

B. RILEY FINANCIAL, INC.

FORM 13F-HR/A (Form 13F Holdings Report)

Filed 08/25/17 for the Period Ending 06/30/17

Address	21255 BURBANK BLVD. SUITE 400 WOODLAND HILLS, CA 91367
Telephone	818-884-3737
CIK	0001464790
Symbol	RILY
SIC Code	7389 - Business Services, Not Elsewhere Classified
Industry	Business Support Services
Sector	Industrials
Fiscal Year	12/31

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

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

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

FORM 13F

OMB APPROVAL

OMB Number: 3235-0006

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FORM 13F COVER PAGE

Report for the Calendar Year or Quarter Ended: 06-30-2017

Check here if Amendment: Amendment Number: 1

This Amendment (Check only one.): is a restatement.
 adds new holdings entries.

Institutional Investment Manager Filing this Report:

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

Form 13F File Number: 028-17148

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

Person Signing this Report on Behalf of Reporting Manager:

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

Signature, Place, and Date of Signing:

/s/ Michael Markunas Los Angeles, CALIFORNIA 08-24-2017
[Signature] [City, State] [Date]

Do you wish to provide information pursuant to Special Instruction 5? Yes No

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:	<u>1</u>
Form 13F Information table Entry Total:	<u>223</u>
Form 13F Information table Value Total:	<u>367,819</u> (thousands)

List of Other Included Managers:

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

No.	Form 13F File Number	Name	CIK
<u>1</u>	<u>028-17147</u>	<u>B. RILEY CAPITAL MANAGEMENT, LLC</u>	<u>0001658704</u>

FORM 13F INFORMATION TABLE

COLUMN 1 NAME OF ISSUER	COLUMN 2 TITLE OF CLASS	COLUMN 3 CUSIP	COLUMN 4 VALUE (x\$1000)	SHRS OR PRN AMT	SH / PRN	PUT / CALL	COLUMN 6 INVESTMENT DISCRETION	COLUMN 7 OTHER MANAGER	COLUMN 8 VOTING AUTHORITY		
									SOLE	SHARED	NONE
APOLLO SR FLOATING RATE FD 1	COM	037636107	709	42,018	SH	-	DFND	1	0	42,018	0
APOLLO TACTICAL INCOME FD IN	COM	037638103	385	23,648	SH	-	DFND	1	0	23,648	0
APPLE INC	COM	037833100	1,535	10,661	SH	-	DFND	1	0	10,661	0
ARISTA NETWORKS INC	COM	040413106	7,490	50,000	SH	Put	DFND	1	0	50,000	0
AUTOLIV INC	COM	052800109	1,255	11,426	SH	-	DFND	1	0	11,426	0
BRT RLTY TR	SH BEN INT NEW	055645303	99	82,512	SH	-	DFND	1	0	82,512	0
BAZAARVOICE INC	COM	073271108	658	132,918	SH	-	DFND	1	0	132,918	0
BERKSHIRE HATHAWAY INC DEL	CL A	084670108	255	1	SH	-	DFND	1	0	1	0
BERKSHIRE HATHAWAY INC DEL	CL B NEW	084670702	474	2,800	SH	-	DFND	1	0	2,800	0
BROOKFIELD REAL ASSETS INCOM	SHS BEN INT	112830104	254	10,938	SH	-	DFND	1	0	10,938	0
BRUNSWICK CORP	COM	117043109	610	9,729	SH	-	DFND	1	0	9,729	0
CADIZ INC	COM NEW	127537207	107	7,900	SH	-	DFND	1	0	7,900	0
CADIZ INC	COM NEW	127537207	1,028	76,142	SH	-	DFND	-	0	76,142	0
CALAMP CORP	COM	128126109	653	32,133	SH	-	DFND	1	0	32,133	0
CDN IMPERIAL BK COMM TORONTO	COM	136069101	1,217	15,000	SH	Put	DFND	1	0	15,000	0
CARBONITE INC	COM	141337105	603	27,670	SH	-	DFND	1	0	27,670	0
CARVANA CO	CL A	146869102	1,100	53,758	SH	-	DFND	1	0	53,758	0
CREDIT ACCEP CORP MICH	COM	225310101	1,337	5,200	SH	-	DFND	1	0	5,200	0
CRYOLIFE INC	COM	228903100	579	29,000	SH	-	DFND	1	0	29,000	0
DISNEY WALT CO	COM DISNEY	254687106	265	2,490	SH	-	DFND	1	0	2,490	0
DORMAN PRODUCTS INC	COM	258278100	1,242	15,000	SH	Put	DFND	1	0	15,000	0
DOUBLELINE INCOME SOLUTIONS	COM	258622109	1,767	85,546	SH	-	DFND	1	0	85,546	0
FIRST BANCORP N C	COM	318910106	625	20,000	SH	-	DFND	1	0	20,000	0
FORD MTR CO DEL	COM PAR \$0.01	345370860	4,476	400,000	SH	Put	DFND	1	0	400,000	0
FORMFACTOR INC	COM	346375108	362	29,189	SH	-	DFND	1	0	29,189	0
GARRISON CAP INC	COM	366554103	483	58,435	SH	-	DFND	1	0	58,435	0
GORES HLDGS II INC	COM CL A	382867109	1,505	150,000	SH	-	DFND	1	0	150,000	0
GORES HLDGS II INC	*W EXP 03/06/202	382867117	75	50,000	SH	-	DFND	1	0	50,000	0
HC2 HLDGS INC	COM	404139107	8,286	1,409,209	SH	-	DFND	1	0	1,409,209	0
HC2 HLDGS INC	COM	404139107	149	25,302	SH	-	DFND	-	0	25,302	0
HANESBRANDS INC	COM	410345102	892	38,500	SH	Put	DFND	1	0	38,500	0
HEXCEL CORP NEW	COM	428291108	944	17,885	SH	-	DFND	1	0	17,885	0
HOME DEPOT INC	COM	437076102	209	1,360	SH	-	DFND	1	0	1,360	0
IMMERSION CORP	COM	452521107	758	83,440	SH	-	DFND	1	0	83,440	0
ISHARES	MSCI BRZ CAP ETF	464286400	278	8,130	SH	-	DFND	1	0	8,130	0
ISHARES	MIN VOL GBL ETF	464286525	1,129	14,269	SH	-	DFND	1	0	14,269	0
ISHARES	MSCI TURKEY ETF	464286715	955	23,000	SH	-	DFND	1	0	23,000	0
ISHARES TR	SELECT DIVID ETF	464287168	1,023	11,093	SH	-	DFND	1	0	11,093	0
ISHARES TR	MSCI EMG MKT ETF	464287234	374	9,048	SH	-	DFND	1	0	9,048	0
ISHARES TR	IBOXX INV CP ETF	464287242	1,274	10,572	SH	-	DFND	1	0	10,572	0
ISHARES TR	MSCI EAFE ETF	464287465	1,420	21,782	SH	-	DFND	1	0	21,782	0
ISHARES TR	RUS MID CAP ETF	464287499	3,418	17,793	SH	-	DFND	1	0	17,793	0
ISHARES TR	CORE S&P MCP ETF	464287507	528	3,033	SH	-	DFND	1	0	3,033	0
ISHARES TR	NASDAQ BIOTEC ETF	464287556	656	2,114	SH	-	DFND	1	0	2,114	0
ISHARES TR	RUS 1000 GRW ETF	464287614	244	2,053	SH	-	DFND	1	0	2,053	0
ISHARES TR	RUS 2000 GRW ETF	464287648	408	2,416	SH	-	DFND	1	0	2,416	0
ISHARES TR	RUSSELL 2000 ETF	464287655	26,775	190,000	SH	Put	DFND	1	0	190,000	0

ISHARES TR	CORE S&P SCP ETF	464287804	240	3,422	SH	-	DFND	1	0	3,422	0
ISHARES TR	MSCI ACWI EX US	464288240	511	11,203	SH	-	DFND	1	0	11,203	0
ISHARES TR	JP MOR EM MK ETF	464288281	1,132	9,899	SH	-	DFND	1	0	9,899	0
ISHARES TR	NEW YORK MUN ETF	464288323	1,500	13,446	SH	-	DFND	1	0	13,446	0
ISHARES TR	NATIONAL MUN ETF	464288414	964	8,758	SH	-	DFND	1	0	8,758	0
ISHARES TR	INTL SEL DIV ETF	464288448	1,801	55,056	SH	-	DFND	1	0	55,056	0
ISHARES TR	1-3 YR CR BD ETF	464288646	1,669	15,852	SH	-	DFND	1	0	15,852	0
ISHARES TR	GLOBAL MATER ETF	464288695	326	5,448	SH	-	DFND	1	0	5,448	0
KEMET CORP	COM NEW	488360207	5,373	419,756	SH	-	DFND	1	0	419,756	0
KEMET CORP	COM NEW	488360207	135	10,540	SH	-	DFND	-	0	10,540	0
KULICKE & SOFFA INDS INC	COM	501242101	339	17,820	SH	-	DFND	1	0	17,820	0
LINDBLAD EXPEDITIONS HLDGS I	COM	535219109	162	15,420	SH	-	DFND	1	0	15,420	0
MADDEN STEVEN LTD	COM	556269108	656	16,429	SH	-	DFND	1	0	16,429	0
MICROSOFT CORP	COM	594918104	3,195	46,355	SH	-	DFND	1	0	46,355	0
MICRON TECHNOLOGY INC	COM	595112103	1,761	58,962	SH	-	DFND	1	0	58,962	0
MIMEDX GROUP INC	COM	602496101	897	59,900	SH	-	DFND	1	0	59,900	0
MIMEDX GROUP INC	COM	602496101	1,198	80,000	SH	Call	DFND	1	0	80,000	0
NMI HLDGS INC	CL A	629209305	1,229	313,870	SH	-	DFND	-	0	313,870	0
NEW MTN FIN CORP	COM	647551100	437	30,000	SH	-	DFND	1	0	30,000	0
NOKIA CORP	SPONSORED ADR	654902204	609	98,792	SH	-	DFND	1	0	98,792	0
NOVAVAX INC	COM	670002104	12	10,500	SH	-	DFND	1	0	10,500	0
NUVEEN MTG OPPORTUNITY TERM	COM	670735109	240	9,383	SH	-	DFND	1	0	9,383	0
OCCIDENTAL PETE CORP DEL	COM	674599105	4,490	75,000	SH	Call	DFND	1	0	75,000	0
ON SEMICONDUCTOR CORP	COM	682189105	777	55,311	SH	-	DFND	1	0	55,311	0
ONE LIBERTY PPTYS INC	COM	682406103	293	22,849	SH	-	DFND	1	0	22,849	0
OOMA INC	COM	683416101	927	115,845	SH	-	DFND	1	0	115,845	0
PAPA MURPHYS HLDGS INC	COM	698814100	437	100,000	SH	-	DFND	-	0	100,000	0
PENNANTPARK INVT CORP	COM	708062104	2,559	346,270	SH	-	DFND	1	0	346,270	0
RIGEL PHARMACEUTICALS INC	COM NEW	766559603	554	203,000	SH	-	DFND	1	0	203,000	0
ROYAL BK CDA MONTREAL QUE	COM	780087102	7,252	100,000	SH	Put	DFND	1	0	100,000	0
S&W SEED CO	COM	785135104	656	158,054	SH	-	DFND	1	0	158,054	0
SEQUANS COMMUNICATIONS S A	SPONSORED ADS	817323108	841	254,000	SH	-	DFND	1	0	254,000	0
SNAP ON INC	COM	833034101	2,370	15,000	SH	Put	DFND	1	0	15,000	0
SPLUNK INC	COM	848637104	431	7,579	SH	-	DFND	1	0	7,579	0
STAMPS COM INC	COM NEW	852857200	581	3,751	SH	-	DFND	1	0	3,751	0
STURM RUGER & CO INC	COM	864159108	1,243	20,000	SH	Put	DFND	1	0	20,000	0
SUPERIOR INDS INTL INC	COM	868168105	647	31,491	SH	-	DFND	1	0	31,491	0
THL CR INC	COM	872438106	199	20,000	SH	-	DFND	1	0	20,000	0
TELENAV INC	COM	879455103	3,041	375,393	SH	-	DFND	1	0	375,393	0
TERADYNE INC	COM	880770102	297	9,904	SH	-	DFND	1	0	9,904	0
TONIX PHARMACEUTICALS HLDG C	COM	890260409	1,637	378,138	SH	-	DFND	1	0	378,138	0
TRANSACT TECHNOLOGIES INC	COM	892918103	622	73,254	SH	-	DFND	1	0	73,254	0
VANGUARD SPECIALIZED PORTFOLIO	DIV APP ETF	921908844	1,500	16,183	SH	-	DFND	1	0	16,183	0
VANGUARD STAR FD	VG TL INTL STK F	921909768	507	9,756	SH	-	DFND	1	0	9,756	0
VANGUARD MALVERN FDS	STRM INFPROIDX	922020805	2,609	52,996	SH	-	DFND	1	0	52,996	0
VANGUARD INTL EQUITY INDEX F	ALLWRLD EX US	922042775	339	6,784	SH	-	DFND	1	0	6,784	0
VANGUARD INTL EQUITY INDEX F	FTSE EMR MKT ETF	922042858	2,146	52,553	SH	-	DFND	1	0	52,553	0
VANGUARD INTL EQUITY INDEX F	FTSE PACIFIC ETF	922042866	628	9,546	SH	-	DFND	1	0	9,546	0
VANGUARD INTL EQUITY INDEX F	FTSE EUROPE ETF	922042874	473	8,572	SH	-	DFND	1	0	8,572	0
VANGUARD INDEX FDS	MID CAP ETF	922908629	3,305	23,191	SH	-	DFND	1	0	23,191	0
VANGUARD INDEX FDS	LARGE CAP ETF	922908637	8,681	78,189	SH	-	DFND	1	0	78,189	0
VANGUARD INDEX FDS	GROWTH ETF	922908736	328	2,578	SH	-	DFND	1	0	2,578	0
VANGUARD INDEX FDS	TOTAL STK MKT	922908769	1,953	15,697	SH	-	DFND	1	0	15,697	0
ZION OIL & GAS INC	COM	989696109	261	76,070	SH	-	DFND	1	0	76,070	0
IMAX CORP	COM	45245E109	506	23,004	SH	-	DFND	1	0	23,004	0
ALPS ETF TR	ALERIAN MLP	00162Q866	316	26,420	SH	-	DFND	1	0	26,420	0

AMC ENTMT HLDGS INC	CL A COM	00165C104	591	25,985	SH	-	DFND	1	0	25,985	0
AEHR TEST SYSTEMS	COM	00760J108	1,889	503,838	SH	-	DFND	1	0	503,838	0
AMERICAN OUTDOOR BRANDS CORP	COM	02874P103	1,662	75,000	SH	Put	DFND	1	0	75,000	0
APOLLO INVT CORP	COM	03761U106	308	48,206	SH	-	DFND	1	0	48,206	0
ARES CAP CORP	COM	04010L103	1,257	76,733	SH	-	DFND	1	0	76,733	0
ARES DYNAMIC CR ALLOCATION F	COM	04014F102	229	13,989	SH	-	DFND	1	0	13,989	0
AXON ENTERPRISE INC	COM	05464C101	622	24,725	SH	-	DFND	1	0	24,725	0
BLACKSTONE GSO FLTING RTE FU	COM	09256U105	179	10,000	SH	-	DFND	1	0	10,000	0
BOULEVARD ACQUISITION	CL A	10157Q102	2,776	277,048	SH	-	DFND	1	0	277,048	0
BROOKLINE BANCORP INC DEL	COM	11373M107	835	57,206	SH	-	DFND	1	0	57,206	0
C H ROBINSON WORLDWIDE INC	COM NEW	12541W209	5,494	80,000	SH	Put	DFND	1	0	80,000	0
C&J ENERGY SVCS INC NEW	COM	12674R100	1,969	57,465	SH	-	DFND	1	0	57,465	0
CLIPPER RLTY INC	COM	18885T306	4,376	354,604	SH	-	DFND	-	0	354,604	0
CLOUDERA INC	COM	18914U100	504	31,490	SH	-	DFND	1	0	31,490	0
COHEN & STEERS LTD DUR PFD I	COM	19248C105	748	28,006	SH	-	DFND	1	0	28,006	0
COMSTOCK RES INC	NOTE 7.750% 4/0	205768AM6	97	126,598	PRN	-	DFND	-	0	126,598	0
COSTCO WHSL CORP NEW	COM	22160K105	217	1,355	SH	-	DFND	1	0	1,355	0
COVISINT CORP	COM	22357R103	7,696	3,141,213	SH	-	DFND	1	0	3,141,213	0
DXC TECHNOLOGY CO	COM	23355L106	364	4,751	SH	-	DFND	1	0	4,751	0
DIGITAL TURBINE INC	COM NEW	25400W102	1,428	1,386,481	SH	-	DFND	1	0	1,386,481	0
DIGITAL TURBINE INC	COM NEW	25400W102	305	295,918	SH	-	DFND	-	0	295,918	0
EHEALTH INC	COM	28238P109	705	37,500	SH	-	DFND	1	0	37,500	0
ENERGOUS CORP	COM	29272C103	813	50,000	SH	Put	DFND	1	0	50,000	0
ENERGY TRANSFER EQUITY L P	COM UT LTD PTN	29273V100	226	12,590	SH	-	DFND	1	0	12,590	0
EVERSPIN TECHNOLOGIES INC	COM	30041T104	346	17,312	SH	-	DFND	1	0	17,312	0
FACEBOOK INC	CL A	30303M102	535	3,544	SH	-	DFND	1	0	3,544	0
FINISAR CORP	COM NEW	31787A507	1,449	55,768	SH	-	DFND	1	0	55,768	0
FINJAN HLDGS INC	COM NEW	31788H303	3,936	1,200,000	SH	-	DFND	1	0	1,200,000	0
FINJAN HLDGS INC	COM NEW	31788H303	1,523	464,319	SH	-	DFND	-	0	464,319	0
FINTECH ACQUISITION CORP II	COM	31810G109	980	100,000	SH	-	DFND	1	0	100,000	0
FINTECH ACQUISITION CORP II	*W EXP 01/19/202	31810G117	38	50,000	SH	-	DFND	1	0	50,000	0
FUSION TELECOMM INTL INC	COM NEW	36113B400	145	100,000	SH	-	DFND	-	0	100,000	0
GW PHARMACEUTICALS PLC	ADS	36197T103	1,163	11,600	SH	Put	DFND	1	0	11,600	0
GOLDMAN SACHS MLP INC OPP FD	COM SHS	38147W103	745	77,344	SH	-	DFND	1	0	77,344	0
HP INC	COM	40434L105	2,343	134,048	SH	-	DFND	1	0	134,048	0
HEALTH INS INNOVATIONS INC	COM CL A	42225K106	5,875	250,000	SH	-	DFND	1	0	250,000	0
HEWLETT PACKARD ENTERPRISE C	COM	42824C109	918	55,312	SH	-	DFND	1	0	55,312	0
HORNBECK OFFSHORE SVCS INC N	NOTE 1.500% 9/0	440543AN6	163	225,000	PRN	-	DFND	-	0	225,000	0
ISTAR INC	COM	45031U101	518	43,000	SH	-	DFND	1	0	43,000	0
INSEGO CORP	NOTE 5.500% 6/1	45782BAA2	647	900,000	PRN	-	DFND	-	0	900,000	0
INTUITIVE SURGICAL INC	COM NEW	46120E602	2,806	3,000	SH	Put	DFND	1	0	3,000	0
INVUITY INC	COM NEW	46187J205	3,625	500,000	SH	-	DFND	1	0	500,000	0
ISHARES TR	FLTG RATE BD ETF	46429B655	3,036	59,625	SH	-	DFND	1	0	59,625	0
ISHARES TR	MIN VOL EAFE ETF	46429B689	611	8,819	SH	-	DFND	1	0	8,819	0
ISHARES TR	MIN VOL USA ETF	46429B697	1,041	21,269	SH	-	DFND	1	0	21,269	0
ISHARES TR	CORE MSCI EAFE	46432F842	626	10,275	SH	-	DFND	1	0	10,275	0
KBL MERGER CORP IV	UNIT 01/15/2024	48242A203	408	40,000	SH	-	DFND	1	0	40,000	0
KAYNE ANDERSON ACQUISITION	COM CL A	48661U102	2,041	209,998	SH	-	DFND	1	0	209,998	0
KAYNE ANDERSON ACQUISITION	*W EXP 06/30/202	48661U110	52	66,666	SH	-	DFND	1	0	66,666	0
KRATOS DEFENSE & SEC SOLUTIONS	COM NEW	50077B207	602	50,722	SH	-	DFND	1	0	50,722	0
LADENBURG THALMAN FIN SVCS I	COM	50575Q102	6	81,050	SH	-	DFND	1	0	81,050	0
LONESTAR RES US INC	CL A VTG	54240F103	2,744	638,101	SH	-	DFND	1	0	638,101	0
LUMENTUM HLDGS INC	COM	55024U109	1,014	17,775	SH	-	DFND	1	0	17,775	0
MCBC HLDGS INC	COM	55276F107	5,726	292,907	SH	-	DFND	1	0	292,907	0
MCBC HLDGS INC	COM	55276F107	489	25,000	SH	-	DFND	-	0	25,000	0
M I ACQUISITIONS INC	COM	55304A104	215	21,500	SH	-	DFND	1	0	21,500	0
MATLIN & PARTNERS ACQUISITIO	CL A	57682V106	966	100,000	SH	-	DFND	1	0	100,000	0
MATLIN & PARTNERS ACQUISITIO	*W EXP 03/15/202	57682V114	38	100,000	SH	-	DFND	1	0	100,000	0

MERIDIAN BANCORP INC MD	COM	58958U103	389	23,000	SH	-	DFND	1	0	23,000	0
NETSCOUT SYS INC	COM	64115T104	602	17,503	SH	-	DFND	1	0	17,503	0
NETLIST INC	COM	64118P109	1,378	1,351,013	SH	-	DFND	1	0	1,351,013	0
NEWS CORP NEW	CL A	65249B109	704	51,400	SH	-	DFND	1	0	51,400	0
NUMEREX CORP PA	CL A	67053A102	74	15,000	SH	-	DFND	-	0	15,000	0
NUVEEN BUILD AMER BD FD	COM	67074C103	529	25,223	SH	-	DFND	1	0	25,223	0
OCLARO INC	COM NEW	67555N206	607	64,940	SH	-	DFND	1	0	64,940	0
PENNANTPARK FLOATING RATE CA	COM	70806A106	2,590	183,585	SH	-	DFND	1	0	183,585	0
PIMCO ETF TR	LOW DURTN AC ETF	72201R718	1,169	11,544	SH	-	DFND	1	0	11,544	0
PIMCO ETF TR	ENHAN SHRT MA AC	72201R833	6,646	65,334	SH	-	DFND	1	0	65,334	0
PLATFORM SPECIALTY PRODS COR	COM	72766Q105	761	60,000	SH	-	DFND	1	0	60,000	0
POWERSHARES QQQ TRUST	UNIT SER I	73935A104	1,116	8,108	SH	-	DFND	1	0	8,108	0
POWERSHARES QQQ TRUST	UNIT SER I	73935A104	41,457	301,200	SH	Put	DFND	1	0	301,200	0
POWERSHARES ETF TRUST	DYN BIOT & GEN	73935X856	279	6,102	SH	-	DFND	1	0	6,102	0
POWERSHARES ETF TRUST II	CEF INC COMPST	73936Q843	209	8,830	SH	-	DFND	1	0	8,830	0
POWERSHARES ETF TR II	PDF PORTFOLIO	73936T565	612	40,527	SH	-	DFND	1	0	40,527	0
PRIMO WTR CORP	COM	74165N105	1,072	84,375	SH	-	DFND	1	0	84,375	0
REDWOOD TR INC	NOTE 4.625% 4/1	758075AB1	10	10,000	PRN	-	DFND	-	0	10,000	0
RENT A CTR INC NEW	COM	76009N100	272	23,206	SH	-	DFND	-	0	23,206	0
SPDR S&P 500 ETF TR	TR UNIT	78462F103	1,736	7,180	SH	-	DFND	1	0	7,180	0
SPDR INDEX SHS FDS	GLB NAT RESRCE	78463X541	824	19,839	SH	-	DFND	1	0	19,839	0
SPDR DOW JONES INDL AVRG ETF	UT SER I	78467X109	553	2,592	SH	-	DFND	1	0	2,592	0
SELECT SECTOR SPDR TR	SBI CONS DISCR	81369Y407	308	3,440	SH	-	DFND	1	0	3,440	0
SELECT SECTOR SPDR TR	SBI INT-FINL	81369Y605	493	20,000	SH	Put	DFND	1	0	20,000	0
SELECT SECTOR SPDR TR	SBI INT-INDS	81369Y704	5,108	75,000	SH	Put	DFND	1	0	75,000	0
SELECT ENERGY SVCS INC	CL A COM	81617J301	1,763	145,100	SH	-	DFND	1	0	145,100	0
SELECT ENERGY SVCS INC	CL A COM	81617J301	30	2,500	SH	-	DFND	-	0	2,500	0
SENSUS HEATLHCARE INC	COM	81728J109	421	104,794	SH	-	DFND	1	0	104,794	0
SENSUS HEATLHCARE INC	*W EXP 06/08/201	81728J117	139	231,256	SH	-	DFND	1	0	231,256	0
SILVER RUN ACQUISITION	COM CL A	82812A103	506	49,998	SH	-	DFND	1	0	49,998	0
SILVER RUN ACQUISITION	*W EXP 03/28/202	82812A111	30	16,666	SH	-	DFND	1	0	16,666	0
SKYWORKS SOLUTIONS INC	COM	83088M102	585	6,100	SH	-	DFND	1	0	6,100	0
SOLAR CAP LTD	COM	83413U100	208	9,530	SH	-	DFND	1	0	9,530	0
SOLAR SR CAP LTD	COM	83416M105	4,651	277,831	SH	-	DFND	1	0	277,831	0
TEMPUR SEALY INTL INC	COM	88023U101	3,737	70,000	SH	-	DFND	1	0	70,000	0
THESTREET INC	COM	88368Q103	218	263,200	SH	-	DFND	-	0	263,200	0
TIVO CORP	COM	88870P106	634	34,021	SH	-	DFND	1	0	34,021	0
TORTOISE MLP FD INC	COM	89148B101	890	46,160	SH	-	DFND	1	0	46,160	0
TRUECAR INC	COM	89785L107	680	34,095	SH	-	DFND	1	0	34,095	0
TWITTER INC	COM	90184L102	1,251	70,000	SH	Call	DFND	1	0	70,000	0
USANA HEALTH SCIENCES INC	COM	90328M107	1,923	30,000	SH	-	DFND	1	0	30,000	0
USANA HEALTH SCIENCES INC	COM	90328M107	3,205	50,000	SH	Put	DFND	1	0	50,000	0
URBAN EDGE PPTYS	COM	91704F104	392	16,523	SH	-	DFND	1	0	16,523	0
VANECK VECTORS ETF TR	SEMICONDUCTOR ET	92189F676	4,912	60,000	SH	Put	DFND	1	0	60,000	0
VANECK VECTORS ETF TR	BIOTECH ETF	92189F726	203	1,619	SH	-	DFND	1	0	1,619	0
VANGUARD SCOTTSDALE FDS	SHRT TRM CORP BD	92206C409	3,381	42,247	SH	-	DFND	1	0	42,247	0
VANGUARD SCOTTSDALE FDS	LG-TERM COR BD	92206C813	783	8,396	SH	-	DFND	1	0	8,396	0
VANGUARD SCOTTSDALE FDS	INT-TERM CORP	92206C870	3,027	34,584	SH	-	DFND	1	0	34,584	0
VERITONE INC	COM	92347M100	2,022	172,643	SH	-	DFND	1	0	172,643	0
VERSO CORP	CL A	92531L207	1,853	395,000	SH	-	DFND	1	0	395,000	0
VIASAT INC	COM	92552V100	624	9,424	SH	-	DFND	1	0	9,424	0
VONAGE HLDGS CORP	COM	92886T201	2,011	307,500	SH	-	DFND	1	0	307,500	0
WILDHORSE RESOURCE DEV CORP	COM	96812T102	622	50,247	SH	-	DFND	1	0	50,247	0
WISDOMTREE TR	GLB US QTLY DIV	97717W844	651	12,222	SH	-	DFND	1	0	12,222	0
ATLANTIC ALLIANCE PARTNER CO	SHS	G04897107	1,254	122,381	SH	-	DFND	1	0	122,381	0
AVISTA HEALTHCARE PUB ACQ CO	CL A	G0726L125	985	100,000	SH	-	DFND	1	0	100,000	0
BROOKFIELD INFRAST PARTNERS	LP INT UNIT	G16252101	1,828	44,675	SH	-	DFND	1	0	44,675	0

FERROGLOBE PLC	SHS	G33856108	6,788	568,035	SH	-	DFND	1	0	568,035	0
GTY TECHNOLOGY HOLDINGS INC	CL A	G4182A102	2,526	250,099	SH	-	DFND	1	0	250,099	0
GTY TECHNOLOGY HOLDINGS INC	*W EXP 99/99/999	G4182A128	64	58,333	SH	-	DFND	1	0	58,333	0
JINKOSOLAR HLDG CO LTD	DEBT 4.000% 2/0	G51385AA3	458	22,000	SH	-	DFND	1	0	22,000	0
MARVELL TECHNOLOGY GROUP LTD	ORD	G5876H105	1,750	105,948	SH	-	DFND	1	0	105,948	0