



# CLIENT FINANCIAL SAFETY

## SECURITY FOR ALL INVESTMENT ACCOUNTS

Wedbush Securities is dedicated to Client Financial Safety. Our clients are entitled to have complete confidence in the security of their accounts. The information below describes a number of ways in which our clients and accounts are protected.

## CORPORATE CULTURE

Wedbush is a privately held securities firm with solid business continuity and a strong financial condition. To protect your long-term interests, Wedbush leadership creates a positive and secure environment for its clients, investors and colleagues while placing major emphasis on innovation, creativity and performance. To access the Wedbush Client Financial Safety Statements, visit [wedbush.com/financial-statements](http://wedbush.com/financial-statements).

## SEC & FINRA

Wedbush is regulated by and subject to the rules of the Securities and Exchange Commission ("SEC") and Financial Industry Regulatory Authority ("FINRA"), all of which have a common interest in protecting investors.

## SIPC & EXCESS SIPC

Wedbush is a member of the Securities Investor Protection Corporation ("SIPC"). SIPC was created by Congress to protect customers of securities brokers and dealers and to promote public confidence in the U.S. securities markets. Customers of SIPC-covered member firms are afforded special benefits under the Securities Investor Protection Act of 1970. Wedbush is pleased to provide protection for each of its clients and for the clients of its correspondents. SIPC provides protection up to \$500,000, of which a maximum of \$250,000 applies to cash credit balances. In addition to the coverage provided by SIPC, Wedbush has purchased from Lloyd's of London an Excess SIPC bond that provides additional coverage for each eligible client, subject to an aggregate firm loss limit of \$100,000,000. SIPC and excess SIPC coverage do not provide protection for losses resulting from market fluctuations.

## ADDITIONAL SAFEGUARDS

The Securities and Exchange Commission ("SEC") Rule 15c3-3 is intended to safeguard client assets held by securities firms. Fully paid for and excess margin securities held in Wedbush client accounts are segregated from firm assets in compliance with this rule. SEC Rule 15c3-1 established a uniform and comprehensive net capital standard for the securities industry. Wedbush maintains excess capital significantly in excess of the levels required.

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