INITIAL
End Date: 3/3/2020
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 3/4/2020
INITIAL
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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 $19,000,000
b. Minimum percentage of customer segregated funds required: 0% or
   0%
c. Dollar amount range between: $0 and $0
   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: $0 or $1,000,000
b. Minimum percentage of customer secured funds required: 0% or
   0%
c. Dollar amount range between: $0 and $0
   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% or
   0%
c. Dollar amount range between: $0 and $0
   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 11,676,633 [7315]
   - B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade -41,120 [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) 11,635,513 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount 5,396 [7351]
   Less: amount offset by customer owned securities 0 [7352] 5,396 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity 11,640,909 [7355]
   Method (add lines 4 and 5)

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6 11,640,909 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks
   - A. Banks located in the United States 2,046,903 [7500]
   - B. Other banks qualified under Regulation 30.7 4,505,126 [7520] 6,552,029 [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 4,136,284 [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] 4,136,284 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   - A. Cash 3,605,423 [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] 3,605,423 [7680]

5. Amounts held by members of foreign boards of trade
   - A. Cash 355,444 [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] 355,444 [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 14,649,180 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 3,008,271 [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 2,008,271 [7785]
**initial**

*End Date*: 3/3/2020  
*Firm Name*: WEDBUSH SECURITIES INC  
*Form*: Daily Seg - FOCUS II  
*Submit Date*: 3/4/2020

### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**  
   - **B. Securities (at market)**

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**

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 securities**

6. **Amount required to be segregated (add lines 4 and 5)**

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**
   - **B. Securities representing investments of customers' funds (at market)**
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**
   - **B. Securities representing investments of customers' funds (at market)**
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**

9. **Net settlement from (to) derivatives clearing organizations of contract markets**

10. **Exchange traded options**
    - **A. Value of open long option contracts**
    - **B. Value of open short option contracts**

11. **Net equities with other FCMs**
    - **A. Net liquidating equity**
    - **B. Securities representing investments of customers' funds (at market)**
    - **C. Securities held for particular customers or option customers in lieu of cash (at market)**

12. **Segregated funds on hand**

13. **Total amount in segregation (add lines 7 through 12)**

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**

15. **Management Target Amount for Excess funds in segregation**

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**

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<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>Endorsement</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. A. Cash</td>
<td>1,164,057,711</td>
<td>[7010]</td>
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<tr>
<td>1. B. Securities (at market)</td>
<td>186,708,058</td>
<td>[7020]</td>
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<tr>
<td>2. Net unrealized profit (loss) in open futures contracts traded on a contract market</td>
<td>514,941,791</td>
<td>[7030]</td>
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<tr>
<td>3. A. Add market value of open option contracts purchased on a contract market</td>
<td>4,440,105,163</td>
<td>[7032]</td>
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<tr>
<td>3. B. Deduct market value of open option contracts granted (sold) on a contract market</td>
<td>-5,260,511,088</td>
<td>[7033]</td>
</tr>
<tr>
<td>4. Net equity (deficit) (add lines 1, 2 and 3)</td>
<td>1,045,301,635</td>
<td>[7040]</td>
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<tr>
<td>5. Accounts liquidating to a deficit and accounts with debit balances - gross amount</td>
<td>1,511,963</td>
<td>[7045]</td>
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<tr>
<td>5. Less: amount offset by customer securities</td>
<td>-573,404</td>
<td>[7047]</td>
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<tr>
<td>5. Amount required to be segregated (add lines 4 and 5)</td>
<td>1,046,240,194</td>
<td>[7060]</td>
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<td>7. Deposited in segregated funds bank accounts</td>
<td>156,505,664</td>
<td>[7070]</td>
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<tr>
<td>7. A. Cash</td>
<td>156,505,664</td>
<td>[7070]</td>
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<tr>
<td>7. B. Securities representing investments of customers' funds (at market)</td>
<td>0</td>
<td>[7080]</td>
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<td>7. C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>808,975</td>
<td>[7090]</td>
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<td>8. Margins on deposit with derivatives clearing organizations of contract markets</td>
<td>1,069,422,134</td>
<td>[7100]</td>
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<tr>
<td>8. A. Cash</td>
<td>1,069,422,134</td>
<td>[7100]</td>
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<td>8. B. Securities representing investments of customers' funds (at market)</td>
<td>484,449,422</td>
<td>[7110]</td>
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<td>8. C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>183,654,909</td>
<td>[7120]</td>
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<td>9. Net settlement from (to) derivatives clearing organizations of contract markets</td>
<td>-478,332</td>
<td>[7130]</td>
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<td>10. A. Value of open long option contracts</td>
<td>4,440,105,163</td>
<td>[7132]</td>
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<tr>
<td>10. B. Value of open short option contracts</td>
<td>-5,260,511,088</td>
<td>[7133]</td>
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<tr>
<td>11. A. Net liquidating equity</td>
<td>0</td>
<td>[7140]</td>
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<tr>
<td>11. B. Securities representing investments of customers' funds (at market)</td>
<td>0</td>
<td>[7160]</td>
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<td>11. C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>0</td>
<td>[7170]</td>
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<tr>
<td>12. Segregated funds on hand</td>
<td>2,244,174</td>
<td>[7150]</td>
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<tr>
<td>13. Total amount in segregation (add lines 7 through 12)</td>
<td>1,076,201,021</td>
<td>[7180]</td>
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<tr>
<td>14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)</td>
<td>29,960,827</td>
<td>[7190]</td>
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<tr>
<td>15. Management Target Amount for Excess funds in segregation</td>
<td>19,000,000</td>
<td>[7194]</td>
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<tr>
<td>16. Excess (deficiency) funds in segregation over (under) Management Target Amount</td>
<td>10,960,827</td>
<td>[7198]</td>
</tr>
</tbody>
</table>
**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: 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]

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 [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]