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

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

19,000,000

0

0

0

0

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

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

1,000,000

0

0

0

0

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

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

0

0

0

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**
   - A. Cash: **24,055,355 [7315]**
   - B. Securities (at market): **0 [7317]**

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: **2,092,000 [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.)**: **26,147,355 [7345]**

5. **Account liquidating to a deficit and account with a debit balances - gross amount**: **12,678 [7351]**

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**: **26,160,033 [7355]**

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: **26,160,033 [7360]**

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**
   - A. Banks located in the United States: **12,260,578 [7500]**
   - B. Other banks qualified under Regulation 30.7: **3,854,804 [7520] 16,115,382 [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: **5,307,357 [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] 5,307,357 [7620]**

4. **Amounts held by clearing organizations of foreign boards of trade**
   - A. Cash: **9,715,758 [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] 9,715,758 [7680]**

5. **Amounts held by members of foreign boards of trade**
   - A. Cash: **74,326 [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] 74,326 [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**: **31,212,823 [7770]**

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: **5,052,790 [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**: **4,052,790 [7785]**
<table>
<thead>
<tr>
<th><strong>Daily Segregation</strong></th>
<th><strong>Segregation Statement</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)</strong></td>
<td></td>
</tr>
<tr>
<td>1.</td>
<td><strong>Net ledger balance</strong></td>
</tr>
<tr>
<td></td>
<td>A. Cash</td>
</tr>
<tr>
<td></td>
<td>B. Securities (at market)</td>
</tr>
<tr>
<td>2.</td>
<td><strong>Net unrealized profit (loss) in open futures contracts traded on a contract market</strong></td>
</tr>
<tr>
<td>3.</td>
<td><strong>Exchange traded options</strong></td>
</tr>
<tr>
<td></td>
<td>A. Add market value of open option contracts purchased on a contract market</td>
</tr>
<tr>
<td></td>
<td>B. Deduct market value of open option contracts granted (sold) on a contract market</td>
</tr>
<tr>
<td>4.</td>
<td><strong>Net equity (deficit) (add lines 1, 2 and 3)</strong></td>
</tr>
<tr>
<td>5.</td>
<td><strong>Accounts liquidating to a deficit and accounts with debit balances - gross amount</strong></td>
</tr>
<tr>
<td></td>
<td>Less: amount offset by customer securities</td>
</tr>
<tr>
<td>6.</td>
<td><strong>Amount required to be segregated (add lines 4 and 5)</strong></td>
</tr>
<tr>
<td>7.</td>
<td><strong>FUNDS IN SEGREGATED ACCOUNTS</strong></td>
</tr>
<tr>
<td></td>
<td>A. Cash</td>
</tr>
<tr>
<td></td>
<td>B. Securities representing investments of customers’ funds (at market)</td>
</tr>
<tr>
<td></td>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
</tr>
<tr>
<td>8.</td>
<td><strong>Margins on deposit with derivatives clearing organizations of contract markets</strong></td>
</tr>
<tr>
<td></td>
<td>A. Cash</td>
</tr>
<tr>
<td></td>
<td>B. Securities representing investments of customers’ funds (at market)</td>
</tr>
<tr>
<td></td>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
</tr>
<tr>
<td>9.</td>
<td><strong>Net settlement from (to) derivatives clearing organizations of contract markets</strong></td>
</tr>
<tr>
<td>10.</td>
<td><strong>Exchange traded options</strong></td>
</tr>
<tr>
<td></td>
<td>A. Value of open long option contracts</td>
</tr>
<tr>
<td></td>
<td>B. Value of open short option contracts</td>
</tr>
<tr>
<td>11.</td>
<td><strong>Net equities with other FCMs</strong></td>
</tr>
<tr>
<td></td>
<td>A. Net liquidating equity</td>
</tr>
<tr>
<td></td>
<td>B. Securities representing investments of customers’ funds (at market)</td>
</tr>
<tr>
<td></td>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
</tr>
<tr>
<td>12.</td>
<td><strong>Segregated funds on hand</strong></td>
</tr>
<tr>
<td>13.</td>
<td><strong>Total amount in segregation (add lines 7 through 12)</strong></td>
</tr>
<tr>
<td>14.</td>
<td><strong>Excess (deficiency) funds in segregation (subtract line 6 from line 13)</strong></td>
</tr>
<tr>
<td>15.</td>
<td><strong>Management Target Amount for Excess funds in segregation</strong></td>
</tr>
<tr>
<td>16.</td>
<td><strong>Excess (deficiency) funds in segregation over (under) Management Target Amount</strong></td>
</tr>
<tr>
<td></td>
<td>Excess</td>
</tr>
</tbody>
</table>
**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**
   - Cash: 0 [8500]
   - Securities (at market): 0 [8510]

2. **Net unrealized profit (loss) in open cleared swaps**: 0 [8520]

3. **Cleared swaps options**
   - Market value of open cleared swaps option contracts purchased: 0 [8530]
   - 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 [8570] 0 [8580]

6. **Amount required to be segregated for cleared swaps customers (add lines 4 and 5)**: 0 [8590]

Funds in Cleared Swaps Customer Segregated Accounts

7. **Deposited in cleared swaps customer segregated accounts at banks**
   - Cash: 0 [8600]
   - Securities representing investments of cleared swaps customers' funds (at market): 0 [8610]
   - 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**
   - Cash: 0 [8630]
   - Securities representing investments of cleared swaps customers' funds (at market): 0 [8640]
   - 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**
    - Value of open cleared swaps long option contracts: 0 [8670]
    - Value of open cleared swaps short option contracts: 0 [8680]

11. **Net equities with other FCMs**
    - Net liquidating equity: 0 [8690]
    - Securities representing investments of cleared swaps customers' funds (at market): 0 [8700]
    - Securities held for particular cleared swaps customers in lieu of cash (at market): 0 [8710]

12. **Cleared swaps customer funds on hand**
    - Cash: 0
    - Securities representing investments of cleared swaps customers' funds (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]