INITIAL
End Date: 11/14/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/15/2019
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:** 11/14/2019  
**Firm Name:** WEDBUSH SECURITIES INC  
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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]**

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers</td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td><strong>11,699,524</strong> [7315]</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td><strong>0</strong> [7317]</td>
</tr>
<tr>
<td>2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade</td>
<td><strong>-690,749</strong> [7325]</td>
</tr>
<tr>
<td>3. Exchange traded options</td>
<td></td>
</tr>
<tr>
<td>a. Market value of open option contracts purchased on a foreign board of trade</td>
<td><strong>60,511</strong> [7335]</td>
</tr>
<tr>
<td>b. Market value of open contracts granted (sold) on a foreign board of trade</td>
<td><strong>-16,492</strong> [7337]</td>
</tr>
<tr>
<td>4. Net equity (deficit) (add lines 1. 2. and 3.)</td>
<td><strong>11,052,794</strong> [7345]</td>
</tr>
<tr>
<td>5. Account liquidating to a deficit and account with a debit balances - gross amount</td>
<td><strong>39,868</strong> [7351]</td>
</tr>
<tr>
<td>Less: amount offset by customer owned securities</td>
<td><strong>0</strong> [7352] <strong>39,868</strong> [7354]</td>
</tr>
<tr>
<td>6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)</td>
<td><strong>11,092,662</strong> [7355]</td>
</tr>
<tr>
<td>7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.</td>
<td></td>
</tr>
<tr>
<td><strong>11,092,662</strong> [7360]</td>
<td></td>
</tr>
</tbody>
</table>

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Cash in banks</td>
<td></td>
</tr>
<tr>
<td>A. Banks located in the United States</td>
<td><strong>3,496,715</strong> [7500]</td>
</tr>
<tr>
<td>B. Other banks qualified under Regulation 30.7</td>
<td><strong>2,405,114</strong> [7520] <strong>5,901,829</strong> [7530]</td>
</tr>
<tr>
<td>2. Securities</td>
<td></td>
</tr>
<tr>
<td>A. In safekeeping with banks located in the United States</td>
<td><strong>0</strong> [7540]</td>
</tr>
<tr>
<td>B. In safekeeping with other banks qualified under Regulation 30.7</td>
<td><strong>0</strong> [7560] <strong>0</strong> [7570]</td>
</tr>
<tr>
<td>3. Equities with registered futures commission merchants</td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td><strong>5,616,696</strong> [7580]</td>
</tr>
<tr>
<td>B. Securities</td>
<td><strong>0</strong> [7590]</td>
</tr>
<tr>
<td>C. Unrealized gain (loss) on open futures contracts</td>
<td><strong>0</strong> [7600]</td>
</tr>
<tr>
<td>D. Value of long option contracts</td>
<td><strong>0</strong> [7610]</td>
</tr>
<tr>
<td>E. Value of short option contracts</td>
<td><strong>0</strong> [7615] <strong>5,616,696</strong> [7620]</td>
</tr>
<tr>
<td>4. Amounts held by clearing organizations of foreign boards of trade</td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td><strong>2,344,243</strong> [7640]</td>
</tr>
<tr>
<td>B. Securities</td>
<td><strong>0</strong> [7650]</td>
</tr>
<tr>
<td>C. Amount due to (from) clearing organization - daily variation</td>
<td><strong>0</strong> [7660]</td>
</tr>
<tr>
<td>D. Value of long option contracts</td>
<td><strong>0</strong> [7670]</td>
</tr>
<tr>
<td>E. Value of short option contracts</td>
<td><strong>0</strong> [7675] <strong>2,344,243</strong> [7680]</td>
</tr>
<tr>
<td>5. Amounts held by members of foreign boards of trade</td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td><strong>458,972</strong> [7700]</td>
</tr>
<tr>
<td>B. Securities</td>
<td><strong>0</strong> [7710]</td>
</tr>
<tr>
<td>C. Unrealized gain (loss) on open futures contracts</td>
<td><strong>0</strong> [7720]</td>
</tr>
<tr>
<td>D. Value of long option contracts</td>
<td><strong>60,511</strong> [7730]</td>
</tr>
<tr>
<td>E. Value of short option contracts</td>
<td><strong>-16,492</strong> [7735] <strong>502,991</strong> [7740]</td>
</tr>
<tr>
<td>6. Amounts with other depositories designated by a foreign board of trade</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>0</strong> [7760]</td>
</tr>
<tr>
<td>7. Segregated funds on hand</td>
<td><strong>0</strong> [7765]</td>
</tr>
<tr>
<td>8. Total funds in separate section 30.7 accounts</td>
<td><strong>14,365,759</strong> [7770]</td>
</tr>
<tr>
<td>9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)</td>
<td><strong>3,273,097</strong> [7780]</td>
</tr>
<tr>
<td>10. Management Target Amount for Excess funds in separate section 30.7 accounts</td>
<td><strong>1,000,000</strong> [7780]</td>
</tr>
<tr>
<td>11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target</td>
<td><strong>2,273,097</strong> [7785]</td>
</tr>
</tbody>
</table>
**SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)**

1. **Net ledger balance**
   - **Cash**: 840,086,151 [7010]
   - **Securities (at market)**: 156,303,177 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: 226,314,661 [7030]

3. **Exchange traded options**
   - **Add market value of open option contracts purchased on a contract market**: 1,632,451,799 [7032]
   - **Deduct market value of open option contracts granted (sold) on a contract market**: -1,838,629,243 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 1,016,526,545 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 2,172,650 [7045]
   - Less: amount offset by customer securities: -196,321 [7047] 1,976,329 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**: 1,018,502,874 [7060]

7. **FUNDS IN SEGREGATED ACCOUNTS**
   - **Deposited in segregated funds bank accounts**
     - **Cash**: 239,951,906 [7070]
     - **Securities representing investments of customers’ funds (at market)**: 0 [7080]
     - **Securities held for particular customers or option customers in lieu of cash (at market)**: 895,708 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **Cash**: 433,164,429 [7100]
   - **Securities representing investments of customers’ funds (at market)**: 424,138,238 [7110]
   - **Securities held for particular customers or option customers in lieu of cash (at market)**: 153,075,444 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**: -2,359,677 [7130]

10. **Exchange traded options**
    - **Value of open long option contracts**: 1,632,451,799 [7132]
    - **Value of open short option contracts**: -1,838,629,243 [7133]

11. **Net equities with other FCMs**
    - **Net liquidating equity**: 0 [7140]
    - **Securities representing investments of customers’ funds (at market)**: 0 [7160]
    - **Securities held for particular customers or option customers in lieu of cash (at market)**: 0 [7170]

12. **Segregated funds on hand**: 2,332,025 [7150]

13. **Total amount in segregation (add lines 7 through 12)**: 1,045,020,629 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 26,517,755 [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**: 7,517,755 [7198]
STATEMENT OF CLEARED SWAPS CUSTOMER SEGREGATION REQUIREMENTS AND FUND 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]

Funds in Cleared Swaps Customer Segregated Accounts

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

13. Total amount in cleared swaps customer segregation (add lines 7 through 12) 0 [8715]

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]