INITIAL
End Date: 3/12/2020
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 3/13/2020
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**

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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  
   B. Securities (at market)  
   12,508,029 [7315]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade  
   -98,518 [7325]

3. Exchange traded options  
   a. Market value of open option contracts purchased on a foreign board of trade  
   b. Market value of open contracts granted (sold) on a foreign board of trade  
   12,409,511 [7326]

4. Net equity (deficit) (add lines 1. 2. and 3.)  
   12,430,539 [7327]

5. Account liquidating to a deficit and account with a debit balances - gross amount  
   21,028 [7328]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)  
   12,430,539 [7329]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.  
   12,430,539 [7330]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks  
   A. Banks located in the United States  
   3,953,592 [7500]
   B. Other banks qualified under Regulation 30.7  
   3,520,447 [7520] 7,474,039 [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  
   2,845,548 [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] 2,845,548 [7620]

4. Amounts held by clearing organizations of foreign boards of trade  
   A. Cash  
   4,992,835 [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] 4,992,835 [7680]

5. Amounts held by members of foreign boards of trade  
   A. Cash  
   157,309 [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] 157,309 [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  
   15,469,731 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)  
   3,039,192 [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  
    2,039,192 [7785]
## Initial

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### Daily Segregation - Segregation Statement

SEgregation REQUIREMENTS (Section 4d(2) of the CEAct)

1. **Net ledger balance**
   - **A. Cash** 1,087,029,964 [7010]
   - **B. Securities (at market)** 139,896,550 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market** 680,875,841 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market** 8,921,714,984 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market** -9,838,647,354 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)** 990,869,985 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount** 2,829,331 [7045]
   - **Less: amount offset by customer securities** -1,737,954 [7047] 1,091,377 [7050]

6. **Amount required to be segregated (add lines 4 and 5)** 991,961,362 [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - **A. Cash** 86,167,055 [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)** 801,919 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash** 1,301,218,474 [7100]
   - **B. Securities representing investments of customers’ funds (at market)** 424,869,099 [7110]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)** 136,825,862 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets** -15,419,669 [7130]

10. **Exchange traded options**
    - **A. Value of open long option contracts** 8,921,714,984 [7132]
    - **B. Value of open short option contracts** -9,838,647,354 [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** 2,268,769 [7150]

13. **Total amount in segregation (add lines 7 through 12)** 1,019,799,139 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)** 27,837,777 [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** 8,837,777 [7198]
# Daily Segregation - Swaps Statement

**Statement of Cleared Swaps Customer Segregation Requirements**

**Cleared Swaps Customer Requirements**

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Net ledger balance</strong></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>0</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>0</td>
</tr>
<tr>
<td><strong>2. Net unrealized profit (loss) in open cleared swaps</strong></td>
<td>0</td>
</tr>
<tr>
<td><strong>3. Cleared swaps options</strong></td>
<td></td>
</tr>
<tr>
<td>A. Market value of open cleared swaps option contracts purchased</td>
<td>0</td>
</tr>
<tr>
<td>B. Market value of open cleared swaps option contracts granted (sold)</td>
<td>0</td>
</tr>
<tr>
<td><strong>4. Net Equity (deficit) (add lines 1, 2, and 3)</strong></td>
<td>0</td>
</tr>
<tr>
<td><strong>5. Accounts liquidating to a deficit and accounts with</strong></td>
<td></td>
</tr>
<tr>
<td>debit balances - gross amount</td>
<td>0</td>
</tr>
<tr>
<td>Less: amount offset by customer owned securities</td>
<td>0</td>
</tr>
<tr>
<td><strong>6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)</strong></td>
<td>0</td>
</tr>
<tr>
<td><strong>7. Deposited in cleared swaps customer segregated accounts at banks</strong></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>0</td>
</tr>
<tr>
<td>B. Securities representing investments of cleared swaps customers' funds (at market)</td>
<td>0</td>
</tr>
<tr>
<td>C. Securities held for particular cleared swaps customers in lieu of cash (at market)</td>
<td>0</td>
</tr>
<tr>
<td><strong>8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts</strong></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>0</td>
</tr>
<tr>
<td>B. Securities representing investments of cleared swaps customers' funds (at market)</td>
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<td>C. Securities held for particular cleared swaps customers in lieu of cash (at market)</td>
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<td><strong>9. Net settlement from (to) derivatives clearing organizations</strong></td>
<td>0</td>
</tr>
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<td><strong>10. Cleared swaps options</strong></td>
<td></td>
</tr>
<tr>
<td>A. Value of open cleared swaps long option contracts</td>
<td>0</td>
</tr>
<tr>
<td>B. Value of open cleared swaps short option contracts</td>
<td>0</td>
</tr>
<tr>
<td><strong>11. Net equities with other FCMs</strong></td>
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</tr>
<tr>
<td>A. Net liquidating equity</td>
<td>0</td>
</tr>
<tr>
<td>B. Securities representing investments of cleared swaps customers' funds (at market)</td>
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</tr>
<tr>
<td>C. Securities held for particular cleared swaps customers in lieu of cash (at market)</td>
<td>0</td>
</tr>
<tr>
<td><strong>12. Cleared swaps customer funds on hand</strong></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>0</td>
</tr>
<tr>
<td>B. Securities representing investments of cleared swaps customers' funds (at market)</td>
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</tr>
<tr>
<td><strong>13. Total amount in cleared swaps customer segregation (add lines 7 through 12)</strong></td>
<td>0</td>
</tr>
<tr>
<td><strong>14. Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)</strong></td>
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</tr>
<tr>
<td><strong>15. Management Target Amount for Excess funds in cleared swaps segregated accounts</strong></td>
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</tr>
<tr>
<td><strong>16. Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management</strong></td>
<td>0</td>
</tr>
</tbody>
</table>