

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**

**FORM 13F COVER PAGE**

**OMB APPROVAL**

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

Report for the Calendar Year or Quarter Ended: 03-31-2019

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                      05-13-2019  
[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: 418  
Form 13F Information Table Value Total: 930,743  
(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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**FORM 13F INFORMATION TABLE**

COLUMN 1 NAME OF ISSUER	COLUMN 2 TITLE OF CLASS	COLUMN 3 CUSIP	COLUMN 4	COLUMN 5			COLUMN 6	COLUMN 7	COLUMN 8		
			VALUE (x\$1000)	SHRS OR PRN AMT	SH/	PUT/ CALL	INVESTMENT DISCRETION	OTHER MANAGER	VOTING AUTHORITY SOLE SHARED NONE		
ABBVIE INC	COM	00287Y109	68	50,000	SH	Put	DFND	1	50,000	0	0
ABBVIE INC	COM	00287Y109	866	10,750	SH		DFND	1	10,750	0	0
ACAMAR PARTNERS ACQSITION CO	UNIT 12/30/2025	004285201	250	25,000	SH		DFND	1	25,000	0	0
ADVANCED MICRO DEVICES INC	COM	007903107	459	18,000	SH		DFND	1	18,000	0	0
ADVANCED MICRO DEVICES INC	COM	007903107	35	40,000	SH	Put	DFND	1	40,000	0	0
AGIOS PHARMACEUTICALS INC	COM	00847X104	114	30,000	SH	Call	DFND	1	30,000	0	0
ALBERTON ACQUISITION CORP	*W EXP 04/26/202	G35006124	60	661,905	SH		DFND	1	661,905	0	0
ALBERTON ACQUISITION CORP	RIGHT 10/04/2020	G35006132	21	121,650	SH		DFND	1	121,650	0	0
ALLEGRO MERGER CORP	*W EXP 01/06/202	01749N111	6	24,778	SH		DFND	1	24,778	0	0
ALLEGRO MERGER CORP	RIGHT 12/31/2023	01749N129	20	74,778	SH		DFND	1	74,778	0	0
ALLIANCE DATA SYSTEMS CORP	COM	018581108	32	15,100	SH	Call	DFND	1	15,100	0	0
ALLIANCE DATA SYSTEMS CORP	COM	018581108	465	33,200	SH	Put	DFND	1	33,200	0	0
ALPHABET INC	CAP STK CL A	02079K305	222	189	SH		DFND	3	189	0	0
ALPHABET INC	CAP STK CL C	02079K107	290	247	SH		DFND	3	247	0	0
ALTA MESA RES INC	*W EXP 03/28/202	02133L117	1	16,434	SH		DFND	1	16,434	0	0
ALTABA INC	COM	021346101	4,692	63,300	SH		DFND	3	63,300	0	0
AMAZON COM INC	COM	023135106	4,650	2,611	SH		DFND	3	2,611	0	0
AMCI ACQUISITION CORP	*W EXP 05/20/202	00165R119	4	14,000	SH		DFND	1	14,000	0	0
AMCI ACQUISITION CORP	CLASS A	00165R101	2,302	233,931	SH		DFND	1	233,931	0	0
AMCI ACQUISITION CORP	UNIT 01/07/2019	00165R200	432	42,700	SH		DFND	1	42,700	0	0
AMICUS THERAPEUTICS INC	COM	03152W109	43	52,500	SH	Call	DFND	1	52,500	0	0
AMICUS THERAPEUTICS INC	COM	03152W109	4	35,000	SH	Put	DFND	1	35,000	0	0
ANDINA ACQUISITION CORP III	*W EXP 07/31/202	G04415124	6	31,350	SH		DFND	1	31,350	0	0

ANDINA ACQUISITION CORP III	RIGHT 07/31/2020	G04415132	121	355,563	SH		DFND	1	355,563	0	0
ANDINA ACQUISITION CORP III	UNIT 09/24/2020	G04415116	978	96,836	SH		DFND	1	96,836	0	0
ANTERO RES CORP	COM	03674X106	124	14,000	SH		DFND	1	14,000	0	0
ANTERO RES CORP	COM	03674X106	67	7,500	SH	Put	DFND	1	7,500	0	0
ANTERO RES CORP	COM	03674X106	2	14,600	SH	Call	DFND	1	14,600	0	0
APHRIA INC	COM	03765K104	82	8,850	SH		DFND	1	8,850	0	0
APHRIA INC	COM	03765K104	668	71,700	SH		DFND	2	71,700	0	0
APHRIA INC	COM	03765K104	59	71,700	SH	Put	DFND	2	71,700	0	0
APPLE INC	COM	037833100	892	4,694	SH		DFND	3	4,694	0	0
ARCONIC INC	COM	03965L100	4	29,600	SH	Call	DFND	1	29,600	0	0
ARCONIC INC	COM	03965L100	1	55,200	SH	Put	DFND	1	55,200	0	0
ARQULE INC	COM	04269E107	46	9,500	SH		DFND	1	9,500	0	0
ARQULE INC	COM	04269E107	6	60,900	SH	Call	DFND	1	60,900	0	0
ARQULE INC	COM	04269E107	3	6,300	SH	Put	DFND	1	6,300	0	0
ARYA SCIENCES ACQUISITION CO	*W EXP 10/10/202	G3165V125	34	34,156	SH		DFND	1	34,156	0	0
ASCENDIS PHARMA A S	SPONSORED ADR	04351P101	606	5,150	SH		DFND	1	5,150	0	0
ASCENDIS PHARMA A S	SPONSORED ADR	04351P101	106	38,800	SH	Call	DFND	1	38,800	0	0
ASCENDIS PHARMA A S	SPONSORED ADR	04351P101	7	4,000	SH	Put	DFND	1	4,000	0	0
AT&T INC	COM	00206R102	3,136	100,000	SH		DFND	1	100,000	0	0
AT&T INC	COM	00206R102	67	550,000	SH	Call	DFND	1	550,000	0	0
AT&T INC	COM	00206R102	43	100,000	SH	Put	DFND	1	100,000	0	0
ATARA BIOTHERAPEUTICS INC	COM	046513107	38	10,000	SH	Call	DFND	1	10,000	0	0
AUDENTES THERAPEUTICS INC	COM	05070R104	2,848	73,000	SH		DFND	3	73,000	0	0
AUDENTES THERAPEUTICS INC	COM	05070R104	23	5,000	SH	Call	DFND	3	5,000	0	0
AURORA CANNABIS INC	COM	05156X108	654	161,400	SH	Call	DFND	1	161,400	0	0
AVAYA HLDGS CORP	COM	05351X101	926	55,000	SH		DFND	4	55,000	0	0
AVAYA HLDGS CORP	COM	05351X101	191	150,000	SH	Call	DFND	4	150,000	0	0
AVON PRODS INC	COM	054303102	4	20,000	SH	Put	DFND	1	20,000	0	0
AVON PRODS INC	COM	054303102	713	242,500	SH		DFND	1	242,500	0	0
AXSOME THERAPEUTICS INC	COM	05464T104	93	20,200	SH	Call	DFND	1	20,200	0	0
BANK N S HALIFAX	COM	064149107	1	28	SH		DFND	3	28	0	0
BANK N S HALIFAX	COM	064149107	20	2,000,000	SH	Call	DFND	2	2,000,000	0	0
BARCLAYS PLC	ADR	06738E204	150	18,696	SH		DFND	3	18,696	0	0
BB&T CORP	COM	054937107	30	14,500	SH	Put	DFND	4	14,500	0	0
BELMOND LTD	CL A	G1154H107	4	77,500	SH	Call	DFND	1	77,500	0	0
BEMIS CO INC	COM	081437105	38,833	699,950	SH		DFND	4	699,950	0	0
BIG ROCK PARTNERS ACQUI SI CO	COM	089482103	167	16,127	SH		DFND	1	16,127	0	0
BIOSCRIP INC	COM	09069N108	836	417,898	SH		DFND	4	417,898	0	0
BLACK RIDGE ACQUISITION CORP	UNIT 10/05/2022	09216T206	531	50,000	SH		DFND	3	50,000	0	0
BLUEBIRD BIO INC	COM	09609G100	1,259	8,000	SH		DFND	3	8,000	0	0

BLUEPRINT MEDICINES CORP	COM	09627Y109	2,722	34,000 SH		DFND	3	34,000	0	0
BOEING CO	COM	097023105	481	1,260 SH		DFND	3	1,260	0	0
BOXWOOD MERGER CORP	*W EXP 11/26/202	10319T119	8	21,404 SH		DFND	1	21,404	0	0
BOXWOOD MERGER CORP	UNIT 11/26/2025	10319T200	576	57,100 SH		DFND	1	57,100	0	0
BP PRUDHOE BAY RTY TR	UNIT BEN INT	055630107	490	89,000 SH	Put	DFND	3	89,000	0	0
BRIGHTHOUSE FINL INC	COM	10922N103	377	10,399 SH		DFND	1	10,399	0	0
BRISTOL MYERS SQUIBB CO	COM	110122108	687	14,400 SH		DFND	1	14,400	0	0
BRISTOL MYERS SQUIBB CO	COM	110122108	86	1,800 SH		DFND	4	1,800	0	0
BRISTOL MYERS SQUIBB CO	COM	110122108	117	503,800 SH	Call	DFND	1	503,800	0	0
BRISTOL MYERS SQUIBB CO	COM	110122108	253	311,000 SH	Call	DFND	4	311,000	0	0
BRISTOL MYERS SQUIBB CO	COM	110122108	644	536,800 SH	Put	DFND	1	536,800	0	0
BROOKFIELD PROPERTY REIT INC	CL A	11282X103	3,877	189,200 SH		DFND	2	189,200	0	0
BROOKFIELD PROPERTY REIT INC	CL A	11282X103	464	22,659 SH		DFND	3	22,659	0	0
CAESARS ENTMT CORP	COM	127686103	362	41,602 SH		DFND	3	41,602	0	0
CAESARS ENTMT CORP	COM	127686103	2,451	282,100 SH		DFND	4	282,100	0	0
CAESARS ENTMT CORP	COM	127686103	22	47,600 SH	Put	DFND	1	47,600	0	0
CAESARS ENTMT CORP	COM	127686103	287	33,000 SH		DFND	1	33,000	0	0
CANNTRUST HLDGS INC	COM	137800207	155	20,000 SH		DFND	1	20,000	0	0
CANOPY GROWTH CORP	COM	138035100	4,883	112,600 SH		DFND	2	112,600	0	0
CANOPY GROWTH CORP	COM	138035100	869	112,600 SH	Put	DFND	2	112,600	0	0
CAPITAL ONE FINL CORP	COM	14040H105	408	5,000 SH		DFND	3	5,000	0	0
CAPITOL INVT CORP IV	*W EXP 01/01/202	G18920127	94	68,450 SH		DFND	1	68,450	0	0
CAPITOL INVT CORP IV	CL A ORD	G18920101	3,919	384,988 SH		DFND	1	384,988	0	0
CAPITOL INVT CORP IV	CL A ORD	G18920101	3,054	300,000 SH		DFND	3	300,000	0	0
CAPITOL INVT CORP IV	UNIT 99/99/9999	G18920119	529	50,000 SH		DFND	3	50,000	0	0
CARMAX INC	COM	143130102	1,815	26,005 SH		DFND	1	26,005	0	0
CARMAX INC	COM	143130102	9	57,500 SH	Put	DFND	1	57,500	0	0
CARS COM INC	COM	14575E105	383	16,800 SH		DFND	1	16,800	0	0
CARS COM INC	COM	14575E105	2,169	95,121 SH		DFND	4	95,121	0	0
CDN IMPERIAL BK COMM TORONTO	COM	136069101	6	500,000 SH	Call	DFND	2	500,000	0	0
CDN IMPERIAL BK COMM TORONTO	COM	136069101	16	200 SH		DFND	3	200	0	0
CELGENE CORP	COM	151020104	1,166	12,355 SH		DFND	3	12,355	0	0
CELGENE CORP	COM	151020104	2,811	29,795 SH		DFND	4	29,795	0	0
CELGENE CORP	COM	151020104	1,539	275,600 SH	Call	DFND	1	275,600	0	0

CELGENE CORP	COM	151020104	403	654,700	SH	Put	DFND	1	654,700	0	0
CENTENE CORP DEL	COM	15135B101	22	30,000	SH	Call	DFND	1	30,000	0	0
CENTENE CORP DEL	COM	15135B101	33	30,000	SH	Put	DFND	1	30,000	0	0
CF FIN ACQUISITION CORP	UNIT 04/30/2025	12528N206	747	73,200	SH		DFND	1	73,200	0	0
CHARDAN HEALTHCARE ACQUISITI	UNIT 12/13/2023	15957A207	145	14,475	SH		DFND	1	14,475	0	0
CHASERG TECHNLOGY ACQUISITN C	UNIT 09/30/2023	16166A202	1,708	169,100	SH		DFND	1	169,100	0	0
CHESAPEAKE ENERGY CORP	COM	165167107	827	266,799	SH		DFND	3	266,799	0	0
CHESAPEAKE ENERGY CORP	COM	165167107	379	268,800	SH	Put	DFND	3	268,800	0	0
CHESAPEAKE ENERGY CORP	COM	165167107	34	481,200	SH	Call	DFND	1	481,200	0	0
CHURCHILL CAP CORP	*W EXP 09/11/202	17142R111	473	140,283	SH		DFND	1	140,283	0	0
CIGNA CORP NEW	COM	125523100	53	15,500	SH	Call	DFND	1	15,500	0	0
CIGNA CORP NEW	COM	125523100	3	27,700	SH	Put	DFND	1	27,700	0	0
CISCO SYS INC	COM	17275R102	465	8,620	SH		DFND	1	8,620	0	0
CISCO SYS INC	COM	17275R102	5	101	SH		DFND	3	101	0	0
CISCO SYS INC	COM	17275R102	51	25,000	SH	Put	DFND	1	25,000	0	0
CM SEVEN STAR ACQUISITION CO	RIGHT 08/21/2022	G2345N136	123	372,171	SH		DFND	1	372,171	0	0
CM SEVEN STAR ACQUISITION CO	SHS	G2345N102	978	136,104	SH		DFND	1	136,104	0	0
COLLIER CREEK HOLDINGS	*W EXP 99/99/999	G22707114	67	60,488	SH		DFND	1	60,488	0	0
COLLIER CREEK HOLDINGS	COM CL A	G22707106	548	55,097	SH		DFND	1	55,097	0	0
COLLIER CREEK HOLDINGS	UNIT 99/99/9999	G22707122	479	46,385	SH		DFND	1	46,385	0	0
COLLIER CREEK HOLDINGS	UNIT 99/99/9999	G22707122	1,290	125,000	SH		DFND	3	125,000	0	0
CONSTELLATION ALPHA CAP CORP	SHS	G2379F108	7,709	747,050	SH		DFND	1	747,050	0	0
CONSTELLATION ALPHA CAP CORP	UNIT 99/99/9999	G2379F124	1,418	136,250	SH		DFND	1	136,250	0	0
CORBUS PHARMACEUTICALS HLDGS	COM	21833P103	309	44,500	SH		DFND	1	44,500	0	0
CORBUS PHARMACEUTICALS HLDGS	COM	21833P103	2	59,900	SH	Call	DFND	1	59,900	0	0
CORVUS PHARMACEUTICALS INC	COM	221015100	2,347	583,823	SH		DFND	3	583,823	0	0
COTY INC	COM CL A	222070203	7,452	648,000	SH		DFND	3	648,000	0	0
COTY INC	COM CL A	222070203	10	250,000	SH	Call	DFND	1	250,000	0	0
COTY INC	COM CL A	222070203	88	454,200	SH	Call	DFND	3	454,200	0	0
COTY INC	COM CL A	222070203	938	250,000	SH	Put	DFND	1	250,000	0	0
COTY INC	COM CL A	222070203	78	160,200	SH	Put	DFND	3	160,200	0	0
COVETRUS INC	COM	22304C100	637	20,000	SH		DFND	3	20,000	0	0
DASEKE INC	*W EXP 02/27/202	23753F115	53	154,975	SH		DFND	1	154,975	0	0
DD3 ACQUISITION CORP	*W EXP 10/20/202	G2692M111	14	50,799	SH		DFND	1	50,799	0	0
DELL TECHNOLOGIES INC	CL C	24703L202	138	34,500	SH	Call	DFND	1	34,500	0	0

DENBURY RES INC	COM NEW	247916208	101	292,400	SH	Call	DFND	4	292,400	0	0
DFB HEALTHCARE ACQUISTION CO	*W EXP 04/11/202	23291E117	21	23,480	SH		DFND	1	23,480	0	0
DFB HEALTHCARE ACQUISTION CO	COM	23291E109	313	31,300	SH		DFND	1	31,300	0	0
DIAMONDPEAK HLDGS COR	UNIT 99/99/9999	25280H209	1,253	125,000	SH		DFND	1	125,000	0	0
DISNEY WALT CO	COM DISNEY	254687106	1,665	15,000	SH		DFND	1	15,000	0	0
DISNEY WALT CO	COM DISNEY	254687106	5	30,000	SH	Call	DFND	1	30,000	0	0
DISNEY WALT CO	COM DISNEY	254687106	4	125,000	SH	Put	DFND	1	125,000	0	0
EDTECHX HLDGS ACQUISITION CO	*W EXP 12/31/202	28138X111	3	15,300	SH		DFND	1	15,300	0	0
ELLIE MAE INC	COM	28849P100	3	67,700	SH	Call	DFND	1	67,700	0	0
ENCANA CORP	COM	292505104	9	175,100	SH	Call	DFND	1	175,100	0	0
ENTEGRIS INC	COM	29362U104	607	17,000	SH		DFND	1	17,000	0	0
EXPEDIA GROUP INC	COM NEW	30212P303	202	1,694	SH		DFND	3	1,694	0	0
EXXON MOBIL CORP	COM	30231G102	1,244	15,400	SH		DFND	1	15,400	0	0
FAR PT ACQUISITION CORP	*W EXP 06/01/202	30734W117	73	54,556	SH		DFND	1	54,556	0	0
FAR PT ACQUISITION CORP	COM CL A	30734W109	787	79,106	SH		DFND	1	79,106	0	0
FASTENAL CO	COM	311900104	386	6,000	SH		DFND	1	6,000	0	0
FASTENAL CO	COM	311900104	110	104,700	SH	Put	DFND	1	104,700	0	0
FIFTH THIRD BANCORP	COM	316773100	23	30,000	SH	Put	DFND	4	30,000	0	0
FINISAR CORP	COM NEW	31787A507	3,594	155,125	SH		DFND	4	155,125	0	0
FINTECH ACQUISITION CORP III	*W EXP 12/01/202	31811A119	73	80,671	SH		DFND	1	80,671	0	0
FINTECH ACQUISITION CORP III	UNIT 12/01/2023	31811A309	1,015	99,600	SH		DFND	1	99,600	0	0
FINTECH ACQUISITION CORP III	UNIT 12/01/2023	31811A309	1,274	125,000	SH		DFND	3	125,000	0	0
FIRST DATA CORP NEW	COM CL A	32008D106	34,309	1,306,018	SH		DFND	4	1,306,018	0	0
FIRST REP BK SAN FRANCISCO C	COM	33616C100	89	63,600	SH	Put	DFND	1	63,600	0	0
FISERV INC	COM	337738108	16	50,000	SH	Put	DFND	4	50,000	0	0
FORUM MERGER II CORP	CL A	34986F103	303	30,574	SH		DFND	1	30,574	0	0
FORUM MERGER II CORP	UNIT 09/30/2025	34986F202	113	10,902	SH		DFND	1	10,902	0	0
FORUM MERGER II CORP	UNIT 09/30/2025	34986F202	5,175	500,000	SH		DFND	3	500,000	0	0
FOX CORP	CL A COM	35137L105	3	27,500	SH	Call	DFND	1	27,500	0	0
GCI LIBERTY INC	COM CLASS A	36164V305	4,628	83,231	SH		DFND	3	83,231	0	0
GENWORTH FINL INC	COM CL A	37247D106	3,157	824,308	SH		DFND	4	824,308	0	0
GIGCAPITAL INC	RIGHT 03/06/2020	37518N114	8	12,934	SH		DFND	1	12,934	0	0
GIGCAPITAL INC	UNIT 03/06/2025	37518N205	1,150	105,532	SH		DFND	1	105,532	0	0
GLOBAL BLOOD THERAPEUTICS IN	COM	37890U108	3,599	68,000	SH		DFND	3	68,000	0	0
GLOBAL BLOOD THERAPEUTICS IN	COM	37890U108	9	6,800	SH	Call	DFND	1	6,800	0	0
GLOBAL BLOOD THERAPEUTICS IN	COM	37890U108	29	23,100	SH	Call	DFND	3	23,100	0	0

GLOBALSTAR INC	COM	378973408	24	55,000	SH		DFND	1	55,000	0	0
GORDON POINTE ACQUISITION CO	*W EXP 07/30/202	382788115	6	15,690	SH		DFND	1	15,690	0	0
GORDON POINTE ACQUISITION CO	COM CLASS A	382788107	819	80,250	SH		DFND	1	80,250	0	0
GORES HOLDINGS III INC	*W EXP 09/11/202	38286G117	47	33,333	SH		DFND	1	33,333	0	0
GORES HOLDINGS III INC	CLASS A	38286G109	2,079	210,802	SH		DFND	1	210,802	0	0
GORES METROPOULOS INC	*W EXP 01/28/202	382872117	21	14,734	SH		DFND	1	14,734	0	0
GORES METROPOULOS INC	UNIT 99/99/9999	382872208	3,326	324,830	SH		DFND	1	324,830	0	0
GRAF INDL CORP	*W EXP 12/31/202	384278115	40	121,571	SH		DFND	1	121,571	0	0
GRAF INDL CORP	UNIT 12/31/2025	384278206	251	24,800	SH		DFND	1	24,800	0	0
GREENLAND ACQUISITIN CORPORA	RIGHT 04/27/2025	G40981113	72	233,540	SH		DFND	1	233,540	0	0
GS ACQUISITION HLDGS CORP	*W EXP 06/12/202	36255F110	67	48,002	SH		DFND	1	48,002	0	0
GS ACQUISITION HLDGS CORP	UNIT 06/12/2023	36255F201	20	1,898	SH		DFND	1	1,898	0	0
GS ACQUISITION HLDGS CORP	UNIT 06/12/2023	36255F201	1,574	150,000	SH		DFND	3	150,000	0	0
GW PHARMACEUTICALS PLC	ADS	36197T103	4,855	28,800	SH		DFND	1	28,800	0	0
GW PHARMACEUTICALS PLC	ADS	36197T103	89	11,000	SH	Call	DFND	1	11,000	0	0
HALCON RES CORP	*W EXP 09/09/202	40537Q118	1	140,499	SH		DFND	1	140,499	0	0
HARRIS CORP DEL	COM	413875105	33	30,000	SH	Put	DFND	4	30,000	0	0
HENNESSY CAP ACQUSTION CORP	UNIT 99/99/9999	42589C203	1,461	144,976	SH		DFND	1	144,976	0	0
HSBC HLDGS PLC	SPON ADR NEW	404280406	10,212	251,650	SH		DFND	3	251,650	0	0
HUNTER MARITIME ACQUISITION	*W EXP 11/17/202	Y37828129	12	23,830	SH		DFND	1	23,830	0	0
II VI INC	COM	902104108	5	50,000	SH	Put	DFND	4	50,000	0	0
IMMUNOMEDICS INC	COM	452907108	5	15,000	SH	Put	DFND	1	15,000	0	0
INSMED INC	COM PAR \$.01	457669307	58	2,000	SH		DFND	1	2,000	0	0
INSMED INC	COM PAR \$.01	457669307	5	19,300	SH	Call	DFND	1	19,300	0	0
INSURANCE ACQUISITION CORP	UNIT 03/31/2024	457867307	1,568	155,200	SH		DFND	1	155,200	0	0
INTEGRATED DEVICE TECHNOLOGY	COM	458118106	8,683	177,246	SH		DFND	4	177,246	0	0
INTERCEPT PHARMACEUTICALS IN	COM	45845P108	34	10,000	SH	Call	DFND	1	10,000	0	0
INTERCEPT PHARMACEUTICALS IN	COM	45845P108	43	12,000	SH	Put	DFND	1	12,000	0	0
IRON MTN INC NEW	COM	46284V101	217	110,000	SH	Put	DFND	1	110,000	0	0
IRON MTN INC NEW	COM	46284V101	50	100,000	SH	Call	DFND	1	100,000	0	0
ISHARES TR	IBOXX HI YD ETF	464288513	103	250,000	SH	Put	DFND	1	250,000	0	0
JACK IN THE BOX INC	COM	466367109	1,540	19,004	SH		DFND	4	19,004	0	0
JACOBS ENGR GROUP INC	COM	469814107	2	10,000	SH	Put	DFND	1	10,000	0	0



KBL MERGER CORP IV	COM	48242A104	849	81,700	SH		DFND	1	81,700	0	0
KEMPHARM INC	COM	488445107	732	438,505	SH		DFND	3	438,505	0	0
KEZAR LIFE SCIENCES INC	COM	49372L100	8,728	492,006	SH		DFND	3	492,006	0	0
KLA-TENCOR CORP	COM	482480100	75	624	SH		DFND	4	624	0	0
KLA-TENCOR CORP	COM	482480100	62	100,000	SH	Put	DFND	4	100,000	0	0
KRAFT HEINZ CO	COM	500754106	89	100,000	SH	Call	DFND	4	100,000	0	0
LEGACY ACQUISITION CORP	*W EXP 11/30/202	524643111	70	231,921	SH		DFND	1	231,921	0	0
LEGACY ACQUISITION CORP	COM CL A	524643103	1,506	150,000	SH		DFND	1	150,000	0	0
LEGACY ACQUISITION CORP	UNIT 05/31/2024	524643202	6,162	600,000	SH		DFND	3	600,000	0	0
LEGACY ACQUISITION CORP	UNIT 05/31/2024	524643202	1,689	164,450	SH		DFND	1	164,450	0	0
LEISURE ACQUISITION CORP	*W EXP 12/05/201	52539T115	144	320,098	SH		DFND	1	320,098	0	0
LEISURE ACQUISITION CORP	UNIT 99/99/9999	52539T206	1,025	100,000	SH		DFND	3	100,000	0	0
LEO HOLDINGS CORP	*W EXP 02/07/202	G5463L113	108	138,190	SH		DFND	1	138,190	0	0
LEO HOLDINGS CORP	COM CL A	G5463L105	205	20,450	SH		DFND	1	20,450	0	0
LIBERTY BROADBAND CORP	COM SER C	530307305	6,346	69,171	SH		DFND	3	69,171	0	0
LIBERTY EXPEDIA HLDGS INC	SER A COM	53046P109	1,059	24,749	SH		DFND	3	24,749	0	0
LIBERTY MEDIA CORP DELAWARE	COM A SIRIUSXM	531229409	7,229	189,336	SH		DFND	3	189,336	0	0
LIBERTY MEDIA CORP DELAWARE	COM C SIRIUSXM	531229607	380	9,947	SH		DFND	3	9,947	0	0
LILLY ELI & CO	COM	532457108	130	1,000	SH		DFND	1	1,000	0	0
LILLY ELI & CO	COM	532457108	155	206,000	SH	Put	DFND	1	206,000	0	0
LIVENT CORP	COM	53814L108	3	30,000	SH	Call	DFND	2	30,000	0	0
LLOYDS BANKING GROUP PLC	SPONSORED ADR	539439109	29,159	9,083,813	SH		DFND	3	9,083,813	0	0
LONGEVITY ACQUISITION CORP	*W EXP 07/31/202	G56372116	22	371,430	SH		DFND	1	371,430	0	0
LONGEVITY ACQUISITION CORP	UNIT 08/29/2024	G56372108	227	22,253	SH		DFND	1	22,253	0	0
LUXOFT HLDG INC	ORD SHS CL A	G57279104	24,463	416,678	SH		DFND	4	416,678	0	0
LUXOFT HLDG INC	ORD SHS CL A	G57279104	5	98,000	SH	Put	DFND	4	98,000	0	0
MAGELLAN HEALTH INC	COM NEW	559079207	9,978	151,360	SH		DFND	4	151,360	0	0
MAGNOLIA OIL & GAS CORP	*W EXP 07/31/202	559663117	1,226	361,568	SH		DFND	1	361,568	0	0
MANULIFE FINL CORP	COM	56501R106	484	28,611	SH		DFND	3	28,611	0	0
MAXWELL TECHNOLOGIES INC	COM	577767106	7,970	1,783,094	SH		DFND	4	1,783,094	0	0
MCDERMOTT INTL INC	COM	580037703	391	52,500	SH		DFND	1	52,500	0	0
MCDERMOTT INTL INC	COM	580037703	1	11,500	SH	Call	DFND	1	11,500	0	0
MEGALITH FINL ACQUISITION CO	CL A COM	58518F109	918	91,972	SH		DFND	1	91,972	0	0
MEGALITH FINL ACQUISITION CO	UNIT 09/30/2025	58518F208	11	1,100	SH		DFND	1	1,100	0	0
MEGALITH FINL ACQUISITION CO	UNIT 09/30/2025	58518F208	3,381	328,900	SH		DFND	3	328,900	0	0

MELLANOX TECHNOLOGIES LTD	SHS	M51363113	51,784	437,510	SH		DFND	4	437,510	0	0
MELLANOX TECHNOLOGIES LTD	SHS	M51363113	38	50,000	SH	Call	DFND	1	50,000	0	0
MERCK & CO INC	COM	58933Y105	166	2,000	SH		DFND	1	2,000	0	0
MERCK & CO INC	COM	58933Y105	13	10,400	SH	Call	DFND	1	10,400	0	0
MICROSOFT CORP	COM	594918104	348	2,952	SH		DFND	3	2,952	0	0
MIZUHO FINL GROUP INC	SPONSORED ADR	60687Y109	3,039	993,000	SH		DFND	2	993,000	0	0
MODERN MEDIA ACQUISITION	COM	60765P103	1,587	153,158	SH		DFND	1	153,158	0	0
MOSAIC ACQUISITION CORP	UNIT 99/99/9999	61946M209	991	96,200	SH		DFND	1	96,200	0	0
MOSAIC ACQUISITION CORP	UNIT 99/99/9999	61946M209	1,548	150,000	SH		DFND	3	150,000	0	0
MTECH ACQUISITION CORP	COM CLASS A	55378W107	211	20,869	SH		DFND	1	20,869	0	0
MUDRICK CAP ACQUISITION CORP	*W EXP 02/12/202	624745113	115	208,215	SH		DFND	1	208,215	0	0
MUDRICK CAP ACQUISITION CORP	*W EXP 02/12/202	624745113	138	250,000	SH		DFND	3	250,000	0	0
MUDRICK CAP ACQUISITION CORP	COM CLASS A	624745105	72	7,100	SH		DFND	1	7,100	0	0
MUDRICK CAP ACQUISITION CORP	COM CLASS A	624745105	2,520	250,000	SH		DFND	3	250,000	0	0
MUDRICK CAP ACQUISITION CORP	UNIT 02/01/2023	624745204	172	16,290	SH		DFND	1	16,290	0	0
MUDRICK CAP ACQUISITION CORP	UNIT 02/01/2023	624745204	1,058	100,000	SH		DFND	3	100,000	0	0
MYOKARDIA INC	COM	62857M105	2,806	53,965	SH		DFND	3	53,965	0	0
NATIONAL ENERGY SERVICES REU	*W EXP 05/05/202	G6375R115	127	111,363	SH		DFND	1	111,363	0	0
NEBULA ACQUISITION CORP	COM CLASS A	629076100	1,578	158,415	SH		DFND	1	158,415	0	0
NEBULA ACQUISITION CORP	UNIT 03/12/2025	629076209	147	14,359	SH		DFND	1	14,359	0	0
NEBULA ACQUISITION CORP	UNIT 03/12/2025	629076209	1,025	100,000	SH		DFND	3	100,000	0	0
NEW FRONTIER CORP	*W EXP 99/99/999	G6485P124	302	430,820	SH		DFND	1	430,820	0	0
NEW FRONTIER CORP	COM CL A	G6485P108	4,607	465,335	SH		DFND	1	465,335	0	0
NEW FRONTIER CORP	UNIT 99/99/9999	G6485P116	886	87,735	SH		DFND	1	87,735	0	0
NEXSTAR MEDIA GROUP INC	CL A	65336K103	488	52,500	SH	Call	DFND	1	52,500	0	0
NEXSTAR MEDIA GROUP INC	CL A	65336K103	30	120,000	SH	Put	DFND	4	120,000	0	0
NIELSEN HLDGS PLC	SHS EUR	G6518L108	5,885	248,611	SH		DFND	4	248,611	0	0
NIELSEN HLDGS PLC	SHS EUR	G6518L108	26	26,300	SH	Call	DFND	1	26,300	0	0
NIELSEN HLDGS PLC	SHS EUR	G6518L108	154	125,200	SH	Call	DFND	4	125,200	0	0
NIELSEN HLDGS PLC	SHS EUR	G6518L108	349	175,000	SH	Put	DFND	4	175,000	0	0
NIO INC	SPON ADS	62914V106	15	300,000	SH	Call	DFND	2	300,000	0	0
NIO INC	SPON ADS	62914V106	1	50,000	SH	Call	DFND	3	50,000	0	0
NOMURA HLDGS INC	SPONSORED ADR	65535H208	844	235,000	SH		DFND	2	235,000	0	0
NOVAVAX INC	COM	670002104	54	66,000	SH	Put	DFND	1	66,000	0	0
NXP SEMICONDUCTORS NV	COM	N6596X109	1,167	13,205	SH		DFND	1	13,205	0	0

NXP SEMICONDUCTORS NV	NOTE 1.000%12/0	62952QAB6	371	120,500	PRN	Call	DFND	1	120,500	0	0
NXP SEMICONDUCTORS NV	NOTE 1.000%12/0	62952QAB6	226	8,000	PRN	Put	DFND	1	8,000	0	0
OAKTREE CAP GROUP LLC	UNIT CL A	674001201	1,774	35,731	SH		DFND	4	35,731	0	0
ONE MADISON CORP	*W EXP 99/99/999	G6772P126	33	29,485	SH		DFND	1	29,485	0	0
ONE MADISON CORP	COM CL A	G6772P100	112	10,960	SH		DFND	1	10,960	0	0
ONESP WORLD HOLDINGS LIMITED	COM	P73684113	343	25,098	SH		DFND	1	25,098	0	0
OPES ACQUISITION CORP	*W EXP 03/13/202	68373P118	142	590,773	SH		DFND	1	590,773	0	0
OPES ACQUISITION CORP	COM	68373P100	1,421	139,975	SH		DFND	1	139,975	0	0
OPES ACQUISITION CORP	UNIT 03/07/2023	68373P209	200	19,300	SH		DFND	1	19,300	0	0
ORCHARD THERAPEUTICS PLC	ADS	68570P101	51,989	2,907,627	SH		DFND	3	2,907,627	0	0
OVID THERAPEUTICS INC	COM	690469101	1,950	1,101,414	SH		DFND	3	1,101,414	0	0
PACIFIC BIOSCIENCES CALIF IN	COM	69404D108	869	120,200	SH		DFND	1	120,200	0	0
PACIFIC BIOSCIENCES CALIF IN	COM	69404D108	54	144,900	SH	Put	DFND	1	144,900	0	0
PENN NATL GAMING INC	COM	707569109	287	14,300	SH		DFND	3	14,300	0	0
PENSARE ACQUISITION CORP	*W EXP 07/27/202	70957E113	10	52,000	SH		DFND	1	52,000	0	0
PENSARE ACQUISITION CORP	COM	70957E105	1,046	102,000	SH		DFND	3	102,000	0	0
PENSARE ACQUISITION CORP	COM	70957E105	673	65,636	SH		DFND	1	65,636	0	0
PIONEER NAT RES CO	COM	723787107	891	5,850	SH		DFND	1	5,850	0	0
PIONEER NAT RES CO	COM	723787107	11	15,000	SH	Put	DFND	1	15,000	0	0
PIVOTAL ACQUISITION CORP	UNIT 12/01/2025	72583A200	278	27,300	SH		DFND	1	27,300	0	0
PRECISION BIOSCIENCES INC	COM	74019P108	18,104	1,008,565	SH		DFND	3	1,008,565	0	0
PURE ACQUISITION CORP	*W EXP 04/17/202	74621Q114	1	146,129	SH		DFND	1	146,129	0	0
PURE ACQUISITION CORP	CL A	74621Q106	6,837	682,321	SH		DFND	1	682,321	0	0
PURE ACQUISITION CORP	UNIT 04/13/2023	74621Q205	47	4,443	SH		DFND	1	4,443	0	0
PURE ACQUISITION CORP	UNIT 04/13/2023	74621Q205	2,645	250,000	SH		DFND	3	250,000	0	0
PVH CORP	COM	693656100	2,893	23,720	SH		DFND	1	23,720	0	0
PVH CORP	COM	693656100	23	17,000	SH	Put	DFND	1	17,000	0	0
QUAD / GRAPHICS INC	COM CL A	747301109	1,338	112,401	SH		DFND	4	112,401	0	0
QUALCOMM INC	COM	747525103	757	13,274	SH		DFND	1	13,274	0	0
QUALCOMM INC	COM	747525103	14	15,900	SH	Put	DFND	1	15,900	0	0
QUEST DIAGNOSTICS INC	COM	74834L100	4	25,000	SH	Put	DFND	1	25,000	0	0

QUEST DIAGNOSTICS INC	COM	74834L100	4	25,000	SH	Call	DFND	1	25,000	0	0
QUTOUTIAO INC	ADS REP SHS A	74915J107	8	55,000	SH	Call	DFND	2	55,000	0	0
REALOGY HLDGS CORP	COM	75605Y106	125	11,000	SH		DFND	1	11,000	0	0
RED HAT INC	COM	756577102	67,561	369,790	SH		DFND	4	369,790	0	0
RED HAT INC	COM	756577102	144	37,500	SH	Call	DFND	1	37,500	0	0
RED HAT INC	COM	756577102	181	74,600	SH	Put	DFND	1	74,600	0	0
RED HAT INC	COM	756577102	303	155,000	SH	Put	DFND	4	155,000	0	0
REGALWOOD GLOBAL ENERGY LTD	*W EXP 12/05/202	G74760128	56	62,300	SH		DFND	1	62,300	0	0
RIMINI STR INC DEL	COM	76674Q107	1,188	237,500	SH		DFND	1	237,500	0	0
RMG ACQUISITION CORP	UNIT 99/99/9999	749641205	1,255	125,173	SH		DFND	1	125,173	0	0
SABAN CAP ACQUISITION CORP	COM CL A	78516C106	6,367	619,361	SH		DFND	1	619,361	0	0
SABAN CAP ACQUISITION CORP	COM CL A	78516C106	6,682	650,000	SH		DFND	3	650,000	0	0
SCHULTZE SPL PURP ACQSTN CO	*W EXP 12/31/202	80821R117	104	334,390	SH		DFND	1	334,390	0	0
SEATTLE GENETICS INC	COM	812578102	58	40,000	SH	Put	DFND	1	40,000	0	0
SELECT SECTOR SPDR TR	TECHNOLOGY	81369Y803	274	217,500	SH	Put	DFND	4	217,500	0	0
SIERRA ONCOLOGY INC	COM	82640U107	128	75,000	SH		DFND	1	75,000	0	0
SOCIAL CAP HEDOSOPHIA HLDGS	*W EXP 09/14/202	G8250R129	14	16,889	SH		DFND	1	16,889	0	0
SOCIAL CAP HEDOSOPHIA HLDGS	CL A	G8250R103	12	1,200	SH		DFND	1	1,200	0	0
SOCIAL CAP HEDOSOPHIA HLDGS	CL A	G8250R103	10,190	1,000,000	SH		DFND	3	1,000,000	0	0
SPARK THERAPEUTICS INC	COM	84652J103	56,680	497,720	SH		DFND	4	497,720	0	0
SPARK THERAPEUTICS INC	COM	84652J103	3,848	91,000	SH	Call	DFND	1	91,000	0	0
SPARK THERAPEUTICS INC	COM	84652J103	1	27,500	SH	Call	DFND	4	27,500	0	0
SPARK THERAPEUTICS INC	COM	84652J103	205	2,887,200	SH	Put	DFND	4	2,887,200	0	0
SPARTAN ENERGY ACQUISITON CO	*W EXP 08/27/202	846784122	158	143,651	SH		DFND	1	143,651	0	0
SPARTAN ENERGY ACQUISITON CO	UNIT 99/99/9999	846784114	5,075	500,000	SH		DFND	3	500,000	0	0
SPDR S&P 500 ETF TR	TR UNIT	78462F103	340	354,500	SH	Put	DFND	1	354,500	0	0
SPDR S&P 500 ETF TR	TR UNIT	78462F103	271	566,500	SH	Call	DFND	4	566,500	0	0
SPDR SERIES TRUST	S&P BIOTECH	78464A870	326	3,600	SH		DFND	1	3,600	0	0
SPDR SERIES TRUST	S&P BIOTECH	78464A870	13	10,000	SH	Put	DFND	1	10,000	0	0
SPDR SERIES TRUST	S&P BIOTECH	78464A870	36	30,000	SH	Put	DFND	3	30,000	0	0
SPRINT CORPORATION	COM	85207U105	57	10,000	SH		DFND	1	10,000	0	0
SPRINT CORPORATION	COM	85207U105	42	64,500	SH	Call	DFND	1	64,500	0	0
SPRINT CORPORATION	COM	85207U105	1	1,000	SH	Put	DFND	1	1,000	0	0
SPROTT PHYSICAL GOLD & SILVE	TR UNIT	85208R101	8,033	647,800	SH		DFND	3	647,800	0	0
STERLING BANCORP DEL	COM	85917A100	968	51,960	SH		DFND	3	51,960	0	0

STITCH FIX INC	COM CL A	860897107	24	20,000	SH	Call	DFND	1	20,000	0	0
STITCH FIX INC	COM CL A	860897107	64	2,250	SH		DFND	1	2,250	0	0
SUNCOR ENERGY INC NEW	COM	867224107	460	14,192	SH		DFND	3	14,192	0	0
SUNTRUST BKS INC	COM	867914103	6,003	101,317	SH		DFND	4	101,317	0	0
SYMANTEC CORP	COM	871503108	15	112,500	SH	Put	DFND	4	112,500	0	0
T MOBILE US INC	COM	872590104	216	112,800	SH	Put	DFND	4	112,800	0	0
TAKEDA PHARMACEUTICAL CO LTD	SPONSORED ADS	874060205	6,007	294,914	SH		DFND	3	294,914	0	0
TAKEDA PHARMACEUTICAL CO LTD	SPONSORED ADS	874060205	77	66,000	SH	Call	DFND	1	66,000	0	0
TARGA RES CORP	COM	87612G101	3,457	83,200	SH		DFND	1	83,200	0	0
TARGA RES CORP	COM	87612G101	1,022	157,200	SH	Put	DFND	1	157,200	0	0
TARGET HOSPITALITY CORP	*W EXP 03/15/202	87615L115	46	30,000	SH		DFND	1	30,000	0	0
TENZING ACQUISITION CORP	*W EXP 02/23/202	G8708A108	6	40,351	SH		DFND	1	40,351	0	0
TENZING ACQUISITION CORP	ORD SHS	G8708A116	342	34,000	SH		DFND	1	34,000	0	0
THUNDER BRIDGE ACQUISITION L	*W EXP 01/01/202	G8857R126	1	2,000	SH		DFND	1	2,000	0	0
THUNDER BRIDGE ACQUISITION L	*W EXP 01/01/202	G8857R126	112	155,800	SH		DFND	3	155,800	0	0
THUNDER BRIDGE ACQUISITION L	SHS CLASS A	G8857R100	408	40,024	SH		DFND	1	40,024	0	0
THUNDER BRIDGE ACQUISITION L	SHS CLASS A	G8857R100	2,099	205,800	SH		DFND	3	205,800	0	0
TILRAY INC	COM CL 2	88688T100	3,872	59,100	SH		DFND	2	59,100	0	0
TILRAY INC	COM CL 2	88688T100	855	59,100	SH	Put	DFND	2	59,100	0	0
TKK SYMPHONY ACQUISITION COR	*W EXP 02/20/202	G88950129	5	35,898	SH		DFND	1	35,898	0	0
TORTOISE ACQUISITION CORP	UNIT 03/04/2024	89154L209	4,727	473,158	SH		DFND	1	473,158	0	0
TOTTENHAM ACQUISITION I LTD	RIGHT 06/05/2020	G8959N122	54	200,271	SH		DFND	1	200,271	0	0
TOTTENHAM ACQUISITION I LTD	SHS	G8959N106	1,158	115,237	SH		DFND	1	115,237	0	0
TPG PACE HLDGS CORP	*W EXP 06/27/202	G89827110	66	49,216	SH		DFND	1	49,216	0	0
TPG PACE HLDGS CORP	CL A	G89827128	62	6,087	SH		DFND	1	6,087	0	0
TPG PACE HLDGS CORP	CL A	G89827128	2,042	200,000	SH		DFND	3	200,000	0	0
TRANSDIGM GROUP INC	COM	893641100	25	13,200	SH	Put	DFND	4	13,200	0	0
TRIBUNE MEDIA CO	CL A	896047503	41	38,800	SH	Call	DFND	1	38,800	0	0
TRIBUNE MEDIA CO	CL A	896047503	40	100,000	SH	Put	DFND	4	100,000	0	0
TRIDENT ACQUISITIONS CORP	*W EXP 05/09/202	89615T114	33	204,056	SH		DFND	1	204,056	0	0
TRIDENT ACQUISITIONS CORP	COM	89615T106	110	10,806	SH		DFND	1	10,806	0	0
TRIDENT ACQUISITIONS CORP	COM	89615T106	1,019	100,000	SH		DFND	3	100,000	0	0
TRIDENT ACQUISITIONS CORP	UNIT 05/09/2023	89615T205	116	11,300	SH		DFND	1	11,300	0	0
TRIDENT ACQUISITIONS CORP	UNIT 05/09/2023	89615T205	6,739	654,300	SH		DFND	3	654,300	0	0

TRINE ACQUISITION CORP	UNIT 03/31/2021	89628U207	4,152	414,331	SH		DFND	1	414,331	0	0
TRINITY MERGER CORP	COM CL A	89653L106	796	77,872	SH		DFND	1	77,872	0	0
TRINITY MERGER CORP	UNIT 05/11/2025	89653L205	1,315	125,240	SH		DFND	3	125,240	0	0
TURTLE BEACH CORP	COM NEW	900450206	635	55,900	SH		DFND	2	55,900	0	0
TURTLE BEACH CORP	COM NEW	900450206	224	55,900	SH	Put	DFND	2	55,900	0	0
TUSCAN HOLDINGS CORP	UNIT 99/99/9999	90069K203	1,043	100,000	SH		DFND	3	100,000	0	0
TUSCAN HOLDINGS CORP	UNIT 99/99/9999	90069K203	1,005	96,399	SH		DFND	1	96,399	0	0
TWELVE SEAS INVESTMENT COMPA	*W EXP 12/22/202	G9145A115	31	120,212	SH		DFND	1	120,212	0	0
TWELVE SEAS INVESTMENT COMPA	RIGHT 12/22/2019	G9145A131	192	710,579	SH		DFND	1	710,579	0	0
TWELVE SEAS INVESTMENT COMPA	SHS	G9145A107	4,458	445,842	SH		DFND	1	445,842	0	0
TWILIO INC	CL A	90138F102	61	10,000	SH	Call	DFND	1	10,000	0	0
U S WELL SVCS INC	*W EXP 03/15/202	91274U119	19	19,000	SH		DFND	1	19,000	0	0
ULTIMATE SOFTWARE GROUP INC	COM	90385D107	79,575	241,040	SH		DFND	4	241,040	0	0
ULTIMATE SOFTWARE GROUP INC	COM	90385D107	3	20,000	SH	Call	DFND	1	20,000	0	0
ULTRAGENYX PHARMACEUTICAL IN	COM	90400D108	2,081	30,000	SH		DFND	3	30,000	0	0
UNDER ARMOUR INC	CL C	904311206	4,010	212,494	SH		DFND	3	212,494	0	0
UNILEVER N V	N Y SHS NEW	904784709	5,829	100,000	SH		DFND	3	100,000	0	0
UNIQUIRE NV	SHS	N90064101	239	4,000	SH		DFND	1	4,000	0	0
UNIQUIRE NV	SHS	N90064101	29	23,500	SH	Call	DFND	1	23,500	0	0
UNITED STATES OIL FUND LP	UNITS	91232N108	1,330	106,383	SH		DFND	3	106,383	0	0
UNUM THERAPEUTICS INC	COM	903214104	3,588	817,395	SH		DFND	3	817,395	0	0
VANECK VECTORS ETF TR	GOLD MINERS ETF	92189F106	5,717	255,000	SH		DFND	1	255,000	0	0
VANECK VECTORS ETF TR	GOLD MINERS ETF	92189F106	475	1,713,400	SH	Call	DFND	1	1,713,400	0	0
VANECK VECTORS ETF TR	GOLD MINERS ETF	92189F106	36	400,000	SH	Put	DFND	1	400,000	0	0
VANECK VECTORS ETF TR	JR GOLD MINERS E	92189F791	4	15,000	SH	Call	DFND	1	15,000	0	0
VANECK VECTORS ETF TR	JR GOLD MINERS E	92189F791	8	15,000	SH	Put	DFND	1	15,000	0	0
VANECK VECTORS ETF TR	SEMICONDUCTOR ET	92189F676	128	103,400	SH	Put	DFND	4	103,400	0	0
VECTOIQ ACQUISITION CORP	*W EXP 05/11/202	92243N111	9	21,990	SH		DFND	1	21,990	0	0
VECTOIQ ACQUISITION CORP	COM	92243N103	89	1,169,890	SH		DFND	1	1,169,890	0	0
VECTOIQ ACQUISITION CORP	UNIT 05/11/2023	92243N202	3,100	296,667	SH		DFND	1	296,667	0	0
VERRA MOBILITY CORP	COM	92511U102	150	12,569	SH		DFND	1	12,569	0	0

VERSUM MATLS INC	COM	92532W103	3	11,600	SH	Put	DFND	1	11,600	0	0
VERSUM MATLS INC	COM	92532W103	9	85,000	SH	Put	DFND	4	85,000	0	0
VERSUM MATLS INC	COM	92532W103	9	11,500	SH	Call	DFND	1	11,500	0	0
WABCO HLDGS INC	COM	92927K102	8,745	66,332	SH		DFND	4	66,332	0	0
WEALTHBRIDGE ACQUISITION LTD	SHS	G4887W110	665	67,760	SH		DFND	1	67,760	0	0
WELLCARE HEALTH PLANS INC	COM	94946T106	594	2,202	SH		DFND	1	2,202	0	0
WELLCARE HEALTH PLANS INC	COM	94946T106	3,938	14,600	SH		DFND	4	14,600	0	0
WELLCARE HEALTH PLANS INC	COM	94946T106	65	4,500	SH	Call	DFND	1	4,500	0	0
WELLCARE HEALTH PLANS INC	COM	94946T106	20	4,500	SH	Put	DFND	1	4,500	0	0
WORLDPAY INC	CL A	981558109	48,910	430,925	SH		DFND	4	430,925	0	0
WPX ENERGY INC	COM	98212B103	7	45,000	SH	Put	DFND	1	45,000	0	0
YOGAWORKS INC	COM	986005106	514	558,212	SH		DFND	1	558,212	0	0
ZAYO GROUP HLDGS INC	COM	98919V105	5	5,700	SH	Call	DFND	1	5,700	0	0
ZAYO GROUP HLDGS INC	COM	98919V105	190	110,000	SH	Call	DFND	4	110,000	0	0
ZIMMER BIOMET HLDGS INC	COM	98956P102	170	56,500	SH	Call	DFND	1	56,500	0	0
ZOGENIX INC	COM NEW	98978L204	76	20,000	SH	Call	DFND	1	20,000	0	0