INITIAL
End Date: 2/11/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 2/12/2019
**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):
- Minimum dollar amount: $19,000,000
- Minimum percentage of customer segregated funds required: 0%
- Dollar amount range between: $0 and $0
- Percentage range of customer segregated funds required between: 0% and 0%

FCM's Customer Secured Amount Funds Residual Interest Target (choose one):
- Minimum dollar amount: $1,000,000
- Minimum percentage of customer secured funds required: 0%
- Dollar amount range between: $0 and $0
- Percentage range of customer secured funds required between: 0% and 0%

FCM's Cleared Swaps Customer Collateral Residual Interest Target (choose one):
- Minimum dollar amount: $0
- Minimum percentage of cleared swaps customer collateral required: 0%
- Dollar amount range between: $0 and $0
- Percentage range of cleared swaps customer collateral required between: 0% and 0%

Attach supporting documents
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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 10,784,871 [7315]
   B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 1,341,883 [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.) 12,126,754 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount 3,861 [7351]
   Less: amount offset by customer owned securities 0 [7352] 3,861 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) 12,130,615 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 12,130,615 [7360]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   A. Banks located in the United States 3,121,983 [7500]
   B. Other banks qualified under Regulation 30.7 2,356,232 [7520] 5,478,215 [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 5,557,903 [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] 5,557,903 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   A. Cash 4,116,275 [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] 4,116,275 [7680]

5. Amounts held by members of foreign boards of trade
   A. Cash 201,591 [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] 201,591 [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 15,353,984 [7770]


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 2,223,369 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - B. Securities (at market): 122,294,108

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - 109,094,309

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 1,809,265,875
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -1,736,834,335

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - 931,928,600

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - 1,527,388
   - Less: amount offset by customer securities: -443,086
   - 1,084,302

6. **Amount required to be segregated (add lines 4 and 5)**
   - 933,012,902

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - A. Cash: 191,050,050
   - B. Securities representing investments of customers’ funds (at market): 15,000,000
   - C. Securities held for particular customers or option customers in lieu of cash (at market): 1,026,983

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - A. Cash: 357,167,971
   - B. Securities representing investments of customers’ funds (at market): 204,540,660
   - C. Securities held for particular customers or option customers in lieu of cash (at market): 118,129,516

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
   - -2,820,883

10. **Exchange traded options**
    - A. Value of open long option contracts: 1,809,265,875
    - B. Value of open short option contracts: -1,736,834,335

11. **Net equities with other FCMs**
    - A. Net liquidating equity: 0
    - B. Securities representing investments of customers’ funds (at market): 0
    - C. Securities held for particular customers or option customers in lieu of cash (at market): 0

12. **Segregated funds on hand**
    - 3,137,609

13. **Total amount in segregation (add lines 7 through 12)**
    - 959,663,446

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - 26,650,544

15. **Management Target Amount for Excess funds in segregation**
    - 19,000,000

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - Excess: 7,650,544
## 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
   - B. Securities (at market)

2. Net unrealized profit (loss) in open cleared swaps

3. Cleared swaps options
   - A. Market value of open cleared swaps option contracts purchased
   - B. Market value of open cleared swaps option contracts granted (sold)

4. Net Equity (deficit) (add lines 1, 2, and 3)

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount
   - Less: amount offset by customer owned securities

6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)

7. Deposited in cleared swaps customer segregated accounts at banks
   - A. Cash
   - B. Securities representing investments of cleared swaps customers' funds (at market)
   - C. Securities held for particular cleared swaps customers in lieu of cash (at market)

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

9. Net settlement from (to) derivatives clearing organizations

10. Cleared swaps options
    - A. Value of open cleared swaps long option contracts
    - B. Value of open cleared swaps short option contracts

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

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

13. Total amount in cleared swaps customer segregation (add lines 7 through 12)

14. Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)

15. Management Target Amount for Excess funds in cleared swaps segregated accounts

16. Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management

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