WEDBUSH SECURITIES INC

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 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: 10/15/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 10/16/2019

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 11,702,446 [7315]
   B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 579,020 [7325]

3. Exchange traded options
   a. Market value of open option contracts purchased on a foreign board of trade 24,683 [7335]
   b. Market value of open contracts granted (sold) on a foreign board of trade -17,662 [7337]

4. Net equity (deficit) (add lines 1, 2, and 3.) 12,288,487 [7345]

5. Account liquidating to a deficit and account with a debit balance - gross amount 2,265 [7351]
Less: amount offset by customer owned securities 0 [7352] 2,265 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) 12,290,752 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 12,290,752 [7360]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   A. Banks located in the United States 3,641,658 [7500]
   B. Other banks qualified under Regulation 30.7 2,539,877 [7520] 6,181,535 [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 6,007,675 [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] 6,007,675 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   A. Cash 2,483,679 [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] 2,483,679 [7680]

5. Amounts held by members of foreign boards of trade
   A. Cash 882,326 [7700]
   B. Securities 0 [7710]
   C. Unrealized gain (loss) on open futures contracts 0 [7720]
   D. Value of long option contracts 24,683 [7730]
   E. Value of short option contracts -17,662 [7735] 889,347 [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 15,562,236 [7770]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 3,271,484 [7380]
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 2,271,484 [7785]
### Daily Segregation - Segregation Statement

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

1. Net ledger balance
   - A. Cash: \(821,215,710\) [7010]
   - B. Securities (at market): \(169,430,850\) [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market: \(45,050,539\) [7030]

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market: \(1,923,506,892\) [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: \(-1,931,145,516\) [7033]

4. Net equity (deficit) (add lines 1, 2 and 3): \(1,028,058,475\) [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount: \(1,160,791\) [7045]

   Less: amount offset by customer securities: \(-221,223\) [7047] \(939,568\) [7050]

6. Amount required to be segregated (add lines 4 and 5): \(1,028,998,043\) [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts
   - A. Cash: \(234,995,096\) [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): \(918,081\) [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   - A. Cash: \(354,333,762\) [7100]
   - B. Securities representing investments of customers’ funds (at market): \(294,443,122\) [7110]
   - C. Securities held for particular customers or option customers in lieu of cash (at market): \(166,242,853\) [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets: \(-5,774,077\) [7130]

10. Exchange traded options
    - A. Value of open long option contracts: \(1,923,506,892\) [7132]
    - B. Value of open short option contracts: \(-1,931,145,516\) [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: \(2,269,916\) [7150]

13. Total amount in segregation (add lines 7 through 12): \(1,054,790,129\) [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13): \(25,792,086\) [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: \(6,792,086\) [7198]
**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]