

SECURITIES AND EXCHANGE COMMISSION

FORM 13F-HR

Initial quarterly Form 13F holdings report filed by institutional managers

Filing Date: **2021-02-16** | Period of Report: **2020-12-31**
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FILER

CVI Holdings, LLC

CIK: [1728194](#) | IRS No.: [510395476](#) | State of Incorporation: **DE** | Fiscal Year End: **1231**
Type: **13F-HR** | Act: **34** | File No.: [028-18767](#) | Film No.: **21633991**

Mailing Address

ONE COMMERCE CENTER
1201 N. ORANGE STREET,
SUITE 715
WILMINGTON DE 19801

Business Address

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1201 N. ORANGE STREET,
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WILMINGTON DE 19801
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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: [12-31-2020](#)

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: [CVI Holdings, LLC](#)
Address: [ONE COMMERCE CENTER](#)
[1201 N. ORANGE STREET, SUITE 715](#)
[WILMINGTON, DE 19801](#)

Form 13F File Number: [028-18767](#)

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: [Brian Sopinsky](#)
Title: [Assistant Secretary](#)
Phone: [610-617-2600](#)

Signature, Place, and Date of Signing:

[Brian Sopinsky](#) [BALA CYNWYD, PENNSYLVANIA](#) [02-16-2021](#)
[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: [2](#)
Form 13F Information table Entry Total: [182](#)
Form 13F Information table Value Total: [535614](#)
(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	CIK
8	028-13218	HEIGHTS CAPITAL MANAGEMENT, INC	0001081698
12	028-17822	CVI Investments, Inc.	0001649553

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

FORM 13F

OMB APPROVAL	
OMB Number:	3235-0006
Expires:	July 31, 2015
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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 INVESTMENT OTHER MANAGER	COLUMN 8 VOTING AUTHORITY		
			VALUE (x\$1000)	SHRS OR PRN	SH/ PUT/ CALL	DISCRETION		SOLE	SHARED	NONE
IOX CAPITAL VENTURE ACQU COR	UNIT 10/21/2025	88025V206	2,130	200,000	SH	DFND	12,8	200,000	0	0
7GC & CO HOLDINGS INC	UNIT 12/23/2025	81786A206	5,275	500,000	SH	DFND	12,8	500,000	0	0
ACON S2 ACQUISITION CORP	CL SHS	G00748106	2,016	200,000	SH	DFND	12,8	200,000	0	0
ACON S2 ACQUISITION CORP	*W EXP 09/15/202	G00748114	112	66,666	SH	DFND	12,8	66,666	0	0
AERSALE CORPORATION	COM	00810F106	4,191	312,500	SH	DFND	12,8	312,500	0	0
AJAX I	UNIT 99/99/9999	G0190X118	2,650	213,545	SH	DFND	12,8	213,545	0	0
ALPHA HEALTHCARE ACQUISTN CO	UNIT 09/21/2027	020751202	2,120	200,000	SH	DFND	12,8	200,000	0	0
ALTIMAR ACQUISITION CORP	UNIT 99/99/9999	G03707125	6,880	570,444	SH	DFND	12,8	570,444	0	0
ALTITUDE ACQUISITION CORP	UNIT 11/30/2027	02156Y202	2,588	250,000	SH	DFND	12,8	250,000	0	0
APOLLO STRATEGIC GROWTH CAPT	UNIT 99/99/9999	G0411R122	5,465	500,000	SH	DFND	12,8	500,000	0	0
APTINYX INC	COM	03836N103	586	169,446	SH	DFND	12,8	169,446	0	0
ASPIRATIONAL CONSUMER LIFEST	COM	G05436103	1,496	150,000	SH	DFND	12,8	150,000	0	0
ASPIRATIONAL CONSUMER LIFEST	*W EXP 09/19/202	G05436111	53	50,000	SH	DFND	12,8	50,000	0	0
ATLANTIC AVE ACQUISITION COR	UNIT 99/99/9999	04906P200	2,120	200,000	SH	DFND	12,8	200,000	0	0
ATLAS CREST INVT CORP	UNIT 99/99/9999	049284201	50,640	4,800,000	SH	DFND	12,8	4,800,000	0	0
AVANTI ACQUISITION CORP	UNIT 99/99/9999	G0682V117	1,084	100,000	SH	DFND	12,8	100,000	0	0
AVEO PHARMACEUTICALS INC	COM NEW	053588307	76	13,171	SH	DFND	12,8	13,171	0	0
BCLS ACQUISITION CORP	COM CL A	G0904B105	827	75,000	SH	DFND	12,8	75,000	0	0
BLUE WTR ACQUISITION CORP	UNIT 08/31/2027	09607T203	4,120	400,000	SH	DFND	12,8	400,000	0	0
BLUESCAPE OPPORTUNITIES ACQU	UNIT 99/99/9999	G1195N121	1,116	100,000	SH	DFND	12,8	100,000	0	0
BREEZE HOLDINGS ACQUISITN CO	COM	106762107	3,045	300,000	SH	DFND	12,8	300,000	0	0
BREEZE HOLDINGS ACQUISITN CO	*W EXP 05/25/202	106762115	309	300,000	SH	DFND	12,8	300,000	0	0
BREEZE HOLDINGS ACQUISITN CO	RIGHT 05/23/2022	106762123	87	300,000	SH	DFND	12,8	300,000	0	0
CANOO INC	COM CL A	13803R102	6,900	500,000	SH	DFND	12,8	500,000	0	0
CANOO INC	*W EXP 12/21/202	13803R110	309	85,794	SH	DFND	12,8	85,794	0	0
CAPITOL INVESTMENT CORP V	UNIT 99/99/9999	14064F209	515	50,000	SH	DFND	12,8	50,000	0	0
CARNEY TECHNOLOGY ACQU CORP	UNIT 12/10/2025	143636207	2,052	200,000	SH	DFND	12,8	200,000	0	0
CASCADE ACQUISITION CORP	UNIT 99/99/9999	147151203	1,568	150,000	SH	DFND	12,8	150,000	0	0
CASTOR MARITIME INC	SHS	Y1146L109	756	4,086,654	SH	DFND	12,8	4,086,654	0	0
CBRE ACQUISITION HLDGS INC	UNIT 99/99/9999	12510J205	784	75,000	SH	DFND	12,8	75,000	0	0
CERBERUS TELECOM ACQUISITION	UNIT 99/99/9999	G2040C112	2,665	250,000	SH	DFND	12,8	250,000	0	0
CF ACQUISITION CORP IV	UNIT 12/31/2027	12520T201	12,863	1,250,000	SH	DFND	12,8	1,250,000	0	0
CF FIN ACQUISITION CORP III	UNIT 09/30/2027	12529D207	2,146	200,000	SH	DFND	12,8	200,000	0	0
CF FINANCE ACQUISITION CORP	COM CL A	15725Q104	1,044	94,733	SH	DFND	12,8	94,733	0	0
CF FINANCE ACQUISITION CORP	*W EXP 08/01/202	15725Q112	161	66,666	SH	DFND	12,8	66,666	0	0
CHECK CAP LTD	*W EXP 05/03/202	M2361E161	15	136,364	SH	DFND	12,8	136,364	0	0
CHECKPOINT THERAPEUTICS INC	COM	162828107	1,688	636,964	SH	DFND	12,8	636,964	0	0
CHURCHILL CAPITAL CORP V	UNIT 99/99/9999	17144T206	525	50,000	SH	DFND	12,8	50,000	0	0
CNS PHARMACEUTICALS INC	COM	18978H102	740	415,652	SH	DFND	12,8	415,652	0	0
CONCORD ACQUISITION CORP	UNIT 12/28/2025	206071201	1,547	150,000	SH	DFND	12,8	150,000	0	0
CONSONANCE HFW ACQUISITION C	UNIT 99/99/9999	G2445M129	1,571	150,000	SH	DFND	12,8	150,000	0	0
CONX CORP	UNIT 10/30/2027	212873202	766	73,300	SH	DFND	12,8	73,300	0	0
CORNER GROWTH ACQUISITION CO	UNIT 01/01/2027	G2425N121	10,450	1,000,000	SH	DFND	12,8	1,000,000	0	0
CREATIVE REALITIES INC	*W EXP 11/09/202	22530J119	2	14,600	SH	DFND	12,8	14,600	0	0
CYCLO THERAPEUTICS INC	*W EXP 11/14/202	23254X110	64	59,000	SH	DFND	12,8	59,000	0	0

DECARBONIZATION PLUS ACQU CO	UNIT 10/02/2025	242797207	1,149	100,000	SH	DFND	12,8	100,000	0	0
DEERFIELD HEALTHCARE TECH AC	*W EXP 07/16/202	244413118	62	15,040	SH	DFND	12,8	15,040	0	0
DELWINDS INS ACQUISITION COR	UNIT 99/99/9999	24803C201	536	52,500	SH	DFND	12,8	52,500	0	0
DMY TECHNOLOGY GROUP INC III	UNIT 99/99/9999	233278209	1,140	100,000	SH	DFND	12,8	100,000	0	0
DPCM CAP INC	UNIT 99/99/9999	23344P200	4,408	400,000	SH	DFND	12,8	400,000	0	0
DUNE ACQUISITION CORP	UNIT 10/29/2027	265334201	2,550	250,000	SH	DFND	12,8	250,000	0	0
EAST RES ACQUISITION CO	COM CL A	274681105	4,977	490,300	SH	DFND	12,8	490,300	0	0
EAST RES ACQUISITION CO	*W EXP 07/01/202	274681113	279	245,150	SH	DFND	12,8	245,150	0	0
EDTECHX HOLDINGS ACQU CORP I	UNIT 08/31/2027	28139A201	774	75,000	SH	DFND	12,8	75,000	0	0
EMPOWER LTD	UNIT 99/99/9999	G3R39W128	2,080	200,000	SH	DFND	12,8	200,000	0	0
ENERGY FUELS INC	*W EXP 09/20/202	292671179	0	277,777	SH	DFND	12,8	277,777	0	0
EQUITY DISTR ACQUISITION COR	COM CL A	29465E106	3,072	300,000	SH	DFND	12,8	300,000	0	0
EQUITY DISTR ACQUISITION COR	*W EXP 09/09/202	29465E114	179	100,000	SH	DFND	12,8	100,000	0	0
EROS STX GLOBAL CORPORATION	SHS NEW	G3788M114	1,274	700,000	SH	DFND	12,8	700,000	0	0
EUCRATES BIOMEDICAL ACQU COR	UNIT 10/23/2027	G3141W114	3,784	355,000	SH	DFND	12,8	355,000	0	0
FALCON CAPITAL ACQUISITN COR	UNIT 08/20/2027	30606L207	3,204	300,000	SH	DFND	12,8	300,000	0	0
FAR PEAK ACQUISITION CORP	UNIT 99/99/9999	G3312L129	3,105	300,000	SH	DFND	12,8	300,000	0	0
FAT BRANDS INC	*W EXP 06/30/202	30258N121	403	187,665	SH	DFND	12,8	187,665	0	0
FINTECH ACQUISITION CORP IV	UNIT 12/31/2025	31810N302	365	30,560	SH	DFND	12,8	30,560	0	0
FOREST ROAD ACQUISITION CORP	UNIT 99/99/9999	34619R201	3,675	350,000	SH	DFND	12,8	350,000	0	0
FRAZIER LIFESCIENCES ACQU CO	UNIT 12/09/2025	G3710A121	1,301	125,000	SH	DFND	12,8	125,000	0	0
FTAC OLYMPUS ACQUISITION COR	CL A SHS	G37288100	2,060	200,000	SH	DFND	12,8	200,000	0	0
FTAC OLYMPUS ACQUISITION COR	*W EXP 08/28/202	G37288126	127	66,666	SH	DFND	12,8	66,666	0	0
GCM GROSVENOR INC	COM CL A	36831E108	1,376	103,300	SH	DFND	12,8	103,300	0	0
GEOVAX LABS INC	*W EXP 09/29/202	373678119	94	79,500	SH	DFND	12,8	79,500	0	0
GLOBIS ACQUISITION CORP	UNIT 11/01/2025	379582208	3,598	350,000	SH	DFND	12,8	350,000	0	0
GOLDEN FALCON ACQUISITION CO	UNIT 99/99/9999	38102H208	10,400	1,000,000	SH	DFND	12,8	1,000,000	0	0
GORES HOLDINGS VI INC	UNIT 08/24/2027	38286R204	2,120	200,000	SH	DFND	12,8	200,000	0	0
GREENPRO CAP CORP	COM	39540F101	2,050	1,000,000	SH	DFND	12,8	1,000,000	0	0
GS ACQUISITION HLDGS CORP II	COM CL A	36258Q105	5,450	500,000	SH	DFND	12,8	500,000	0	0
GS ACQUISITION HLDGS CORP II	*W EXP 06/30/202	36258Q113	320	125,000	SH	DFND	12,8	125,000	0	0
HIGHLAND TRANSCEND PARTNERS	UNIT 99/99/9999	G44690116	1,050	100,000	SH	DFND	12,8	100,000	0	0
HORIZON ACQUISITION CORPORAT	UNIT 99/99/9999	G46044122	1,611	150,000	SH	DFND	12,8	150,000	0	0
HUDSON EXECUTIVE INVT CORP	COM CL A	443761101	12,972	1,200,000	SH	DFND	12,8	1,200,000	0	0
HUDSON EXECUTIVE INVT CORP	*W EXP 06/21/202	443761119	1,014	600,000	SH	DFND	12,8	600,000	0	0
I MAB	SPONSORED ADS	44975P103	7,144	151,520	SH	DFND	12,8	151,520	0	0
IG ACQUISITION CORP	UNIT 10/05/2027	449534205	5,400	500,000	SH	DFND	12,8	500,000	0	0
INDUSTRIAL TECH ACQU INC	COM CL A	456357102	4,044	400,000	SH	DFND	12,8	400,000	0	0
INDUSTRIAL TECH ACQU INC	*W EXP 08/06/202	456357110	416	400,000	SH	DFND	12,8	400,000	0	0
INSEGO CORP	NOTE 3.250% 5/0	45782BAD6	6,817	5,000,000	PRN	DFND	12,8	0	0	0
INSU ACQUISITION CORP II	*W EXP 09/01/202	457821114	163	48,000	SH	DFND	12,8	48,000	0	0
INSU ACQUISITION CORP III	UNIT 12/31/2026	457817302	2,114	200,000	SH	DFND	12,8	200,000	0	0
INVESTINDUSTRIAL ACQUISITION	UNIT 99/99/9999	G4771L121	1,028	100,000	SH	DFND	12,8	100,000	0	0
ION ACQUISITION CORP I LTD	UNIT 99/99/9999	G49392122	1,220	101,016	SH	DFND	12,8	101,016	0	0
JAWS SPITFIRE ACQUISITION CO	UNIT 99/99/9999	G50740128	1,105	100,000	SH	DFND	12,8	100,000	0	0
KINGSWOOD ACQUISITION CORP	UNIT 99/99/9999	496861204	3,900	375,000	SH	DFND	12,8	375,000	0	0
KINS TECHNOLOGY GROUP INC	UNIT 10/14/2025	49714K208	4,116	400,000	SH	DFND	12,8	400,000	0	0
KUBIENT INC	COM	50116V107	322	57,635	SH	DFND	12,8	57,635	0	0
LANDCADIA HOLDINGS III INC	UNIT 99/99/9999	51476H209	838	75,000	SH	DFND	12,8	75,000	0	0
LIFESCI ACQUISITION II CORP	COM	53229E103	531	50,000	SH	DFND	12,8	50,000	0	0
LIONHEART ACQUISITION CORP I	COM CL A	53625R104	3,528	350,000	SH	DFND	12,8	350,000	0	0
LIONHEART ACQUISITION CORP I	*W EXP 02/14/202	53625R112	198	175,000	SH	DFND	12,8	175,000	0	0
MALLARD ACQUISITION CORP	UNIT 06/30/2027	561204207	9,513	900,000	SH	DFND	12,8	900,000	0	0
MARQUEE RAINE ACQUISITION CO	UNIT 12/01/2025	G58442115	1,354	125,000	SH	DFND	12,8	125,000	0	0

MEDAVAIL HOLDINGS INC	COM	58406B103	6,639	441,144	SH	DFND	12,8	441,144	0	0
MEDIGUS LTD	*W EXP 07/23/202	58471G128	22	57,986	SH	DFND	12,8	57,986	0	0
MEDTECH ACQUISITION CORP	UNIT 12/18/2025	58507N204	2,625	250,000	SH	DFND	12,8	250,000	0	0
MIRUM PHARMACEUTICALS INC	COM	604749101	2,480	142,035	SH	DFND	12,8	142,035	0	0
MOTION ACQUISITION CORP	UNIT 10/14/2025	61980M206	1,590	150,000	SH	DFND	12,8	150,000	0	0
MOTIVE CAPITAL CORP	UNIT 99/99/9999	G6293A129	1,581	150,000	SH	DFND	12,8	150,000	0	0
NATURAL ORDER ACQUISITION CO	UNIT 99/99/9999	63889L206	1,356	125,000	SH	DFND	12,8	125,000	0	0
NEBULA CARAVEL ACQUISITION C	UNIT 12/09/2023	629070202	756	70,000	SH	DFND	12,8	70,000	0	0
NEONODE INC	COM PAR	64051M709	286	42,372	SH	DFND	12,8	42,372	0	0
NEPTUNE WELLNESS SOLUTIONS I	COM	64079L105	3,683	2,361,110	SH	DFND	12,8	2,361,110	0	0
NEW BEGINNINGS ACQUISITION C	UNIT 99/99/9999	64222H209	1,095	100,000	SH	DFND	12,8	100,000	0	0
NEXTGEN ACQUISITION CORP	UNIT 11/26/2020	G65305115	2,058	200,000	SH	DFND	12,8	200,000	0	0
NORTHERN GENESIS ACQUISITION	COMMON STOCK	66516T104	6,223	350,000	SH	DFND	12,8	350,000	0	0
OAKTREE ACQUISITION CORP II	CL A SHS	G6715X103	2,098	200,000	SH	DFND	12,8	200,000	0	0
OAKTREE ACQUISITION CORP II	*W EXP 09/15/202	G6715X111	96	50,000	SH	DFND	12,8	50,000	0	0
OTR ACQUISITION CORP	UNIT 10/01/2025	67113Q204	5,193	495,000	SH	DFND	12,8	495,000	0	0
PENN NATL GAMING INC	COM	707569109	34,548	400,000	SH	DFND	12,8	400,000	0	0
PERIDOT ACQUISITION CORP	UNIT 99/99/9999	G7008A123	2,250	200,000	SH	DFND	12,8	200,000	0	0
PETRA ACQUISITION INC	UNIT 05/25/2027	716421201	3,240	300,000	SH	DFND	12,8	300,000	0	0
POPULATION HEALTH INVS CO IN	UNIT 99/99/9999	G71716123	2,090	200,000	SH	DFND	12,8	200,000	0	0
PRIME IMPACT ACQUISITION I	SHS CL A	G61074103	3,030	300,000	SH	DFND	12,8	300,000	0	0
PRIME IMPACT ACQUISITION I	*W EXP 10/01/203	G61074129	153	100,000	SH	DFND	12,8	100,000	0	0
PYXIS TANKERS INC	*W EXP 09/15/202	Y71726122	19	80,000	SH	DFND	12,8	80,000	0	0
QELL ACQUISITION CORP	CL A	G7307X105	8,141	662,425	SH	DFND	12,8	662,425	0	0
QELL ACQUISITION CORP	*W EXP 10/01/202	G7307X113	709	224,931	SH	DFND	12,8	224,931	0	0
RECHARGE ACQUISITION CORP	UNIT 99/99/9999	756229209	5,452	510,000	SH	DFND	12,8	510,000	0	0
REGULUS THERAPEUTICS INC	COM NEW	75915K200	2,170	1,607,720	SH	DFND	12,8	1,607,720	0	0
RIBBIT LEAP LTD	SHS CL A	G7552B105	1,907	146,773	SH	DFND	12,8	146,773	0	0
RIBBIT LEAP LTD	*W EXP 09/09/202	G7552B113	128	30,000	SH	DFND	12,8	30,000	0	0
RMG ACQUISITION CORP II	UNIT 12/09/2025	G76083115	1,115	100,000	SH	DFND	12,8	100,000	0	0
ROCKWELL MED INC	COM	774374102	1,117	1,105,561	SH	DFND	12,8	1,105,561	0	0
RODGERS SILICON VALLEY AQ CO	UNIT 11/30/2025	774873202	9,206	689,600	SH	DFND	12,8	689,600	0	0
ROMAN DBDR TECH ACQUISITION	UNIT 99/99/9999	77584N200	156	15,000	SH	DFND	12,8	15,000	0	0
ROTH CH ACQUISITION I CO	*W EXP 01/28/202	778675116	620	141,022	SH	DFND	12,8	141,022	0	0
ROTH CH ACQUISITION II CO	UNIT 12/11/2025	778673202	2,080	200,000	SH	DFND	12,8	200,000	0	0
SARISSA CAPITAL ACQUISITN CO	UNIT 10/23/2027	G7823W128	3,195	300,000	SH	DFND	12,8	300,000	0	0
SCION TECH GROWTH I	UNIT 12/17/2025	G31067120	3,102	300,000	SH	DFND	12,8	300,000	0	0
SCYNEXIS INC	COM NEW	811292200	3,060	400,000	SH	DFND	12,8	400,000	0	0
SEAPORT GLOBAL ACQUISITN COR	UNIT 99/99/9999	812227205	1,881	180,000	SH	DFND	12,8	180,000	0	0
SENIOR CONNECT ACQUISITN COR	UNIT 12/09/2023	81723H207	2,058	200,000	SH	DFND	12,8	200,000	0	0
SENSEONICS HLDGS INC	NOTE 5.250% 2/0	81727UAA3	600	1,500,000	PRN	DFND	12,8	0	0	0
SIYATA MOBILE INC	*W EXP 09/24/202	83013Q152	320	54,000	SH	DFND	12,8	54,000	0	0
SOCIAL CAPITAL HEDOSOPHA HLD	UNIT 99/99/9999	G82514129	1,115	76,229	SH	DFND	12,8	76,229	0	0
SOCIAL CAPITAL HEDOSOPHA HLD	SHS CL A	G8251L105	6,150	500,000	SH	DFND	12,8	500,000	0	0
SOCIAL CAPITAL HEDOSOPHA HLD	*W EXP 09/26/202	G8251L113	409	125,000	SH	DFND	12,8	125,000	0	0
SOCIAL CAPITAL HEDOSOPHA HLD	UNIT 99/99/9999	G8252P121	5,213	395,558	SH	DFND	12,8	395,558	0	0
SOLENO THERAPEUTICS INC	COM NEW	834203200	2,993	1,550,960	SH	DFND	12,8	1,550,960	0	0
SPARTAN ACQUISITION CORP II	UNIT 99/99/9999	846775203	2,160	200,000	SH	DFND	12,8	200,000	0	0
SPORTS ENTERTAINMENT ACQU CO	UNIT 99/99/9999	84918M205	4,300	400,000	SH	DFND	12,8	400,000	0	0
SPRING VY ACQUISITION CORP	UNIT 11/11/2025	G8377A116	20,889	1,980,000	SH	DFND	12,8	1,980,000	0	0
STAR PEAK ENERGY TRANSITION	*W EXP 08/11/202	855185112	204	34,433	SH	DFND	12,8	34,433	0	0
STARBOARD VALUE ACQUISITN CO	COM CL A	85521J109	725	70,000	SH	DFND	12,8	70,000	0	0
STARBOARD VALUE ACQUISITN CO	*W EXP 09/10/202	85521J117	23	11,666	SH	DFND	12,8	11,666	0	0
SUPERNOVA PARTNERS ACQUISITI	UNIT 99/99/9999	86846V207	5,805	500,000	SH	DFND	12,8	500,000	0	0

THAYER VENTURES ACQU CORP	UNIT 01/01/2030	88332T209	15,697	1,498,500	SH		DFND	12,8	1,498,500	0	0
TORTOISE ACQUISITION CORP II	COM CL A	G89554102	5,242	492,214	SH		DFND	12,8	492,214	0	0
TORTOISE ACQUISITION CORP II	*W EXP 06/14/202	G89554128	351	123,053	SH		DFND	12,8	123,053	0	0
TPG PACE TECH OPPORTUNITIES	CL A COM	G8990Y103	423	38,153	SH		DFND	12,8	38,153	0	0
TS INNOVATION ACQUISITN CORP	UNIT 99/99/9999	87284T209	1,581	150,000	SH		DFND	12,8	150,000	0	0
TURMERIC ACQUISITION CORP	UNIT 10/08/2025	G9127T116	2,054	200,000	SH		DFND	12,8	200,000	0	0
TWC TECH HLDGS II CORP	COM	90117G105	2,106	200,000	SH		DFND	12,8	200,000	0	0
TWC TECH HLDGS II CORP	*W EXP 09/15/202	90117G113	113	66,666	SH		DFND	12,8	66,666	0	0
VECTOR ACQUISITION CORP	UNIT 09/30/2027	G9442R100	1,076	100,000	SH		DFND	12,8	100,000	0	0
VENTOUX CCM ACQUISITION CORP	UNIT 09/30/2025	92280L200	3,605	350,000	SH		DFND	12,8	350,000	0	0
VENUS CONCEPT INC	COM	92332W105	400	231,300	SH		DFND	12,8	231,300	0	0
VERB TECHNOLOGY CO INC	*W EXP 03/14/202	92337U112	106	240,000	SH		DFND	12,8	240,000	0	0
VERIFYME INC	*W EXP 06/22/202	92346X115	70	68,970	SH		DFND	12,8	68,970	0	0
VERONA PHARMA PLC	SPONSORED ADS	925050106	1,248	178,273	SH		DFND	12,8	178,273	0	0
VESPER HEALTHCARE ACQSTN COR	COM CL A	92538T104	3,011	266,247	SH		DFND	12,8	266,247	0	0
VESPER HEALTHCARE ACQSTN COR	*W EXP 09/30/202	92538T112	235	88,749	SH		DFND	12,8	88,749	0	0
VG ACQUISITION CORP	UNIT 99/99/9999	G9446E121	4,893	407,732	SH		DFND	12,8	407,732	0	0
VIVEON HEALTH ACQUISITION CO	UNIT 99/99/9999	92853V205	7,189	700,000	SH		DFND	12,8	700,000	0	0
VUZIX CORP	COM NEW	92921W300	600	66,100	SH	Put	DFND	12,8	0	0	0
XL FLEET CORP	COM CL A	9837FR100	11,865	500,000	SH		DFND	12,8	500,000	0	0
XL FLEET CORP	COM CL A	9837FR100	261	11,000	SH	Put	DFND	12,8	0	0	0
XL FLEET CORP	*W EXP 06/01/202	9837FR118	225	27,732	SH		DFND	12,8	27,732	0	0
YELLOWSTONE ACQUISITION CO	UNIT 10/22/2025	98566K204	1,065	100,000	SH		DFND	12,8	100,000	0	0
YUCAIPA ACQUISITION CORP	COM	G9879L105	3,030	300,000	SH		DFND	12,8	300,000	0	0
YUCAIPA ACQUISITION CORP	*W EXP 99/99/999	G9879L113	143	100,000	SH		DFND	12,8	100,000	0	0
YUNHONG INTL	CL A SHS	G98882106	3,479	350,000	SH		DFND	12,8	350,000	0	0
YUNHONG INTL	*W EXP 01/31/202	G98882122	107	175,000	SH		DFND	12,8	175,000	0	0
YUNHONG INTL	RIGHT 01/31/2027	G98882130	109	350,000	SH		DFND	12,8	350,000	0	0
ZANITE ACQUISITION CORP	UNIT 10/08/2025	98907K202	789	75,000	SH		DFND	12,8	75,000	0	0