INITIAL
End Date: 10/21/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
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Daily Segregation - Cover Page

Name of Company
WEDBUSH SECURITIES INC

Contact Name
Kevin Wirth

Contact Phone Number
312-784-0475

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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
### 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 13,684,306 [7315]
   
   B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 149,032 [7325]

3. Exchange traded options
   
   a. Market value of open option contracts purchased on a foreign board of trade 41,223 [7335]
   
   b. Market value of open contracts granted (sold) on a foreign board of trade -17,150 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.) 13,857,411 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount 2,394 [7351]

   Less: amount offset by customer owned securities 0 [7352] 2,394 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) 13,859,805 [7355]

   Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 13,859,805 [7360]

Funds Deposited in Separate Regulation 30.7 Accounts

1. Cash in banks
   
   A. Banks located in the United States 4,906,681 [7500]
   
   B. Other banks qualified under Regulation 30.7 2,561,945 [7520] 7,468,626 [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 6,063,185 [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] 6,063,185 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   
   A. Cash 2,480,802 [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] 2,480,802 [7680]

5. Amounts held by members of foreign boards of trade
   
   A. Cash 1,173,819 [7700]
   
   B. Securities 0 [7710]
   
   C. Unrealized gain (loss) on open futures contracts 0 [7720]
   
   D. Value of long option contracts 41,223 [7730]
   
   E. Value of short option contracts -17,150 [7735] 1,197,892 [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 17,210,505 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 3,350,700 [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 2,350,700 [7785]
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### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   A. Cash 874,042,909 [7010]  
   B. Securities (at market) 168,961,639 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   119,283,595 [7030]

3. **Exchange traded options**
   A. Add market value of open option contracts purchased on a contract market 1,689,100,514 [7032]  
   B. Deduct market value of open option contracts granted (sold) on a contract market -1,816,675,719 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   1,034,712,938 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   1,366,881 [7045]  
   Less: amount offset by customer securities -231,702 [7047]  
   1,135,179 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**
   1,035,848,117 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   A. Cash 249,598,188 [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) 920,026 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   A. Cash 448,257,134 [7100]  
   B. Securities representing investments of customers’ funds (at market) 304,362,240 [7110]  
   C. Securities held for particular customers or option customers in lieu of cash (at market) 165,748,631 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
   3,665,191 [7130]

10. **Exchange traded options**
    A. Value of open long option contracts 1,689,100,514 [7132]  
    B. Value of open short option contracts -1,816,675,719 [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**
    2,292,982 [7150]

13. **Total amount in segregation (add lines 7 through 12)**
    1,062,269,187 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    26,421,070 [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
    7,421,070 [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
   - 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)**

**Funds in Cleared Swaps Customer Segregated Accounts**

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**

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