INITIAL
End Date: 8/17/2020
Firm Name: WEGBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 8/18/2020
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: $0
- 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**

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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:  
      - 16,402,816 [7315]  
   B. Securities (at market):  
      - 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:  
   - 1,978,462 [7325]

3. Exchange traded options  
   a. Market value of open option contracts purchased on a foreign board of trade:  
      - 186 [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.):  
   - 18,381,464 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount:  
   - 1,618 [7351]  
   Less: amount offset by customer owned securities:  
   - 0 [7352]  
   - 1,618 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5):  
   - 18,383,082 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.  
   - 18,383,082 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks  
   A. Banks located in the United States:  
      - 6,751,927 [7500]  
   B. Other banks qualified under Regulation 30.7:  
      - 2,252,256 [7520]  
   - 9,004,183 [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:  
      - 4,534,979 [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]  
      - 4,534,979 [7620]

4. Amounts held by clearing organizations of foreign boards of trade  
   A. Cash:  
      - 5,876,826 [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]  
      - 5,876,826 [7680]

5. Amounts held by members of foreign boards of trade  
   A. Cash:  
      - 1,857,443 [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:  
      - 186 [7735]  
      - 1,857,629 [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:  
   - 21,273,617 [7770]  

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8):  
   - 2,890,535 [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:  
     - 1,890,535 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**
     - 1,308,946,998 [7010]
   - **B. Securities (at market)**
     - 99,703,168 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - -209,557,208 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**
     - 3,251,003,320 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**
     - -3,010,360,632 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - 1,439,735,646 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - 224,835 [7045]
   - Less: amount offset by customer securities
     - -125,526 [7047] 98,909 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**
   - 1,439,834,555 [7060]

#### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**
     - 310,952,922 [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)**
     - 780,402 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**
     - 382,400,310 [7100]
   - **B. Securities representing investments of customers' funds (at market)**
     - 419,950,249 [7110]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**
     - 94,139,913 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
   - 9,376,408 [7130]

10. **Exchange traded options**
    - **A. Value of open long option contracts**
      - 3,251,003,320 [7132]
    - **B. Value of open short option contracts**
      - -3,010,360,632 [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**
    - 4,782,853 [7150]

13. **Total amount in segregation (add lines 7 through 12)**
    - 1,463,025,745 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - 23,191,190 [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**
    - 4,191,190 [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
   - B. Securities (at market)

2. **Net unrealized profit (loss) in open cleared swaps**

3. **Cleared swaps options**
   - A. Market value of open cleared swaps option contracts purchased
   - B. Market value of open cleared swaps option contracts granted (sold)

4. **Net Equity (deficit) (add lines 1, 2, and 3)**

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Less: amount offset by customer owned securities

6. **Amount required to be segregated for cleared swaps customers (add lines 4 and 5)**

7. **Deposited in cleared swaps customer segregated accounts at banks**
   - A. Cash
   - B. Securities representing investments of cleared swaps customers' funds (at market)
   - C. Securities held for particular cleared swaps customers in lieu of cash (at market)

8. **Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts**
   - A. Cash
   - B. Securities representing investments of cleared swaps customers' funds (at market)
   - C. Securities held for particular cleared swaps customers in lieu of cash (at market)

9. **Net settlement from (to) derivatives clearing organizations**

10. **Cleared swaps options**
    - A. Value of open cleared swaps long option contracts
    - B. Value of open cleared swaps short option contracts

11. **Net equities with other FCMs**
    - A. Net liquidating equity
    - B. Securities representing investments of cleared swaps customers' funds (at market)
    - C. Securities held for particular cleared swaps customers in lieu of cash (at market)

12. **Cleared swaps customer funds on hand**
    - A. Cash
    - B. Securities representing investments of cleared swaps customers' funds (at market)
    - C. Securities held for particular cleared swaps customers in lieu of cash (at market)

13. **Total amount in cleared swaps customer segregation (add lines 7 through 12)**

14. **Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)**

15. **Management Target Amount for Excess funds in cleared swaps segregated accounts**

16. **Excess (deficiency) funds in cleared swaps customer segregated accounts over (under)**
    - Management