INITIAL
End Date: 9/25/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 9/26/2019
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 |  
|---|---|
| a. Minimum dollar amount: | 19,000,000 |
| b. Minimum percentage of customer segregated funds required: | 0 |
| c. Dollar amount range between: | 0 0 |
| d. Percentage range of customer segregated funds required between: | 0 0 |

| FCM's Customer Secured Amount Funds Residual Interest Target |  
|---|---|
| a. Minimum dollar amount: | 1,000,000 |
| b. Minimum percentage of customer secured funds required: | 0 |
| c. Dollar amount range between: | 0 0 |
| d. Percentage range of customer secured funds required between: | 0 0 |

| FCM's Cleared Swaps Customer Collateral Residual Interest Target |  
|---|---|
| a. Minimum dollar amount: | 0 |
| b. Minimum percentage of cleared swaps customer collateral required: | 0 |
| c. Dollar amount range between: | 0 0 |
| d. Percentage range of cleared swaps customer collateral required between: | 0 0 |

Attach supporting documents
## 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**: $11,543,549 [7315]
   - **B. Securities (at market)**: $0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: $1,216,179 [7325]

3. **Exchange traded options**
   - **a. Market value of open option contracts purchased on a foreign board of trade**: $26,985 [7335]
   - **b. Market value of open contracts granted (sold) on a foreign board of trade**: $-29,417 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)**: $12,757,296 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**: $8,110 [7351]
   - Less: amount offset by customer owned securities: $0 [7352] $8,110 [7354]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**: $12,765,406 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: $12,765,406 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **A. Banks located in the United States**: $4,875,643 [7500]
   - **B. Other banks qualified under Regulation 30.7**: $2,633,136 [7520] $7,508,779 [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**: $6,192,150 [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] $6,192,150 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A. Cash**: $2,607,356 [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] $2,607,356 [7680]

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash**: $235,992 [7700]
   - **B. Securities**: $0 [7710]
   - **C. Unrealized gain (loss) on open futures contracts**: $0 [7720]
   - **D. Value of long option contracts**: $26,985 [7730]
   - **E. Value of short option contracts**: $-29,417 [7735] $233,560 [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**: $16,541,845 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: $3,776,439 [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**: $2,776,439 [7785]
**Daily Segregation - Segregation Statement**

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

1. Net ledger balance
   
   A. Cash 962,747,713 [7010]
   B. Securities (at market) 182,823,956 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market -67,198,806 [7030]

3. Exchange traded options
   
   A. Add market value of open option contracts purchased on a contract market 1,624,153,918 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -1,659,779,919 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 1,042,746,862 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 1,091,954 [7045]

6. Amount required to be segregated (add lines 4 and 5) 1,043,670,150 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts
   
   A. Cash 238,261,025 [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) 908,099 [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   
   A. Cash 394,175,729 [7100]
   B. Securities representing investments of customers' funds (at market) 274,466,093 [7110]
   C. Securities held for particular customers or option customers in lieu of cash (at market) 179,571,703 [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets 1,420,828 [7130]

10. Exchange traded options
    
    A. Value of open long option contracts 1,624,153,918 [7132]
    B. Value of open short option contracts -1,659,779,919 [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 2,344,154 [7150]

13. Total amount in segregation (add lines 7 through 12) 1,070,521,630 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 26,851,480 [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 Excess 7,851,480 [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]

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]