INITIAL
End Date: 1/21/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 1/22/2021
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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
b. Minimum percentage of customer segregated funds required: % ; or
   19,000,000
   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
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**: 24,078,978 [7315]
   - **B. Securities (at market)**: 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: 662,367 [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.)**: 24,741,345 [7350]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**: 15,512 [7350]
   - **Less: amount offset by customer owned securities**: 0 [7352] 15,512 [7354]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**: 24,756,857 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: 24,756,857 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**
   - **A. Banks located in the United States**: 9,235,534 [7500]
   - **B. Other banks qualified under Regulation 30.7**: 1,549,769 [7520] 10,785,303 [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**: 5,800,021 [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] 5,800,021 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A. Cash**: 11,700,863 [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] 11,700,863 [7680]

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash**: 811,382 [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] 811,382 [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**: 29,097,569 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Segured Statement Page 1 from Line 8)**: 4,340,712 [7380]

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**: 3,340,712 [7785]
<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td><strong>1. Net ledger balance</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>928,366,509</td>
<td>[7010]</td>
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<tr>
<td>B. Securities (at market)</td>
<td>89,191,580</td>
<td>[7020]</td>
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<tr>
<td><strong>2. Net unrealized profit (loss) in open futures contracts traded on a contract market</strong></td>
<td>59,471,701</td>
<td>[7030]</td>
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<tr>
<td><strong>3. Exchange traded options</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Add market value of open option contracts purchased on a contract market</td>
<td>3,049,578,360</td>
<td>[7032]</td>
</tr>
<tr>
<td>B. Deduct market value of open option contracts granted (sold) on a contract market</td>
<td>-2,774,336,079</td>
<td>[7033]</td>
</tr>
<tr>
<td><strong>4. Net equity (deficit) (add lines 1, 2 and 3)</strong></td>
<td>1,352,272,071</td>
<td>[7040]</td>
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<td><strong>5. Accounts liquidating to a deficit and accounts with debit balances - gross amount</strong></td>
<td>225,043</td>
<td>[7045]</td>
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<tr>
<td>Less: amount offset by customer securities</td>
<td>-119,724</td>
<td>105,319</td>
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<td><strong>6. Amount required to be segregated (add lines 4 and 5)</strong></td>
<td>1,352,377,390</td>
<td>[7060]</td>
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<td><strong>7. Deposited in segregated funds bank accounts</strong></td>
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<tr>
<td>A. Cash</td>
<td>376,753,061</td>
<td>[7070]</td>
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<tr>
<td>B. Securities representing investments of customers’ funds (at market)</td>
<td>0</td>
<td>[7080]</td>
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<tr>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>444,868</td>
<td>[7090]</td>
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<td><strong>8. Margins on deposit with derivatives clearing organizations of contract markets</strong></td>
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<td></td>
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<tr>
<td>A. Cash</td>
<td>187,703,989</td>
<td>[7100]</td>
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<tr>
<td>B. Securities representing investments of customers’ funds (at market)</td>
<td>449,949,488</td>
<td>[7110]</td>
</tr>
<tr>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>84,374,712</td>
<td>[7120]</td>
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<tr>
<td><strong>9. Net settlement from (to) derivatives clearing organizations of contract markets</strong></td>
<td>2,717,721</td>
<td>[7130]</td>
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<td><strong>10. Exchange traded options</strong></td>
<td></td>
<td></td>
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<tr>
<td>A. Value of open long option contracts</td>
<td>3,049,578,360</td>
<td>[7132]</td>
</tr>
<tr>
<td>B. Value of open short option contracts</td>
<td>-2,774,336,079</td>
<td>[7133]</td>
</tr>
<tr>
<td><strong>11. Net equities with other FCMs</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Net liquidating equity</td>
<td>0</td>
<td>[7140]</td>
</tr>
<tr>
<td>B. Securities representing investments of customers’ funds (at market)</td>
<td>0</td>
<td>[7160]</td>
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<tr>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>0</td>
<td>[7170]</td>
</tr>
<tr>
<td><strong>12. Segregated funds on hand</strong></td>
<td>4,372,000</td>
<td>[7150]</td>
</tr>
<tr>
<td><strong>13. Total amount in segregation (add lines 7 through 12)</strong></td>
<td>1,381,558,120</td>
<td>[7180]</td>
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<tr>
<td><strong>14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)</strong></td>
<td>29,180,730</td>
<td>[7190]</td>
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<tr>
<td><strong>15. Management Target Amount for Excess funds in segregation</strong></td>
<td>19,000,000</td>
<td>[7194]</td>
</tr>
<tr>
<td><strong>16. Excess (deficiency) funds in segregation over (under) Management Target Amount</strong></td>
<td>10,180,730</td>
<td>[7198]</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**
   - 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: \(0\) [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**
   - 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): \(0\) [8715]
    - C. Securities held for particular cleared swaps customers in lieu of cash (at market): \(0\) [8720]

13. **Total amount in cleared swaps customer segregation (add lines 7 through 12)**: \(0\) [8730]

14. **Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)**: \(0\) [8760]

15. Management Target Amount for Excess funds in cleared swaps segregated accounts: \(0\) [8770]

16. **Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management**