INITIAL
End Date: 8/24/2020
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 8/25/2020
INITIAL
End Date: 8/24/2020
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 8/25/2020

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):
- Minimum dollar amount: $19,000,000
- Minimum percentage of customer segregated funds required: 0%
- Dollar amount range between: $0 and $0
- Percentage range of customer segregated funds required between: 0% and 0%

FCM’s Customer Secured Amount Funds Residual Interest Target (choose one):
- Minimum dollar amount: $1,000,000
- Minimum percentage of customer secured funds required: 0%
- Dollar amount range between: $0 and $0
- Percentage range of customer secured funds required between: 0% and 0%

FCM’s Cleared Swaps Customer Collateral Residual Interest Target (choose one):
- Minimum dollar amount: $0
- Minimum percentage of cleared swaps customer collateral required: 0%
- Dollar amount range between: $0 and $0
- Percentage range of cleared swaps customer collateral required between: 0% and 0%

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
   - **Cash**: **17,341,435** [7315]
   - **Securities (at market)**: **0** [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: **2,153,542** [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.)**: **19,495,163** [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**: **2,372** [7351]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**: **19,497,535** [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: **19,497,535** [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

8. **Cash in banks**
   - A. Banks located in the United States: **8,093,585** [7500]
   - B. Other banks qualified under Regulation 30.7: **1,738,525** [7520] **9,832,110** [7530]

9. **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]

10. **Equities with registered futures commission merchants**
    - **Cash**: **4,195,456** [7580]
    - **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] **4,195,456** [7620]

11. **Amounts held by clearing organizations of foreign boards of trade**
    - **Cash**: **6,387,660** [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] **6,387,660** [7680]

12. **Amounts held by members of foreign boards of trade**
    - **Cash**: **2,108,074** [7700]
    - **B. Securities**: **0** [7710]
    - **C. Unrealized gain (loss) on open futures contracts**: **0** [7720]
    - **D. Value of long option contracts**: **186** [7730]
    - **E. Value of short option contracts**: **0** [7735] **2,108,260** [7740]

13. **Amounts with other depositories designated by a foreign board of trade**: **0** [7760]

14. **Segregated funds on hand**: **0** [7765]

15. **Total funds in separate section 30.7 accounts**: **22,523,486** [7770]

16. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: **3,025,951** [7780]

17. **Management Target Amount for Excess funds in separate section 30.7 accounts**: **1,000,000** [7780]

18. **Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target**: **2,025,951** [7785]
### Daily Segregation - Segregation Statement

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

1. Net ledger balance
   - **Cash**
     - 1,387,364,327 [7010]
   - **Securities (at market)**
     - 104,777,653 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market
   - -262,607,091 [7030]

3. Exchange traded options
   - Add market value of open option contracts purchased on a contract market
     - 3,222,170,192 [7032]
   - Deduct market value of open option contracts granted (sold) on a contract market
     - -2,957,261,009 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3)
   - 1,494,444,072 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount
   - 277,041 [7045]
   - Less: amount offset by customer securities
     - -175,780 [7047] 101,261 [7050]

6. Amount required to be segregated (add lines 4 and 5)
   - 1,494,545,333 [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   - **Cash**
     - 285,537,965 [7070]
   - **Securities representing investments of customers’ funds (at market)**
     - 0 [7080]
   - **Securities held for particular customers or option customers in lieu of cash (at market)**
     - 791,465 [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   - **Cash**
     - 383,629,134 [7100]
   - **Securities representing investments of customers’ funds (at market)**
     - 469,944,679 [7110]
   - **Securities held for particular customers or option customers in lieu of cash (at market)**
     - 99,136,913 [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets
   - 10,895,802 [7130]

10. Exchange traded options
    - **Value of open long option contracts**
      - 3,222,170,192 [7132]
    - **Value of open short option contracts**
      - -2,957,261,009 [7133]

11. Net equities with other FCMs
    - **Net liquidating equity**
      - 0 [7140]
    - **Securities representing investments of customers’ funds (at market)**
      - 0 [7160]
    - **Securities held for particular customers or option customers in lieu of cash (at market)**
      - 0 [7170]

12. Segregated funds on hand
    - 4,849,275 [7150]

13. Total amount in segregation (add lines 7 through 12)
    - 1,519,694,416 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)
    - 25,149,083 [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**
      - 6,149,083 [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
   - 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)**

### Funds in Cleared Swaps Customer Segregated Accounts

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**