INITIAL
End Date: 1/8/2020
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 1/9/2020
Name of Company

WEDBUSH SECURITIES INC

Contact Name

Kevin Wirth

Contact Phone Number

312-784-0475

Contact Email Address

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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:** 1/8/2020  
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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>10,109,238 [7315]</td>
</tr>
<tr>
<td>A. Cash</td>
<td>10,109,238 [7315]</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>0 [7317]</td>
</tr>
<tr>
<td>2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade</td>
<td>923,942 [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>0 [7335]</td>
</tr>
<tr>
<td>b. Market value of open contracts granted (sold) on a foreign board of trade</td>
<td>0 [7337]</td>
</tr>
<tr>
<td>4. Net equity (deficit) (add lines 1. 2. and 3.)</td>
<td>11,033,180 [7345]</td>
</tr>
<tr>
<td>5. Account liquidating to a deficit and account with a debit balances - gross amount</td>
<td>171,147 [7351]</td>
</tr>
<tr>
<td>Less: amount offset by customer owned securities</td>
<td>0 [7352] 171,147 [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>11,204,327 [7355]</td>
</tr>
</tbody>
</table>

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   A. Banks located in the United States | 2,036,075 [7500] |
   B. Other banks qualified under Regulation 30.7 | 2,020,355 [7520] 4,056,430 [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 | 5,953,075 [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] 5,953,075 [7620] |

4. Amounts held by clearing organizations of foreign boards of trade
   A. Cash | 3,740,251 [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] 3,740,251 [7680] |

5. Amounts held by members of foreign boards of trade
   A. Cash | 457,818 [7700] |
   B. Securities | 0 [7710] |
   C. Unrealized gain (loss) on open futures contracts | 0 [7720] |
   D. Value of long option contracts | 0 [7730] |
   E. Value of short option contracts | 0 [7735] 457,818 [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 | 14,207,574 [7770] |
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | 3,003,247 [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 | 2,003,247 [7785] |
**Daily Segregation - Segregation Statement**

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

1. **Net ledger balance**
   - A. Cash: 903,756,961 [7010]
   - B. Securities (at market): 177,191,786 [7020]
2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: 49,047,190 [7030]
3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 1,625,620,046 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -1,627,201,552 [7033]
4. **Net equity (deficit) (add lines 1, 2 and 3)**: 1,128,414,431 [7040]
5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 1,428,855 [7045]
   - Less: amount offset by customer securities: -491,779 [7047]
   - 937,076 [7050]
6. **Amount required to be segregated (add lines 4 and 5)**: 1,129,351,507 [7060]
7. **FUNDS IN SEGREGATED ACCOUNTS**
   - A. Cash: 212,169,360 [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): 906,514 [7090]
8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - A. Cash: 449,961,309 [7100]
   - B. Securities representing investments of customers' funds (at market): 309,553,878 [7110]
   - C. Securities held for particular customers or option customers in lieu of cash (at market): 173,892,099 [7120]
9. **Net settlement from (to) derivatives clearing organizations of contract markets**: 6,498,757 [7130]
10. **Exchange traded options**
    - A. Value of open long option contracts: 1,625,620,046 [7132]
    - B. Value of open short option contracts: -1,627,201,552 [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**: 2,393,173 [7150]
13. **Total amount in segregation (add lines 7 through 12)**: 1,153,793,584 [7180]
14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 24,442,077 [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: 5,442,077 [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]

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