INITIAL
End Date: 7/28/2020
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 7/29/2020
WEDBUSH SECURITIES INC

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
b. Minimum percentage of customer segregated funds required: % ; or
c. Dollar amount range between: and; or
   19,000,000
   0
   0 0
   0 0

d. Percentage range of customer segregated funds required between: % and %.

FCM’s Customer Secured Amount Funds Residual Interest Target (choose one):  

a. Minimum dollar amount:  ; or
b. Minimum percentage of customer secured funds required: % ; or
c. Dollar amount range between: and; or
   1,000,000
   0
   0 0
   0 0

d. Percentage range of customer secured funds required between: % and %.

FCM's Cleared Swaps Customer Collateral Residual Interest Target (choose one):

a. Minimum dollar amount:  ; or
b. Minimum percentage of cleared swaps customer collateral required: % ; or
c. Dollar amount range between: and; or
   0
   0
   0 0
   0 0

d. Percentage range of cleared swaps customer collateral required between: % and %.

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**: 15,080,783 [7315]
   - **B. Securities (at market)**: 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 2,296,110 [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.): **17,376,893** [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount: 10,480 [7352] 10,480 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity
   - Method (add lines 4 and 5): **17,387,373** [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6:

   **17,387,373** [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   - A. Banks located in the United States: 5,945,035 [7500]
   - B. Other banks qualified under Regulation 30.7: 2,469,133 [7520] 8,414,168 [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: 4,900,833 [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] 4,900,833 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   - A. Cash: 5,578,433 [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] 5,578,433 [7680]

5. Amounts held by members of foreign boards of trade
   - A. Cash: 1,643,167 [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] 1,643,167 [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: 20,536,601 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8): 3,149,228 [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: 2,149,228 [7785]
SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)

1. Net ledger balance
   A. Cash 1,245,489,988 [7010]
   B. Securities (at market) 131,631,261 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market
   -219,103,976 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 3,347,191,179 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -3,104,171,991 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 1,401,036,461 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 738,435 [7045]
   Less: amount offset by customer securities -567,995 [7047] 170,440 [7050]

6. Amount required to be segregated (add lines 4 and 5) 1,401,206,901 [7060]

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   A. Cash 334,575,907 [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) 771,183 [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   A. Cash 339,012,832 [7100]
   B. Securities representing investments of customers’ funds (at market) 374,967,525 [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 3,084,748 [7130]

10. Exchange traded options
    A. Value of open long option contracts 3,347,191,179 [7132]
    B. Value of open short option contracts -3,104,171,991 [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 4,419,961 [7150]

13. Total amount in segregation (add lines 7 through 12) 1,426,291,461 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 25,084,560 [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 6,084,560 [7198]
## 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] [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]