INITIAL
End Date: 3/10/2020
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 3/11/2020
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Daily Segregation - Cover Page

Name of Company: WEDBUSH SECURITIES INC
Contact Name: Kevin Wirth
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FCM's Customer Segregated Funds Residual Interest Target (choose one):
- Minimum dollar amount: \( \text{19,000,000} \)
- Minimum percentage of customer segregated funds required: \( 0\% \)
- 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):
- Minimum dollar amount: \( \text{1,000,000} \)
- Minimum percentage of customer secured funds required: \( 0\% \)
- 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):
- Minimum dollar amount: \( 0 \)
- Minimum percentage of cleared swaps customer collateral required: \( 0\% \)
- 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: 11,181,747 [7315]
   - B. Securities (at market): 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 903 [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.): 11,182,650 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount: 32,965 [7351]
   Less: amount offset by customer owned securities: 0 [7352]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5): 11,215,615 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 11,215,615 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   - A. Banks located in the United States: 2,847,036 [7500]
   - B. Other banks qualified under Regulation 30.7: 3,520,487 [7520] 6,367,523 [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]

3. Equities with registered futures commission merchants
   - A. Cash: 2,728,545 [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] 2,728,545 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   - A. Cash: 4,857,775 [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] 4,857,775 [7680]

5. Amounts held by members of foreign boards of trade
   - A. Cash: 252,073 [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] 252,073 [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: 14,205,916 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8): 2,990,301 [7780]

10. Excess (deficiency) funds in separate section 30.7 accounts over (under) Management Target: 1,000,000 [7780] 1,990,301 [7785]
## Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: \( 1,384,755,300 \) [7010]
   - B. Securities (at market): \( 149,981,046 \) [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: \( 665,134,630 \) [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: \( 6,272,235,249 \) [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: \( -7,319,897,197 \) [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: \( 1,152,209,028 \) [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: \( 1,681,361 \) [7045]
   - Less: amount offset by customer securities: \( -671,785 \) [7047]
   - \( 1,009,576 \) [7050]

6. **Amount required to be segregated (add lines 4 and 5)**: \( 1,153,218,604 \) [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - A. Cash: \( 134,298,947 \) [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): \( 839,502 \) [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - A. Cash: \( 1,504,247,190 \) [7100]
   - B. Securities representing investments of customers’ funds (at market): \( 424,759,167 \) [7110]
   - C. Securities held for particular customers or option customers in lieu of cash (at market): \( 146,833,302 \) [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**: \( 17,918,707 \) [7130]

10. **Exchange traded options**
    - A. Value of open long option contracts: \( 6,272,235,249 \) [7132]
    - B. Value of open short option contracts: \( -7,319,897,197 \) [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**: \( 2,308,242 \) [7150]

13. **Total amount in segregation (add lines 7 through 12)**: \( 1,183,543,109 \) [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: \( 30,324,505 \) [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: \( 11,324,505 \) [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 [8570] 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]