WEDBUSH SECURITIES INC

End Date: 10/4/2018
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 10/5/2018

Daily Segregation - Cover Page

Name of Company
WEDBUSH SECURITIES INC

Contact Name
Kevin Wirth

Contact Phone Number
312-784-0475

Contact Email Address
kevin.wirth@wedbush.com

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
End Date: 10/4/2018
Firm Name: WEDEBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 10/5/2018

**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

1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers
   - **A. Cash:** 6,759,509
   - **B. Securities (at market):** 0

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 2,936,914

3. Exchange traded options
   - a. Market value of open option contracts purchased on a foreign board of trade: 0
   - b. Market value of open contracts granted (sold) on a foreign board of trade: 0

4. Net equity (deficit) (add lines 1. 2. and 3.): 9,696,423

5. Account liquidating to a deficit and account with a debit balances - gross amount: 93,895
   - Less: amount offset by customer owned securities: 0
   - **Total: 93,895**

6. Amount required to be set aside as the secured amount - Net Liquidating Equity
   - Method (add lines 4 and 5): 9,790,318

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 9,790,318

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks
   - A. Banks located in the United States: 844,278
   - B. Other banks qualified under Regulation 30.7: 2,411,291

2. Securities
   - A. In safekeeping with banks located in the United States: 0
   - B. In safekeeping with other banks qualified under Regulation 30.7: 0

3. Equities with registered futures commission merchants
   - A. Cash: 3,238,854
   - B. Securities: 0
   - C. Unrealized gain (loss) on open futures contracts: 0
   - D. Value of long option contracts: 0
   - E. Value of short option contracts: 3,238,854

4. Amounts held by clearing organizations of foreign boards of trade
   - A. Cash: 5,739,347
   - B. Securities: 0
   - C. Amount due to (from) clearing organization - daily variation: 0
   - D. Value of long option contracts: 0
   - E. Value of short option contracts: 5,739,347

5. Amounts held by members of foreign boards of trade
   - A. Cash: 532,724
   - B. Securities: 0
   - C. Unrealized gain (loss) on open futures contracts: 0
   - D. Value of long option contracts: 0
   - E. Value of short option contracts: 532,724

6. Amounts with other depositories designated by a foreign board of trade: 0

7. Segregated funds on hand: 0

8. Total funds in separate section 30.7 accounts: 12,766,494


10. Management Target Amount for Excess funds in separate section 30.7 accounts: 1,000,000

11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target: 1,976,176
SEGREGATION REQUIREMENTS (Section 4d(2) of the CEA) 

1. Net ledger balance
   A. Cash 711,024,840 [7010] 
   B. Securities (at market) 272,701,780 [7020] 

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 86,923,701 [7030] 

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 1,370,511,273 [7032] 
   B. Deduct market value of open option contracts granted (sold) on a contract market -1,313,030,302 [7033] 

4. Net equity (deficit) (add lines 1, 2 and 3) 1,128,131,292 [7040] 

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 1,192,576 [7045]
   Less: amount offset by customer securities -90,887 [7047] 1,101,689 [7050] 

6. Amount required to be segregated (add lines 4 and 5) 1,129,232,981 [7060] 

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   A. Cash 429,400,561 [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) 2,280,851 [7090] 

8. Margins on deposit with derivatives clearing organizations of contract markets
   A. Cash 272,398,347 [7100] 
   B. Securities representing investments of customers’ funds (at market) 89,623,088 [7110] 
   C. Securities held for particular customers or option customers in lieu of cash (at market) 268,414,859 [7120] 

9. Net settlement from (to) derivatives clearing organizations of contract markets 218,975 [7130] 

10. Exchange traded options
    A. Value of open long option contracts 1,370,511,273 [7132] 
    B. Value of open short option contracts -1,313,030,302 [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 2,006,070 [7150] 

13. Total amount in segregation (add lines 7 through 12) 1,151,823,722 [7180] 

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 22,590,741 [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 9,590,741 [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: \[8500\]
   - B. Securities (at market): \[8510\]

2. **Net unrealized profit (loss) in open cleared swaps**: \[8520\]

3. **Cleared swaps options**
   - A. Market value of open cleared swaps option contracts purchased: \[8530\]
   - B. Market value of open cleared swaps option contracts granted (sold): \[8540\]

4. **Net Equity (deficit) (add lines 1, 2, and 3)**: \[8550\]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Less: amount offset by customer owned securities: \[8560\], \[8580\]

6. **Amount required to be segregated for cleared swaps customers (add lines 4 and 5)**: \[8590\]

Funds in Cleared Swaps Customer Segregated Accounts

7. **Deposited in cleared swaps customer segregated accounts at banks**
   - A. Cash: \[8600\]
   - B. Securities representing investments of cleared swaps customers' funds (at market): \[8610\]
   - C. Securities held for particular cleared swaps customers in lieu of cash (at market): \[8620\]

8. **Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts**
   - A. Cash: \[8630\]
   - B. Securities representing investments of cleared swaps customers' funds (at market): \[8640\]
   - C. Securities held for particular cleared swaps customers in lieu of cash (at market): \[8650\]

9. **Net settlement from (to) derivatives clearing organizations**: \[8660\]

10. **Cleared swaps options**
    - A. Value of open cleared swaps long option contracts: \[8670\]
    - B. Value of open cleared swaps short option contracts: \[8680\]

11. **Net equities with other FCMs**
    - A. Net liquidating equity: \[8690\]
    - B. Securities representing investments of cleared swaps customers' funds (at market): \[8700\]
    - C. Securities held for particular cleared swaps customers in lieu of cash (at market): \[8710\]

12. **Cleared swaps customer funds on hand**
    - A. Cash: \[8715\]
    - B. Securities representing investments of cleared swaps customers' funds (at market): \[8715\]
    - C. Securities held for particular cleared swaps customers in lieu of cash (at market): \[8715\]

13. **Total amount in cleared swaps customer segregation (add lines 7 through 12)**: \[8720\]

14. **Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)**: \[8730\]

15. **Management Target Amount for Excess funds in cleared swaps segregated accounts**: \[8760\]

16. **Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management**: \[8770\]