INITIAL
End Date: 6/6/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 6/7/2019
Initial
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Daily Segregation - Cover Page

Name of Company: WEDBUSH SECURITIES INC
Contact Name: Kevin Wirth
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FCM's Customer Segregated Funds Residual Interest Target (choose one):
   a. Minimum dollar amount: \( \text{or } \$19,000,000 \)
   b. Minimum percentage of customer segregated funds required: \( \text{or } 0 \%
   c. Dollar amount range between: \( \text{and } 0 \)
   d. Percentage range of customer segregated funds required between: \( \text{and } 0\%

FCM's Customer Secured Amount Funds Residual Interest Target (choose one):
   a. Minimum dollar amount: \( \text{or } \$1,000,000 \)
   b. Minimum percentage of customer secured funds required: \( \text{or } 0 \%
   c. Dollar amount range between: \( \text{and } 0 \)
   d. Percentage range of customer secured funds required between: \( \text{and } 0\%

FCM's Cleared Swaps Customer Collateral Residual Interest Target (choose one):
   a. Minimum dollar amount: \( \text{or } 0 \)
   b. Minimum percentage of cleared swaps customer collateral required: \( \text{or } 0 \%
   c. Dollar amount range between: \( \text{and } 0 \)
   d. Percentage range of cleared swaps customer collateral required between: \( \text{and } 0\%

Attach supporting documents
### 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**
  - **11,453,134 [7315]**

- **B. Securities (at market)**
  - **0 [7317]**

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

- **-850,869 [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.)

- **10,602,265 [7345]**

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

- **10,970 [7351]**

- **Less: amount offset by customer owned securities**
  - **0 [7352]**

- **10,970 [7354]**

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

- **10,613,235 [7355]**

#### 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.

- **10,613,235 [7360]**

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

#### 1. Cash in banks

- **A. Banks located in the United States**
  - **1,466,707 [7500]**

- **B. Other banks qualified under Regulation 30.7**
  - **2,602,621 [7520]**

#### 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]**

#### 3. Equities with registered futures commission merchants

- **A. Cash**
  - **5,841,018 [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

- **A. Cash**
  - **4,592,279 [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]**

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

- **A. Cash**
  - **158,357 [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]**

#### 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

- **14,660,982 [7770]**

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

- **4,047,747 [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

- **3,047,747 [7785]**
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: 944,502,560
   - B. Securities (at market): 202,997,686

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: 18,779,074

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 1,985,539,277
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -2,115,224,452

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 1,036,594,145

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 1,610,762
   - Less: amount offset by customer securities: -580,569
   - 1,030,193

6. **Amount required to be segregated (add lines 4 and 5)**: 1,037,624,338

7. **FUNDS IN SEGREGATED ACCOUNTS**
   - Deposited in segregated funds bank accounts
     - A. Cash: 265,900,582
     - 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): 976,336

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - A. Cash: 400,283,048
   - B. Securities representing investments of customers' funds (at market): 309,227,358
   - C. Securities held for particular customers or option customers in lieu of cash (at market): 199,963,894

9. **Net settlement from (to) derivatives clearing organizations of contract markets**: 2,340,310

10. **Exchange traded options**
   - A. Value of open long option contracts: 1,985,539,277
   - B. Value of open short option contracts: -2,115,224,452

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**: 2,057,456

13. **Total amount in segregation (add lines 7 through 12)**: 1,066,063,809

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 28,439,471

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

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - Excess: 9,439,471
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 0 [8560]
   Less: amount offset by customer owned securities 0 [8570] 0 [8580]

6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5) 0 [8590]

Funds in Cleared Swaps Customer Segregated Accounts

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]