INITIAL
End Date: 11/19/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/20/2019
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: 19,000,000
  b. Minimum percentage of customer segregated funds required: 0%
  c. Dollar amount range between: 0 and 0
  d. Percentage range of customer segregated funds required between: 0% and 0%

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

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

Attach supporting documents
INITIAL
End Date: 11/19/2019
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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 11,907,533 [7315]
   B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade -739,434 [7325]

3. Exchange traded options
   a. Market value of open option contracts purchased on a foreign board of trade 78,426 [7335]
   b. Market value of open contracts granted (sold) on a foreign board of trade -25,224 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.) 11,221,301 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount 2,038 [7355]
   Less: amount offset by customer owned securities 0 [7357]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) 11,223,339 [7359]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 11,223,339 [7360]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   A. Banks located in the United States 3,597,789 [7500]
   B. Other banks qualified under Regulation 30.7 2,414,413 [7520] 6,012,202 [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 5,485,116 [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] 5,485,116 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   A. Cash 2,614,515 [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] 2,614,515 [7680]

5. Amounts held by members of foreign boards of trade
   A. Cash 413,247 [7700]
   B. Securities 0 [7710]
   C. Unrealized gain (loss) on open futures contracts 0 [7720]
   D. Value of long option contracts 78,426 [7730]
   E. Value of short option contracts -25,224 [7735] 466,449 [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 14,578,282 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 3,354,943 [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 2,354,943 [7785]
**Daily Segregation - Segregation Statement**

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

1. Net ledger balance
   - A. Cash
   - B. Securities (at market)
2. Net unrealized profit (loss) in open futures contracts traded on a contract market
3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market
   - B. Deduct market value of open option contracts granted (sold) on a contract market
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 securities
6. Amount required to be segregated (add lines 4 and 5)
Funds in segregated accounts
7. Deposited in segregated funds bank accounts
   - A. Cash
   - B. Securities representing investments of customers' funds (at market)
   - C. Securities held for particular customers or option customers in lieu of cash (at market)
8. Margins on deposit with derivatives clearing organizations of contract markets
   - A. Cash
   - B. Securities representing investments of customers' funds (at market)
   - C. Securities held for particular customers or option customers in lieu of cash (at market)
9. Net settlement from (to) derivatives clearing organizations of contract markets
10. Exchange traded options
    - A. Value of open long option contracts
    - B. Value of open short option contracts
11. Net equities with other FCMs
    - A. Net liquidating equity
    - B. Securities representing investments of customers' funds (at market)
    - C. Securities held for particular customers or option customers in lieu of cash (at market)
12. Segregated funds on hand
13. Total amount in segregation (add lines 7 through 12)
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)
15. Management Target Amount for Excess funds in segregation
16. Excess (deficiency) funds in segregation over (under) Management Target Amount

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**Table:**

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>Note</th>
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</thead>
<tbody>
<tr>
<td>1. Net ledger balance</td>
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<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>862,257,703</td>
<td>[7010]</td>
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<td>B. Securities (at market)</td>
<td>156,743,909</td>
<td>[7020]</td>
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<td>2. Net unrealized profit (loss) in open futures contracts traded on a contract market</td>
<td>287,519,458</td>
<td>[7030]</td>
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<td>3. Exchange traded options</td>
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<tr>
<td>A. Add market value of open option contracts purchased on a contract market</td>
<td>1,558,942,266</td>
<td>[7032]</td>
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<tr>
<td>B. Deduct market value of open option contracts granted (sold) on a contract market</td>
<td>-1,827,928,757</td>
<td>[7033]</td>
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<td>4. Net equity (deficit) (add lines 1, 2 and 3)</td>
<td>1,037,534,579</td>
<td>[7040]</td>
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<td>5. Accounts liquidating to a deficit and accounts with debit balances - gross amount</td>
<td>1,146,183</td>
<td>[7045]</td>
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<td>Less: amount offset by customer securities</td>
<td>-216,143</td>
<td>[7047]</td>
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<td>930,040</td>
<td>[7050]</td>
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<td>6. Amount required to be segregated (add lines 4 and 5)</td>
<td>1,038,464,619</td>
<td>[7060]</td>
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<td>7. Deposited in segregated funds bank accounts</td>
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<td>A. Cash</td>
<td>303,885,351</td>
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<td>B. Securities representing investments of customers' funds (at market)</td>
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<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>911,469</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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<tr>
<td>A. Cash</td>
<td>447,949,858</td>
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<td>B. Securities representing investments of customers' funds (at market)</td>
<td>424,117,188</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>153,607,806</td>
<td>[7120]</td>
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<td>9. Net settlement from (to) derivatives clearing organizations of contract markets</td>
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<td>[7130]</td>
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<td>10. Exchange traded options</td>
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<tr>
<td>A. Value of open long option contracts</td>
<td>1,558,942,266</td>
<td>[7132]</td>
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<tr>
<td>B. Value of open short option contracts</td>
<td>-1,827,928,757</td>
<td>[7133]</td>
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<td>11. Net equities with other FCMs</td>
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<td>A. Net liquidating equity</td>
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<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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<td>12. Segregated funds on hand</td>
<td>2,224,634</td>
<td>[7150]</td>
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<td>13. Total amount in segregation (add lines 7 through 12)</td>
<td>1,064,635,498</td>
<td>[7180]</td>
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<td>14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)</td>
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<td>[7190]</td>
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<td>15. Management Target Amount for Excess funds in segregation</td>
<td>19,000,000</td>
<td>[7194]</td>
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<tr>
<td>16. Excess (deficiency) funds in segregation over (under) Management Target Amount</td>
<td>7,170,879</td>
<td>[7198]</td>
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</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 [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]