INITIAL
End Date: 2/3/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 2/4/2021
End Date: 2/3/2021
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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: $19,000,000
b. Minimum percentage of customer segregated funds required: 0%
c. Dollar amount range between: $0
   and: $0
d. 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
d. 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
d. 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]

<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers</td>
<td>23,356,999 [7315]</td>
</tr>
<tr>
<td>A.</td>
<td>Cash</td>
<td>23,356,999 [7315]</td>
</tr>
<tr>
<td>B.</td>
<td>Securities (at market)</td>
<td>0 [7317]</td>
</tr>
<tr>
<td>2</td>
<td>Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade</td>
<td>30,246 [7325]</td>
</tr>
<tr>
<td>3</td>
<td>Exchange traded options</td>
<td></td>
</tr>
<tr>
<td>a.</td>
<td>Market value of open option contracts purchased on a foreign board of trade</td>
<td>0 [7335]</td>
</tr>
<tr>
<td>b.</td>
<td>Market value of open contracts granted (sold) on a foreign board of trade</td>
<td>0 [7337]</td>
</tr>
<tr>
<td>4</td>
<td>Net equity (deficit) (add lines 1. 2. and 3.)</td>
<td>23,387,245 [7345]</td>
</tr>
<tr>
<td>5</td>
<td>Account liquidating to a deficit and account with a debit balances - gross amount</td>
<td>5,240 [7351]</td>
</tr>
<tr>
<td>Less:</td>
<td>amount offset by customer owned securities</td>
<td>0 [7352] 5,240 [7354]</td>
</tr>
<tr>
<td>6</td>
<td>Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)</td>
<td>23,392,485 [7355]</td>
</tr>
<tr>
<td>7</td>
<td>Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6</td>
<td>23,392,485 [7360]</td>
</tr>
</tbody>
</table>

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Cash in banks</td>
<td></td>
</tr>
<tr>
<td>A.</td>
<td>Banks located in the United States</td>
<td>7,640,461 [7500]</td>
</tr>
<tr>
<td>B.</td>
<td>Other banks qualified under Regulation 30.7</td>
<td>3,340,546 [7520] 10,981,007 [7530]</td>
</tr>
<tr>
<td>2</td>
<td>Securities</td>
<td></td>
</tr>
<tr>
<td>A.</td>
<td>In safekeeping with banks located in the United States</td>
<td>0 [7540]</td>
</tr>
<tr>
<td>B.</td>
<td>In safekeeping with other banks qualified under Regulation 30.7</td>
<td>0 [7560] 0 [7570]</td>
</tr>
<tr>
<td>3</td>
<td>Equities with registered futures commission merchants</td>
<td></td>
</tr>
<tr>
<td>A.</td>
<td>Cash</td>
<td>5,857,689 [7580]</td>
</tr>
<tr>
<td>B.</td>
<td>Securities</td>
<td>0 [7590]</td>
</tr>
<tr>
<td>C.</td>
<td>Unrealized gain (loss) on open futures contracts</td>
<td>0 [7600]</td>
</tr>
<tr>
<td>D.</td>
<td>Value of long option contracts</td>
<td>0 [7610]</td>
</tr>
<tr>
<td>E.</td>
<td>Value of short option contracts</td>
<td>0 [7615] 5,857,689 [7620]</td>
</tr>
<tr>
<td>4</td>
<td>Amounts held by clearing organizations of foreign boards of trade</td>
<td></td>
</tr>
<tr>
<td>A.</td>
<td>Cash</td>
<td>10,275,028 [7640]</td>
</tr>
<tr>
<td>B.</td>
<td>Securities</td>
<td>0 [7650]</td>
</tr>
<tr>
<td>C.</td>
<td>Amount due to (from) clearing organization - daily variation</td>
<td>0 [7660]</td>
</tr>
<tr>
<td>D.</td>
<td>Value of long option contracts</td>
<td>0 [7670]</td>
</tr>
<tr>
<td>E.</td>
<td>Value of short option contracts</td>
<td>0 [7675] 10,275,028 [7680]</td>
</tr>
<tr>
<td>5</td>
<td>Amounts held by members of foreign boards of trade</td>
<td></td>
</tr>
<tr>
<td>A.</td>
<td>Cash</td>
<td>794,969 [7700]</td>
</tr>
<tr>
<td>B.</td>
<td>Securities</td>
<td>0 [7710]</td>
</tr>
<tr>
<td>C.</td>
<td>Unrealized gain (loss) on open futures contracts</td>
<td>0 [7720]</td>
</tr>
<tr>
<td>D.</td>
<td>Value of long option contracts</td>
<td>0 [7730]</td>
</tr>
<tr>
<td>E.</td>
<td>Value of short option contracts</td>
<td>0 [7735] 794,969 [7740]</td>
</tr>
<tr>
<td>6</td>
<td>Amounts with other depositories designated by a foreign board of trade</td>
<td>0 [7760]</td>
</tr>
<tr>
<td>7</td>
<td>Segregated funds on hand</td>
<td>0 [7765]</td>
</tr>
<tr>
<td>8</td>
<td>Total funds in separate section 30.7 accounts</td>
<td>27,908,693 [7770]</td>
</tr>
<tr>
<td>9</td>
<td>Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)</td>
<td>4,516,208 [7780]</td>
</tr>
<tr>
<td>10</td>
<td>Management Target Amount for Excess funds in separate section 30.7 accounts</td>
<td>1,000,000 [7780]</td>
</tr>
<tr>
<td>11</td>
<td>Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target</td>
<td>3,516,208 [7785]</td>
</tr>
</tbody>
</table>
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**: 1,021,139,318 [7010]
   - **B. Securities (at market)**: 88,522,909 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: -22,270,210 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**: 3,182,010,158 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: -2,915,828,080 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 1,353,574,095 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 234,087 [7045]
   - Less: amount offset by customer securities: -126,916
   - **107,171** [7050]

6. **Amount required to be segregated (add lines 4 and 5)**: 1,353,681,266 [7060]

#### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**: 388,628,215 [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)**: 432,533 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**: 245,688,670 [7100]
   - **B. Securities representing investments of customers' funds (at market)**: 399,984,485 [7110]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**: 83,216,814 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**: -6,320,369 [7130]

10. **Exchange traded options**
    - **A. Value of open long option contracts**: 3,182,010,158 [7132]
    - **B. Value of open short option contracts**: -2,915,828,080 [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**: 4,873,562 [7150]

13. **Total amount in segregation (add lines 7 through 12)**: 1,382,685,988 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 29,004,722 [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**: 10,004,722 [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**
   - Less: amount offset by customer owned securities 0 [8560]

6. **Amount required to be segregated for cleared swaps customers (add lines 4 and 5)** 0 [8570] 0 [8580]

### 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]

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]