INITIAL
End Date: 11/4/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/5/2019
**Daily Segregation - Cover Page**

Name of Company: **WEDBUSH SECURITIES INC**

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**FCM's Customer Segregated Funds Residual Interest Target (choose one):**

a. Minimum dollar amount: \( 19,000,000 \) or 

b. Minimum percentage of customer segregated funds required: \( 0 \) or 

c. Dollar amount range between: \( 0 \) and \( 0 \) or 

d. Percentage range of customer segregated funds required between: \( 0 \) and \( 0 \).

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**FCM's Customer Secured Amount Funds Residual Interest Target (choose one):**

a. Minimum dollar amount: \( 1,000,000 \) or 

b. Minimum percentage of customer secured funds required: \( 0 \) or 

c. Dollar amount range between: \( 0 \) and \( 0 \) or 

d. Percentage range of customer secured funds required between: \( 0 \) and \( 0 \).

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**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 \( 0 \) or 

d. Percentage range of cleared swaps customer collateral required between: \( 0 \) and \( 0 \).

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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 11,107,021 [7315]
   - B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 380,138 [7325]

3. Exchange traded options
   - a. Market value of open option contracts purchased on a foreign board of trade: 28,833 [7335]
   - b. Market value of open contracts granted (sold) on a foreign board of trade: -9,405 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.): 11,506,587 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount: 9,261 [7351]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity
   - Method (add lines 4 and 5): 11,515,848 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 11,515,848 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   - A. Banks located in the United States 3,522,760 [7500]
   - B. Other banks qualified under Regulation 30.7 2,558,067 [7520] 6,080,827 [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 6,071,631 [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] 6,071,631 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   - A. Cash 2,177,108 [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] 2,177,108 [7680]

5. Amounts held by members of foreign boards of trade
   - A. Cash 429,331 [7700]
   - B. Securities 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts 0 [7720]
   - D. Value of long option contracts 0 [7735] 2,448,759 [7740]
   - E. Value of short option contracts 28,833 [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 14,778,325 [7770]


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: 2,262,477 [7785]
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**Daily Segregation - Segregation Statement**

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

1. Net ledger balance
   - A. Cash: 797,912,474 [7010]
   - B. Securities (at market): 168,723,272 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market
   - 208,251,335 [7030]

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market: 1,682,426,170 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -1,869,715,706 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3)
   - 987,597,545 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount
   - 1,229,030 [7045]
   - Less: amount offset by customer securities: -285,057
   - 943,973 [7050]

6. Amount required to be segregated (add lines 4 and 5)
   - 988,541,518 [7060]

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   - A. Cash: 228,977,534 [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): 897,127 [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   - A. Cash: 425,476,953 [7100]
   - B. Securities representing investments of customers' funds (at market): 369,305,348 [7110]
   - C. Securities held for particular customers or option customers in lieu of cash (at market): 165,339,758 [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets
   - -3,304,451 [7130]

10. Exchange traded options
    - A. Value of open long option contracts: 1,682,426,170 [7132]
    - B. Value of open short option contracts: -1,869,715,706 [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
    - 2,486,387 [7150]

13. Total amount in segregation (add lines 7 through 12)
    - 1,016,889,120 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)
    - 28,347,602 [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 9,347,602 [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
   - 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]

### Funds in Cleared Swaps Customer Segregated Accounts at banks

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 (subtact 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]