

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)

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  
WEBBUSH SECURITIES INC.

SEC FILE NO

13 12987

14

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

FIRM ID NO

1000 WILSHIRE BLVD. SUITE 900, ATTN: BUSINESS CONDUCT  
(No. and Street)

20 877

15

LOS ANGELES

(City)

21 CA

(State)

22 90017-2457

(Zip Code)

FOR PERIOD BEGINNING (MM/DD/YY)

23 07/01/2016

24

AND ENDING (MM/DD/YY)

24 09/30/2016

25

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT  
DANIEL BILLINGS, CONTROLLER

(Area Code)--Telephone No

30 (213) 688-8000

31

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

OFFICIAL USE

32

33

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35

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39

DOES RESPONDENT CARRY ITS OWN CUSTOMER ACCOUNT?

YES  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 10/26/2016 Electronically submitted through WinJammer

Manual signatures of:

1)



Principal Executive Officer of Managing Partner - Edward Wedbush

2)



Principal Financial Officer or Partner - Richard M. Jablonski / Daniel Billings

3)

Principal Operations Officer or Partner

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:

WEBBUSH SECURITIES INC.

as of: 09/30/2016

## STATEMENT OF FINANCIAL CONDITION

As of (MMDDYY)	99
SEC FILE NO.	12987
Consolidated	98
Unconsolidated	198
	X 199

ASSETS

	Allowable	Non-Allowable	Total
1. Cash	\$ 11,589,376	200	\$ 11,589,376 750
2. Cash segregated in compliance with federal and other regulations	728,724,052	210	728,724,052 760
3. Receivable from brokers or dealers and clearing organizations:			
A. Failed to deliver:			
1. Includable in "Formula for Reserve Requirements"	5,051,745	220	
2. Other	12,369,377	230	17,421,122 770
B. Securities borrowed:			
1. Includable in "Formula for Reserve Requirements"	358,939,305	240	
2. Other	2,092,517,149	250	2,451,456,454 780
C. Omnibus accounts:			
1. Includable in "Formula for Reserve Requirements"	0	260	
2. Other	3,929,155	270	3,929,155 790
D. Clearing organizations:			
1. Includable in "Formula for Reserve Requirements"	5,725,896	280	
2. Other	220,385,742	290	226,111,638 800
E. Other	0	300	\$ 74,674 550 74,674 810
4. Receivables from customers:			
A. Securities accounts:			
1. Cash and fully secured accounts	465,742,151	310	
2. Partly secured accounts	3,050,255	320	1,053,137 560
3. Unsecured accounts			6,517,225 570
B. Commodity accounts	2,094,030	330	389,758 580
C. Allowance for doubtful accounts	(5,418,260)	335	(7,570,362) 590 465,857,934 820
5. Receivables from non-customers:			
A. Cash and fully secured accounts	135,202,115	340	
B. Partly secured and unsecured accounts	0	350	0 600 135,202,115 830
6. Securities purchased under agreements to resell	1,859,412,483	360	0 605 1,859,412,483 840
7. Securities and spot commodities owned, at market value:			
A. Bankers acceptances, certificates of deposit and commercial paper	0	370	
B. U.S. and Canadian government obligations	251,791,222	380	
C. State and municipal government obligations	49,581,180	390	
D. Corporate obligations	83,088	400	

## FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

## PART II

BROKER OR DEALER:

WEBBUSH SECURITIES INC.

as of: 09/30/2016

## STATEMENT OF FINANCIAL CONDITION

	ASSETS		
	Allowable	Non-Allowable	Total
E. Stock and warrants	\$ 7,158,654	410	
F. Options	329,485	420	
G. Arbitrage	0	422	
H. Other securities	22,540,000	424	
I. Spot commodities	0	430	
J. Total Inventory - includes encumbered securities of \$69,602,429 [120]			\$ 331,483,629 [850]
8. Securities owned not readily marketable:			
A. At Cost \$0 [130]	0	440	\$ 12,205,024 [610]
9. Other investments not readily marketable:			
A. At Cost \$0 [140]	0	450	82,040 [620]
B. At estimated fair value			82,040 [870]
10. Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value:			
A. Exempted securities \$0 [150]	0	460	0 [630]
B. Other \$0 [160]			0 [880]
11. Secured demand notes - market value of collateral:			
A. Exempted securities \$0 [170]	0	470	0 [640]
B. Other \$0 [180]			0 [890]
12. Memberships in exchanges:			
A. Owned, at market value \$0 [190]			2,906,775 [650]
B. Owned at cost			
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	7,768,220 [670]
14. Property, furniture, equipment, leasehold improvements and rights under lease agreements:			
At cost (net of accumulated depreciation and amortization)	0	490	711,010 [680]
15. Other Assets:			
A. Dividends and interest receivable	9,395,302	500	42,901 [690]
B. Free shipments	0	510	0 [700]
C. Loans and advances	0	520	0 [710]
D. Miscellaneous	3,092,504	530	33,784,773 [720]
E. Collateral accepted under SFAS 140	0	536	
F. SPE Assets	0	537	
16. TOTAL ASSETS	\$ 6,243,286,006	540	\$ 57,965,175 [740]
			\$ 6,301,251,181 [940]

## FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

## PART II

BROKER OR DEALER:

WEBBUSH SECURITIES INC.

as of: 09/30/2016

## STATEMENT OF FINANCIAL CONDITION

## LIABILITIES AND OWNERSHIP EQUITY

<u>Liabilities</u>	A.I. <u>Liabilities *</u>	Non-A.I. <u>Liabilities *</u>	<u>Total</u>
17. Bank loans payable:			
A. Includable in "Formula for Reserve Requirements"	\$ 0    1030	\$ 0    1240	\$ 23,100,000    1460
B. Other	0    1040	0    1250	65,110,652    1470
18. Securities sold under repurchase agreements		0    1260	203,845,982    1480
19. Payable to brokers or dealers and clearing organizations:			
A. Failed to receive:			
1. Includable in "Formula for Reserve Requirements"	0    1050	0    1270	2,016,459    1490
2. Other	0    1060	0    1280	8,251,593    1500
B. Securities loaned:			
1. Includable in "Formula for Reserve Requirements"	0    1070		91,270,965    1510
2. Other	0    1080	0    1290	2,087,463,583    1520
C. Omnibus accounts:			
1. Includable in "Formula for Reserve Requirements"	0    1090		0    1530
2. Other	0    1095	0    1300	0    1540
D. Clearing organizations:			
1. Includable in "Formula for Reserve Requirements"	0    1100		1,982,247    1550
2. Other	0    1105	0    1310	1,148,916    1560
E. Other	0    1110	0    1320	3,199,582    1570
20. Payable to customers:			
A. Securities accounts - including free credits of \$0 [950]	0    1120		2,675,545,485    1580
B. Commodities accounts	0    1130	0    1330	626,117,993    1590
21. Payable to non customers:			
A. Securities accounts	0    1140	0    1340	177,507,192    1600
B. Commodities accounts	0    1150	0    1350	353,933    1610
22. Securities sold not yet purchased at market value - including arbitrage of \$0 [960]		0    1360	12,455,390    1620
23. Accounts payable and accrued liabilities and expenses:			
A. Drafts payable	0    1160		7,327,030    1630
B. Accounts payable	0    1170		16,267,947    1640
C. Income taxes payable	0    1180		0    1650
D. Deferred income taxes		0    1370	0    1660
E. Accrued expenses and other liabilities	0    1190		45,489,250    1670
F. Other	0    1200	0    1380	0    1680
G. Obligation to return securities		0    1386	0    1686
H. SPE Liabilities		0    1387	0    1687

\* 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:** 09/30/2016

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

<u>Liabilities</u>	<u>A.I.</u>	<u>Non A.I.</u>	<u>Total</u>
	<u>Liabilities *</u>	<u>Liabilities *</u>	
24. Notes and mortgages payable:			
A. Unsecured	\$ 0	1210	\$ 0
B. Secured	0	1211	0
			1690
			1700
25. Liabilities subordinated to claims of general creditors:			
A. Cash borrowings		0	1400
1. from outsiders \$0 [970]			
2. Includes equity subordination(15c3-1(d)) of \$0 [980]			
B. Securities borrowings, at market value		0	1410
1. from outsiders \$0 [990]			
C. Pursuant to secured demand note collateral agreements		0	1420
1. from outsiders \$0 [1000]			
2. Includes equity subordination(15c3-1(d)) of \$0 [1010]			
D. Exchange memberships contributed for use of company, at market value		0	1430
E. Accounts and other borrowings not qualified for net capital purposes		0	1440
			0
			1720
			1730
26. TOTAL LIABILITIES	\$ 0	1230	\$ 0
			1450
			\$ 6,048,454,199
			1760

**Ownership Equity**

27. Sole proprietorship		\$ 0	1770
28. Partnership- limited partners		\$ 0	1780
29. Corporation:			
A. Preferred stock		0	1791
B. Common stock		700,000	1792
C. Additional paid-in capital		12,109,360	1793
D. Retained earnings		241,872,484	1794
E. Total		254,681,844	1795
F. Less capital stock in treasury		(1,884,862)	1796
30. TOTAL OWNERSHIP EQUITY		\$ 252,796,982	1800
31. TOTAL LIABILITIES AND OWNERSHIP EQUITY		\$ 6,301,251,181	1810

\* 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:

WEBBUSH SECURITIES INC.

as of: 09/30/2016

## COMPUTATION OF NET CAPITAL

1. Total ownership equity (from Statement of Financial Condition - Item 1800)		\$ 252,796,982	3480
2. Deduct: Ownership equity not allowable for net capital		0	3490
3. Total ownership equity qualified for net capital		252,796,982	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)		5,418,260	3525
5. Total capital and allowable subordinated liabilities		\$ 258,215,242	3530
6. Deductions and/or charges:			
A. Total non-allowable assets from Statement of Financial Condition (Notes B and C)		\$ 57,965,175	3540
1. Additional charges for customers' and non-customers' security accounts		\$ 29,948,105	3550
2. Additional charges for customers' and non-customers' commodity accounts		0	3560
B. Aged fail-to-deliver		169,089	3570
1. Number of items	99	3450	
C. Aged short security differences-less			
reserve of	\$ 0	3460	0
number of items		0	3580
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		8,823,942	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			(96,906,311) 3620
7. Other additions and/or allowable credits (List)		0	3630
8. Net Capital before haircuts on securities positions		\$ 161,308,931	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		0	3680
2. U.S. and Canadian government obligations		5,960,222	3690
3. State and municipal government obligations		3,682,233	3700
4. Corporate obligations		7,478	3710
5. Stocks and warrants		1,017,602	3720
6. Options		106,550	3730
7. Arbitrage		0	3732
8. Other securities		450,800	3734
D. Undue concentration		0	3650
E. Other (list)		0	3736
10. Net Capital			(11,224,885) 3740
			\$ 150,084,046 3750

## FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

## PART II

BROKER OR DEALER:

WEBBUSH SECURITIES INC.

as of: 09/30/2016

## COMPUTATION OF BASIC NET CAPITAL REQUIREMENT

## Part A

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
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

Part 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	\$ 17,306,529	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)	\$ 20,450,053	3880
24. Net capital requirement (greater of line 22 or 23)	\$ 20,450,053	3760
25. Excess net capital (line 10 less line 24)	\$ 129,633,993	3910
26. Percentage of Net Capital to Aggregate Debits (line 10 divided by line 18 page 8)	17%	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)	17%	3854
28. Net capital in excess of the greater of:		
A. 5% of combined aggregate debit items or 120% of minimum Net Capital Requirement	\$ 106,817,724	3920

## OTHER RATIOS

Part C		
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:	WEBBUSH SECURITIES INC.	as of: 09/30/2016
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**COMPUTATION OF CFTC MINIMUM NET CAPITAL REQUIREMENT**

A. Risk Based Requirement			
i. Amount of Customer Risk Maintenance	\$ 255,424,070	7415	
Margin			
ii. Enter 8% of line A.i	20,433,926	7425	
iii. Amount of Non-Customer Risk Maintenance			
Margin	201,593	7435	
iv. Enter 8% of line A.iii	16,127	7445	
v. Enter the sum of A.ii and A.iv	20,450,053	7455	
B. Minimum Dollar Amount Requirement	1,000,000	7465	
C. Other NFA Requirement	0	7475	
D. Minimum CFTC Net Capital Requirement. Enter the greatest of lines A.v., B. or C. (See Note)	\$ 20,450,053	7490	
E. CFTC Early Warning Level	\$ 22,495,058	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 for FCMs offering or engaging in retail forex transaction or Retail Foreign Exchange Dealers ("RFED"), as calculated on line 11.F (8210) of Exchange Supplementary Schedule, enter 110% of line 22.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:** 09/30/2016

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

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

1. Net ledger balance			
A. Cash	\$ 576,027,623	7010	
B. Securities (at market)	391,358,510	7020	
2. Net unrealized profit (loss) in open futures contracts traded on a contract market	22,909,881	7030	
3. Exchange traded options			
A. Add market value of open option contracts purchased on a contract market	292,742,031	7032	
B. Deduct market value of open option contracts granted (sold) on a contract market	(299,291,239)	7033	
4. Net equity (deficit) (add lines 1, 2 and 3)	983,746,806	7040	
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount	2,577,087	7045	
Less: amount offset by customer securities	(1,804,670)	7047	772,417
6. Amount required to be segregated (add lines 4 and 5)	\$ 984,519,223	7060	

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts			
A. Cash	400,696,551	7070	
B. Securities representing investments of customers' funds (at market)	0	7080	
C. Securities held for particular customers or option customers in lieu of cash (at market)	507,461	7090	
8. Margins on deposit with derivatives clearing organizations of contract markets			
A. Cash	91,014,949	7100	
B. Securities representing investments of customers' funds (at market)	123,021,924	7110	
C. Securities held for particular customers or option customers in lieu of cash (at market)	386,162,010	7120	
9. Net settlement from (to) derivatives clearing organizations of contract markets	2,265,898	7130	
10. Exchange traded options			
A. Value of open long option contracts	292,742,031	7132	
B. Value of open short option contracts	(299,291,239)	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 )	4,689,039	7150	
13. Total amount in segregation (add lines 7 through 12)	1,001,808,624	7180	
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)	\$ 17,289,401	7190	
15. Management Target Amount for Excess funds in segregation	13,000,000	7194	
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	4,289,401	7198	

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

<b>BROKER OR DEALER:</b>	WEDBUSH SECURITIES INC.	<b>as of:</b> 09/30/2016
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**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:** 09/30/2016

**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	\$ 25,389,331	7315
B. Securities (at market)	\$ 0	7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$(792,589)	7325
3. Exchange traded options		
A. Market value of open option contracts purchased on a foreign board of trade	\$ 744	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)	\$ 24,597,486	7345
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 3,546	7351
Less: amount offset by customer owned securities	\$ 0	7352
6. Amount to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$ 24,601,032	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$ 24,601,032	7360

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

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

**as of:** 09/30/2016

**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			\$ 12,989,332	7500
B. Other banks qualified under Regulation 30.7			3,413,934	7520
Name(s): <u>See Attached</u>	7510		<u>\$ 16,403,266</u>	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			0	7560
Name(s): _	7550			0
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
4. Amounts held by clearing organizations of foreign boards of trade				
Name(s): <u>See Attached</u>	7630			
A. Cash			\$ 6,891,017	7640
B. Securities			0	7650
C. Amount due to (from) clearing organization - daily variation			10,206	7660
D. Value of long option contracts			0	7670
E. Value of short option contracts			0	7675
5. Amounts held by members of foreign boards of trade				
Name(s): <u>See Attached</u>	7690			
A. Cash			\$ 3,456,877	7700
B. Securities			0	7710
C. Unrealized gain (loss) on open futures contracts			166,403	7720
D. Value of long option contracts			744	7730
E. Value of short option contracts			0	7735
6. Amounts with other depositories designated by a foreign board of trade				
Name(s): _	7750			
7. Segregated funds on hand (describe): _				
8. Total funds in separate section 30.7 accounts			<u>\$ 26,928,513</u>	7770
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)			2,327,481	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			1,327,481	7785

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

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

**as of:** 09/30/2016

**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")?	No	8135
10. Gross revenue from Forex transactions with retail customers	0	8140
11. Total net aggregate notional value of all open Forex transactions in retail customer and non-customer (not proprietary) accounts	0	8150
12. Total aggregate retail forex assets [Reference CFTC Regulation 5.1(b)]	0.00	8160
13. Total amount of retail forex obligation [Reference CFTC Regulation 5.1(l)]	0.00	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	0.00	8175
B. 5% of all liabilities the Forex Dealer Member ("FDM") owes to customers and eligible contract participant (ECP) counterparties that are not an affiliate of the FDM and are not acting as a dealer exceeding \$10,000,000	0.00	8190
C. 10% of all liabilities the FDM owes to ECP counterparties that are an affiliate of the FDM not acting as a dealer	0.00	8195
D. 10% of all liabilities ECP counterparties that are an affiliate of the FDM and acting as a dealer owe to their customers (including ECPs), including liabilities related to retail commodity transactions as described in 2(c)(2)(D) of the Act	0.00	8200
E. 10% of all liabilities the FDM owes to ECP counterparties acting as a dealer that are not an affiliate of the FDM, including liabilities related to retail commodity transactions as described in 2(c)(2)(D) of the Act	0.00	8205
F. Sum of 14.A. - 14.E.	0.00	8210

15. Is the firm an IB?

No

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
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**General Comments:**

## Leverage

1. Total Assets	\$6,301,251,181	8800
2. Amount required to be segregated	984,519,223	8810
3. Amount required to be set aside in separate section 30.7 accounts	24,601,032	8820
4. Amount required to be sequestered for cleared OTC derivatives customers	0	8830
5. Reserve Requirement	1,940,275,864	8840
6. US Treasury securities - Long (firm owned)	0	8850
7. US Government agency and government sponsored entities - Long(firm owned)	0	8860
8. Reverse Repos backed by US Treasury securities and US Government agency and government sponsored entities(firm owned)	0	8870
9. Ownership Equity	252,796,982	8880
10. Subordinated Loans	0	8890
11. Leverage	13.26	8900

## Depositories

During the month did the firm maintain customer segregated funds at a depository which is an affiliate?	No	8910
During the month did the firm maintain separate 30.7 funds at a depository which is an affiliate?	No	8920
During the month did the firm maintain cleared swaps customer segregated funds at a depository which is an affiliate?	No	8925

## FCM's Customer Segregated Funds Residual Interest Target (choose one):

a. Minimum dollar amount: \$ 13,000,000  ; or

b. Minimum percentage of customer segregated funds required: 0.00  ; or

c. Dollar amount range between: 0  and 0  ; or

d. Percentage range of customer segregated funds required between: 0.00  and 0.00

## FCM's Customer Secured Amount Funds Residual Interest Target (choose one)

a. Minimum dollar amount: \$ 1,000,000  ; or

b. Minimum percentage of customer secured funds required: 0.00  ; or

c. Dollar amount range between: 0  and 0  ; or

d. Percentage range of customer secured funds required between: 0.00  and 0.00

## FCM's Cleared Swaps Customer Collateral Residual Interest Target (choose one)

a. Minimum dollar amount: \$ 0  ; or

b. Minimum percentage of cleared swaps customer collateral required: 0.00  ; or

c. Dollar amount range between: 0  and 0  ; or

d. Percentage range of cleared swaps customer collateral required between: 0.00  and 0.00

## Eligible Contract Participants

Did the firm act as counterparty to a forex transaction with any Eligible Contract Participants (ECP)?

No                   

If yes, indicate the number of ECPs that the firm acted as a counterparty to a forex transaction(s).