INITIAL
End Date: 2/19/2020
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 2/20/2020
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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: ; 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: 2/19/2020  
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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]

1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers
   - A. Cash
     - 13,029,952 [7315]
   - B. Securities (at market)
     - 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade
   - -1,565,437 [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.)
   - 11,464,515 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount
   - 20,475 [7351]
   - Less: amount offset by customer owned securities
     - 0 [7352] 20,475 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)
   - 11,484,990 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.
   - 11,484,990 [7360]

#### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   - A. Banks located in the United States
     - 2,722,146 [7500]
   - B. Other banks qualified under Regulation 30.7
     - 4,151,838 [7520] 6,873,984 [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
     - 3,372,693 [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] 3,372,693 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   - A. Cash
     - 3,498,767 [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] 3,498,767 [7680]

5. Amounts held by members of foreign boards of trade
   - A. Cash
     - 542,093 [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] 542,093 [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
   - 14,287,537 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)
   - 2,802,547 [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
    - 1,802,547 [7785]
SEGREGATION REQUIREMENTS (Section 4d(2) of the CEA Act)

1. Net ledger balance
   A. Cash 850,492,486 [7010]
   B. Securities (at market) 180,167,429 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 91,204,920 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 2,853,639,849 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -2,862,524,434 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 1,112,980,250 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 1,041,307 [7045]
   Less: amount offset by customer securities 121,737 [7047] 919,570 [7050]

6. Amount required to be segregated (add lines 4 and 5) 1,113,899,820 [7060]

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   A. Cash 135,857,216 [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) 924,990 [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   A. Cash 421,557,478 [7100]
   B. Securities representing investments of customers’ funds (at market) 434,126,027 [7110]
   C. Securities held for particular customers or option customers in lieu of cash (at market) 176,902,609 [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets -23,322,010 [7130]

10. Exchange traded options
    A. Value of open long option contracts 2,853,639,849 [7132]
    B. Value of open short option contracts -2,862,524,434 [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 2,339,830 [7150]

13. Total amount in segregation (add lines 7 through 12) 1,139,501,555 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 25,601,735 [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 6,601,735 [7198]
# Daily Segregation - Swaps Statement

**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
   - B. Securities (at market)
2. Net unrealized profit (loss) in open cleared swaps
3. Cleared swaps options
   - A. Market value of open cleared swaps option contracts purchased
   - B. Market value of open cleared swaps option contracts granted (sold)
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 owned securities
6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)
7. Deposited in cleared swaps customer segregated accounts at banks
   - A. Cash
   - B. Securities representing investments of cleared swaps customers' funds (at market)
   - C. Securities held for particular cleared swaps customers in lieu of cash (at market)
8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts
   - A. Cash
   - B. Securities representing investments of cleared swaps customers' funds (at market)
   - C. Securities held for particular cleared swaps customers in lieu of cash (at market)
9. Net settlement from (to) derivatives clearing organizations
10. Cleared swaps options
    - A. Value of open cleared swaps long option contracts
    - B. Value of open cleared swaps short option contracts
11. Net equities with other FCMs
    - A. Net liquidating equity
    - B. Securities representing investments of cleared swaps customers' funds (at market)
    - C. Securities held for particular cleared swaps customers in lieu of cash (at market)
12. Cleared swaps customer funds on hand
    - A. Cash
    - B. Securities representing investments of cleared swaps customers' funds (at market)
    - C. Securities held for particular cleared swaps customers in lieu of cash (at market)
13. Total amount in cleared swaps customer segregation (add lines 7 through 12)
14. Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)
15. Management Target Amount for Excess funds in cleared swaps segregated accounts
16. Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management

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<tr>
<th>Requirement</th>
<th>Amount</th>
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<tr>
<td>Net ledger balance</td>
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<tr>
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<td>Net unrealized profit (loss) in open cleared swaps</td>
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<td>Cleared swaps options</td>
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<td>Market value of open cleared swaps option contracts purchased</td>
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<td>Market value of open cleared swaps option contracts granted (sold)</td>
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<tr>
<td>Accounts liquidating to a deficit and accounts with debit balances - gross amount</td>
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<td>Less: amount offset by customer owned securities</td>
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<td>Amount required to be segregated for cleared swaps customers (add lines 4 and 5)</td>
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<td>Deposited in cleared swaps customer segregated accounts at banks</td>
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<td>Cash</td>
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<td>Securities held for particular cleared swaps customers in lieu of cash (at market)</td>
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<td>Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts</td>
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<tr>
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<td>Net settlement from (to) derivatives clearing organizations</td>
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<td>Cleared swaps customer funds on hand</td>
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<tr>
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<tr>
<td>Management Target Amount for Excess funds in cleared swaps segregated accounts</td>
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<tr>
<td>Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management</td>
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