



SERVING INVESTORS SINCE 1955

CORPORATE
PRESS KIT





Edward W. Wedbush is the Founder of Wedbush Securities. From first year revenues of \$659, Wedbush has grown to become the largest, full-service financial investment services and investment bank firm headquartered in the western USA serving clients through over 100 registered offices nationwide.

In addition to his tenure at Wedbush Securities, Ed currently serves as a Founding Board Member of the Fink Center for Finance and Investments at the University of California, Los Angeles; and a trustee emeritus of the University of Cincinnati Foundation. He previously served as Chairman of the Board of The Pacific Stock Exchange (1976-1978); Director of the National Securities Clearing Corporation (1979-1982); Board Member of the Great American Bank (1987-1992); Chairman of the NYSE Regional Firms Advisory Committee (1987-1988); and Member of the Securities Industry and Financial Markets Association (formerly Securities Industry Association), Regional Firms Committee (1985-1995), as well as its Board of Directors (1988-1990).

Ed was the recipient of the Lifetime Achievement in Entrepreneurship Award from the University of Cincinnati (2010) as well as the Ernst & Young's Entrepreneur of the Year Award, Greater Los Angeles (2006). He was honored as one of the University of California, Los Angeles' "100 Inspirational Alumni" (2011) and one the "Most Admired CEOs" by the Los Angeles Business Journal (2010).

Ed holds a Bachelor of Science (B.S.) degree in Mechanical Engineering from the University of Cincinnati and a Masters of Business Administration (M.B.A.) from the University of California, Los Angeles. Originally from St. Louis, Missouri, Ed currently resides in Southern California with his wife Jean. In his spare time, he enjoys tennis, swimming and spending time with his three children and ten grandchildren.

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ABOUT WEDBUSH SECURITIES



▶ WHO WE ARE

Wedbush Securities is a premier securities and investment services firm, providing financial services to individual, institutional, and issuing clients. Wedbush offers our clients a wide range of services, including:

- Retail & Institutional Sales
- Execution & Clearing Services
- Equity Sales, Trading & Research
- Investment Banking
- Corporate & Municipal Finance
- Prime Brokerage
- Fixed Income Sales Trading
- Wealth Management
- Private Company Strategies
- Futures

▶ OUR BUSINESS

As a full-service securities firm, Wedbush's business extends into many different areas, including:

- Individual and institutional investing, along with advisory services, through **Wealth Management**
- Clearing and execution services through **Advanced Clearing Services**
- Equities, investment banking, and fixed income, through **Capital Markets**
- Futures execution and clearing services to a variety of clients through **Wedbush Futures**
- Robust **Prime Brokerage** services to active hedge fund and professional services
- Specialized and alternative services through affiliate companies: **Wedbush Asset Management, Wedbush Capital Partners and Kluis Commodity Advisors**

▶ OUR ORGANIZATION

As an organization, we thrive because of the dedication of nearly 1,000 colleagues who make Wedbush a unique and successful company. Our associates are motivated by success, guided by our ethics, and driven to share in our unyielding devotion to our clients.

We are focused on delivering best in class service with client loyalty and integrity at the forefront of our every action. Our firm continues to grow through exceptional client relationships, with an emphasis and commitment to client financial safety and success.

Wedbush Securities Celebrated Its 60th Anniversary Diamond Jubilee in 2015

Wedbush Securities, one of the nation's leading full service investment firms, celebrated the 60th Diamond Jubilee Anniversary of its founding, on June 30th, 2015.

On June 30, 1955, two young entrepreneurs, Edward Wedbush and Robert Werner, completed the SEC registration for newly founded Wedbush & Company. Friends since grade school, they pooled \$5,000 each to capitalize their new company. With first year revenues of \$659, the founding and growth of Wedbush is an American entrepreneurial success story.

Today, Wedbush is one of the nation's leading securities firms, with nearly 1,000 colleagues in approximately 100 offices. Through advanced technology, client financial safety, dedicated service and commitment, Wedbush has a bright future.

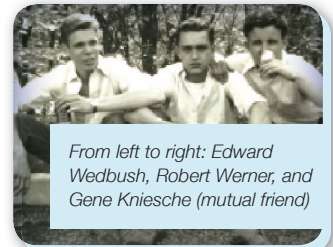


History of Wedbush Securities



20TH CENTURY

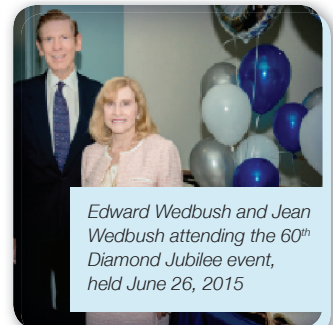
- 1955** • Wedbush & Company founded by Edward Wedbush and Robert Werner
- 1957** • First Wedbush office opened in the Crenshaw district of Los Angeles, CA
- 1969** • Acquired Noble, Cooke & Co. and expanded into wholesale business
- 1970** • Enrolled in Securities Investor Protection Corporation (SIPC)
- 1971** • Became a member of the NYSE
- 1972** • Began self-clearing and clearing for other firms
- 1975** • Acquired William R. Staats & Co., Inc. and expanded into Capital Markets
- 1980** • Formed Wedbush Capital Partners: Public & Private Equity Investments
- 1988** • Acquired Morgan, Olmstead, Kennedy & Gardner
- 1995** • Launched ClientLink, an online service providing clients with secure access to Wedbush Securities accounts
- 1999** • Launched eInvestment Bank, an online service providing investors with direct access to public offerings and private placements underwritten or managed by Wedbush Securities
- 2000** • Launched BrokerInsight, a secure platform for order entry, portfolio valuation and account management - developed with the Wedbush Financial Advisor in mind
- 2006** • Ranked #1 Liquidity Provider by NASDAQ Listed Securities
• Ed Wedbush named Ernst & Young Entrepreneur of the Year – Los Angeles
- 2008** • Acquired assets of First Wall Street Corporation and Peacock, Hislop, Staley & Given
• Rang the NASDAQ opening bell
- 2009** • Acquired assets of Pacific Growth Equities
• Rang the NYSE Opening Bell



From left to right: Edward Wedbush, Robert Werner, and Gene Kniesche (mutual friend)



NYSE Opening Bell
January 12, 2009



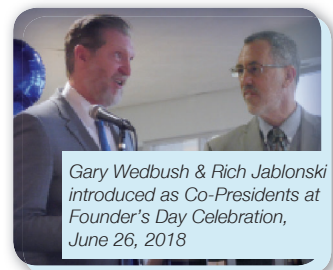
Edward Wedbush and Jean Wedbush attending the 60th Diamond Jubilee event, held June 26, 2015



NYSE Closing Bell
June 22, 2016

21ST CENTURY

- 2011** • Wedbush parent company acquired Lime Brokerage
- 2014** • Becomes first US financial institution to accept Bitcoin payments
• Expands into the Futures business
- 2015** • Wedbush Securities Celebrates its 60th Anniversary
- 2016** • Wedbush earns *Wealth Management* Social Media Leadership Award two years in a row
• Wedbush named Top Hedge Fund Research Provider by *Hedgeweek* two years in a row
- 2017** • First Capitol Ag and efutures launch new online platforms
- 2018** • Acquired assets of Kluis Commodities Advisors, sold Lime Brokerage
• Founder announces appointment of Co-Presidents, Rich Jablonski and Gary Wedbush
- 2019** • 2019 Acquired the assets of ABR Investment Strategy, LLC



Gary Wedbush & Rich Jablonski introduced as Co-Presidents at Founder's Day Celebration, June 26, 2018



WEDBUSH DIVISIONS



WEALTH MANAGEMENT GROUP

Wedbush's Wealth Management Group provides personalized investing, advising, guidance and planning services to both individual and business clients. The firm's entrepreneurial environment has led to the growth of over 100 offices across the country. Our Advisors are committed to building long-term relationships rooted in trust, reliability, and expertise. Wealth Management services include:

- Financial Planning
- Retirement Planning
- Portfolio Construction
- Asset Management Strategies
- Investment Services
- Insurance and Annuities

CAPITAL MARKETS GROUP ("CMG")

Wedbush's Capital Markets Group offers a wide range of products and services to institutional and corporate clients through:

EQUITIES

Wedbush has the largest Equities platform based on the west coast, covering more than 250 stocks. The Equities Division includes the award-winning Equity Research.

INVESTMENT BANKING

The Wedbush Investment Banking Group is composed of senior, industry-focused professionals who have extensive transactional backgrounds, long-standing industry relationships, and are dedicated to playing an active role in every transaction.

FIXED INCOME DIVISION

Wedbush Securities has one of the leading Fixed Income practices in the nation, specializing in providing comprehensive, customized investment solutions, and financing assistance to private client, institutional, municipal, and corporate clients.

ADVANCED SECURITIES DIVISION

Wedbush's Advanced Securities ("AS") Division is devoted to exploring and building sales, trading, research, investment banking, and investment fund management in new and innovative asset classes. This includes digital currency, digital contracts, and pre-IPO private shares. The Advanced Securities division also oversees the Private Shares and Digital Disruption Fund operations of the firm.

ADVANCED CLEARING SERVICES

For more than 40 years, Advanced Clearing Services has been a leader in clearing services - specializing in providing custom execution, advanced clearing, and custody solutions for organizations, including:

- Retail Broker Dealers
- Hedge Funds
- Institutional Firms
- Investment Banks
- Automated Trading Firms
- Municipal Bond Underwriters
- Professional Trading Firms

“Our brand is emblematic of the best-in-class service we aim to deliver to our clients every day.”

– NATALIE A. SVIDER
Senior Vice President
& Communications Director
Los Angeles, CA

WEDBUSH PACGROW HEALTHCARE

Wedbush PacGrow Healthcare is a leading investment banking group, focused on servicing the financial needs of public and private healthcare companies for over 25 years. We have a full range of capabilities; including IPOs, Follow-ons, Registered Clients, PIPEs, ATMs, Private Equity, M&A, and Strategic Advisory.



WEDBUSH DIVISIONS (CONTINUED)



▶ WEDBUSH FUTURES

Wedbush Futures is a full service Futures Commission Merchant (“FCM”) that provides futures execution and clearing services to a variety of clients, including non-clearing FCMs, introducing brokers, professional traders, institutions, commercial hedgers, and AP users. Wedbush Futures has a distinct advantage when it comes to executing and clearing because they combine the latest technology and innovations with their personalized service.

WEDBUSH
FUTURES

▶ WEDBUSH PRIME BROKERAGE

Prime Brokerage enhances the Wedbush platform to best serve emerging and mid-sized money managers, hedge funds, investment advisors, high net worth individuals, family offices, and proprietary traders.

WEDBUSH
PRIME BROKERAGE

▶ WEDBUSH SECURITIES FINANCE

Wedbush’s Securities Finance Division provides both internal and external counterparts with long financing and short sale coverage on US Securities, as well as, electronic affirmative determination for short sale requests. Traded products include ADR’s, General Collateral, ETF’s, Specials, and Corporate Bonds.

WEDBUSH
SECURITIES FINANCE

▶ KLUIS COMMODITY ADVISORS

The Kluis Commodity Advisors team is made up of commodity experts, who provide farmers with a full set of tools to help take control over their grain marketing. Kluis Commodity Advisors service suites scale with client’s production, and its seminar series, publications, weekly reports, and market updates enable farmers to make and act upon a marketing plan that fits their particular operation.

 **KLUIS**
COMMODITY ADVISORS

EXECUTIVE BIOS



Rich Jablonski | Co-President

Rich Jablonski is Co-President of Wedbush Securities, overseeing day-to-day management, the strategic direction, development, and growth of all Wedbush Securities client services. Prior to being named Co-President, he was Executive Vice President of Treasury, where he oversaw the firm's securities lending / borrow, prime brokerage and cash management groups. Additionally, he sits on Lime Brokerage's Board of Directors. He is also a member of the Executive Management Committee. Rich has over 20 years of financial experience and began his career at Wedbush in October 2012 as Senior Vice President, Correspondent Services.

Rich graduated from the University of Rhode Island with a Bachelor of Science in Business Administration with High Distinction. He currently holds his CPA, as well as Series 4, 7, 24, 27 and 63 licenses.



Gary Wedbush | Co-President

Gary Wedbush is Co-President of Wedbush Securities, overseeing day-to-day management, the strategic direction, development, and growth of all Wedbush Securities client services. Prior to this, Gary was Wedbush Securities' Executive Vice President and Head of Capital Markets and Correspondent Services, responsible for all Capital Markets functions, including investment banking, equities, fixed income, and clearing and execution services. He has been with the firm since February 1998. Gary is a member of the Wedbush Securities President's Executive and Executive Management Committees, and a Board Member of Lime Brokerage. Before joining the firm, Gary was Principal and Director of Convertible Securities of the former Montgomery Securities (now Bank of America Merrill Lynch Securities) in San Francisco. He also served as an institutional trader in the Convertible Securities departments at Lehman Brothers and S.G. Warburg in New York.

He received his Bachelor of Science from the University of California, Los Angeles, and his MBA from the Kellogg School of Management, Northwestern University.

EXECUTIVE BIOS



Don Hultgren | Executive Vice President and Chief Administrative Officer

Donald W. Hultgren is an Executive Vice President and Chief Administrative Officer (“CAO”) at Wedbush Securities. With over 35 years of experience in the financial industry, Don joins Wedbush after being President of Three Part Advisors, LLC, a Texas-based, capital markets advisory firm. Previously, he was President and Chief Executive Officer of SWS Group, the New York Stock Exchange listed holding company of Southwest Securities. Don began his career in 1981 as an equity research analyst and was Director of Equity Research at Raymond James and Associates before moving on to SWS. Prior to joining Wedbush Securities as CAO, Don has served on the Board of Directors of Wedbush Securities since 2013, and is a current director. Mr. Hultgren earned his Bachelor of Arts in Accounting and Business/Management from Augustana College in Rock Island, IL, and then went on to complete his MBA with a concentration in Finance, from the University of Texas at Austin.



Christopher Mone | Executive Vice President and Head of Wealth Management

Christopher “Chris” Mone is Executive Vice President and Head of the Wealth Management division of Wedbush Securities, and serves as a member of the Wedbush Securities President’s Executive Committee. Chris joined Wedbush in 2019 and is responsible for overseeing the firm’s Wealth Management division. He has 25 years of experience in private wealth management and joins Wedbush from Wilmington Trust, where he served as President of U.S. Markets of Wilmington Trust Advisory. Prior to this Chris held management positions at BNY Melon Wealth Management, UBS Wealth Management, and Prudential Securities. Chris earned his Bachelor of Arts degree from St. John’s University and his Juris Doctor from Fordham University School of Law.

EXECUTIVE BIOS



Dan E. Billings | [Executive Vice President and Chief Financial Officer](#)

Dan Billings is the Executive Vice President and Chief Financial Officer at Wedbush Securities. With an extensive background in financial services and experience with FINRA and SEC filings, his previous roles include public accounting, treasury, financial statements preparation, and regulatory reporting. Prior to joining Wedbush, Dan served as Vice President, Treasury, and Senior Vice President, Legal Entity Controller and Product Controller at Jefferies high yield trading division, before eventually becoming their Senior Vice President, General Ledger Controller. Preceding this, Dan served as Audit Manager at KPMG US, where he managed all aspects of audit engagements for SEC registrants, asset managers, registered broker dealers, and precious metal brokers. Dan is a Certified Public Accountant and currently holds his Series 27, Financial & Operations Principal, license. He earned his Bachelor's Degree in Accounting from Pepperdine University.



Danny Nadalalicea | [Executive Vice President and Chief Information Officer](#)

Danny Nadalalicea is an Executive Vice President and Chief Information Officer for Wedbush Securities. In this newly created role, Danny will be responsible for firm-wide development and execution of information technology, and is based in Wedbush's Los Angeles headquarters. Prior to joining Wedbush, he spent 12 years with CLSA, Ltd, in technology management roles, with the last two and a half years as its Managing Director and Chief Information Officer. He also served as a Chief Technology Officer with SetClear, and VicePresident, Senior Software Engineer with G-Trade.

Danny received his Bachelor's degree in Computer Science from Queens College and is a veteran of the United States Army, where he served as a Linguist/Analyst while stationed in Germany. Danny, his wife, Claudia, and son, Bobby, currently live in Los Angeles. His oldest son David lives in Traverse City, Michigan with his son, Jude. While in LA, one of Danny's personal goals is to help Bobby, a high functioning autistic adult, realize his dream of living independently and becoming a professional gamer.

EXECUTIVE BIOS



Andrew Druch, Esq. | Executive Vice President, General Counsel

Andrew Druch is Executive Vice President and General Counsel at Wedbush Securities. Andrew also serves on the Presidents' Executive Committee. He joined Wedbush in 2019 and is responsible for firm-wide oversight of legal, compliance, and regulatory matters, as well as human resources and corporate governance.

Andrew has over 30 years of broad-reaching legal experience in securities and banking. Throughout his career he has played a pivotal role in building and mentoring legal and compliance departments to better serve companies' business lines. He held the role of General Counsel for ING Bank, Rabobank, and most recently, DNB. Andrew began his legal career at the New York Stock Exchange, where he was held in high regard for his deep regulatory knowledge, drawing attention from firms, including Lehman Brothers and Drexel Burnham Lambert, where he played an integral role during both of the firms' periods of success.

Andrew received his Bachelor's degree in Political Science from State University of New York at Albany and his J.D. from Rutgers University School of Law.



Edward W. Wedbush | Founder

Edward W. Wedbush is Founder of Wedbush Securities. In 2006, Edward was the recipient of Ernst & Young's Entrepreneur of the Year Award, Greater Los Angeles, as well as the Lifetime Achievement in Entrepreneurship Award from the University of Cincinnati in 2010. He was honored as one of the "Most Admired CEOs" by the Los Angeles Business Journal in 2010, and one of the University of California, Los Angeles' "100 Inspirational Alumni" in 2011. Edward currently serves as a Founding Board Member of the Fink Center for Finance and Investments at the University of California, Los Angeles, and as a Board Member of the University of Cincinnati Foundation. He previously served as Chairman of the Board of The Pacific Stock Exchange (1976-1978), Director of the National Securities Clearing Corporation (1979-1982), Board Member of the Great American Bank (1987-1992), Chairman of the NYSE Regional Firms Advisory Committee (1987-1988), Member of the Securities Industry and Financial Markets Association (formerly Securities Industry Association), and Member of the Regional Firms Committee (1985-1995), as well as its Board of Directors (1988-1990). Edward holds a Bachelor of Science (B.S.) degree in Mechanical Engineering from the University of Cincinnati and a Masters of Business Administration (MBA) from the University of California, Los Angeles.



AWARDS & ACCOLADES



- ▶ In 2019, StarMine Analysts Awards from Refinitive ranked Wedbush analysts #1 Overall Top Earnings Estimator, #1 Earnings Estimators in Software, Banks, Entertainment, Thrifts & Mortgage Finance, and #3 in Hotel & Leisure.
- ▶ In 2018, Wedbush Prime Brokerage was named "Best North American Hedge Fund Research Provider" by HedgeWeek USA.
- ▶ In 2018 Wedbush Securities was awarded a Hermes Gold Award for its launch and social media engagement for its eFutures Twitter.
- ▶ In 2018, Wedbush Prime Brokerage was named "Best Global American Hedge Fund Research Provider" by HedgeWeek Global.
- ▶ In 2017, *Thomson Reuters' StarMine* ranks Wedbush as #1 Top Earnings Estimators in "Software" and "Banks", and #2 Top Earnings Estimator in "Leisure Products".
- ▶ In 2017, Wedbush was awarded "Broker/Dealers Social Media Leadership" by *WealthManagement.com*.
- ▶ In 2017, Wedbush Securities' Marketing Department was awarded a platinum MarCom Award for its New Advisor Marketing Manual.
- ▶ In 2017, Wedbush Prime Brokerage was named "Best North American Hedge Fund Research Provider" by HedgeWeek USA.
- ▶ In 2017, Wedbush Securities' Senior Vice President and Office Manager, Katrina Dudley, was named one of the *On Wall Street* 2017 "Top 100 Branch Manager."
- ▶ In 2017, Wedbush Securities' Co-Head Equities, Kirsten Fraunces, was recognized as one of the *L.A. Biz* "Women of Influence."
- ▶ In 2017, Wedbush Futures was awarded "Best Boutique FCM" by the CTA Intelligence US Service Awards.
- ▶ In 2017, Lime Brokerage was awarded two Markets Choice Awards: "Best Boutique FCM" and "Rising Star" for Patrick Menard.
- ▶ In 2017, Lime Brokerage was awarded "Best Trading Platform" by Fund Technology/Wall Street Letter Awards.
- ▶ In 2017, Wedbush Securities' Senior Vice President and Head of Marketing, Sarah Gosler, was named one of *Direct Marketing News'* Inaugural "Women to Watch."
- ▶ In 2017, Wedbush Securities' Marketing Department was named the recipient of two Gold Hermes Awards.
- ▶ In 2016, Lime Brokerage was awarded "Best Infrastructure/Technology Initiative" by Wall Street Letter Institutional Trading Awards.
- ▶ In 2016, Wedbush Securities and Lime Brokerage was awarded two Markets Choice Awards: "Best Systematic Trading Technology" and "Achievement in Innovation" for Sheri Kaiserman.
- ▶ In 2016, Wedbush Futures was awarded "Best Boutique FCM" by the CTA Intelligence US CTA Service Awards.
- ▶ In 2016, Wedbush Securities' Senior Vice President and Head of Marketing, Sarah Gosler, was nominated for the "Executive of the Year" and "Rising Star" by *LA Business Journal Women's Summit*.
- ▶ In 2016, Wedbush Securities' Marketing Department was awarded four Hermes Creative Awards for its Corporate Press Kit, CFS Brochure, and Lime Brokerage Brochure.
- ▶ In 2016, Wedbush Prime Brokerage was named "Best North American Hedge Fund Research Provider" by HedgeWeek USA.
- ▶ In 2016, Wedbush was awarded "Broker/Dealers Social Media Leadership" by *WealthManagement.com*.
- ▶ In 2016, Wedbush Securities' Marketing Department was awarded four 2016 MarCom Awards for its Wedbush Wire, WAM RIA Brochure, Wedbush Media Kit, HR Recruiting Brochure, and Lime Brokerage Brochure.
- ▶ In 2016, *Thomson Reuters' StarMine* "Industry Analyst Awards" ranked Wedbush analysts #2 Top Stock Pickers in Biotechnology and Media. In addition, Wedbush analysts were also ranked #2 Top Earnings Estimators in Software, Food & Staples Retailing, and #3 Top Earnings Estimator in Specialty Retail.
- ▶ In 2015, Wedbush Securities' Senior Vice President and Head of Marketing, Sarah Gosler, was awarded *L.A. Biz Journal's* 2016 "Women of Influence" Award, along with 49 other outstanding female executives in the Los Angeles area.
- ▶ In 2015, Wedbush Securities' Marketing Department was named the recipient of three MarCom Awards. Wedbush was awarded the Platinum Award for the Lime Brokerage branding refreshment, the Gold Award for the Wedbush Future's "Optimize Your Performance" brochure and tri-fold, and an Honorable Mention for the Wedbush PCS Recruiting Brochure.
- ▶ In 2015, *Thomson Reuters' StarMine* "Industry Analyst Awards" ranked Wedbush analysts #1 Top Stock Picker in Biotechnology, #1 and #3 Top Earnings Estimator in Software. Wedbush was also awarded #4 in "Overall Analyst Awards" Top Earnings Estimators in Software.
- ▶ In 2014, *Thomson Reuters' StarMine* "Industry Analyst Awards" ranked Wedbush analysts #2 Top Stock Picker in Biotechnology, Restaurants, and Textiles/Apparel/Luxury Goods, and #3 in Leisure. Wedbush analysts were also ranked #3 Top Earnings Estimator in Software.
- ▶ In 2013, Thomson Reuters StarMine Industry Analysts Awards ranks Wedbush analysts #1 Top Stock Picker Leisure Equipment & Products, #2 in Software, and #3 in Machinery. Also ranked as #1 Top Earnings Estimators in Leisure Equipment & Products, Life Sciences Tools & Services, #3 in Multiline Retail, and in Overall Earnings Estimators, Wedbush ranked #2 and #4.

OFFICE LOCATIONS



SAN FRANCISCO, CA

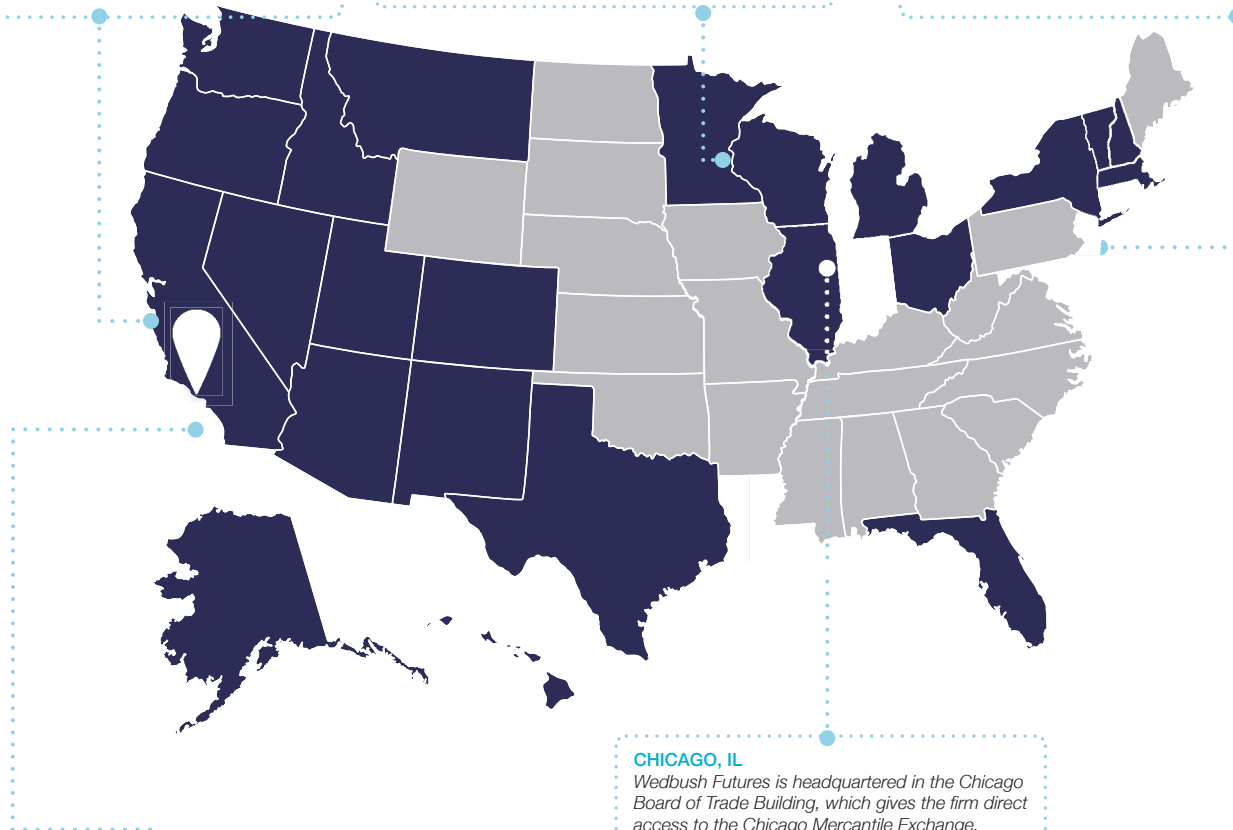
Wedbush San Francisco, which houses the firm's Healthcare Investment Banking group, is headquartered in the Embarcadero Center.

WAYZATA, MN

Kluis Commodity Advisors is headquartered just outside of Minneapolis, in Wayzata, MN, and is home to one of the most well-regarded commodity specialists in the world, Al Kluis.

NEW YORK, NY

Wedbush's main New York City office is home to the firm's Capital Markets group (in Midtown).



CHICAGO, IL

Wedbush Futures is headquartered in the Chicago Board of Trade Building, which gives the firm direct access to the Chicago Mercantile Exchange.



CORPORATE HEADQUARTERS

1000 Wilshire Boulevard. Los Angeles, CA 90017

ALASKA
ARIZONA
CALIFORNIA
COLORADO
FLORIDA
HAWAII

IDAHO
ILLINOIS
MASSACHUSETTS
MICHIGAN
MISSOURI
MINNESOTA

MONTANA
NEVADA
NEW JERSEY
NEW MEXICO
NEW YORK
OHIO

OREGON
TEXAS
UTAH
VERMONT
WASHINGTON
WISCONSIN

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