INITIAL
End Date: 11/26/2019
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/27/2019
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: ; 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: **11,355,248** [7315]
   - B. Securities (at market): \(0\) [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** \(-692,431\) [7325]

3. **Exchange traded options**
   - a. Market value of open option contracts purchased on a foreign board of trade: **81,361** [7335]
   - b. Market value of open contracts granted (sold) on a foreign board of trade: \(-22,938\) [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)**
   - \(10,724,632\) [7355]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**
   - \(3,392\) [7351]
   - Less: amount offset by customer owned securities: \(0\) [7352] \(3,392\) [7354]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**
   - \(10,724,632\) [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**
   - \(10,724,632\) [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**
   - A. Banks located in the United States: **2,729,840** [7500]
   - B. Other banks qualified under Regulation 30.7: **2,404,338** [7520] **5,134,178** [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: **5,667,936** [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] **5,667,936** [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - A. Cash: **2,764,716** [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] **2,764,716** [7680]

5. **Amounts held by members of foreign boards of trade**
   - A. Cash: **529,725** [7700]
   - B. Securities: \(0\) [7710]
   - C. Unrealized gain (loss) on open futures contracts: \(0\) [7720]
   - D. Value of long option contracts: **81,361** [7730]
   - E. Value of short option contracts: \(-22,938\) [7735] **588,148** [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**
   - **14,154,978** [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
   - **3,430,346** [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**
    - **2,430,346** [7785]
**Daily Segregation - Segregation Statement**

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

<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Net ledger balance</td>
<td></td>
</tr>
<tr>
<td>A.</td>
<td>Cash</td>
<td>892,302,196 [7010]</td>
</tr>
<tr>
<td>B.</td>
<td>Securities (at market)</td>
<td>181,635,447 [7020]</td>
</tr>
<tr>
<td>2.</td>
<td>Net unrealized profit (loss) in open futures contracts traded on a contract market</td>
<td>215,349,681 [7030]</td>
</tr>
<tr>
<td>3.</td>
<td>Exchange traded options</td>
<td></td>
</tr>
<tr>
<td>A.</td>
<td>Add market value of open option contracts purchased on a contract market</td>
<td>1,695,990,426 [7032]</td>
</tr>
<tr>
<td>B.</td>
<td>Deduct market value of open option contracts granted (sold) on a contract market</td>
<td>-1,975,424,394 [7033]</td>
</tr>
<tr>
<td>4.</td>
<td>Net equity (deficit) (add lines 1, 2, and 3)</td>
<td>1,009,853,356 [7040]</td>
</tr>
<tr>
<td>5.</td>
<td>Accounts liquidating to a deficit and accounts with debit balances - gross amount</td>
<td>1,153,887 [7045]</td>
</tr>
<tr>
<td></td>
<td>Less: amount offset by customer securities</td>
<td>-222,570 [7047] 931,317 [7050]</td>
</tr>
<tr>
<td>6.</td>
<td>Amount required to be segregated (add lines 4 and 5)</td>
<td>1,010,784,673 [7060]</td>
</tr>
<tr>
<td>7.</td>
<td>Deposited in segregated funds bank accounts</td>
<td></td>
</tr>
<tr>
<td>A.</td>
<td>Cash</td>
<td>259,735,796 [7070]</td>
</tr>
<tr>
<td>B.</td>
<td>Securities representing investments of customers’ funds (at market)</td>
<td>0 [7080]</td>
</tr>
<tr>
<td>C.</td>
<td>Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>4,764,468 [7090]</td>
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<tr>
<td>8.</td>
<td>Margins on deposit with derivatives clearing organizations of contract markets</td>
<td></td>
</tr>
<tr>
<td>A.</td>
<td>Cash</td>
<td>475,195,070 [7100]</td>
</tr>
<tr>
<td>B.</td>
<td>Securities representing investments of customers’ funds (at market)</td>
<td>394,222,870 [7110]</td>
</tr>
<tr>
<td>C.</td>
<td>Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>174,663,061 [7120]</td>
</tr>
<tr>
<td>9.</td>
<td>Net settlement from (to) derivatives clearing organizations of contract markets</td>
<td>7,402,341 [7130]</td>
</tr>
<tr>
<td>10.</td>
<td>Exchange traded options</td>
<td></td>
</tr>
<tr>
<td>A.</td>
<td>Value of open long option contracts</td>
<td>1,695,990,426 [7132]</td>
</tr>
<tr>
<td>B.</td>
<td>Value of open short option contracts</td>
<td>-1,975,424,394 [7133]</td>
</tr>
<tr>
<td>11.</td>
<td>Net equities with other FCMs</td>
<td></td>
</tr>
<tr>
<td>A.</td>
<td>Net liquidating equity</td>
<td>0 [7140]</td>
</tr>
<tr>
<td>B.</td>
<td>Securities representing investments of customers’ funds (at market)</td>
<td>0 [7160]</td>
</tr>
<tr>
<td>C.</td>
<td>Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>0 [7170]</td>
</tr>
<tr>
<td>12.</td>
<td>Segregated funds on hand</td>
<td>2,207,918 [7150]</td>
</tr>
<tr>
<td>13.</td>
<td>Total amount in segregation (add lines 7 through 12)</td>
<td>1,038,757,556 [7180]</td>
</tr>
<tr>
<td>14.</td>
<td>Excess (deficiency) funds in segregation (subtract line 6 from line 13)</td>
<td>27,972,883 [7190]</td>
</tr>
<tr>
<td>15.</td>
<td>Management Target Amount for Excess funds in segregation</td>
<td>19,000,000 [7194]</td>
</tr>
<tr>
<td>16.</td>
<td>Excess (deficiency) funds in segregation over (under) Management Target Amount Excess</td>
<td>8,972,883 [7198]</td>
</tr>
</tbody>
</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]
   - Amount required to be segregated for cleared swaps customers (add lines 4 and 5): 0 [8570] 0 [8580]

6. **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]

7. **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]

8. **Net settlement from (to) derivatives clearing organizations**: 0 [8660]

9. **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]

10. **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]

11. **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]

12. **Total amount in cleared swaps customer segregation (add lines 7 through 12)**: 0 [8720]

13. **Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)**: 0 [8730]

14. **Management Target Amount for Excess funds in cleared swaps segregated accounts**: 0 [8760]

15. **Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management**: 0 [8770]