INITIAL
End Date: 11/26/2020
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/27/2020
INITIAL
End Date: 11/26/2020
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/27/2020

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):
a. Minimum dollar amount: 19,000,000
b. Minimum percentage of customer segregated funds required: 0%
c. 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):
a. Minimum dollar amount: 1,000,000
b. Minimum percentage of customer secured funds required: 0%
c. 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):
a. Minimum dollar amount: 0
b. Minimum percentage of cleared swaps customer collateral required: 0%
c. 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**
   - **A. Cash:** $18,581,950 [7315]
   - **B. Securities (at market):** $0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** $1,496,990 [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.)**
   - $20,078,940 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**
   - **Less: amount offset by customer owned securities:** $0 [7352] $9,365 [7354]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**
   - $20,088,305 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**
   - $20,088,305 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **A. Banks located in the United States:** $6,136,008 [7500]
   - **B. Other banks qualified under Regulation 30.7:** $1,190,139 [7520] $7,326,147 [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:** $6,048,177 [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] $6,048,177 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A. Cash:** $5,982,105 [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] $5,982,105 [7680]

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash:** $4,232,869 [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] $4,232,869 [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**
   - $23,589,298 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
   - $3,500,993 [7780]

10. **Excess (deficiency) funds in separate section 30.7 accounts over (under) Management Target**
    - $1,000,000 [7780]

11. **Excess (deficiency) funds in separate 30.7 accounts**
    - $2,500,993 [7785]
**INITIAL**

**End Date:** 11/26/2020  
**Firm Name:** WEDBUSH SECURITIES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 11/27/2020

**Daily Segregation - Segregation Statement**

SEgregation REQUIREMENTS (Section 4d(2) of the CEA)  

1. Net ledger balance  
   A. Cash 1,056,707,046 [7010]  
   B. Securities (at market) 62,953,575 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 7,559,051 [7030]

3. Exchange traded options  
   A. Add market value of open option contracts purchased on a contract market 2,779,059,471 [7032]  
   B. Deduct market value of open option contracts granted (sold) on a contract market -2,581,662,419 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 1,324,616,724 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 239,667 [7045]  
   Less: amount offset by customer securities -116,998 [7047] 122,669 [7050]

6. Amount required to be segregated (add lines 4 and 5) 1,324,739,393 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**  

7. Deposited in segregated funds bank accounts  
   A. Cash 398,532,256 [7070]  
   B. Securities representing investments of customers' funds (at market) 0 [7080]  
   C. Securities held for particular customers or option customers in lieu of cash (at market) 505,000 [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets  
   A. Cash 217,949,565 [7100]  
   B. Securities representing investments of customers' funds (at market) 474,968,550 [7110]  
   C. Securities held for particular customers or option customers in lieu of cash (at market) 57,906,666 [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets 1,671,545 [7130]

10. Exchange traded options  
    A. Value of open long option contracts 2,779,059,471 [7132]  
    B. Value of open short option contracts -2,581,662,419 [7133]

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

12. Segregated funds on hand 4,541,909 [7150]

13. Total amount in segregation (add lines 7 through 12) 1,353,472,543 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 28,733,150 [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 9,733,150 [7198]
**Daily Segregation - Swaps Statement**

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 [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
    C. Securities held for particular cleared swaps customers in lieu of cash (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]