INITIAL
End Date: 8/12/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 8/13/2019
Name of Company

Contact Name

Contact Phone Number

Contact Email Address

FCM’s Customer Segregated Funds Residual Interest Target (choose one):
a. Minimum dollar amount: ; or
b. Minimum percentage of customer segregated funds required: % ; or
c. Dollar amount range between: and; or
d. Percentage range of customer segregated funds required between: % and %.

FCM’s Customer Secured Amount Funds Residual Interest Target (choose one):
a. Minimum dollar amount: ; or
b. Minimum percentage of customer secured funds required: % ; or
c. Dollar amount range between: and; or
d. Percentage range of customer secured funds required between: % and %.

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

Attach supporting documents
**INITIAL**  
*End Date: 8/12/2019*  
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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  
   8,113,501 [7315]  
   B. Securities (at market)  
   0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:  
   2,156,852 [7325]

3. Exchange traded options  
   a. Market value of open option contracts purchased on a foreign board of trade:  
   27,873 [7335]  
   b. Market value of open contracts granted (sold) on a foreign board of trade:  
   4,115 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.):  
   10,294,111 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount:  
   1,842 [7351]  
   Less: amount offset by customer owned securities:  
   0 [7352] 1,842 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5):  
   10,295,953 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6:  
   10,295,953 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks  
   A. Banks located in the United States  
   2,191,023 [7500]  
   B. Other banks qualified under Regulation 30.7  
   2,717,042 [7520] 4,908,065 [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  
   5,995,446 [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] 5,995,446 [7620]

4. Amounts held by clearing organizations of foreign boards of trade  
   A. Cash  
   2,925,886 [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] 2,925,886 [7680]

5. Amounts held by members of foreign boards of trade  
   A. Cash  
   126,781 [7700]  
   B. Securities  
   0 [7710]  
   C. Unrealized gain (loss) on open futures contracts  
   0 [7720]  
   D. Value of long option contracts  
   27,873 [7730]  
   E. Value of short option contracts  
   4,115 [7735] 150,539 [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  
   13,979,936 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)  
   3,683,983 [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  
    2,683,983 [7785]
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Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash 1,070,746,539 [7010]
   B. Securities (at market) 221,416,793 [7020]
2. Net unrealized profit (loss) in open futures contracts traded on a contract market -64,521,203 [7030]
3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 2,538,330,782 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -2,752,004,568 [7033]
4. Net equity (deficit) (add lines 1, 2 and 3) 1,013,966,343 [7040]
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 1,125,337 [7045]
   Less: amount offset by customer securities -123,254 [7047] 1,002,083 [7050]
6. Amount required to be segregated (add lines 4 and 5) 1,014,970,426 [7060]

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   A. Cash 298,581,662 [7070]
   B. Securities representing investments of customers’ funds (at market) 15,000,000 [7080]
   C. Securities held for particular customers or option customers in lieu of cash (at market) 1,070,011 [7090]
8. Margins on deposit with derivatives clearing organizations of contract markets
   A. Cash 346,242,293 [7100]
   B. Securities representing investments of customers’ funds (at market) 379,162,595 [7110]
   C. Securities held for particular customers or option customers in lieu of cash (at market) 218,091,879 [7120]
9. Net settlement from (to) derivatives clearing organizations of contract markets -3,767,460 [7130]
10. Exchange traded options
    A. Value of open long option contracts 2,538,330,782 [7132]
    B. Value of open short option contracts -2,752,004,568 [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 2,254,903 [7150]
13. Total amount in segregation (add lines 7 through 12) 1,042,962,097 [7180]
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 27,991,671 [7190]
15. Management Target Amount for Excess funds in segregation 19,000,000 [7194]
16. Excess (deficiency) funds in segregation over (under) Management Target Amount 8,991,671 [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** 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 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]