

**FORM  
X-17A-5**

**FOCUS REPORT**  
(Financial and Operational Combined Uniform Single Report)

**Part II** 11

(Read instructions before preparing Form)

This report is being filed pursuant to (Check Applicable Block(s)):

1) Rule 17a-5(a) X 16

2) Rule 17a-5(b) 17

3) Rule 17a-11 18

4) Special request by designated examining authority 19

5) Other 26

NAME OF BROKER-DEALER

WEDBUSH SECURITIES INC.

SEC FILE NO

13 12987

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ADDRESS OF PRINCIPAL PLACE OF BUSINESS (Do not use P.O. Box No.)

1000 WILSHIRE BLVD. SUITE 900, ATTN: BUSINESS CONDUCT

(No. and Street)

FIRM ID NO

20 877

15

LOS ANGELES

(City)

21 CA

(State)

22 90017-2457

(Zip Code)

FOR PERIOD BEGINNING (MM/DD/YY)

23 10/01/2015

24

AND ENDING (MM/DD/YY)

10/31/2015

25

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT

SHAWN KEAGY - EVP/CFO

(Area Code)—Telephone No.

30 (213) 688-8000

31

NAME(S) OF SUBSIDIARIES OR AFFILIATES CONSOLIDATED IN THIS REPORT:

OFFICIAL USE

32

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DOES RESPONDENT CARRY ITS OWN CUSTOMER ACCOUNT?

YES X 40

NO 41

CHECK HERE IF RESPONDENT IS FILING AN AUDIT REPORT?

42

**EXECUTION:**

The registrant/broker or dealer submitting this form and its attachments and the person(s) by whom it is executed represent hereby that all information contained therein is true, correct and complete. It is understood that all required items, statements, and schedules are considered integral parts of this Form and that the submission of any amendment represents that all unamended items, statements and schedules remain true, correct and complete as previously submitted.

Dated 11/24/2015 Electronically submitted through WinJammer

Manual signatures of:

1) Edward Wedbush

Principal Executive Officer of Managing Partner - Edward Wedbush

2) Shawn Keagy

Principal Financial Officer or Partner - Shawn Keagy

3) Shawn Keagy

Principal Operations Officer or Partner - Shawn Keagy

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

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT**

**PART II**

**BROKER OR DEALER:**

WEDBUSH SECURITIES INC.

**as of:** 10/31/2015

**STATEMENT OF FINANCIAL CONDITION**

As of (MMDDYY)

SEC FILE NO. 12987

Consolidated

Unconsolidated

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**ASSETS**

**Allowable**

**Non-Allowable**

**Total**

1. Cash	\$ 12,642,170	200			\$ 12,642,170	750
2. Cash segregated in compliance with federal and other regulations	472,886,255	210			472,886,255	760
3. Receivable from brokers or dealers and clearing organizations:						
A. Failed to deliver:						
1. Includable in "Formula for Reserve Requirements"	2,095,206	220				
2. Other	7,276,731	230			9,371,937	770
B. Securities borrowed:						
1. Includable in "Formula for Reserve Requirements"	418,840,739	240				
2. Other	650,890,156	250			1,069,730,895	780
C. Omnibus accounts:						
1. Includable in "Formula for Reserve Requirements"	0	260				
2. Other	20,211,078	270			20,211,078	790
D. Clearing organizations:						
1. Includable in "Formula for Reserve Requirements"	13,674,251	280				
2. Other	234,407,264	290			248,081,515	800
E. Other	0	300	\$ 70,166	550	70,166	810
4. Receivables from customers:						
A. Securities accounts:						
1. Cash and fully secured accounts	348,641,553	310				
2. Partly secured accounts	2,367,390	320	910,090	560		
3. Unsecured accounts			6,436,929	570		
B. Commodity accounts	1,618,555	330	1,037,060	580		
C. Allowance for doubtful accounts	(4,974,514)	335	(7,347,019)	590	348,690,044	820
5. Receivables from non-customers:						
A. Cash and fully secured accounts	76,691,969	340				
B. Partly secured and unsecured accounts	0	350	0	600	76,691,969	830
6. Securities purchased under agreements to resell	1,595,589,092	360	0	605	1,595,589,092	840
7. Securities and spot commodities owned, at market value:						
A. Bankers acceptances, certificates of deposit and commercial paper	215,001,600	370				
B. U.S. and Canadian government obligations	217,840,228	380				
C. State and municipal government obligations	42,549,465	390				
D. Corporate obligations	235,918	400				

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT**  
**PART II**

**BROKER OR DEALER:**

WEDBUSH SECURITIES INC.

as of: 10/31/2015

**STATEMENT OF FINANCIAL CONDITION**

		<b>ASSETS</b>			
		<b>Allowable</b>		<b>Non-Allowable</b>	<b>Total</b>
E. Stock and warrants		\$ 10,013,494	410		
F. Options		789,695	420		
G. Arbitrage		0	422		
H. Other securities		255,644,990	424		
I. Spot commodities		0	430		
J. Total Inventory - includes encumbered securities of \$72,501,187 [120]					\$ 742,075,390 850
8. Securities owned not readily marketable:					
A. At Cost \$0 [130]		0	440	\$ 10,453,314 610	10,453,314 860
9. Other investments not readily marketable:					
A. At Cost \$0 [140]					
B. At estimated fair value		0	450	42,744 620	42,744 870
10. Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value:					
A. Exempted securities \$0 [150]					
B. Other \$0 [160]		0	460	0 630	0 880
11. Secured demand notes - market value of collateral:					
A. Exempted securities \$0 [170]					
B. Other \$0 [180]		0	470	0 640	0 890
12. Memberships in exchanges:					
A. Owned, at market value \$0 [190]					
B. Owned at cost				2,906,775 650	
C. Contributed for use of company, at market value				0 660	2,906,775 900
13. Investment in and receivables from affiliates, subsidiaries and associated partnerships					
		0	480	3,803,031 670	3,803,031 910
14. Property, furniture, equipment, leasehold improvements and rights under lease agreements:					
At cost (net of accumulated depreciation and amortization)		0	490	1,053,542 680	1,053,542 920
15. Other Assets:					
A. Dividends and interest receivable		7,457,321	500	124,643 690	
B. Free shipments		0	510	0 700	
C. Loans and advances		0	520	0 710	
D. Miscellaneous		3,387,307	530	45,012,691 720	
E. Collateral accepted under SFAS 140		0	536		
F. SPE Assets		0	537		
					55,981,962 930
16. TOTAL ASSETS		\$ 4,605,777,913	540	\$ 64,503,966 740	\$ 4,670,281,879 940

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT**  
**PART II**

**BROKER OR DEALER:**

WEDBUSH SECURITIES INC.

**as of:** 10/31/2015

**STATEMENT OF FINANCIAL CONDITION**  
**LIABILITIES AND OWNERSHIP EQUITY**

<u>Liabilities</u>	<u>A.I.</u> <u>Liabilities *</u>	<u>Non-A.I.</u> <u>Liabilities *</u>	<u>Total</u>
17. Bank loans payable:			
A. Includable in "Formula for Reserve Requirements"	\$ 0	\$ 0	\$ 0
B. Other	0	0	60,500,000
18. Securities sold under repurchase agreements		0	179,368,759
19. Payable to brokers or dealers and clearing organizations:			
A. Failed to receive:			
1. Includable in "Formula for Reserve Requirements"	0	0	3,723,897
2. Other	0	0	8,167,746
B. Securities loaned:			
1. Includable in "Formula for Reserve Requirements"	0		30,629,505
2. Other	0	0	635,000,745
C. Omnibus accounts:			
1. Includable in "Formula for Reserve Requirements"	0		0
2. Other	0	0	0
D. Clearing organizations:			
1. Includable in "Formula for Reserve Requirements"	0		1,787,575
2. Other	0	0	3,537,549
E. Other	0	0	1,172,304
20. Payable to customers:			
A. Securities accounts - including free credits of \$1,640,085,552 [950]	0		2,559,869,636
B. Commodities accounts	0	0	671,729,895
21. Payable to non customers:			
A. Securities accounts	0	0	151,696,165
B. Commodities accounts	0	0	2,892,771
22. Securities sold not yet purchased at market value - including arbitrage of \$0 [960]		0	16,907,557
23. Accounts payable and accrued liabilities and expenses:			
A. Drafts payable	0		8,720,470
B. Accounts payable	0		20,876,654
C. Income taxes payable	0		16,955
D. Deferred income taxes		0	0
E. Accrued expenses and other liabilities	0		68,349,630
F. Other	0	0	0
G. Obligation to return securities		0	0
H. SPE Liabilities		0	0

\* Brokers or Dealers electing the alternative net capital requirement method need not complete these columns.

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT**  
**PART II**

**BROKER OR DEALER:**

WEDBUSH SECURITIES INC.

as of: 10/31/2015

**STATEMENT OF FINANCIAL CONDITION**  
**LIABILITIES AND OWNERSHIP EQUITY (continued)**

<u>Liabilities</u>	A.I. <u>Liabilities *</u>	Non A.I. <u>Liabilities *</u>	<u>Total</u>
24. Notes and mortgages payable:			
A. Unsecured	\$ 0		\$ 0
B. Secured	0	\$ 0	0
25. Liabilities subordinated to claims of general creditors:			
A. Cash borrowings		0	0
1. from outsiders \$0 [970]		1400	1710
2. Includes equity subordination(15c3-1(d)) of \$0 [980]			
B. Securities borrowings, at market value		0	0
1. from outsiders \$0 [990]		1410	1720
C. Pursuant to secured demand note collateral agreements		0	0
1. from outsiders \$0 [1000]		1420	1730
2. Includes equity subordination(15c3-1(d)) of \$0 [1010]			
D. Exchange memberships contributed for use of company, at market value		0	0
E. Accounts and other borrowings not qualified for net capital purposes	0	0	0
26. TOTAL LIABILITIES	\$ 0	\$ 0	\$ 4,424,947,813
 <u>Ownership Equity</u>			
27. Sole proprietorship			\$ 0
28. Partnership- limited partners	\$ 0		\$ 0
29. Corporation:			
A. Preferred stock			0
B. Common stock			700,000
C. Additional paid-in capital			11,623,914
D. Retained earnings			234,895,014
E. Total			247,218,928
F. Less capital stock in treasury			(1,884,862)
30. TOTAL OWNERSHIP EQUITY			\$ 245,334,066
31. TOTAL LIABILITIES AND OWNERSHIP EQUITY			\$ 4,670,281,879

\* Brokers or Dealers electing the alternative net capital requirement method need not complete these columns.

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT**  
**PART II**

**BROKER OR DEALER:** WEDBUSH SECURITIES INC.

**as of:** 10/31/2015

**COMPUTATION OF NET CAPITAL**

1. Total ownership equity (from Statement of Financial Condition - Item 1800)			\$ 245,334,066	3480
2. Deduct: Ownership equity not allowable for net capital			0	3490
3. Total ownership equity qualified for net capital			245,334,066	3500
4. Add:				
A. Liabilities subordinated to claims of general creditors allowable in computation of net capital			0	3520
B. Other (deductions) or allowable credits (List)			4,974,514	3525
5. Total capital and allowable subordinated liabilities			\$ 250,308,580	3530
6. Deductions and/or charges:				
A. Total non-allowable assets from Statement of Financial Condition (Notes B and C)			\$ 64,503,966	3540
1. Additional charges for customers' and non-customers' security accounts			\$ 20,589,151	3550
2. Additional charges for customers' and non-customers' commodity accounts			0	3560
B. Aged fail-to-deliver			87,749	3570
1. Number of items	89	3450		
C. Aged short security differences-less reserve of	\$ 0	3460	0	3580
number of items	0	3470		
D. Secured demand note deficiency			0	3590
E. Commodity futures contracts and spot commodities proprietary capital charges			0	3600
F. Other deductions and/or charges			17,792,146	3610
G. Deductions for accounts carried under Rule 15c3-1(a)(6),(a)(7) and (c)(2)(x)			0	3615
H. Total deductions and/or charges			(102,973,012)	3620
7. Other additions and/or allowable credits (List)			0	3630
8. Net Capital before haircuts on securities positions			\$ 147,335,568	3640
9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):				
A. Contractual securities commitments			\$ 0	3660
B. Subordinated securities borrowings			0	3670
C. Trading and Investment securities:				
1. Bankers' acceptances, certificates of deposit and commercial paper			1,075,008	3680
2. U.S. and Canadian government obligations			11,021,313	3690
3. State and municipal government obligations			3,249,402	3700
4. Corporate obligations			21,233	3710
5. Stocks and warrants			1,602,953	3720
6. Options			23,700	3730
7. Arbitrage			0	3732
8. Other securities			5,363,479	3734
D. Undue concentration			0	3650
E. Other (list)			0	3736
			(22,357,088)	3740
10. Net Capital			\$ 124,978,480	3750

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT**  
**PART II**

**BROKER OR DEALER:** WEDBUSH SECURITIES INC.

**as of:** 10/31/2015

**COMPUTATION OF BASIC NET CAPITAL REQUIREMENT**

<b>Part A</b>			
11. Minimum net capital required (6-2/3% of line 19)		\$ 0	3756
12. Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital requirement of subsidiaries computed in accordance with Note (A)		\$ 0	3758
13. Net capital requirement (greater of line 11 or 12)		\$ 0	3760
14. Excess net capital (line 10 less 13)		\$ 0	3770
15. Excess net capital at 1000% (line 10 less 10% of line 19)		\$ 0	3780

**COMPUTATION OF AGGREGATE INDEBTEDNESS**

16. Total A.I. liabilities from Statement of Financial Condition		\$ 0	3790
17. Add:			
A. Drafts for immediate credit	\$ 0	3800	
B. Market value of securities borrowed for which no equivalent value is paid or credited	\$ 0	3810	
C. Other unrecorded amounts (List)	\$ 0	3820	\$ 0 3830
18. Deduct: Adjustment based on deposits in Special Reserve Bank Accounts (15c3-1(c)(1)(vii))			\$ 0 3838
19. Total aggregate indebtedness			\$ 0 3840
20. Percentage of aggregate indebtedness to net capital (line 19 divided by line 10)		0.00 %	3850
21. Percentage of aggregate indebtedness to net capital after anticipated capital withdrawals (line 19 divided by line 10 less item 4880 page 11)		0.00 %	3853

**COMPUTATION OF ALTERNATIVE NET CAPITAL REQUIREMENT**

<b>Part B</b>			
22. 2% of combined aggregate debit items as shown in Formula for Reserve Requirements pursuant to Rule 15c3-3 prepared as of the date of the net capital computation including both brokers or dealers and consolidated subsidiaries' debits		\$ 16,373,237	3870
23. Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital requirement of subsidiaries computed in accordance with Note (A)		\$ 20,000,000	3880
24. Net capital requirement (greater of line 22 or 23)		\$ 20,000,000	3760
25. Excess net capital (line 10 less line 24)		\$ 104,978,480	3910
26. Percentage of Net Capital to Aggregate Debits (line 10 divided by line 18 page 8)		15%	3851
27. Percentage of Net Capital, after anticipated capital withdrawals, to Aggregate Debits (line 10 less item 4880 page 11 divided by line 18 page 8)		15%	3854
28. Net capital in excess of the greater of:			
A. 5% of combined aggregate debit items or 120% of minimum Net Capital Requirement		\$ 84,045,387	3920

**OTHER RATIOS**

<b>Part C</b>			
29. Percentage of debt to debt-equity total computed in accordance with Rule 15c3-1(d)		0.00 %	3860
30. Options deductions/Net Capital ratio (1000% test) total deductions exclusive of liquidating equity under Rule 15c3-1(a)(6),(a)(7) and (c)(2)(x) divided by Net Capital		0.00 %	3852

**NOTES:**

- (A) The minimum net capital requirement should be computed by adding the minimum dollar net capital requirement of the reporting broker dealer and, for each subsidiary to be consolidated, the greater of:
1. Minimum dollar net capital requirement, or
  2. 6-2/3% of aggregate indebtedness or 2% of aggregate debits if alternative method is used.
- (B) Do not deduct the value of securities borrowed under subordination agreements or secured demand notes covered by subordination agreements not in satisfactory form and the market values of memberships in exchanges contributed for use of company (contra to item 1740) and partners' securities which were included in non-allowable assets.
- (C) For reports filed pursuant to paragraph (d) of Rule 17a-5, respondent should provide a list of material non-allowable assets.

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:** WEDBUSH SECURITIES INC.

**as of:** 10/31/2015

**COMPUTATION OF CFTC MINIMUM NET CAPITAL REQUIREMENT**

A.	Risk Based Requirement				
	i. Amount of Customer Risk Maintenance	\$ 288,873,123	7415		
	Margin Requirement				
	ii. Enter 8% of line A.i			23,109,850	7425
	iii. Amount of Non-Customer Risk Maintenance				
	Margin Requirement	147,469	7435		
	iv. Enter 8% of line A.iii			11,798	7445
	v. Enter the sum of A.ii and A.iv			23,121,648	7455
B.	Minimum Dollar Amount Requirement			20,000,000	7465
C.	Other NFA Requirement			21,724,725	7475
D.	Minimum CFTC Net Capital Requirement. Enter the greatest of lines A.v., B. or C. (See Note)			\$ 23,121,648	7490
<p>Note : If amount on line D (7490) is greater than minimum capital requirement computed in Item 3760 (Page 6) then enter this greater amount in Item 3760. The greater of the amount required by SEC or CFTC is the minimum net capital requirement.</p>					
E.	CFTC Early Warning Level			\$ 25,433,813	7495

Note: If the Minimum Net Capital Requirement computed on line D (7490) is:  
The Risk Based Requirement, enter 110% of line A (7455), or  
The Minimum Dollar Requirement of \$1,000,000, enter 150% of line B. (7465), or  
The Minimum Dollar Requirement of \$20,000,000 for FCMs offering or engaging in retail forex transactions or Retail Foreign Exchange Dealers ("RFED"), enter 110% of line B (7465), or  
Other NFA Requirement of \$20,000,000 plus five percent of the FCM's offering or engaging in retail forex transactions or Retail Foreign Exchange Dealer's ("RFED") total retail forex obligations in excess of \$10,000,000, enter 110% of line C. (7475), or  
Any other NFA Requirement, enter 150% of line 22.C. (7475)



**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:**

WEDBUSH SECURITIES INC.

**as of:** 10/31/2015

**STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION  
FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES**

**SEGREGATION REQUIREMENTS(Section 4d(2) of the CEAct)**

1. Net ledger balance			
A. Cash		\$ 621,993,684	7010
B. Securities (at market)		34,147,010	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		19,206,925	7030
3. Exchange traded options			
A. Add market value of open option contracts purchased on a contract market		155,482,443	7032
B. Deduct market value of open option contracts granted (sold) on a contract market		(170,611,826)	7033
4. Net equity (deficit) (add lines 1, 2 and 3)		660,218,236	7040
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount	1,865,611	7045	
Less: amount offset by customer securities	(189,973)	7047	
		1,675,638	7050
6. Amount required to be segregated (add lines 4 and 5)		\$ 661,893,874	7060

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts			
A. Cash		216,852,392	7070
B. Securities representing investments of customers' funds (at market)		60,000,001	7080
C. Securities held for particular customers or option customers in lieu of cash (at market)		238,537	7090
8. Margins on deposit with derivatives clearing organizations of contract markets			
A. Cash		175,744,458	7100
B. Securities representing investments of customers' funds (at market)		220,189,789	7110
C. Securities held for particular customers or option customers in lieu of cash (at market)		30,502,798	7120
9. Net settlement from (to) derivatives clearing organizations of contract markets		(2,195,287)	7130
10. Exchange traded options			
A. Value of open long option contracts		155,482,443	7132
B. Value of open short option contracts		(170,611,826)	7133
11. Net equities with other FCMs			
A. Net liquidating equity		0	7140
B. Securities representing investments of customers' funds (at market)		0	7160
C. Securities held for particular customers or option customers in lieu of cash (at market)		0	7170
12. Segregated funds on hand (describe: See Attached )		3,405,675	7150
13. Total amount in segregation (add lines 7 through 12)		689,608,980	7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 27,715,106	7190
15. Management Target Amount for Excess funds in segregation		17,750,000	7194
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess		9,965,106	7198

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:**

WEDBUSH SECURITIES INC.

**as of:** 10/31/2015

**STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION  
FOR CUSTOMERS' DEALER OPTIONS ACCOUNTS**

1.	Amount required to be segregated in accordance with Commission regulation 32.6			\$ 0	7200
2.	Funds in segregated accounts				
	A. Cash		\$ 0	7210	
	B. Securities (at market)		0	7220	
	C. Total			0	7230
3.	Excess (deficiency) funds in segregation (subtract line 1. from line 2.C.)			\$ 0	7240

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:** WEDBUSH SECURITIES INC.

**as of:** 10/31/2015

**STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS  
PURSUANT TO COMMISSION REGULATION 30.7**

**FOREIGN FUTURES AND FOREIGN OPTIONS SECURED AMOUNTS**

Amount required to be set aside pursuant to law, rule or regulation  
of a foreign government or a rule of a self-regulatory organization  
authorized thereunder

			\$ 0	7305
1.	Net ledger balance - Foreign Futures and Foreign Options Trading - All Customers			
	A. Cash		\$ 28,369,150	7315
	B. Securities (at market)		\$ 0	7317
2.	Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade		\$(1,531,469)	7325
3.	Exchange traded options			
	A. Market value of open option contracts purchased on a foreign board of trade		\$ 0	7335
	B. Market value of open option contracts granted (sold) on a foreign board of trade		\$ 0	7337
4.	Net equity (deficit) (add lines 1, 2, and 3)		\$ 26,837,681	7345
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 7,695	7351	
	Less: amount offset by customer owned securities	\$ 0	7352	\$ 7,695 7354
6.	Amount to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)		\$ 26,845,376	7355
7.	Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.		\$ 26,845,376	7360

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:** WEDBUSH SECURITIES INC.

**as of:** 10/31/2015

**STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS  
PURSUANT TO COMMISSION REGULATION 30.7**

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks				
A. Banks located in the United States	\$ 2,203,709	7500		
B. Other banks qualified under Regulation 30.7				
Name(s): <u>See Attached</u>	4,497,893	7520	\$ 6,701,602	7530
2. Securities				
A. In safekeeping with banks located in the United States	\$ 0	7540		
B. In safekeeping with other banks qualified under Regulation 30.7				
Name(s): <u>  </u>	0	7560	0	7570
3. Equities with registered futures commission merchants				
A. Cash	\$ 0	7580		
B. Securities	0	7590		
C. Unrealized gain (loss) on open futures contracts	0	7600		
D. Value of long option contracts	0	7610		
E. Value of short option contracts	0	7615	0	7620
4. Amounts held by clearing organizations of foreign boards of trade				
Name(s): <u>See Attached</u>		7630		
A. Cash	\$ 6,272,567	7640		
B. Securities	0	7650		
C. Amount due to (from) clearing organization - daily variation	(75,825)	7660		
D. Value of long option contracts	0	7670		
E. Value of short option contracts	0	7675	6,196,742	7680
5. Amounts held by members of foreign boards of trade				
Name(s): <u>See Attached</u>		7690		
A. Cash	\$ 17,488,460	7700		
B. Securities	0	7710		
C. Unrealized gain (loss) on open futures contracts	858,219	7720		
D. Value of long option contracts	0	7730		
E. Value of short option contracts	0	7735	18,346,679	7740
6. Amounts with other depositories designated by a foreign board of trade				
Name(s): <u>  </u>		7750	0	7760
7. Segregated funds on hand (describe): <u>  </u>			0	7765
8. Total funds in separate section 30.7 accounts			\$ 31,245,023	7770
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)			4,399,647	7380
10. Management Target Amount for Excess funds in separate section 30.7 accounts			1,000,000	7780
11. Excess (deficiency) funds in separate section 30.7 accounts over (under) Management Target Amount			3,399,647	7785

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:** WEDBUSH SECURITIES INC.

**as of:** 10/31/2015

**STATEMENT OF CLEARED SWAPS SEGREGATION REQUIREMENTS AND  
FUNDS IN CLEARED SWAPS CUSTOMER ACCOUNTS UNDER 4D(F) OF THE CEA**

**Cleared Swaps Customer Requirements**

1. Net ledger balance			
A. Cash		\$ 0	8500
B. Securities (at market)		0	8510
2. Net unrealized profit (loss) in open cleared swaps		0	8520
3. Cleared swaps options			
A. Market value of open cleared swaps option contracts purchased		0	8530
B. Market value of open cleared swaps granted (sold)		0	8540
4. Net equity (deficit) (add lines 1, 2 and 3)		0	8550
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount	\$ 0	8560	
Less: amount offset by customer securities	0	8570	0 8580
6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)			0 8590

**Funds in Cleared Swaps Customer Segregated Accounts**

7. Deposited in cleared swaps customer segregated accounts at banks			
A. Cash		\$ 0	8600
B. Securities representing investments of cleared swaps customers' funds (at market)		0	8610
C. Securities held for particular cleared swaps customers in lieu of cash (at market)		0	8620
8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts			
A. Cash		0	8630
B. Securities representing investments of cleared swaps customers' funds (at market)		0	8640
C. Securities held for particular cleared swaps customers in lieu of cash (at market)		0	8650
9. Net settlement from (to) derivatives clearing organizations			0 8660
10. Cleared swaps options			
A. Value of open cleared swaps long option contracts		0	8670
B. Value of open cleared swaps short option contracts		0	8680
11. Net equities with other FCMs			
A. Net liquidating equity		0	8690
B. Securities representing investments of cleared swaps customers' funds (at market)		0	8700
C. Securities held for particular cleared swaps customers in lieu of cash (at market)		0	8710
12. Cleared swaps customer funds on hand (describe: )			0 8715
13. Total amount in cleared swaps customer segregation (add lines 7 through 12)			0 8720
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 0	8730
15. Management target Amount for Excess funds in cleared swaps segregated accounts		\$ 0	8760
16. Excess (deficiency) funds in cleared swaps customer segregation over (under) Management Target Excess		\$ 0	8770

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT**  
**PART II**

**BROKER OR DEALER:**

WEDBUSH SECURITIES INC.

as of: 10/31/2015

**EXCHANGE SUPPLEMENTARY INFORMATION**

1. Capital to be withdrawn within 6 months	\$ 0	8000
2. Subordinated Debt maturing within 6 months	0	8010
3. Subordinated Debt due to mature within 6 months that you plan to renew	0	8020
4. Additional capital requirement for excess margin on Reverse Repurchase Agreements	0	8045

If Adjusted Net Capital is less than \$2,000,000 please complete lines 5 through 8:

5. Number of Associated Persons	0	8100
6. Number of Branch Offices	0	8110
7. Number of Guaranteed Introducing Brokers	0	8120
8. Number of Guaranteed Introducing Broker Branch Offices	0	8130

Futures Commission Merchants offering off-exchange foreign currency futures ("forex") to retail customers

9. Is the firm a registered Futures Commission Merchant ("FCM") that offers to be or acts as a counterparty to retail foreign exchange transactions or a Retail Foreign Exchange Dealer ("RFED")?	Yes	8135
10. Gross revenue from Forex transactions with retail customers	74,897	8140
11. Total net aggregate notional value of all open Forex transactions in retail customer and non-customer (not proprietary) accounts	708,970	8150
12. Total aggregate retail forex assets [Reference CFTC Regulation 5.1(b)]	47,284,706.00	8160
13. Total amount of retail forex obligation [Reference CFTC Regulation 5.1(l)]	44,494,493.00	8170
14. Retail forex related Minimum Dollar Amount Requirement reported in Other NFA Requirement, Box 7475, Statement of Computation of the Minimum Capital Requirements, Line C.		
A. If offering to be or engaging as a counterparty in retail foreign exchange enter \$20 million	20,000,000.00	8175
B. Enter 5% of total retail forex obligation (reported in Box 8170) in excess of \$ 10 million	1,724,725.00	8180
C. Enter sum of 14.A. and 14B.	21,724,725.00	8185
15. Is the firm an IB?	No	8740

16. The aggregate performance bond requirement for all customer and house accounts containing CME-cleared IRS and CDS positions. (Applicable for FCMs and broker-dealers which clear CME-cleared IRS and/or CDS products for customer or house accounts)

\$ 0 8750

**General Comments:**