INITIAL
End Date: 9/17/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 9/18/2019
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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: kevin.wirth@wedbush.com

FCM's Customer Segregated Funds Residual Interest Target (choose one):
  a. Minimum dollar amount: $0; or
     19,000,000
  b. Minimum percentage of customer segregated funds required: 0%; or
  c. Dollar amount range between: $0 and $0;
  d. Percentage range of customer segregated funds required between: 0% and 0%.

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

FCM's Cleared Swaps Customer Collateral Residual Interest Target (choose one):
  a. Minimum dollar amount: $0; or
  b. Minimum percentage of cleared swaps customer collateral required: 0%; or
  c. Dollar amount range between: $0 and $0;
  d. Percentage range of cleared swaps customer collateral required between: 0% and 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 10,661,536 [7315]
   B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 1,507,139 [7325]

3. Exchange traded options
   a. Market value of open option contracts purchased on a foreign board of trade 33,772 [7335]
   b. Market value of open contracts granted (sold) on a foreign board of trade -30,898 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.) 12,171,549 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount 1,982 [7351]
   Less: amount offset by customer owned securities 0 [7352] 1,982 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) 12,173,531 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 12,173,531 [7360]

Funds Deposited in Separate Regulation 30.7 Accounts

1. Cash in banks
   A. Banks located in the United States 5,111,954 [7500]
   B. Other banks qualified under Regulation 30.7 2,656,183 [7520] 7,768,137 [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 6,144,855 [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] 6,144,855 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   A. Cash 2,261,817 [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] 2,261,817 [7680]

5. Amounts held by members of foreign boards of trade
   A. Cash 364,578 [7700]
   B. Securities 0 [7710]
   C. Unrealized gain (loss) on open futures contracts 0 [7720]
   D. Value of long option contracts 33,772 [7730]

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 16,542,261 [7770]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 4,368,730 [7830]

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 3,368,730 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**
     - Net ledger balance: **759,310,613** [7010]
   - **B. Securities (at market)**
     - Net ledger balance: **183,686,127** [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - Net unrealized profit (loss): **-58,652,085** [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**
     - Market value: **1,963,996,446** [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**
     - Market value: **1,858,161,428** [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - Net equity (deficit): **990,179,673** [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Accounts with debit balances: **1,189,667** [7045]
   - Less: amount offset by customer securities
     - Offset by customer securities: **251,713** [7047]
     - Net offset: **937,954** [7050]

6. **Amount required to be segregated (add lines 4 and 5)**
   - Amount required to be segregated: **991,117,627** [7060]

7. **FUNDS IN SEGREGATED ACCOUNTS**
   - **A. Cash**
     - Deposited in segregated funds bank accounts: **120,022,596** [7070]
   - **B. Securities representing investments of customers’ funds (at market)**
     - Secured investments: **15,000,000** [7080]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**
     - Held for particular customers or option customers: **891,479** [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**
     - Margins: **336,178,215** [7100]
   - **B. Securities representing investments of customers’ funds (at market)**
     - Securities: **284,370,097** [7110]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**
     - Held for particular customers or option customers: **180,445,056** [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
   - Net settlement: **-27,368,641** [7130]

10. **Exchange traded options**
    - **A. Value of open long option contracts**
      - Value: **1,963,996,446** [7132]
    - **B. Value of open short option contracts**
      - Value: **-1,858,161,428** [7133]

11. **Net equities with other FCMs**
    - **A. Net liquidating equity**
      - Equity: **0** [7140]
    - **B. Securities representing investments of customers’ funds (at market)**
      - Securities: **0** [7160]
    - **C. Securities held for particular customers or option customers in lieu of cash (at market)**
      - Securities: **0** [7170]

12. **Segregated funds on hand**
    - Segregated funds on hand: **2,349,592** [7150]

13. **Total amount in segregation (add lines 7 through 12)**
    - Total amount: **1,017,723,412** [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - Excess (deficiency): **26,605,785** [7190]

15. **Management Target Amount for Excess funds in segregation**
    - Management Target Amount: **19,000,000** [7194]

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - Excess: **7,605,785** [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 
   - 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**