INITIAL
End Date: 7/24/2020
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 7/27/2020
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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: $19,000,000
b. Minimum percentage of customer segregated funds required: 0%
c. Dollar amount range between: 0 and 0%
d. 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: $1,000,000
b. Minimum percentage of customer secured funds required: 0%
c. Dollar amount range between: 0 and 0%
d. 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%
c. Dollar amount range between: 0 and 0%
d. Percentage range of cleared swaps customer collateral required between: 0% and 0%

Attach supporting documents
**INITIAL**

*End Date: 7/24/2020*

*Firm Name: WEDBUSH SECURITIES INC*

*Form: Daily Seg - FOCUS II*

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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 14,812,749 [7315]  
   B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 1,913,377 [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): 16,726,126 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount: 4,562 [7351]  
   Less: amount offset by customer owned securities: 0 [7352] 4,562 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5): 16,730,688 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 16,730,688 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks  
   A. Banks located in the United States 6,256,292 [7500]  
   B. Other banks qualified under Regulation 30.7 2,461,655 [7520] 8,717,947 [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 4,107,402 [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] 4,107,402 [7620]

4. Amounts held by clearing organizations of foreign boards of trade  
   A. Cash 5,468,525 [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] 5,468,525 [7680]

5. Amounts held by members of foreign boards of trade  
   A. Cash 1,727,329 [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] 1,727,329 [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: 20,021,203 [7770]


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: 2,290,515 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **Cash:** $1,287,920,574 [7010]
   - **Securities (at market):** $131,429,867 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - **(Loss):** $196,830,226 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market:** $3,334,776,262 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market:** $3,138,107,341 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - **Result:** $1,417,189,136 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - **Result:** $697,075 [7045]

6. **Amount required to be segregated (add lines 4 and 5)**
   - **Result:** $1,417,315,069 [7060]

7. **Funds in segregated accounts**
   - **A. Cash:** $341,210,063 [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):** $781,397 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash:** $399,146,239 [7100]
   - **B. Securities representing investments of customers' funds (at market):** $374,962,124 [7110]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market):** $126,440,117 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
   - **Result:** $-2,525,927 [7130]

10. **Exchange traded options**
    - **A. Value of open long option contracts:** $3,334,776,262 [7132]
    - **B. Value of open short option contracts:** $-3,138,107,341 [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**
    - **Result:** $4,208,353 [7150]

13. **Total amount in segregation (add lines 7 through 12)**
    - **Result:** $1,440,891,287 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - **Result:** $23,576,218 [7190]

15. **Management Target Amount for Excess funds in segregation**
    - **Result:** $19,000,000 [7194]

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - **Excess:** $4,576,218 [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 0 [8560]
   Less: amount offset by customer owned securities 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]