

# WINJAMMER FILING

INITIAL

End Date:10/31/2014

Firm Name:WEDBUSH SECURITIES INC

Form:Daily Seg - FOCUS II

Submit Date:11/3/2014

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**Daily Segregation - Cover Page**

Name of Company

Contact Name

Contact Phone Number

Contact Email Address

**WEDBUSH SECURITIES INC**

**Patti Kane**

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

a. Minimum dollar amount: ; or

**2,750,000**

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

**0**

c. Dollar amount range between:and; or

**0 0**

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

**0 0**

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

a. Minimum dollar amount: ; or

**500,000**

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

**0**

c. Dollar amount range between:and; or

**0 0**

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

**0 0**

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

a. Minimum dollar amount: ; or

**0**

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

**0**

c. Dollar amount range between:and; or

**0 0**

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

**0 0**

Attach supporting documents

**INITIAL****End Date:10/31/2014****Firm Name:WEDBUSH SECURITIES INC****Form:Daily Seg - FOCUS II****Submit Date:11/3/2014****Daily Segregation - Secured Amounts**

## 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 Option Trading - All Customers

A. Cash

6,233,575 [7315]

B. Securities (at market)

0 [7317]

## 2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade

-48,657 [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 contracts granted (sold) on a foreign board of trade

0 [7337]

## 4. Net equity (deficit) (add lines 1. 2. and 3.)

6,184,918 [7345]

## 5. Account liquidating to a deficit and account with a debit balances - gross amount

12,864 [7351]

Less: amount offset by customer owned securities

0 [7352] 12,864 [7354]

## 6. Amount required to be set aside as the secured amount - Net Liquidating Equity

6,197,782 [7355]

Method (add lines 4 and 5)

## 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line

6,197,782 [7360]

6.

## FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

## 1. Cash in banks

A. Banks located in the United States

3,028,796 [7500]

B. Other banks qualified under Regulation 30.7

0 [7520] 3,028,796 [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] 0 [7570]

## 3. Equities with registered futures commission merchants

A. Cash

4,360,142 [7580]

B. Securities

0 [7590]

C. Unrealized gain (loss) on open futures contracts

90,448 [7600]

D. Value of long option contracts

0 [7610]

E. Value of short option contracts

0 [7615] 4,450,590 [7620]

## 4. Amounts held by clearing organizations of foreign boards of trade

A. Cash

0 [7640]

B. Securities

0 [7650]

C. Amount due to (from) clearing organization - daily variation

0 [7660]

D. Value of long option contracts

0 [7670]

E. Value of short option contracts

0 [7675] 0 [7680]

## 5. Amounts held by members of foreign boards of trade

A. Cash

0 [7700]

B. Securities

0 [7710]

C. Unrealized gain (loss) on open futures contracts

0 [7720]

D. Value of long option contracts

0 [7730]

E. Value of short option contracts

0 [7735] 0 [7740]

## 6. Amounts with other depositories designated by a foreign board of trade

0 [7760]

## 7. Segregated funds on hand

0 [7765]

## 8. Total funds in separate section 30.7 accounts

7,479,386 [7770]

## 9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)

1,281,604 [7380]

## 10. Management Target Amount for Excess funds in separate section 30.7 accounts

500,000 [7780]

## 11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target

781,604 [7785]

**INITIAL****End Date:10/31/2014****Firm Name:WEDBUSH SECURITIES INC****Form:Daily Seg - FOCUS II****Submit Date:11/3/2014****Daily Segregation - Segregation Statement**

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

|     |                                                                                             |                                       |
|-----|---------------------------------------------------------------------------------------------|---------------------------------------|
| 1.  | Net ledger balance                                                                          |                                       |
|     | A. Cash                                                                                     | <u>107,196,592</u> [7010]             |
|     | B. Securities (at market)                                                                   | <u>1,219,825</u> [7020]               |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a contract market          | <u>-8,992,073</u> [7030]              |
| 3.  | Exchange traded options                                                                     |                                       |
|     | A. Add market value of open option contracts purchased on a contract market                 | <u>65,731,337</u> [7032]              |
|     | B. Deduct market value of open option contracts granted (sold) on a contract market         | <u>-61,156,799</u> [7033]             |
| 4.  | Net equity (deficit) (add lines 1, 2 and 3)                                                 | <u>103,998,882</u> [7040]             |
| 5.  | Accounts liquidating to a deficit and accounts with debit balances - gross amount           | <u>919,403</u> [7045]                 |
|     | Less: amount offset by customer securities                                                  | <u>0</u> [7047] <u>919,403</u> [7050] |
| 6.  | Amount required to be segregated (add lines 4 and 5)                                        | <u>104,918,285</u> [7060]             |
|     | FUNDS IN SEGREGATED ACCOUNTS                                                                |                                       |
| 7.  | Deposited in segregated funds bank accounts                                                 |                                       |
|     | A. Cash                                                                                     | <u>31,064,093</u> [7070]              |
|     | B. Securities representing investments of customers' funds (at market)                      | <u>0</u> [7080]                       |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <u>259,525</u> [7090]                 |
| 8.  | Margins on deposit with derivatives clearing organizations of contract markets              |                                       |
|     | A. Cash                                                                                     | <u>50,857,860</u> [7100]              |
|     | B. Securities representing investments of customers' funds (at market)                      | <u>23,242,821</u> [7110]              |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <u>240,000</u> [7120]                 |
| 9.  | Net settlement from (to) derivatives clearing organizations of contract markets             | <u>-1,506,873</u> [7130]              |
| 10. | Exchange traded options                                                                     |                                       |
|     | A. Value of open long option contracts                                                      | <u>65,441,110</u> [7132]              |
|     | B. Value of open short option contracts                                                     | <u>-61,042,802</u> [7133]             |
| 11. | Net equities with other FCMs                                                                |                                       |
|     | A. Net liquidating equity                                                                   | <u>1,612,252</u> [7140]               |
|     | B. Securities representing investments of customers' funds (at market)                      | <u>0</u> [7160]                       |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <u>0</u> [7170]                       |
| 12. | Segregated funds on hand                                                                    | <u>720,300</u> [7150]                 |
| 13. | Total amount in segregation (add lines 7 through 12)                                        | <u>110,888,286</u> [7180]             |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13)                     | <u>5,970,001</u> [7190]               |
| 15. | Management Target Amount for Excess funds in segregation                                    | <u>2,750,000</u> [7194]               |
| 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount              | <u>3,220,001</u> [7198]               |
|     | Excess                                                                                      |                                       |

**INITIAL****End Date:10/31/2014****Firm Name:WEDBUSH SECURITIES INC****Form:Daily Seg - FOCUS II****Submit Date:11/3/2014****Daily Segregation - Swaps Statement**

STATEMENT OF CLEARED SWAPS CUSTOMER 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                                                                                                  | <u>0</u> [8500]                 |
|                                                     | B. Securities (at market)                                                                                | <u>0</u> [8510]                 |
| 2.                                                  | Net unrealized profit (loss) in open cleared swaps                                                       | <u>0</u> [8520]                 |
| 3.                                                  | Cleared swaps options                                                                                    |                                 |
|                                                     | A. Market value of open cleared swaps option contracts purchased                                         | <u>0</u> [8530]                 |
|                                                     | B. Market value of open cleared swaps option contracts granted (sold)                                    | <u>0</u> [8540]                 |
| 4.                                                  | Net Equity (deficit) (add lines 1, 2, and 3)                                                             | <u>0</u> [8550]                 |
| 5.                                                  | Accounts liquidating to a deficit and accounts with debit balances - gross amount                        | <u>0</u> [8560]                 |
|                                                     | Less: amount offset by customer owned securities                                                         | <u>0</u> [8570] <u>0</u> [8580] |
| 6.                                                  | Amount required to be segregated for cleared swaps customers (add lines 4 and 5)                         | <u>0</u> [8590]                 |
| Funds in Cleared Swaps Customer Segregated Accounts |                                                                                                          |                                 |
| 7.                                                  | Deposited in cleared swaps customer segregated accounts at banks                                         |                                 |
|                                                     | A. Cash                                                                                                  | <u>0</u> [8600]                 |
|                                                     | B. Securities representing investments of cleared swaps customers' funds (at market)                     | <u>0</u> [8610]                 |
|                                                     | C. Securities held for particular cleared swaps customers in lieu of cash (at market)                    | <u>0</u> [8620]                 |
| 8.                                                  | Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts |                                 |
|                                                     | A. Cash                                                                                                  | <u>0</u> [8630]                 |
|                                                     | B. Securities representing investments of cleared swaps customers' funds (at market)                     | <u>0</u> [8640]                 |
|                                                     | C. Securities held for particular cleared swaps customers in lieu of cash (at market)                    | <u>0</u> [8650]                 |
| 9.                                                  | Net settlement from (to) derivatives clearing organizations                                              | <u>0</u> [8660]                 |
| 10.                                                 | Cleared swaps options                                                                                    |                                 |
|                                                     | A. Value of open cleared swaps long option contracts                                                     | <u>0</u> [8670]                 |
|                                                     | B. Value of open cleared swaps short option contracts                                                    | <u>0</u> [8680]                 |
| 11.                                                 | Net equities with other FCMs                                                                             |                                 |
|                                                     | A. Net liquidating equity                                                                                | <u>0</u> [8690]                 |
|                                                     | B. Securities representing investments of cleared swaps customers' funds (at market)                     | <u>0</u> [8700]                 |
|                                                     | C. Securities held for particular cleared swaps customers in lieu of cash (at market)                    | <u>0</u> [8710]                 |
| 12.                                                 | Cleared swaps customer funds on hand                                                                     |                                 |
|                                                     | A. Cash                                                                                                  | <u>0</u>                        |
|                                                     | B. Securities representing investments of cleared swaps customers' funds (at market)                     | <u>0</u>                        |
|                                                     | C. Securities held for particular cleared swaps customers in lieu of cash (at market)                    | <u>0</u> <u>0</u> [8715]        |
| 13.                                                 | Total amount in cleared swaps customer segregation (add lines 7 through 12)                              | <u>0</u> [8720]                 |
| 14.                                                 | Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)           | <u>0</u> [8730]                 |
| 15.                                                 | Management Target Amount for Excess funds in cleared swaps segregated accounts                           | <u>0</u> [8760]                 |
| 16.                                                 | Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management          | <u>0</u> [8770]                 |