INITIAL
End Date: 11/21/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/22/2019
INITIAL
End Date: 11/21/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/22/2019
Daily Segregation - Cover Page

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: ; 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:** 11/21/2019  
**Firm Name:** WEDBUSH SECURITIES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 11/22/2019

### 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
   - **Cash**: 12,964,878 [7315]
   - **Securities (at market)**: 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: -995,065 [7325]

3. Exchange traded options
   - a. Market value of open option contracts purchased on a foreign board of trade: 86,105 [7335]
   - b. Market value of open contracts granted (sold) on a foreign board of trade: -29,713 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.): 12,026,205 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount
   - Less: amount offset by customer owned securities: 0 [7352] 2,704 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)
   - 12,028,909 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.
   - 12,028,909 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   - A. Banks located in the United States: 4,550,637 [7500]
   - B. Other banks qualified under Regulation 30.7: 2,412,034 [7520] 6,962,671 [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: 5,416,702 [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] 5,416,702 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   - A. Cash: 2,487,822 [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] 2,487,822 [7680]

5. Amounts held by members of foreign boards of trade
   - A. Cash: 472,577 [7700]
   - B. Securities: 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts: 0 [7720]
   - D. Value of long option contracts: 86,105 [7730]
   - E. Value of short option contracts: -29,713 [7735] 528,969 [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
   - 15,396,164 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)
   - 3,367,255 [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
    - 2,367,255 [7785]
**Daily Segregation - Segregation Statement**

SEREGATION REQUIREMENTS (Section 4d(2) of the CEAAct)

1. Net ledger balance
   - A. Cash: **893,535,572** [7010]
   - B. Securities (at market): **153,693,972** [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market: **257,938,090** [7030]

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market: **1,549,721,547** [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: **-1,823,515,873** [7033]

4. Net equity (deficit) (add lines 1, 2 and 3): **1,031,373,308** [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount: **1,127,477** [7045]
   - Less: amount offset by customer securities: **198,224** [7047] **929,253** [7050]

6. Amount required to be segregated (add lines 4 and 5): **1,032,302,561** [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts
   - A. Cash: **256,280,732** [7070]
   - B. Securities representing investments of customers' funds (at market): **0** [7080]
   - C. Securities held for particular customers or option customers in lieu of cash (at market): **913,349** [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   - A. Cash: **529,373,960** [7100]
   - B. Securities representing investments of customers' funds (at market): **394,153,356** [7110]
   - C. Securities held for particular customers or option customers in lieu of cash (at market): **150,543,974** [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets: **160,431** [7130]

10. Exchange traded options
    - A. Value of open long option contracts: **1,549,721,547** [7132]
    - B. Value of open short option contracts: **-1,823,515,873** [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: **2,236,649** [7150]

13. Total amount in segregation (add lines 7 through 12): **1,059,868,125** [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13): **27,565,564** [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: **8,565,564** [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]

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 [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]

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]