

# **GLOBAL BROKERAGE, INC.**

Reported by  
**SAKHAI DAVID**

## **FORM 4**

(Statement of Changes in Beneficial Ownership)

Filed 11/27/17 for the Period Ending 11/22/17

Address 55 WATER ST.  
FL 50  
NEW YORK, NY, 10041  
Telephone 6464322241  
CIK 0001499912  
Symbol GLBR  
SIC Code 6200 - Security and Commodity Brokers, Dealers, Exchanges and Services  
Industry Investment Banking & Brokerage Services  
Sector Financials  
Fiscal Year 12/31

# FORM 4

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

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## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or  
Section 30(h) of the Investment Company Act of 1940

<b>1. Name and Address of Reporting Person *</b>  <b>Sakhai David</b>  (Last) (First) (Middle)  <b>C/O GLOBAL BROKERAGE, INC., 55 WATER ST.</b>  (Street)  <b>NEW YORK, NY 10041</b>  (City) (State) (Zip)	<b>2. Issuer Name and Ticker or Trading Symbol</b>  <b>Global Brokerage, Inc. [ GLBR ]</b>	<b>5. Relationship of Reporting Person(s) to Issuer</b> (Check all applicable)  <input checked="" type="checkbox"/> Director _____ 10% Owner <input checked="" type="checkbox"/> Officer (give title below) _____ Other (specify below) <b>Chief Operating Officer</b>
<b>3. Date of Earliest Transaction (MM/DD/YYYY)</b>  <p align="center"><b>11/22/2017</b></p>		<b>6. Individual or Joint/Group Filing (Check Applicable Line)</b>  <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person
<b>4. If Amendment, Date Original Filed (MM/DD/YYYY)</b>		

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Trans. Date	2A. Deemed Execution Date, if any	3. Trans. Code (Instr. 8)		4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	V	Amount	(A) or (D)				Price
Class A Common Stock	11/22/2017		S (1)		91736	D	\$0.714	121031 (2)	I	By Trusts (2)
Class A Common Stock	11/24/2017		S (1)		24788	D	\$0.452	96243 (2)	I	By Trusts (2)
Class A Common Stock	11/27/2017		S (1)		58086	D	\$0.571	38157 (2)	I	By Trusts (2)

**Table II - Derivative Securities Beneficially Owned ( e.g. , puts, calls, warrants, options, convertible securities)**

1. Title of Derivate Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Trans. Date	3A. Deemed Execution Date, if any	4. Trans. Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

**Explanation of Responses:**

- (1) Such sales were made by (i) trusts for the benefit of the Reporting Person's family, for which the Reporting Person's family member(s) serve as trustee, and (ii) by members of the Reporting Person's family.
- (2) A portion of these securities are (i) held by trusts for the benefit of the Reporting Person's family, for which the Reporting Person's family member(s) serve as trustee, and (ii) by members of the Reporting Person's family.

**Reporting Owners**

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
<b>Sakhai David</b> <b>C/O GLOBAL BROKERAGE, INC.</b> <b>55 WATER ST.</b> <b>NEW YORK, NY 10041</b>	<b>X</b>		<b>Chief Operating Officer</b>	

**Signatures**

/s/David S. Sassoon, as designated signatory

11/27/2017

\*\*Signature of Reporting Person

Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

\* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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