INITIAL
End Date: 9/19/2018
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 9/20/2018
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Daily Segregation - Cover Page

Name of Company

WEDBUSH SECURITIES INC

Contact Name

Kevin Wirth

Contact Phone Number

312-784-0475

Contact Email Address

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FCM's Customer Segregated Funds Residual Interest Target (choose one):
  a. Minimum dollar amount: ; or 13,000,000
  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 1,000,000
  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**

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### 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:** 10,126,071 [7315]
   - **B. Securities (at market):** 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** 2,479,267 [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.)**
   - 12,605,338 [7355]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**
   - Less: amount offset by customer owned securities: 0 [7354]
   - Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)
   - 12,605,338 [7355]

6. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**
   - 12,605,338 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **A. Banks located in the United States:** 4,316,082 [7500]
   - **B. Other banks qualified under Regulation 30.7:** 920,607 [7520] 5,236,689 [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:** 2,946,600 [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] 2,946,600 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A. Cash:** 7,038,919 [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] 7,038,919 [7680]

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash:** 408,759 [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] 408,759 [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**
   - 15,630,967 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
   - 3,023,410 [7780]

10. **Management Target Amount for Excess funds in separate section 30.7 accounts**
    - 1,000,000 [7780]

11. **Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target**
    - 2,023,410 [7785]
**Daily Segregation - Segregation Statement**

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

1. Net ledger balance
   A. Cash 803,353,911 [7010]
   B. Securities (at market) 278,699,474 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 72,457,691 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 832,815,479 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -792,704,920 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 1,194,621,635 [7040]

5. Accounts liquidating to a deficit and accounts with
debit balances - gross amount 1,182,082 [7045]
   Less: amount offset by customer securities -163,636 [7047] 1,018,446 [7050]

6. Amount required to be segregated (add lines 4 and 5) 1,195,640,081 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts
   A. Cash 391,560,384 [7070]
   B. Securities representing investments of customers' funds (at market) 30,000,000 [7080]
   C. Securities held for particular customers or option customers in lieu of cash (at market) 1,891,761 [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   A. Cash 323,532,850 [7100]
   B. Securities representing investments of customers' funds (at market) 129,675,961 [7110]
   C. Securities held for particular customers or option customers in lieu of cash (at market) 274,830,280 [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets 23,917,013 [7130]

10. Exchange traded options
    A. Value of open long option contracts 832,815,479 [7132]
    B. Value of open short option contracts -792,704,920 [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 1,977,433 [7150]

13. Total amount in segregation (add lines 7 through 12) 1,217,496,241 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 21,856,160 [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 8,856,160 [7198]
## 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 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 option contracts 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**
   - Less: amount offset by customer owned securities 0 [8560]
   - 0 [8570] 0 [8580]
6. **Amount required to be segregated for cleared swaps customers (add lines 4 and 5)** 0 [8590]
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**
    - A. Cash 0
    - B. Securities representing investments of cleared swaps customers' funds (at market) 0
    - C. Securities held for particular cleared swaps customers in lieu of cash (at market) 0 [8715]
13. **Total amount in cleared swaps customer segregation (add lines 7 through 12)** 0 [8720]
14. **Excess (deficiency) funds in cleared swaps customer 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 segregated accounts over (under) Management** 0 [8770]