



DISCIPLINARY NOTICE

June 21, 2017

SETTLEMENT OF CHARGES AGAINST WEDBUSH SECURITIES INC.

Exchange Rules:

Rule 2.21(a) - FCM Member Firm Financial and Reporting Requirements

A Member Firm which is registered as a Futures Commission Merchant or which is a Clearing Member must submit to the Exchange, within sixty (60) days of the close of its fiscal year, or, in the case of an FCM that is also registered as a broker dealer, within sixty (60) days of the close of its fiscal year, a copy of its financial statement certified by an independent Certified Public Accountant.

Summary:

A Subcommittee of the Exchange's Business Conduct Committee ("BCC Subcommittee") determined that Wedbush Securities Inc. ("Wedbush") may have violated Exchange Rule 2.21(a) by failing to submit a copy of the firm's financial statement certified by an independent Certified Public account within the requisite time period.

Penalty:

In accordance with the terms of settlement, in which Wedbush neither admitted nor denied the violation of Rule 2.21(a), Wedbush paid a monetary penalty of \$10,000.00 and agreed to cease and desist from future violations of Exchange Rule 2.21(a).

Effective Date: June 21, 2017

FOR MORE INFORMATION

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