INITIAL
End Date: 1/21/2020
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 1/22/2020
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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: $0 or
  b. Minimum percentage of customer segregated funds required: 0% or
  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 or
  b. Minimum percentage of customer secured funds required: 0% or
  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 or
  b. Minimum percentage of cleared swaps customer collateral required: 0% or
  c. Dollar amount range between: $0 and $0
  d. Percentage range of cleared swaps customer collateral required between: 0% and 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 11,666,003 [7315]
   b. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 216,214 [7325]

3. Exchange traded options
   a. Market value of open option contracts purchased on a foreign board of trade 0 [7335]
   b. Market value of open contracts granted (sold) on a foreign board of trade 0 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.) 11,882,217 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount 22,451 [7351]
   Less: amount offset by customer owned securities 0 [7352] 22,451 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity 11,904,668 [7355]
   Method (add lines 4 and 5) 11,904,668 [7360]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 11,904,668 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks
   a. Banks located in the United States 3,818,042 [7500]
   b. Other banks qualified under Regulation 30.7 2,016,939 [7520] 5,834,981 [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 4,159,834 [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] 4,159,834 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   a. Cash 4,178,187 [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] 4,178,187 [7680]

5. Amounts held by members of foreign boards of trade
   a. Cash 252,899 [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] 252,899 [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 14,425,901 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 2,521,233 [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 1,521,233 [7785]
## SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)

1. **Net ledger balance**
   - **A. Cash**: 1,096,293,029 (7010)
   - **B. Securities (at market)**: 151,554,421 (7020)

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - 93,960,394 (7030)

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**: 1,855,610,753 (7032)
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: -2,111,631,313 (7033)

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - 1,085,787,284 (7040)

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Less: amount offset by customer securities: -813,629 (7047)
   - 925,212 (7050)

6. **Amount required to be segregated (add lines 4 and 5)**
   - 1,086,712,496 (7060)

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**: 184,043,904 (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)**: 1,177,700 (7090)

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**: 700,598,003 (7100)
   - **B. Securities representing investments of customers’ funds (at market)**: 324,535,067 (7110)
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**: 148,017,897 (7120)

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
   - 9,150,968 (7130)

10. **Exchange traded options**
    - **A. Value of open long option contracts**: 1,855,610,753 (7132)
    - **B. Value of open short option contracts**: -2,111,631,313 (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**
    - 2,358,824 (7150)

13. **Total amount in segregation (add lines 7 through 12)**
    - 1,113,861,803 (7180)

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - 27,149,307 (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: 8,149,307 (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
   - Less: amount offset by customer owned securities: 0 [8560] 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]