INITIAL
End Date: 1/4/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 1/5/2021
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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: $ ; or $19,000,000
   b. Minimum percentage of customer segregated funds required: % ; or 0%
   c. Dollar amount range between: and ; or 0 0
   d. Percentage range of customer segregated funds required between: % and %. 0 0

FCM’s Customer Secured Amount Funds Residual Interest Target (choose one):
   a. Minimum dollar amount: $ ; or $1,000,000
   b. Minimum percentage of customer secured funds required: % ; or 0%
   c. Dollar amount range between: and ; or 0 0
   d. Percentage range of customer secured funds required between: % and %. 0 0

FCM’s Cleared Swaps Customer Collateral Residual Interest Target (choose one):
   a. Minimum dollar amount: $ ; or 0
   b. Minimum percentage of cleared swaps customer collateral required: % ; or 0%
   c. Dollar amount range between: and ; or 0 0
   d. Percentage range of cleared swaps customer collateral required between: % and %. 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:** $23,969,808 [7315]
   - **B. Securities (at market):** $0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** $1,709,689 [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.)**: $25,679,497 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**
   - **Less: amount offset by customer owned securities:** $0 [7352] $10,406 [7354]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**: $25,689,903 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: $25,689,903 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **A. Banks located in the United States:** $5,821,427 [7500]
   - **B. Other banks qualified under Regulation 30.7:** $2,713,610 [7520] $8,535,037 [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:** $7,242,617 [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] $7,242,617 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A. Cash:** $9,037,302 [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] $9,037,302 [7680]

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash:** $4,460,350 [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] $4,460,350 [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:** $29,275,306 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: $3,585,403 [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:** $2,585,403 [7785]
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Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash 932,120,843 [7010]
   B. Securities (at market) 84,262,268 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 84,324,190 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 2,732,715,170 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -2,521,018,031 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 1,312,404,440 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 1,597,202 [7045]
   Less: amount offset by customer securities 89,745 [7047] 1,507,457 [7050]

6. Amount required to be segregated (add lines 4 and 5) 1,313,911,897 [7060]

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   A. Cash 386,469,573 [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) 416,040 [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   A. Cash 251,274,451 [7100]
   B. Securities representing investments of customers’ funds (at market) 399,970,884 [7110]
   C. Securities held for particular customers or option customers in lieu of cash (at market) 78,977,453 [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets 4,451,617 [7130]

10. Exchange traded options
    A. Value of open long option contracts 2,732,715,170 [7132]
    B. Value of open short option contracts -2,521,018,031 [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 4,868,775 [7150]

13. Total amount in segregation (add lines 7 through 12) 1,338,125,932 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 24,214,035 [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 5,214,035 [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
   - B. Securities (at market)

2. **Net unrealized profit (loss) in open cleared swaps**

3. **Cleared swaps options**
   - A. Market value of open cleared swaps option contracts purchased
   - B. Market value of open cleared swaps option contracts granted (sold)

4. **Net Equity (deficit) (add lines 1, 2, and 3)**

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Less: amount offset by customer owned securities

6. **Amount required to be segregated for cleared swaps customers (add lines 4 and 5)**

**Funds in Cleared Swaps Customer Segregated Accounts**

7. Deposited in cleared swaps customer segregated accounts at banks
   - A. Cash
   - B. Securities representing investments of cleared swaps customers' funds (at market)
   - C. Securities held for particular cleared swaps customers in lieu of cash (at market)

8. **Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts**
   - A. Cash
   - B. Securities representing investments of cleared swaps customers' funds (at market)
   - C. Securities held for particular cleared swaps customers in lieu of cash (at market)

9. **Net settlement from (to) derivatives clearing organizations**

10. **Cleared swaps options**
    - A. Value of open cleared swaps long option contracts
    - B. Value of open cleared swaps short option contracts

11. **Net equities with other FCMs**
    - A. Net liquidating equity
    - B. Securities representing investments of cleared swaps customers' funds (at market)
    - C. Securities held for particular cleared swaps customers in lieu of cash (at market)

12. **Cleared swaps customer funds on hand**
    - A. Cash
    - B. Securities representing investments of cleared swaps customers' funds (at market)
    - C. Securities held for particular cleared swaps customers in lieu of cash (at market)

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]