INITIAL
End Date: 10/3/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 10/4/2019
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):
  a. Minimum dollar amount: ; or 19,000,000
  b. Minimum percentage of customer segregated funds required: % ; or 0
  c. Dollar amount range between: and; or 0 0
  d. Percentage range of customer segregated funds required between: % and%. 0 0

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

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

Attach supporting documents
INITIAL
End Date: 10/3/2019
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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**: **12,641,978 [7315]**
   - **B. Securities (at market)**: **0 [7317]**

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: **489,879 [7325]**

3. **Exchange traded options**
   - **a. Market value of open option contracts purchased on a foreign board of trade**: **20,704 [7335]**
   - **b. Market value of open contracts granted (sold) on a foreign board of trade**: **-28,010 [7337]**

4. **Net equity (deficit) (add lines 1. 2. and 3.)**: **13,124,551 [7345]**

5. **Account liquidating to a deficit and account with a debit balances - gross amount**
   - **Less: amount offset by customer owned securities**
   - **3,594 [7351]**

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**
   - **13,128,145 [7355]**

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**
   - **13,128,145 [7360]**

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **A. Banks located in the United States**: **5,516,482 [7500]**
   - **B. Other banks qualified under Regulation 30.7**: **2,635,653 [7520], 8,152,135 [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**: **5,391,858 [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], 5,391,858 [7620]**

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A. Cash**: **3,081,811 [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], 3,081,811 [7680]**

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash**: **276,030 [7700]**
   - **B. Securities**: **0 [7710]**
   - **C. Unrealized gain (loss) on open futures contracts**: **0 [7720]**
   - **D. Value of long option contracts**: **20,704 [7730]**
   - **E. Value of short option contracts**: **-28,010 [7735], 268,724 [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**: **16,894,528 [7770]**

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
    - **3,766,383 [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**: **2,766,383 [7785]**
SEGREGATION REQUIREMENTS (Section 4d(2) of the CEA)  

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Amount</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Net ledger balance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>842,049,797</td>
<td>[7010]</td>
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<tr>
<td>B. Securities (at market)</td>
<td>158,448,062</td>
<td>[7020]</td>
</tr>
<tr>
<td>2. Net unrealized profit (loss) in open futures contracts traded on a contract market</td>
<td>57,801,764</td>
<td>[7030]</td>
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<tr>
<td>3. Exchange traded options</td>
<td></td>
<td></td>
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<tr>
<td>A. Add market value of open option contracts purchased on a contract market</td>
<td>2,449,388,127</td>
<td>[7032]</td>
</tr>
<tr>
<td>B. Deduct market value of open option contracts granted (sold) on a contract market</td>
<td>-2,566,286,371</td>
<td>[7033]</td>
</tr>
<tr>
<td>4. Net equity (deficit) (add lines 1, 2 and 3)</td>
<td>941,401,379</td>
<td>[7040]</td>
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<tr>
<td>5. Accounts liquidating to a deficit and accounts with</td>
<td></td>
<td></td>
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<tr>
<td>debit balances - gross amount</td>
<td>1,636,005</td>
<td>[7045]</td>
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<tr>
<td>Less: amount offset by customer securities</td>
<td>-398,762</td>
<td>[7047]</td>
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<tr>
<td>6. Amount required to be segregated (add lines 4 and 5)</td>
<td>942,638,622</td>
<td>[7060]</td>
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<tr>
<td>FUNDS IN SEGREGATED ACCOUNTS</td>
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<td></td>
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<tr>
<td>7. Deposited in segregated funds bank accounts</td>
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<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>208,826,111</td>
<td>[7070]</td>
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<tr>
<td>B. Securities representing investments of customers' funds (at market)</td>
<td>15,000,000</td>
<td>[7080]</td>
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<tr>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>883,194</td>
<td>[7090]</td>
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<td>8. Margins on deposit with derivatives clearing organizations of contract markets</td>
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<td></td>
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<tr>
<td>A. Cash</td>
<td>440,707,550</td>
<td>[7100]</td>
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<tr>
<td>B. Securities representing investments of customers' funds (at market)</td>
<td>264,464,196</td>
<td>[7110]</td>
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<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>155,256,283</td>
<td>[7120]</td>
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<td>9. Net settlement from (to) derivatives clearing organizations of contract markets</td>
<td>-1,199,199</td>
<td>[7130]</td>
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<tr>
<td>10. Exchange traded options</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Value of open long option contracts</td>
<td>2,449,388,127</td>
<td>[7132]</td>
</tr>
<tr>
<td>B. Value of open short option contracts</td>
<td>-2,566,286,371</td>
<td>[7133]</td>
</tr>
<tr>
<td>11. Net equities with other FCMs</td>
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<td></td>
</tr>
<tr>
<td>A. Net liquidating equity</td>
<td>0</td>
<td>[7140]</td>
</tr>
<tr>
<td>B. Securities representing investments of customers' funds (at market)</td>
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<td>[7160]</td>
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<tr>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>0</td>
<td>[7170]</td>
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<tr>
<td>12. Segregated funds on hand</td>
<td>2,308,585</td>
<td>[7150]</td>
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<tr>
<td>13. Total amount in segregation (add lines 7 through 12)</td>
<td>969,348,476</td>
<td>[7180]</td>
</tr>
<tr>
<td>14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)</td>
<td>26,709,854</td>
<td>[7190]</td>
</tr>
<tr>
<td>15. Management Target Amount for Excess funds in segregation</td>
<td>19,000,000</td>
<td>[7194]</td>
</tr>
<tr>
<td>16. Excess (deficiency) funds in segregation over (under) Management Target Amount</td>
<td>7,709,854</td>
<td>[7198]</td>
</tr>
</tbody>
</table>
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
   Less: amount offset by customer owned securities 0 [8560] 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 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]