       | 0 | 0 |
| BLACK RIDGE ACQUISITION CORP   | RIGHT 07/10/2019 | 09216T123 | 208    | 494,461   | SH |      | DFND | 1 | 494,461   | 0 | 0 |
| BLACK RIDGE ACQUISITION CORP   | RIGHT 07/10/2019 | 09216T123 | 21     | 50,000    | SH |      | DFND | 3 | 50,000    | 0 | 0 |
| BLUEBIRD BIO INC               | COM              | 09609G100 | 1,908  | 15,000    | SH |      | DFND | 3 | 15,000    | 0 | 0 |
| BLUEPRINT MEDICINES CORP       | COM              | 09627Y109 | 2,075  | 22,000    | SH |      | DFND | 3 | 22,000    | 0 | 0 |
| BOXWOOD MERGER CORP            | *W EXP 11/26/202 | 10319T119 | 19     | 31,198    | SH |      | DFND | 1 | 31,198    | 0 | 0 |
| BOXWOOD MERGER CORP            | UNIT 11/26/2025  | 10319T200 | 192    | 18,656    | SH |      | DFND | 1 | 18,656    | 0 | 0 |
| BP PLC                         | SPONSORED ADR    | 055622104 | 7,827  | 187,696   | SH |      | DFND | 3 | 187,696   | 0 | 0 |
| BRISTOL MYERS SQUIBB CO        | COM              | 110122108 | 776    | 646,800   | SH | Call | DFND | 4 | 646,800   | 0 | 0 |
| BROOKFIELD PROPERTY REIT INC   | CL A             | 11282X103 | 3,468  | 183,600   | SH |      | DFND | 2 | 183,600   | 0 | 0 |
| BROOKFIELD PROPERTY REIT INC   | CL A             | 11282X103 | 428    | 22,659    | SH |      | DFND | 3 | 22,659    | 0 | 0 |
| BRP INC                        | COM SUN VTG      | 05577W200 | 1,161  | 32,500    | SH |      | DFND | 3 | 32,500    | 0 | 0 |
| BUCKEYE PARTNERS LP            | UNIT LTD PARTN   | 118230101 | 3,509  | 85,491    | SH |      | DFND | 4 | 85,491    | 0 | 0 |
| CAESARS ENTMT CORP             | COM              | 127686103 | 1,988  | 168,200   | SH |      | DFND | 1 | 168,200   | 0 | 0 |
| CAESARS ENTMT CORP             | COM              | 127686103 | 10,064 | 851,405   | SH |      | DFND | 4 | 851,405   | 0 | 0 |
| CAESARS ENTMT CORP             | COM              | 127686103 | 1      | 110,000   | SH | Put  | DFND | 4 | 110,000   | 0 | 0 |
| CANOPY GROWTH CORP             | COM              | 138035100 | 1,662  | 160,600   | SH | Put  | DFND | 2 | 160,600   | 0 | 0 |

|                                |                  |           |        |           |    |      |      |   |           |   |   |
|--------------------------------|------------------|-----------|--------|-----------|----|------|------|---|-----------|---|---|
| CANOPY GROWTH CORP             | COM              | 138035100 | 6,474  | 160,600   | SH |      | DFND | 2 | 160,600   | 0 | 0 |
| CAPITOL INVT CORP IV           | *W EXP 01/01/202 | G18920127 | 343    | 246,748   | SH |      | DFND | 1 | 246,748   | 0 | 0 |
| CAPITOL INVT CORP IV           | CL A ORD         | G18920101 | 6      | 580       | SH |      | DFND | 1 | 580       | 0 | 0 |
| CAPITOL INVT CORP IV           | CL A ORD         | G18920101 | 3,069  | 300,000   | SH |      | DFND | 3 | 300,000   | 0 | 0 |
| CAPITOL INVT CORP IV           | UNIT 99/99/9999  | G18920119 | 1,507  | 140,839   | SH |      | DFND | 1 | 140,839   | 0 | 0 |
| CAPITOL INVT CORP IV           | UNIT 99/99/9999  | G18920119 | 535    | 50,000    | SH |      | DFND | 3 | 50,000    | 0 | 0 |
| CBS CORP NEW                   | CL B             | 124857202 | 156    | 250,000   | SH | Put  | DFND | 4 | 250,000   | 0 | 0 |
| CELGENE CORP                   | COM              | 151020104 | 12     | 200,100   | SH | Put  | DFND | 4 | 200,100   | 0 | 0 |
| CELGENE CORP                   | COM              | 151020104 | 188    | 2,223     | SH | Put  | DFND | 1 | 2,223     | 0 | 0 |
| CELGENE CORP                   | COM              | 151020104 | 62,684 | 678,108   | SH |      | DFND | 4 | 678,108   | 0 | 0 |
| CELGENE CORP                   | COM              | 151020104 | 6      | 250       | SH | Call | DFND | 1 | 250       | 0 | 0 |
| CENTENE CORP DEL               | COM              | 15135B101 | 1,894  | 36,113    | SH |      | DFND | 1 | 36,113    | 0 | 0 |
| CENTENE CORP DEL               | COM              | 15135B101 | 23,485 | 447,850   | SH |      | DFND | 4 | 447,850   | 0 | 0 |
| CENTENE CORP DEL               | COM              | 15135B101 | 735    | 4,165     | SH | Call | DFND | 1 | 4,165     | 0 | 0 |
| CENTENE CORP DEL               | COM              | 15135B101 | 832    | 5,385     | SH | Put  | DFND | 1 | 5,385     | 0 | 0 |
| CENTENE CORP DEL               | COM              | 15135B101 | 289    | 162,400   | SH | Put  | DFND | 4 | 162,400   | 0 | 0 |
| CF FIN ACQUISITION CORP        | *W EXP 04/30/202 | 12528N115 | 27     | 44,902    | SH |      | DFND | 1 | 44,902    | 0 | 0 |
| CF FIN ACQUISITION CORP        | COM CL A         | 12528N107 | 239    | 23,900    | SH |      | DFND | 1 | 23,900    | 0 | 0 |
| CF FIN ACQUISITION CORP        | UNIT 04/30/2025  | 12528N206 | 129    | 12,438    | SH |      | DFND | 1 | 12,438    | 0 | 0 |
| CHAPARRAL ENERGY INC           | COM CL A         | 15942R208 | 78     | 16,500    | SH |      | DFND | 1 | 16,500    | 0 | 0 |
| CHARDAN HEALTHCARE ACQUISITI   | UNIT 12/13/2023  | 15957A207 | 1,666  | 163,500   | SH |      | DFND | 3 | 163,500   | 0 | 0 |
| CHASERG TECHNOLOGY ACQUISITN C | CLASS A          | 16166A103 | 1,174  | 116,962   | SH |      | DFND | 1 | 116,962   | 0 | 0 |
| CHASERG TECHNOLOGY ACQUISITN C | CLASS A          | 16166A103 | 4,016  | 400,000   | SH |      | DFND | 3 | 400,000   | 0 | 0 |
| CHASERG TECHNOLOGY ACQUISITN C | UNIT 09/30/2023  | 16166A202 | 1,273  | 124,431   | SH |      | DFND | 1 | 124,431   | 0 | 0 |
| CHURCHILL CAP CORP II          | UNIT 99/99/9999  | 17143G205 | 11,246 | 1,107,985 | SH |      | DFND | 1 | 1,107,985 | 0 | 0 |
| CISCO SYS INC                  | COM              | 17275R102 | 153    | 2,790     | SH |      | DFND | 1 | 2,790     | 0 | 0 |
| CISCO SYS INC                  | COM              | 17275R102 | 179    | 1,300     | SH | Put  | DFND | 1 | 1,300     | 0 | 0 |
| CLARIVATE ANALYTICS PLC        | *W EXP 11/09/201 | G21810117 | 1,798  | 378,515   | SH |      | DFND | 1 | 378,515   | 0 | 0 |
| COLLIER CREEK HOLDINGS         | *W EXP 99/99/999 | G22707114 | 87     | 66,666    | SH |      | DFND | 3 | 66,666    | 0 | 0 |
| COLLIER CREEK HOLDINGS         | COM CL A         | G22707106 | 679    | 67,909    | SH |      | DFND | 1 | 67,909    | 0 | 0 |
| COLLIER CREEK HOLDINGS         | COM CL A         | G22707106 | 3,000  | 300,000   | SH |      | DFND | 3 | 300,000   | 0 | 0 |
| COLLIER CREEK HOLDINGS         | UNIT 99/99/9999  | G22707122 | 795    | 75,000    | SH |      | DFND | 1 | 75,000    | 0 | 0 |
| CONSTELLATION ALPHA CAP CORP   | RIGHT 99/99/9999 | G2379F132 | 171    | 947,074   | SH |      | DFND | 1 | 947,074   | 0 | 0 |
| CONSTELLATION ALPHA CAP CORP   | SHS              | G2379F108 | 7,897  | 759,312   | SH |      | DFND | 1 | 759,312   | 0 | 0 |

|                               |                  |           |        |           |    |      |      |   |           |   |   |
|-------------------------------|------------------|-----------|--------|-----------|----|------|------|---|-----------|---|---|
| CONSTELLATION ALPHA CAP CORP  | UNIT 99/99/9999  | G2379F124 | 1,417  | 136,250   | SH |      | DFND | 1 | 136,250   | 0 | 0 |
| CORVUS PHARMACEUTICALS INC    | COM              | 221015100 | 2,155  | 576,231   | SH |      | DFND | 3 | 576,231   | 0 | 0 |
| CRESCENT ACQUISITION CORP     | *W EXP 03/08/202 | 22564L113 | 36     | 55,799    | SH |      | DFND | 1 | 55,799    | 0 | 0 |
| CRESCENT ACQUISITION CORP     | UNIT 99/99/9999  | 22564L204 | 101    | 10,000    | SH |      | DFND | 1 | 10,000    | 0 | 0 |
| CROCS INC                     | COM              | 227046109 | 1,037  | 52,500    | SH |      | DFND | 1 | 52,500    | 0 | 0 |
| CROCS INC                     | COM              | 227046109 | 92     | 550       | SH | Call | DFND | 1 | 550       | 0 | 0 |
| CYPRESS SEMICONDUCTOR CORP    | COM              | 232806109 | 40,946 | 1,841,078 | SH |      | DFND | 4 | 1,841,078 | 0 | 0 |
| CYPRESS SEMICONDUCTOR CORP    | COM              | 232806109 | 3      | 1,000     | SH | Call | DFND | 1 | 1,000     | 0 | 0 |
| CYPRESS SEMICONDUCTOR CORP    | COM              | 232806109 | 1      | 75        | SH | Put  | DFND | 1 | 75        | 0 | 0 |
| DASEKE INC                    | *W EXP 02/27/202 | 23753F115 | 87     | 394,501   | SH |      | DFND | 1 | 394,501   | 0 | 0 |
| DAVITA INC                    | COM              | 23918K108 | 996    | 1,118     | SH | Call | DFND | 1 | 1,118     | 0 | 0 |
| DAVITA INC                    | COM              | 23918K108 | 183    | 1,118     | SH | Put  | DFND | 1 | 1,118     | 0 | 0 |
| DD3 ACQUISITION CORP          | *W EXP 10/20/202 | G2692M111 | 15     | 50,799    | SH |      | DFND | 1 | 50,799    | 0 | 0 |
| DENBURY RES INC               | COM NEW          | 247916208 | 3      | 18,100    | SH | Call | DFND | 4 | 18,100    | 0 | 0 |
| DEUTSCHE BANK AG              | NAMEN AKT        | D18190898 | 1,221  | 160,000   | SH |      | DFND | 2 | 160,000   | 0 | 0 |
| DEUTSCHE BANK AG              | NAMEN AKT        | D18190898 | 240    | 160,000   | SH | Put  | DFND | 2 | 160,000   | 0 | 0 |
| DFB HEALTHCARE ACQUISITION CO | *W EXP 04/11/202 | 23291E117 | 36     | 28,459    | SH |      | DFND | 1 | 28,459    | 0 | 0 |
| DFB HEALTHCARE ACQUISITION CO | UNIT 01/30/2023  | 23291E208 | 671    | 64,500    | SH |      | DFND | 3 | 64,500    | 0 | 0 |
| DIAMONDPEAK HLDGS COR         | *W EXP 02/22/202 | 25280H118 | 12     | 14,433    | SH |      | DFND | 1 | 14,433    | 0 | 0 |
| DIAMONDPEAK HLDGS COR         | UNIT 99/99/9999  | 25280H209 | 5,221  | 520,000   | SH |      | DFND | 3 | 520,000   | 0 | 0 |
| DISCOVERY INC                 | COM SER C        | 25470F302 | 2,845  | 100,000   | SH |      | DFND | 2 | 100,000   | 0 | 0 |
| EL PASO ELEC CO               | COM NEW          | 283677854 | 6,884  | 105,258   | SH |      | DFND | 4 | 105,258   | 0 | 0 |
| ELDORADO RESORTS INC          | COM              | 28470R102 | 545    | 11,838    | SH |      | DFND | 4 | 11,838    | 0 | 0 |
| ELECTRONIC ARTS INC           | COM              | 285512109 | 1,316  | 13,000    | SH |      | DFND | 1 | 13,000    | 0 | 0 |
| ELECTRONIC ARTS INC           | COM              | 285512109 | 241    | 317       | SH | Call | DFND | 1 | 317       | 0 | 0 |
| ELECTRONIC ARTS INC           | COM              | 285512109 | 13     | 100       | SH | Put  | DFND | 1 | 100       | 0 | 0 |
| EMCOR GROUP INC               | COM              | 29084Q100 | 20     | 24,200    | SH | Call | DFND | 4 | 24,200    | 0 | 0 |
| ENEL AMERICAS S A             | SPONSORED ADR    | 29274F104 | 444    | 50,000    | SH |      | DFND | 3 | 50,000    | 0 | 0 |
| ENEL AMERICAS S A             | SPONSORED ADR    | 29274F104 | 162    | 44,600    | SH | Put  | DFND | 3 | 44,600    | 0 | 0 |
| FAR PT ACQUISITION CORP       | *W EXP 06/01/202 | 30734W117 | 16     | 12,659    | SH |      | DFND | 1 | 12,659    | 0 | 0 |
| FAR PT ACQUISITION CORP       | COM CL A         | 30734W109 | 255    | 25,000    | SH |      | DFND | 3 | 25,000    | 0 | 0 |
| FASTENAL CO                   | COM              | 311900104 | 136    | 425       | SH | Call | DFND | 1 | 425       | 0 | 0 |
| FASTENAL CO                   | COM              | 311900104 | 272    | 1,700     | SH | Put  | DFND | 1 | 1,700     | 0 | 0 |
| FINTECH ACQUISITION CORP III  | UNIT 12/01/2023  | 31811A309 | 95     | 8,872     | SH |      | DFND | 1 | 8,872     | 0 | 0 |

|                              |                  |           |       |         |    |      |      |   |         |   |   |
|------------------------------|------------------|-----------|-------|---------|----|------|------|---|---------|---|---|
| FINTECH ACQUISITION CORP III | UNIT 12/01/2023  | 31811A309 | 2,784 | 260,000 | SH |      | DFND | 3 | 260,000 | 0 | 0 |
| FORUM MERGER II CORP         | *W EXP 09/30/202 | 34986F111 | 15    | 23,000  | SH |      | DFND | 1 | 23,000  | 0 | 0 |
| FORUM MERGER II CORP         | CL A             | 34986F103 | 112   | 11,176  | SH |      | DFND | 1 | 11,176  | 0 | 0 |
| FORUM MERGER II CORP         | CL A             | 34986F103 | 2,767 | 275,000 | SH |      | DFND | 3 | 275,000 | 0 | 0 |
| FORUM MERGER II CORP         | UNIT 09/30/2025  | 34986F202 | 82    | 7,700   | SH |      | DFND | 1 | 7,700   | 0 | 0 |
| FORUM MERGER II CORP         | UNIT 09/30/2025  | 34986F202 | 3,916 | 369,052 | SH |      | DFND | 3 | 369,052 | 0 | 0 |
| GCI LIBERTY INC              | COM CLASS A      | 36164V305 | 4,814 | 78,334  | SH |      | DFND | 3 | 78,334  | 0 | 0 |
| GIGCAPITAL INC               | RIGHT 03/06/2020 | 37518N114 | 26    | 49,600  | SH |      | DFND | 1 | 49,600  | 0 | 0 |
| GIGCAPITAL INC               | UNIT 03/06/2025  | 37518N205 | 996   | 90,592  | SH |      | DFND | 1 | 90,592  | 0 | 0 |
| GLAXOSMITHKLINE PLC          | SPONSORED ADR    | 37733W105 | 1,834 | 45,825  | SH |      | DFND | 3 | 45,825  | 0 | 0 |
| GLOBAL BLOOD THERAPEUTICS IN | COM              | 37890U108 | 50    | 135     | SH | Put  | DFND | 1 | 135     | 0 | 0 |
| GLOBAL BLOOD THERAPEUTICS IN | COM              | 37890U108 | 20    | 40,000  | SH | Call | DFND | 3 | 40,000  | 0 | 0 |
| GLOBAL BLOOD THERAPEUTICS IN | COM              | 37890U108 | 410   | 7,800   | SH |      | DFND | 1 | 7,800   | 0 | 0 |
| GLOBAL BLOOD THERAPEUTICS IN | COM              | 37890U108 | 3,130 | 59,500  | SH |      | DFND | 3 | 59,500  | 0 | 0 |
| GLOBAL BLOOD THERAPEUTICS IN | COM              | 37890U108 | 1     | 25      | SH | Call | DFND | 1 | 25      | 0 | 0 |
| GLOBAL PMTS INC              | COM              | 37940X102 | 150   | 75,000  | SH | Put  | DFND | 4 | 75,000  | 0 | 0 |
| GLOBALSTAR INC               | COM              | 378973408 | 26    | 55,000  | SH |      | DFND | 1 | 55,000  | 0 | 0 |
| GORDON POINTE ACQUISITION CO | *W EXP 07/30/202 | 382788115 | 17    | 50,000  | SH |      | DFND | 1 | 50,000  | 0 | 0 |
| GORDON POINTE ACQUISITION CO | COM CLASS A      | 382788107 | 362   | 35,000  | SH |      | DFND | 1 | 35,000  | 0 | 0 |
| GORDON POINTE ACQUISITION CO | COM CLASS A      | 382788107 | 4,907 | 475,000 | SH |      | DFND | 3 | 475,000 | 0 | 0 |
| GORES HOLDINGS III INC       | *W EXP 09/11/202 | 38286G117 | 234   | 161,066 | SH |      | DFND | 1 | 161,066 | 0 | 0 |
| GORES HOLDINGS III INC       | CLASS A          | 38286G109 | 2,870 | 285,585 | SH |      | DFND | 1 | 285,585 | 0 | 0 |
| GORES HOLDINGS III INC       | UNIT 09/07/2024  | 38286G208 | 526   | 50,262  | SH |      | DFND | 1 | 50,262  | 0 | 0 |
| GORES HOLDINGS III INC       | UNIT 09/07/2024  | 38286G208 | 1,571 | 150,000 | SH |      | DFND | 3 | 150,000 | 0 | 0 |
| GORES METROPOULOS INC        | *W EXP 01/28/202 | 382872117 | 197   | 156,351 | SH |      | DFND | 1 | 156,351 | 0 | 0 |
| GORES METROPOULOS INC        | COM CL A         | 382872109 | 5,614 | 557,478 | SH |      | DFND | 1 | 557,478 | 0 | 0 |
| GORES METROPOULOS INC        | UNIT 99/99/9999  | 382872208 | 3,163 | 302,000 | SH |      | DFND | 3 | 302,000 | 0 | 0 |
| GRAF INDL CORP               | *W EXP 12/31/202 | 384278115 | 120   | 304,072 | SH |      | DFND | 1 | 304,072 | 0 | 0 |
| GREENLAND ACQUISITIN CORPORA | RIGHT 04/27/2025 | G40981113 | 79    | 201,816 | SH |      | DFND | 1 | 201,816 | 0 | 0 |
| GREENLANE HLDGS INC          | CL A             | 395330103 | 3,228 | 336,686 | SH |      | DFND | 1 | 336,686 | 0 | 0 |
| GS ACQUISITION HLDGS CORP    | *W EXP 06/12/202 | 36255F110 | 61    | 48,496  | SH |      | DFND | 1 | 48,496  | 0 | 0 |
| GS ACQUISITION HLDGS CORP    | COM CL A         | 36255F102 | 840   | 82,888  | SH |      | DFND | 1 | 82,888  | 0 | 0 |



|                              |                  |           |       |           |     |      |      |   |           |   |   |
|------------------------------|------------------|-----------|-------|-----------|-----|------|------|---|-----------|---|---|
| GS ACQUISITION HLDGS CORP    | UNIT 06/12/2023  | 36255F201 | 1,575 | 150,000   | SH  |      | DFND | 3 | 150,000   | 0 | 0 |
| GX ACQUISITION CORP          | UNIT 05/24/2026  | 36251A206 | 426   | 42,396    | SH  |      | DFND | 1 | 42,396    | 0 | 0 |
| GX ACQUISITION CORP          | UNIT 05/24/2026  | 36251A206 | 3,015 | 300,000   | SH  |      | DFND | 3 | 300,000   | 0 | 0 |
| HALCON RES CORP              | *W EXP 09/09/202 | 40537Q118 | 4     | 443,716   | SH  |      | DFND | 1 | 443,716   | 0 | 0 |
| HAYMAKER ACQUISITION CORP II | UNIT 10/31/2026  | 42087L200 | 1,919 | 187,926   | SH  |      | DFND | 1 | 187,926   | 0 | 0 |
| HEALTH SCIENCES ACQUSTN CORP | UNIT 04/01/2024  | 42227C201 | 639   | 60,300    | SH  |      | DFND | 1 | 60,300    | 0 | 0 |
| HENNESSY CAP ACQUSTION CORP  | *W EXP 09/05/202 | 42589C112 | 82    | 135,883   | SH  |      | DFND | 1 | 135,883   | 0 | 0 |
| HENNESSY CAP ACQUSTION CORP  | CL A COM         | 42589C104 | 632   | 63,840    | SH  |      | DFND | 1 | 63,840    | 0 | 0 |
| HENNESSY CAP ACQUSTION CORP  | UNIT 99/99/9999  | 42589C203 | 53    | 5,053     | SH  |      | DFND | 1 | 5,053     | 0 | 0 |
| HENNESSY CAP ACQUSTION CORP  | UNIT 99/99/9999  | 42589C203 | 884   | 85,000    | SH  |      | DFND | 3 | 85,000    | 0 | 0 |
| HL ACQUISITIONS CORP         | UNIT 06/21/2023  | G4603R114 | 475   | 45,027    | SH  |      | DFND | 1 | 45,027    | 0 | 0 |
| II VI INC                    | COM              | 902104108 | 2,730 | 74,675    | SH  |      | DFND | 4 | 74,675    | 0 | 0 |
| IMMUNOMEDICS INC             | COM              | 452907108 | 203   | 14,611    | SH  |      | DFND | 1 | 14,611    | 0 | 0 |
| IMMUNOMEDICS INC             | COM              | 452907108 | 139   | 1,400     | SH  | Call | DFND | 1 | 1,400     | 0 | 0 |
| INTERCEPT PHARMACEUTICALS IN | NOTE 3.250% 7/0  | 45845PAA6 | 1,482 | 1,670,000 | PRN |      | DFND | 1 | 1,670,000 | 0 | 0 |
| INVESCO QQQ TR               | UNIT SER 1       | 46090E103 | 379   | 250,000   | SH  | Call | DFND | 3 | 250,000   | 0 | 0 |
| ISHARES INC                  | MSCI STH AFR ETF | 464286780 | 437   | 8,000     | SH  |      | DFND | 3 | 8,000     | 0 | 0 |
| JPMORGAN CHASE & CO          | COM              | 46625H100 | 4,629 | 41,400    | SH  |      | DFND | 1 | 41,400    | 0 | 0 |
| JPMORGAN CHASE & CO          | COM              | 46625H100 | 71    | 225       | SH  | Put  | DFND | 1 | 225       | 0 | 0 |
| KEMPHARM INC                 | COM              | 488445107 | 438   | 250,000   | SH  |      | DFND | 3 | 250,000   | 0 | 0 |
| KEZAR LIFE SCIENCES INC      | COM              | 49372L100 | 2,645 | 343,049   | SH  |      | DFND | 3 | 343,049   | 0 | 0 |
| KONTOOR BRANDS INC           | COM              | 50050N103 | 280   | 10,000    | SH  |      | DFND | 1 | 10,000    | 0 | 0 |
| L3 TECHNOLOGIES INC          | COM              | 502413107 | 490   | 2,000     | SH  |      | DFND | 1 | 2,000     | 0 | 0 |
| LANDCADIA HLDGS II INC       | *W EXP 05/09/202 | 51476X113 | 50    | 58,833    | SH  |      | DFND | 1 | 58,833    | 0 | 0 |
| LANDCADIA HLDGS II INC       | UNIT 05/09/2026  | 51476X204 | 2,313 | 231,300   | SH  |      | DFND | 3 | 231,300   | 0 | 0 |
| LEGACY ACQUISITION CORP      | *W EXP 11/30/202 | 524643111 | 30    | 92,481    | SH  |      | DFND | 1 | 92,481    | 0 | 0 |
| LEGACY ACQUISITION CORP      | COM CL A         | 524643103 | 1,010 | 99,969    | SH  |      | DFND | 1 | 99,969    | 0 | 0 |
| LEGACY ACQUISITION CORP      | COM CL A         | 524643103 | 2,020 | 200,000   | SH  |      | DFND | 3 | 200,000   | 0 | 0 |
| LEGACY ACQUISITION CORP      | UNIT 05/31/2024  | 524643202 | 6,270 | 600,000   | SH  |      | DFND | 3 | 600,000   | 0 | 0 |
| LEGACY TEX FINL GROUP INC    | COM              | 52471Y106 | 1,953 | 47,970    | SH  |      | DFND | 4 | 47,970    | 0 | 0 |
| LEISURE ACQUISITION CORP     | *W EXP 12/05/201 | 52539T115 | 143   | 220,087   | SH  |      | DFND | 1 | 220,087   | 0 | 0 |
| LEISURE ACQUISITION CORP     | UNIT 99/99/9999  | 52539T206 | 4,400 | 422,303   | SH  |      | DFND | 1 | 422,303   | 0 | 0 |
| LEISURE ACQUISITION CORP     | UNIT 99/99/9999  | 52539T206 | 1,428 | 137,000   | SH  |      | DFND | 3 | 137,000   | 0 | 0 |

|                              |                  |           |        |              |      |      |   |           |   |   |
|------------------------------|------------------|-----------|--------|--------------|------|------|---|-----------|---|---|
| LENNAR CORP                  | CL A             | 526057104 | 1,001  | 20,663 SH    |      | DFND | 1 | 20,663    | 0 | 0 |
| LENNAR CORP                  | CL A             | 526057104 | 82     | 2,582 SH     | Call | DFND | 1 | 2,582     | 0 | 0 |
| LEO HOLDINGS CORP            | *W EXP 02/07/202 | G5463L113 | 213    | 170,534 SH   |      | DFND | 1 | 170,534   | 0 | 0 |
| LF CAP ACQUISITION CORP      | CL A             | 50200K108 | 1,690  | 166,057 SH   |      | DFND | 1 | 166,057   | 0 | 0 |
| LIBERTY BROADBAND CORP       | COM SER A        | 530307107 | 514    | 5,000 SH     |      | DFND | 3 | 5,000     | 0 | 0 |
| LIBERTY BROADBAND CORP       | COM SER C        | 530307305 | 2,739  | 26,279 SH    |      | DFND | 3 | 26,279    | 0 | 0 |
| LIBERTY EXPEDIA HLDGS INC    | SER A COM        | 53046P109 | 5,022  | 105,083 SH   |      | DFND | 2 | 105,083   | 0 | 0 |
| LIBERTY MEDIA CORP DELAWARE  | COM A SIRIUSXM   | 531229409 | 3,394  | 89,765 SH    |      | DFND | 3 | 89,765    | 0 | 0 |
| LLOYDS BANKING GROUP PLC     | SPONSORED ADR    | 539439109 | 23,782 | 8,374,111 SH |      | DFND | 3 | 8,374,111 | 0 | 0 |
| LONGEVITY ACQUISITION CORP   | UNIT 08/29/2024  | G56372108 | 219    | 21,176 SH    |      | DFND | 1 | 21,176    | 0 | 0 |
| LOWES COS INC                | COM              | 548661107 | 353    | 3,500 SH     |      | DFND | 1 | 3,500     | 0 | 0 |
| LOWES COS INC                | COM              | 548661107 | 16     | 400 SH       | Put  | DFND | 1 | 400       | 0 | 0 |
| LUCKIN COFFEE INC            | SPONSORED ADS    | 54951L109 | 4,385  | 225,000 SH   |      | DFND | 2 | 225,000   | 0 | 0 |
| LUCKIN COFFEE INC            | SPONSORED ADS    | 54951L109 | 788    | 225,000 SH   | Put  | DFND | 2 | 225,000   | 0 | 0 |
| LYONDELLBASELL INDUSTRIES N  | SHS - A -        | N53745100 | 1,292  | 15,000 SH    |      | DFND | 1 | 15,000    | 0 | 0 |
| MEDICINES CO                 | COM              | 584688105 | 368    | 10,100 SH    |      | DFND | 1 | 10,100    | 0 | 0 |
| MEDICINES CO                 | COM              | 584688105 | 65     | 150 SH       | Put  | DFND | 1 | 150       | 0 | 0 |
| MEDIDATA SOLUTIONS INC       | COM              | 58471A105 | 2      | 1,800 SH     | Put  | DFND | 4 | 1,800     | 0 | 0 |
| MEDIDATA SOLUTIONS INC       | COM              | 58471A105 | 23,289 | 257,314 SH   |      | DFND | 4 | 257,314   | 0 | 0 |
| MEGALITH FINL ACQUISITION CO | *W EXP 08/26/202 | 58518F117 | 22     | 72,869 SH    |      | DFND | 1 | 72,869    | 0 | 0 |
| MEGALITH FINL ACQUISITION CO | UNIT 09/30/2025  | 58518F208 | 3,407  | 328,900 SH   |      | DFND | 3 | 328,900   | 0 | 0 |
| MIDSOUTH BANCORP INC         | COM              | 598039105 | 153    | 12,900 SH    |      | DFND | 4 | 12,900    | 0 | 0 |
| MITSUBISHI UFJ FINL GROUP IN | SPONSORED ADS    | 606822104 | 3,595  | 756,800 SH   |      | DFND | 2 | 756,800   | 0 | 0 |
| MIZUHO FINL GROUP INC        | SPONSORED ADR    | 60687Y109 | 15,799 | 5,485,850 SH |      | DFND | 2 | 5,485,850 | 0 | 0 |
| MODERN MEDIA ACQUISITION     | COM              | 60765P103 | 2,092  | 200,000 SH   |      | DFND | 3 | 200,000   | 0 | 0 |
| MODERN MEDIA ACQUISITION     | RIGHT 99/99/9999 | 60765P129 | 21     | 71,814 SH    |      | DFND | 1 | 71,814    | 0 | 0 |
| MONOCLE ACQUISITION CORP     | *W EXP 12/06/202 | 609754114 | 19     | 55,371 SH    |      | DFND | 1 | 55,371    | 0 | 0 |
| MONOCLE ACQUISITION CORP     | COM              | 609754106 | 189    | 19,100 SH    |      | DFND | 1 | 19,100    | 0 | 0 |
| MONOCLE ACQUISITION CORP     | UNIT 99/99/9999  | 609754205 | 610    | 59,248 SH    |      | DFND | 1 | 59,248    | 0 | 0 |
| MOSAIC ACQUISITION CORP      | *W EXP 10/23/202 | 61946M118 | 26     | 27,800 SH    |      | DFND | 1 | 27,800    | 0 | 0 |
| MOSAIC ACQUISITION CORP      | COM CL A         | 61946M100 | 510    | 50,000 SH    |      | DFND | 3 | 50,000    | 0 | 0 |
| MOSAIC ACQUISITION CORP      | COM CL A         | 61946M100 | 385    | 37,716 SH    |      | DFND | 1 | 37,716    | 0 | 0 |
| MOSAIC ACQUISITION CORP      | UNIT 99/99/9999  | 61946M209 | 68     | 6,430 SH     |      | DFND | 1 | 6,430     | 0 | 0 |
| MOSAIC ACQUISITION CORP      | UNIT 99/99/9999  | 61946M209 | 1,586  | 150,000 SH   |      | DFND | 3 | 150,000   | 0 | 0 |

|                              |                  |           |        |           |     |      |      |   |           |   |   |
|------------------------------|------------------|-----------|--------|-----------|-----|------|------|---|-----------|---|---|
| MUDRICK CAP ACQUISITION CORP | *W EXP 02/12/202 | 624745113 | 96     | 195,282   | SH  |      | DFND | 1 | 195,282   | 0 | 0 |
| MUDRICK CAP ACQUISITION CORP | *W EXP 02/12/202 | 624745113 | 123    | 250,000   | SH  |      | DFND | 3 | 250,000   | 0 | 0 |
| MUDRICK CAP ACQUISITION CORP | COM CLASS A      | 624745105 | 559    | 54,915    | SH  |      | DFND | 1 | 54,915    | 0 | 0 |
| MUDRICK CAP ACQUISITION CORP | COM CLASS A      | 624745105 | 2,545  | 250,000   | SH  |      | DFND | 3 | 250,000   | 0 | 0 |
| MUDRICK CAP ACQUISITION CORP | UNIT 02/01/2023  | 624745204 | 1,324  | 125,000   | SH  |      | DFND | 3 | 125,000   | 0 | 0 |
| MYLAN N V                    | SHS EURO         | N59465109 | 443    | 395,000   | SH  | Call | DFND | 4 | 395,000   | 0 | 0 |
| MYOKARDIA INC                | COM              | 62857M105 | 2,256  | 45,000    | SH  |      | DFND | 3 | 45,000    | 0 | 0 |
| NEBULA ACQUISITION CORP      | *W EXP 03/12/202 | 629076118 | 38     | 38,059    | SH  |      | DFND | 1 | 38,059    | 0 | 0 |
| NEBULA ACQUISITION CORP      | COM CLASS A      | 629076100 | 10     | 963       | SH  |      | DFND | 1 | 963       | 0 | 0 |
| NEBULA ACQUISITION CORP      | COM CLASS A      | 629076100 | 1,009  | 100,000   | SH  |      | DFND | 3 | 100,000   | 0 | 0 |
| NEBULA ACQUISITION CORP      | UNIT 03/12/2025  | 629076209 | 1,027  | 100,000   | SH  |      | DFND | 3 | 100,000   | 0 | 0 |
| NEW FRONTIER CORP            | *W EXP 99/99/999 | G6485P124 | 342    | 488,387   | SH  |      | DFND | 1 | 488,387   | 0 | 0 |
| NEW FRONTIER CORP            | COM CL A         | G6485P108 | 3,505  | 348,102   | SH  |      | DFND | 1 | 348,102   | 0 | 0 |
| NIELSEN HLDGS PLC            | SHS EUR          | G6518L108 | 395    | 17,500    | SH  |      | DFND | 4 | 17,500    | 0 | 0 |
| NIELSEN HLDGS PLC            | SHS EUR          | G6518L108 | 106    | 125,000   | SH  | Call | DFND | 4 | 125,000   | 0 | 0 |
| NII HLDGS INC                | COM PAR          | 62913F508 | 85     | 50,000    | SH  |      | DFND | 1 | 50,000    | 0 | 0 |
| NIO INC                      | SPON ADS         | 62914V106 | 446    | 175,000   | SH  |      | DFND | 2 | 175,000   | 0 | 0 |
| NIO INC                      | SPON ADS         | 62914V106 | 96     | 175,000   | SH  | Put  | DFND | 2 | 175,000   | 0 | 0 |
| NOMURA HLDGS INC             | SPONSORED ADR    | 65535H208 | 834    | 235,000   | SH  |      | DFND | 2 | 235,000   | 0 | 0 |
| NXP SEMICONDUCTORS N V       | COM              | N6596X109 | 1,630  | 16,700    | SH  |      | DFND | 1 | 16,700    | 0 | 0 |
| NXP SEMICONDUCTORS N V       | NOTE 1.000%12/0  | 62952QAB6 | 635    | 1,205     | PRN | Call | DFND | 1 | 1,205     | 0 | 0 |
| NXP SEMICONDUCTORS N V       | NOTE 1.000%12/0  | 62952QAB6 | 169    | 80        | PRN | Put  | DFND | 1 | 80        | 0 | 0 |
| OAKTREE CAP GROUP LLC        | UNIT CL A        | 674001201 | 5,591  | 112,859   | SH  |      | DFND | 4 | 112,859   | 0 | 0 |
| OCCIDENTAL PETE CORP         | COM              | 674599105 | 22     | 2,120     | SH  | Call | DFND | 1 | 2,120     | 0 | 0 |
| OCCIDENTAL PETE CORP         | COM              | 674599105 | 352    | 651,400   | SH  | Call | DFND | 4 | 651,400   | 0 | 0 |
| OPES ACQUISITION CORP        | *W EXP 03/13/202 | 68373P118 | 187    | 744,789   | SH  |      | DFND | 1 | 744,789   | 0 | 0 |
| OPES ACQUISITION CORP        | COM              | 68373P100 | 5,937  | 576,372   | SH  |      | DFND | 1 | 576,372   | 0 | 0 |
| ORCHARD THERAPEUTICS PLC     | ADS              | 68570P101 | 42,465 | 3,035,364 | SH  |      | DFND | 3 | 3,035,364 | 0 | 0 |
| ORGANIGRAM HLDGS INC         | COM              | 68620P101 | 99     | 15,300    | SH  |      | DFND | 1 | 15,300    | 0 | 0 |
| OVID THERAPEUTICS INC        | COM              | 690469101 | 1,799  | 972,260   | SH  |      | DFND | 3 | 972,260   | 0 | 0 |
| PACIFIC BIOSCIENCES CALIF IN | COM              | 69404D108 | 151    | 25,000    | SH  |      | DFND | 1 | 25,000    | 0 | 0 |
| PACIFIC BIOSCIENCES CALIF IN | COM              | 69404D108 | 1,693  | 279,791   | SH  |      | DFND | 4 | 279,791   | 0 | 0 |

|                              |                  |           |        |           |     |      |      |   |           |   |   |
|------------------------------|------------------|-----------|--------|-----------|-----|------|------|---|-----------|---|---|
| PACIRA BIOSCIENCES           | NOTE 2.375% 4/0  | 695127AD2 | 287    | 280,000   | PRN |      | DFND | 1 | 280,000   | 0 | 0 |
| PARKER HANNIFIN CORP         | COM              | 701094104 | 1,165  | 6,851     | SH  |      | DFND | 1 | 6,851     | 0 | 0 |
| PARKER HANNIFIN CORP         | COM              | 701094104 | 11     | 201       | SH  | Put  | DFND | 1 | 201       | 0 | 0 |
| PEARSON PLC                  | SPONSORED ADR    | 705015105 | 1,036  | 100,000   | SH  |      | DFND | 3 | 100,000   | 0 | 0 |
| PENSARE ACQUISITION CORP     | RIGHT 99/99/9999 | 70957E121 | 5      | 33,151    | SH  |      | DFND | 1 | 33,151    | 0 | 0 |
| PIVOTAL ACQUISITION CORP     | *W EXP 12/01/202 | 72583A119 | 149    | 110,539   | SH  |      | DFND | 1 | 110,539   | 0 | 0 |
| PIVOTAL ACQUISITION CORP     | CL A COM         | 72583A101 | 2,642  | 260,280   | SH  |      | DFND | 1 | 260,280   | 0 | 0 |
| PIVOTAL ACQUISITION CORP     | UNIT 12/01/2025  | 72583A200 | 2,658  | 229,100   | SH  |      | DFND | 1 | 229,100   | 0 | 0 |
| PIVOTAL ACQUISITION CORP     | UNIT 12/01/2025  | 72583A200 | 812    | 70,000    | SH  |      | DFND | 3 | 70,000    | 0 | 0 |
| PRECISION BIOSCIENCES INC    | COM              | 74019P108 | 14,362 | 1,083,926 | SH  |      | DFND | 3 | 1,083,926 | 0 | 0 |
| PROFICIENT ALPHA ACQUSTN COR | RIGHT 04/30/2026 | 74317H121 | 2      | 11,500    | SH  |      | DFND | 1 | 11,500    | 0 | 0 |
| PURE ACQUISITION CORP        | *W EXP 04/17/202 | 74621Q114 | 156    | 144,130   | SH  |      | DFND | 1 | 144,130   | 0 | 0 |
| PURE ACQUISITION CORP        | CL A             | 74621Q106 | 9,380  | 925,000   | SH  |      | DFND | 3 | 925,000   | 0 | 0 |
| PURE ACQUISITION CORP        | UNIT 04/13/2023  | 74621Q205 | 144    | 13,444    | SH  |      | DFND | 1 | 13,444    | 0 | 0 |
| PURE ACQUISITION CORP        | UNIT 04/13/2023  | 74621Q205 | 3,314  | 310,000   | SH  |      | DFND | 3 | 310,000   | 0 | 0 |
| PVH CORP                     | COM              | 693656100 | 2,044  | 21,600    | SH  |      | DFND | 1 | 21,600    | 0 | 0 |
| PVH CORP                     | COM              | 693656100 | 72     | 170       | SH  | Put  | DFND | 1 | 170       | 0 | 0 |
| QEP RES INC                  | COM              | 74733V100 | 21     | 302       | SH  | Call | DFND | 1 | 302       | 0 | 0 |
| QEP RES INC                  | COM              | 74733V100 | 145    | 109,600   | SH  | Call | DFND | 4 | 109,600   | 0 | 0 |
| QEP RES INC                  | COM              | 74733V100 | 36     | 5,000     | SH  |      | DFND | 1 | 5,000     | 0 | 0 |
| QEP RES INC                  | COM              | 74733V100 | 2      | 74        | SH  | Put  | DFND | 1 | 74        | 0 | 0 |
| QEP RES INC                  | COM              | 74733V100 | 468    | 64,707    | SH  |      | DFND | 4 | 64,707    | 0 | 0 |
| RANPAK HLDGS CORP            | *W EXP 06/03/202 | 75321W111 | 35     | 29,500    | SH  |      | DFND | 1 | 29,500    | 0 | 0 |
| RED HAT INC                  | COM              | 756577102 | 88,027 | 468,827   | SH  |      | DFND | 4 | 468,827   | 0 | 0 |
| RED HAT INC                  | COM              | 756577102 | 115    | 175       | SH  | Call | DFND | 1 | 175       | 0 | 0 |
| RED HAT INC                  | COM              | 756577102 | 1,398  | 50,000    | SH  | Call | DFND | 4 | 50,000    | 0 | 0 |
| RED HAT INC                  | COM              | 756577102 | 31     | 1,183     | SH  | Put  | DFND | 1 | 1,183     | 0 | 0 |
| RED HAT INC                  | COM              | 756577102 | 59     | 308,700   | SH  | Put  | DFND | 4 | 308,700   | 0 | 0 |
| REEBONZ HLDG LTD             | SHS              | G7457R122 | 113    | 29,942    | SH  |      | DFND | 1 | 29,942    | 0 | 0 |
| REGALWOOD GLOBAL ENERGY LTD  | *W EXP 12/05/202 | G74760128 | 331    | 368,284   | SH  |      | DFND | 1 | 368,284   | 0 | 0 |
| REGALWOOD GLOBAL ENERGY LTD  | COM CL A         | G74760102 | 1      | 100       | SH  |      | DFND | 1 | 100       | 0 | 0 |
| REGALWOOD GLOBAL ENERGY LTD  | COM CL A         | G74760102 | 4,590  | 450,000   | SH  |      | DFND | 3 | 450,000   | 0 | 0 |
| REGALWOOD GLOBAL ENERGY LTD  | UNIT 99/99/9999  | G74760110 | 10     | 908       | SH  |      | DFND | 1 | 908       | 0 | 0 |
| REGALWOOD GLOBAL ENERGY LTD  | UNIT 99/99/9999  | G74760110 | 513    | 49,000    | SH  |      | DFND | 3 | 49,000    | 0 | 0 |

|                              |                  |           |        |           |    |      |      |   |           |   |   |
|------------------------------|------------------|-----------|--------|-----------|----|------|------|---|-----------|---|---|
| REPLAY ACQUISITION CORP      | *W EXP 03/01/202 | G75130115 | 51     | 73,400    | SH |      | DFND | 1 | 73,400    | 0 | 0 |
| REPLAY ACQUISITION CORP      | COM              | G75130107 | 430    | 44,000    | SH |      | DFND | 1 | 44,000    | 0 | 0 |
| REPLAY ACQUISITION CORP      | UNIT 03/01/2024  | G75130123 | 128    | 12,804    | SH |      | DFND | 1 | 12,804    | 0 | 0 |
| RIMINI STR INC DEL           | COM              | 76674Q107 | 1,259  | 237,500   | SH |      | DFND | 1 | 237,500   | 0 | 0 |
| RMG ACQUISITION CORP         | *W EXP 02/21/202 | 749641114 | 27     | 29,250    | SH |      | DFND | 1 | 29,250    | 0 | 0 |
| RMG ACQUISITION CORP         | UNIT 99/99/9999  | 749641205 | 1,998  | 199,000   | SH |      | DFND | 3 | 199,000   | 0 | 0 |
| ROBERT HALF INTL INC         | COM              | 770323103 | 513    | 9,000     | SH |      | DFND | 1 | 9,000     | 0 | 0 |
| SCHULTZE SPL PURP ACQSTN CO  | *W EXP 12/31/202 | 80821R117 | 102    | 340,769   | SH |      | DFND | 1 | 340,769   | 0 | 0 |
| SCHULTZE SPL PURP ACQSTN CO  | COM              | 80821R109 | 495    | 50,000    | SH |      | DFND | 1 | 50,000    | 0 | 0 |
| SELECT SECTOR SPDR TR        | TECHNOLOGY       | 81369Y803 | 475    | 407,200   | SH | Put  | DFND | 4 | 407,200   | 0 | 0 |
| SENTINEL ENERGY SVCS INC     | *W EXP 11/02/202 | 81728P113 | 227    | 324,221   | SH |      | DFND | 1 | 324,221   | 0 | 0 |
| SENTINEL ENERGY SVCS INC     | CL A             | 81728P105 | 1,149  | 113,245   | SH |      | DFND | 1 | 113,245   | 0 | 0 |
| SENTINEL ENERGY SVCS INC     | CL A             | 81728P105 | 17,255 | 1,700,000 | SH |      | DFND | 3 | 1,700,000 | 0 | 0 |
| SHUTTERFLY INC               | COM              | 82568P304 | 76     | 125,900   | SH | Put  | DFND | 4 | 125,900   | 0 | 0 |
| SHUTTERFLY INC               | COM              | 82568P304 | 5      | 523       | SH | Call | DFND | 1 | 523       | 0 | 0 |
| SIERRA ONCOLOGY INC          | COM              | 82640U107 | 28     | 50,000    | SH |      | DFND | 1 | 50,000    | 0 | 0 |
| SOCIAL CAP HEDOSOPHIA HLDGS  | *W EXP 09/14/202 | G8250R129 | 51     | 38,023    | SH |      | DFND | 1 | 38,023    | 0 | 0 |
| SOCIAL CAP HEDOSOPHIA HLDGS  | CL A             | G8250R103 | 1,052  | 100,777   | SH |      | DFND | 1 | 100,777   | 0 | 0 |
| SOCIAL CAP HEDOSOPHIA HLDGS  | CL A             | G8250R103 | 10,435 | 1,000,000 | SH |      | DFND | 3 | 1,000,000 | 0 | 0 |
| SOTHEBYS                     | COM              | 835898107 | 23     | 50,200    | SH | Put  | DFND | 4 | 50,200    | 0 | 0 |
| SOUTH MTN MERGER CORP        | UNIT 99/99/9999  | 838884203 | 6,689  | 668,892   | SH |      | DFND | 1 | 668,892   | 0 | 0 |
| SPARK THERAPEUTICS INC       | COM              | 84652J103 | 13     | 40        | SH | Call | DFND | 1 | 40        | 0 | 0 |
| SPARK THERAPEUTICS INC       | COM              | 84652J103 | 47     | 99        | SH | Put  | DFND | 1 | 99        | 0 | 0 |
| SPARK THERAPEUTICS INC       | COM              | 84652J103 | 120    | 124,700   | SH | Put  | DFND | 4 | 124,700   | 0 | 0 |
| SPARTAN ENERGY ACQUISITON CO | *W EXP 08/27/202 | 846784122 | 192    | 215,180   | SH |      | DFND | 1 | 215,180   | 0 | 0 |
| SPARTAN ENERGY ACQUISITON CO | CL A COM STK     | 846784106 | 2,000  | 200,000   | SH |      | DFND | 3 | 200,000   | 0 | 0 |
| SPARTAN ENERGY ACQUISITON CO | UNIT 99/99/9999  | 846784114 | 96     | 9,500     | SH |      | DFND | 1 | 9,500     | 0 | 0 |
| SPARTAN ENERGY ACQUISITON CO | UNIT 99/99/9999  | 846784114 | 5,303  | 525,000   | SH |      | DFND | 3 | 525,000   | 0 | 0 |
| SPDR GOLD TRUST              | GOLD SHS         | 78463V107 | 66     | 100,000   | SH | Put  | DFND | 3 | 100,000   | 0 | 0 |
| SPDR S&P 500 ETF TR          | TR UNIT          | 78462F103 | 517    | 521,000   | SH | Call | DFND | 4 | 521,000   | 0 | 0 |
| SPDR S&P 500 ETF TR          | TR UNIT          | 78462F103 | 33     | 40,000    | SH | Put  | DFND | 3 | 40,000    | 0 | 0 |
| SPDR S&P 500 ETF TR          | TR UNIT          | 78462F103 | 519    | 70,000    | SH | Put  | DFND | 4 | 70,000    | 0 | 0 |
| SPDR S&P 500 ETF TR          | TR UNIT          | 78462F103 | 9      | 30        | SH |      | DFND | 1 | 30        | 0 | 0 |
| SPDR SERIES TRUST            | S&P REGL BKG     | 78464A698 | 1,240  | 23,200    | SH |      | DFND | 1 | 23,200    | 0 | 0 |
| SPIRIT MTA REIT              | COM SHS BEN IN   | 84861U105 | 944    | 113,220   | SH |      | DFND | 3 | 113,220   | 0 | 0 |

|                              |                  |           |        |           |    |      |      |   |           |   |   |
|------------------------------|------------------|-----------|--------|-----------|----|------|------|---|-----------|---|---|
| SPRINT CORPORATION           | COM              | 85207U105 | 2,093  | 318,500   | SH |      | DFND | 4 | 318,500   | 0 | 0 |
| SPRINT CORPORATION           | COM              | 85207U105 | 95     | 602       | SH | Call | DFND | 1 | 602       | 0 | 0 |
| SPRINT CORPORATION           | COM              | 85207U105 | 63     | 2,930     | SH | Put  | DFND | 1 | 2,930     | 0 | 0 |
| SPROTT PHYSICAL GOLD & SILVE | TR UNIT          | 85208R101 | 4,592  | 347,094   | SH |      | DFND | 3 | 347,094   | 0 | 0 |
| STEWART INFORMATION SVCS COR | COM              | 860372101 | 1,230  | 30,377    | SH |      | DFND | 4 | 30,377    | 0 | 0 |
| SUMITOMO MITSUI FINL GROUP I | SPONSORED ADR    | 86562M209 | 24,018 | 3,402,000 | SH |      | DFND | 2 | 3,402,000 | 0 | 0 |
| SUNTRUST BKS INC             | COM              | 867914103 | 5,442  | 86,581    | SH |      | DFND | 4 | 86,581    | 0 | 0 |
| T MOBILE US INC              | COM              | 872590104 | 31     | 25,000    | SH | Put  | DFND | 4 | 25,000    | 0 | 0 |
| TABLEAU SOFTWARE INC         | CL A             | 87336U105 | 63,525 | 382,632   | SH |      | DFND | 4 | 382,632   | 0 | 0 |
| TAKEDA PHARMACEUTICAL CO LTD | SPONSORED ADS    | 874060205 | 5,308  | 299,914   | SH |      | DFND | 3 | 299,914   | 0 | 0 |
| TARGA RES CORP               | COM              | 87612G101 | 2,846  | 72,500    | SH |      | DFND | 1 | 72,500    | 0 | 0 |
| TARGA RES CORP               | COM              | 87612G101 | 945    | 1,400     | SH | Put  | DFND | 1 | 1,400     | 0 | 0 |
| TARGET HOSPITALITY CORP      | *W EXP 03/15/202 | 87615L115 | 132    | 65,993    | SH |      | DFND | 1 | 65,993    | 0 | 0 |
| TARGET HOSPITALITY CORP      | COM              | 87615L107 | 958    | 105,314   | SH |      | DFND | 1 | 105,314   | 0 | 0 |
| TELECOM ITALIA S P A NEW     | SPON ADR SVGS    | 87927Y201 | 1,015  | 197,552   | SH |      | DFND | 3 | 197,552   | 0 | 0 |
| TENZING ACQUISITION CORP     | *W EXP 02/23/202 | G8708A108 | 4      | 20,000    | SH |      | DFND | 1 | 20,000    | 0 | 0 |
| TENZING ACQUISITION CORP     | ORD SHS          | G8708A116 | 1,796  | 175,000   | SH |      | DFND | 3 | 175,000   | 0 | 0 |
| TESLA INC                    | COM              | 88160R101 | 11,173 | 50,000    | SH |      | DFND | 2 | 50,000    | 0 | 0 |
| TESLA INC                    | COM              | 88160R101 | 2,383  | 50,000    | SH | Put  | DFND | 2 | 50,000    | 0 | 0 |
| THUNDER BRIDGE ACQUISITION L | *W EXP 01/01/202 | G8857R126 | 7      | 3,430     | SH |      | DFND | 1 | 3,430     | 0 | 0 |
| THUNDER BRIDGE ACQUISITION L | *W EXP 01/01/202 | G8857R126 | 62     | 30,800    | SH |      | DFND | 3 | 30,800    | 0 | 0 |
| THUNDER BRIDGE ACQUISITION L | SHS CLASS A      | G8857R100 | 401    | 38,429    | SH |      | DFND | 1 | 38,429    | 0 | 0 |
| THUNDER BRIDGE ACQUISITION L | SHS CLASS A      | G8857R100 | 1,521  | 145,800   | SH |      | DFND | 3 | 145,800   | 0 | 0 |
| TIBERIUS ACQUISITION CORP    | COM              | 88633A107 | 2,381  | 233,421   | SH |      | DFND | 1 | 233,421   | 0 | 0 |
| TILRAY INC                   | COM CL 2         | 88688T100 | 2,868  | 61,600    | SH |      | DFND | 2 | 61,600    | 0 | 0 |
| TILRAY INC                   | COM CL 2         | 88688T100 | 341    | 61,600    | SH | Put  | DFND | 2 | 61,600    | 0 | 0 |
| TKK SYMPHONY ACQUISITION COR | *W EXP 02/20/202 | G88950129 | 5      | 36,298    | SH |      | DFND | 1 | 36,298    | 0 | 0 |
| TKK SYMPHONY ACQUISITION COR | ORD SHS          | G88950103 | 265    | 26,507    | SH |      | DFND | 1 | 26,507    | 0 | 0 |
| TKK SYMPHONY ACQUISITION COR | UNIT 08/15/2023  | G88950111 | 7      | 662       | SH |      | DFND | 1 | 662       | 0 | 0 |
| TKK SYMPHONY ACQUISITION COR | UNIT 08/15/2023  | G88950111 | 591    | 57,500    | SH |      | DFND | 3 | 57,500    | 0 | 0 |
| TORTOISE ACQUISITION CORP    | UNIT 03/04/2024  | 89154L209 | 292    | 29,140    | SH |      | DFND | 1 | 29,140    | 0 | 0 |
| TORTOISE ACQUISITION CORP    | UNIT 03/04/2024  | 89154L209 | 3,006  | 300,000   | SH |      | DFND | 3 | 300,000   | 0 | 0 |
| TOTAL SYS SVCS INC           | COM              | 891906109 | 8,708  | 67,888    | SH |      | DFND | 4 | 67,888    | 0 | 0 |

|                              |                  |           |        |           |    |      |      |   |           |   |   |
|------------------------------|------------------|-----------|--------|-----------|----|------|------|---|-----------|---|---|
| TOTTENHAM ACQUISITION I LTD  | *W EXP 05/06/202 | G8959N114 | 6      | 60,743    | SH |      | DFND | 1 | 60,743    | 0 | 0 |
| TOTTENHAM ACQUISITION I LTD  | RIGHT 06/05/2020 | G8959N122 | 74     | 200,871   | SH |      | DFND | 1 | 200,871   | 0 | 0 |
| TOTTENHAM ACQUISITION I LTD  | SHS              | G8959N106 | 1,987  | 194,837   | SH |      | DFND | 1 | 194,837   | 0 | 0 |
| TOTTENHAM ACQUISITION I LTD  | SHS              | G8959N106 | 2,040  | 200,000   | SH |      | DFND | 3 | 200,000   | 0 | 0 |
| TPG PACE HLDGS CORP          | *W EXP 06/27/202 | G89827110 | 69     | 43,819    | SH |      | DFND | 1 | 43,819    | 0 | 0 |
| TPG PACE HLDGS CORP          | CL A             | G89827128 | 3,776  | 363,094   | SH |      | DFND | 1 | 363,094   | 0 | 0 |
| TPG PACE HLDGS CORP          | CL A             | G89827128 | 2,080  | 200,000   | SH |      | DFND | 3 | 200,000   | 0 | 0 |
| TRIBUNE MEDIA CO             | CL A             | 896047503 | 50     | 99,900    | SH | Put  | DFND | 4 | 99,900    | 0 | 0 |
| TRIDENT ACQUISITIONS CORP    | *W EXP 05/09/202 | 89615T114 | 49     | 326,711   | SH |      | DFND | 1 | 326,711   | 0 | 0 |
| TRIDENT ACQUISITIONS CORP    | COM              | 89615T106 | 3,045  | 294,449   | SH |      | DFND | 1 | 294,449   | 0 | 0 |
| TRIDENT ACQUISITIONS CORP    | COM              | 89615T106 | 7,238  | 700,000   | SH |      | DFND | 3 | 700,000   | 0 | 0 |
| TRIDENT ACQUISITIONS CORP    | UNIT 05/09/2023  | 89615T205 | 362    | 34,505    | SH |      | DFND | 1 | 34,505    | 0 | 0 |
| TRIDENT ACQUISITIONS CORP    | UNIT 05/09/2023  | 89615T205 | 6,870  | 654,300   | SH |      | DFND | 3 | 654,300   | 0 | 0 |
| TRINE ACQUISITION CORP       | *W EXP 03/31/202 | 89628U116 | 24     | 32,500    | SH |      | DFND | 1 | 32,500    | 0 | 0 |
| TRINE ACQUISITION CORP       | UNIT 03/31/2021  | 89628U207 | 4,040  | 400,000   | SH |      | DFND | 3 | 400,000   | 0 | 0 |
| TRINE ACQUISITION CORP       | UNIT 03/31/2021  | 89628U207 | 1,614  | 159,977   | SH |      | DFND | 1 | 159,977   | 0 | 0 |
| TRINITY MERGER CORP          | *W EXP 05/11/202 | 89653L114 | 10     | 31,900    | SH |      | DFND | 1 | 31,900    | 0 | 0 |
| TRINITY MERGER CORP          | COM CL A         | 89653L106 | 127    | 12,326    | SH |      | DFND | 1 | 12,326    | 0 | 0 |
| TRINITY MERGER CORP          | COM CL A         | 89653L106 | 2,060  | 200,000   | SH |      | DFND | 3 | 200,000   | 0 | 0 |
| TRINITY MERGER CORP          | UNIT 05/11/2025  | 89653L205 | 106    | 10,000    | SH |      | DFND | 1 | 10,000    | 0 | 0 |
| TRINITY MERGER CORP          | UNIT 05/11/2025  | 89653L205 | 1,331  | 125,240   | SH |      | DFND | 3 | 125,240   | 0 | 0 |
| TURNING PT BRANDS INC        | COM              | 90041L105 | 511    | 10,424    | SH |      | DFND | 1 | 10,424    | 0 | 0 |
| TURNING PT BRANDS INC        | COM              | 90041L105 | 48     | 200       | SH | Call | DFND | 1 | 200       | 0 | 0 |
| TURNING PT BRANDS INC        | COM              | 90041L105 | 64     | 200       | SH | Put  | DFND | 1 | 200       | 0 | 0 |
| TUSCAN HOLDINGS CORP         | UNIT 99/99/9999  | 90069K203 | 1      | 100       | SH |      | DFND | 1 | 100       | 0 | 0 |
| TUSCAN HOLDINGS CORP         | UNIT 99/99/9999  | 90069K203 | 1,060  | 100,000   | SH |      | DFND | 3 | 100,000   | 0 | 0 |
| TWELVE SEAS INVESTMENT COMPA | RIGHT 12/22/2019 | G9145A131 | 307    | 1,057,298 | SH |      | DFND | 1 | 1,057,298 | 0 | 0 |
| TWIN RIV WORLDWIDE HLDGS INC | COM              | 90171V204 | 1,632  | 54,855    | SH |      | DFND | 1 | 54,855    | 0 | 0 |
| ULTRAGENYX PHARMACEUTICAL IN | COM              | 90400D108 | 2,159  | 34,000    | SH |      | DFND | 3 | 34,000    | 0 | 0 |
| UNDER ARMOUR INC             | CL C             | 904311206 | 5,352  | 241,102   | SH |      | DFND | 3 | 241,102   | 0 | 0 |
| UNILEVER N V                 | N Y SHS NEW      | 904784709 | 11,949 | 196,791   | SH |      | DFND | 3 | 196,791   | 0 | 0 |

|                              |                  |           |        |           |    |      |      |   |           |   |   |
|------------------------------|------------------|-----------|--------|-----------|----|------|------|---|-----------|---|---|
| UNILEVER PLC                 | SPON ADR NEW     | 904767704 | 3,173  | 51,204    | SH |      | DFND | 3 | 51,204    | 0 | 0 |
| UNITED STATES OIL FUND LP    | UNITS            | 91232N108 | 350    | 150,000   | SH | Put  | DFND | 3 | 150,000   | 0 | 0 |
| UNITED STS 12 MONTH OIL FDL  | UNIT BEN INT     | 91288V103 | 1,846  | 85,300    | SH |      | DFND | 3 | 85,300    | 0 | 0 |
| UNUM THERAPEUTICS INC        | COM              | 903214104 | 2,151  | 820,805   | SH |      | DFND | 3 | 820,805   | 0 | 0 |
| VANECK VECTORS ETF TR        | GOLD MINERS ETF  | 92189F106 | 2,904  | 39,588    | SH | Call | DFND | 1 | 39,588    | 0 | 0 |
| VANECK VECTORS ETF TR        | SEMICONDUCTOR ET | 92189F676 | 4,628  | 42,000    | SH |      | DFND | 1 | 42,000    | 0 | 0 |
| VANECK VECTORS ETF TR        | SEMICONDUCTOR ET | 92189F676 | 79     | 3,587     | SH | Call | DFND | 1 | 3,587     | 0 | 0 |
| VANECK VECTORS ETF TR        | SEMICONDUCTOR ET | 92189F676 | 251    | 102,500   | SH | Call | DFND | 4 | 102,500   | 0 | 0 |
| VANECK VECTORS ETF TR        | SEMICONDUCTOR ET | 92189F676 | 406    | 350,000   | SH | Put  | DFND | 4 | 350,000   | 0 | 0 |
| VECTOIQ ACQUISITION CORP     | *W EXP 05/11/202 | 92243N111 | 7      | 14,057    | SH |      | DFND | 1 | 14,057    | 0 | 0 |
| VECTOIQ ACQUISITION CORP     | COM              | 92243N103 | 37     | 1,164,699 | SH |      | DFND | 1 | 1,164,699 | 0 | 0 |
| VECTOIQ ACQUISITION CORP     | UNIT 05/11/2023  | 92243N202 | 3,139  | 296,667   | SH |      | DFND | 1 | 296,667   | 0 | 0 |
| VERIZON COMMUNICATIONS INC   | COM              | 92343V104 | 188    | 850       | SH | Put  | DFND | 1 | 850       | 0 | 0 |
| VERIZON COMMUNICATIONS INC   | COM              | 92343V104 | 63     | 1,100     | SH |      | DFND | 1 | 1,100     | 0 | 0 |
| VERSUM MATLS INC             | COM              | 92532W103 | 21,827 | 423,162   | SH |      | DFND | 4 | 423,162   | 0 | 0 |
| VERSUM MATLS INC             | COM              | 92532W103 | 39     | 85,000    | SH | Put  | DFND | 4 | 85,000    | 0 | 0 |
| VODAFONE GROUP PLC NEW       | SPONSORED ADR    | 92857W308 | 12,881 | 788,794   | SH |      | DFND | 3 | 788,794   | 0 | 0 |
| WABCO HLDGS INC              | COM              | 92927K102 | 57,494 | 433,588   | SH |      | DFND | 4 | 433,588   | 0 | 0 |
| WEALTHBRIDGE ACQUISITION LTD | RIGHT 11/02/2023 | G4887W136 | 6      | 25,000    | SH |      | DFND | 1 | 25,000    | 0 | 0 |
| WEALTHBRIDGE ACQUISITION LTD | UNIT 99/99/9999  | G4887W102 | 179    | 17,650    | SH |      | DFND | 1 | 17,650    | 0 | 0 |
| WELLCARE HEALTH PLANS INC    | COM              | 94946T106 | 881    | 380       | SH | Call | DFND | 1 | 380       | 0 | 0 |
| WELLCARE HEALTH PLANS INC    | COM              | 94946T106 | 5      | 45        | SH | Put  | DFND | 1 | 45        | 0 | 0 |
| WORLDPAY INC                 | CL A             | 981558109 | 15,928 | 129,972   | SH |      | DFND | 4 | 129,972   | 0 | 0 |
| XYNOMIC PHARMACUTCLS HLDNG I | *W EXP 05/15/202 | 98421X110 | 11     | 50,000    | SH |      | DFND | 1 | 50,000    | 0 | 0 |
| YOGAWORKS INC                | COM              | 986005106 | 178    | 296,807   | SH |      | DFND | 1 | 296,807   | 0 | 0 |
| ZAYO GROUP HLDGS INC         | COM              | 98919V105 | 18     | 100,000   | SH | Put  | DFND | 4 | 100,000   | 0 | 0 |
| ZAYO GROUP HLDGS INC         | COM              | 98919V105 | 49,348 | 1,499,493 | SH |      | DFND | 4 | 1,499,493 | 0 | 0 |
| ZAYO GROUP HLDGS INC         | COM              | 98919V105 | 28     | 1,402     | SH | Call | DFND | 1 | 1,402     | 0 | 0 |
| ZAYO GROUP HLDGS INC         | COM              | 98919V105 | 7      | 63        | SH | Put  | DFND | 1 | 63        | 0 | 0 |