INITIAL
End Date: 10/1/2020
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 10/2/2020
### Daily Segregation - Cover Page

<table>
<thead>
<tr>
<th>Name of Company</th>
<th>WEDBUSH SECURITIES INC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact Name</td>
<td>Kevin Wirth</td>
</tr>
<tr>
<td>Contact Phone Number</td>
<td>312-784-0475</td>
</tr>
<tr>
<td>Contact Email Address</td>
<td><a href="mailto:kevin.wirth@wedbush.com">kevin.wirth@wedbush.com</a></td>
</tr>
</tbody>
</table>

**FCM's Customer Segregated Funds Residual Interest Target (choose one):**

<table>
<thead>
<tr>
<th>Option</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Minimum dollar amount:</td>
<td>19,000,000</td>
</tr>
<tr>
<td>b. Minimum percentage of customer segregated funds required:</td>
<td>0</td>
</tr>
<tr>
<td>c. Dollar amount range between:</td>
<td>0 0</td>
</tr>
<tr>
<td>d. Percentage range of customer segregated funds required between:</td>
<td>0 0</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Option</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Minimum dollar amount:</td>
<td>1,000,000</td>
</tr>
<tr>
<td>b. Minimum percentage of customer secured funds required:</td>
<td>0</td>
</tr>
<tr>
<td>c. Dollar amount range between:</td>
<td>0 0</td>
</tr>
<tr>
<td>d. Percentage range of customer secured funds required between:</td>
<td>0 0</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Option</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Minimum dollar amount:</td>
<td>0</td>
</tr>
<tr>
<td>b. Minimum percentage of cleared swaps customer collateral required:</td>
<td>0</td>
</tr>
<tr>
<td>c. Dollar amount range between:</td>
<td>0 0</td>
</tr>
<tr>
<td>d. Percentage range of cleared swaps customer collateral required between:</td>
<td>0 0</td>
</tr>
</tbody>
</table>

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: 14,659,032 [7315]
   - B. Securities (at market): 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: -110,115 [7325]

3. **Exchange traded options**
   - a. Market value of open option contracts purchased on a foreign board of trade: 115 [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.)**: 14,549,032 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**: 9,250 [7352]
   - Less: amount offset by customer owned securities: 0 [7354]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**: 14,558,282 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: 14,558,282 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - A. Banks located in the United States: 6,448,084 [7500]
   - B. Other banks qualified under Regulation 30.7: 1,918,743 [7520]

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]

3. **Equities with registered futures commission merchants**
   - A. Cash: 2,862,164 [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. **Amounts held by clearing organizations of foreign boards of trade**
   - A. Cash: 5,489,187 [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. **Amounts held by members of foreign boards of trade**
   - A. Cash: 1,626,393 [7700]
   - B. Securities: 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts: 0 [7720]
   - D. Value of long option contracts: 115 [7730]
   - E. Value of short option contracts: 0 [7735]

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**: 18,344,686 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: 3,786,404 [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**: 2,786,404 [7785]
**INITIAL**  
End Date: 10/1/2020  
Firm Name: WEDBUSH SECURITIES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 10/2/2020  
**Daily Segregation - Segregation Statement**

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

1. Net ledger balance  
   - Cash: 917,621,206 [7010]  
   - Securities (at market): 60,609,507 [7020]  

2. Net unrealized profit (loss) in open futures contracts traded on a contract market: 46,721,579 [7030]  

3. Exchange traded options  
   - Add market value of open option contracts purchased on a contract market: 2,862,099,347 [7032]  
   - Deduct market value of open option contracts granted (sold) on a contract market: -2,548,422,388 [7033]  

4. Net equity (deficit) (add lines 1, 2 and 3): 1,338,629,251 [7040]  

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount: 221,159 [7045]  
   - Less: amount offset by customer securities: -124,923 [7047]  
   - 96,236 [7050]  

6. Amount required to be segregated (add lines 4 and 5): 1,338,725,487 [7060]  

**FUNDS IN SEGREGATED ACCOUNTS**  
7. Deposited in segregated funds bank accounts  
   - Cash: 398,294,775 [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): 760,464 [7090]  

8. Margins on deposit with derivatives clearing organizations of contract markets  
   - Cash: 153,294,359 [7100]  
   - Securities representing investments of customers’ funds (at market): 449,945,971 [7110]  
   - Securities held for particular customers or option customers in lieu of cash (at market): 55,218,200 [7120]  

9. Net settlement from (to) derivatives clearing organizations of contract markets: -12,233,488 [7130]  

10. Exchange traded options  
    - Value of open long option contracts: 2,862,099,347 [7132]  
    - Value of open short option contracts: -2,548,422,388 [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: 4,630,843 [7150]  

13. Total amount in segregation (add lines 7 through 12): 1,383,588,083 [7180]  

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13): 24,862,596 [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: 5,862,596 [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 [8715]
    C. Securities held for particular cleared swaps customers in lieu of cash (at market) 0 [8720]

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]