INITIAL
End Date: 2/4/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 2/5/2021
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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
b. Minimum percentage of customer segregated funds required: % ; or
c. Dollar amount range between: and; or
d. Percentage range of customer segregated funds required between: % and %.

19,000,000
0
0
0

FCM’s Customer Secured Amount Funds Residual Interest Target (choose one):

a. Minimum dollar amount: $ ; or
b. Minimum percentage of customer secured funds required: % ; or
c. Dollar amount range between: and; or
d. Percentage range of customer secured funds required between: % and %.

1,000,000
0
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
c. Dollar amount range between: and; or
d. Percentage range of cleared swaps customer collateral required between: % and %.

0
0
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 22,533,953 [7315]
   B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade -148,429 [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.) 22,389,524 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount 4,055 [7351]
   Less: amount offset by customer owned securities 4,055 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) 22,389,579 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6 22,389,579 [7360]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   A. Banks located in the United States 6,620,707 [7500]
   B. Other banks qualified under Regulation 30.7 3,276,544 [7520] 9,897,251 [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 [7560] 0 [7570]

3. Equities with registered futures commission merchants
   A. Cash 6,162,991 [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] 6,162,991 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   A. Cash 10,117,932 [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] 10,117,932 [7680]

5. Amounts held by members of foreign boards of trade
   A. Cash 788,786 [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] 788,786 [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 26,966,960 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 4,577,381 [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 3,577,381 [7785]
**Daily Segregation - Segregation Statement**

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

1. **Net ledger balance**
   - A. Cash 961,341,539 [7010]
   - B. Securities (at market) 83,251,980 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - 19,109,961 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market 3,200,990,051 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market -2,940,150,035 [7033]
   - Net equity (deficit) (add lines 1, 2 and 3) 1,324,543,496 [7040]

4. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - 235,280 [7045]
   - Less: amount offset by customer securities -126,511 [7047] 108,769 [7050]

5. **Amount required to be segregated (add lines 4 and 5)**
   - 1,324,652,265 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - A. Cash 374,950,718 [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) 444,852 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - A. Cash 248,749,439 [7100]
   - B. Securities representing investments of customers’ funds (at market) 399,982,458 [7110]
   - C. Securities held for particular customers or option customers in lieu of cash (at market) 78,219,314 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
   - -13,006,810 [7130]

10. **Exchange traded options**
    - A. Value of open long option contracts 3,200,990,051 [7132]
    - B. Value of open short option contracts -2,940,150,035 [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**
    - 4,587,814 [7150]

13. **Total amount in segregation (add lines 7 through 12)**
    - 1,354,767,801 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - 30,115,536 [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 11,115,536 [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

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Net ledger balance</td>
<td>0</td>
</tr>
<tr>
<td>A. Cash</td>
<td>0 [8500]</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>0 [8510]</td>
</tr>
<tr>
<td>2. Net unrealized profit (loss) in open cleared swaps</td>
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<tr>
<td>3. Cleared swaps options</td>
<td>0 [8520]</td>
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<tr>
<td>A. Market value of open cleared swaps option contracts purchased</td>
<td>0 [8530]</td>
</tr>
<tr>
<td>B. Market value of open cleared swaps option contracts granted (sold)</td>
<td>0 [8540]</td>
</tr>
<tr>
<td>4. Net Equity (deficit) (add lines 1, 2, and 3)</td>
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</tr>
<tr>
<td>5. Accounts liquidating to a deficit and accounts with debit balances - gross amount</td>
<td>0 [8550]</td>
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<tr>
<td>Less: amount offset by customer owned securities</td>
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<tr>
<td>6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)</td>
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<tr>
<td>Funds in Cleared Swaps Customer Segregated Accounts</td>
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<td>7. Deposited in cleared swaps customer segregated accounts at banks</td>
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<tr>
<td>A. Cash</td>
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<tr>
<td>B. Securities representing investments of cleared swaps customers' funds (at market)</td>
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<td>C. Securities held for particular cleared swaps customers in lieu of cash (at market)</td>
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<td>8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts</td>
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<tr>
<td>A. Cash</td>
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<td>B. Securities representing investments of cleared swaps customers' funds (at market)</td>
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<td>C. Securities held for particular cleared swaps customers in lieu of cash (at market)</td>
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<td>9. Net settlement from (to) derivatives clearing organizations</td>
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<tr>
<td>10. Cleared swaps options</td>
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<tr>
<td>A. Value of open cleared swaps long option contracts</td>
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<tr>
<td>B. Value of open cleared swaps short option contracts</td>
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<tr>
<td>11. Net equities with other FCMs</td>
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<tr>
<td>A. Net liquidating equity</td>
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<tr>
<td>B. Securities representing investments of cleared swaps customers' funds (at market)</td>
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<td>C. Securities held for particular cleared swaps customers in lieu of cash (at market)</td>
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<td>12. Cleared swaps customer funds on hand</td>
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<tr>
<td>A. Cash</td>
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<td>B. Securities representing investments of cleared swaps customers' funds (at market)</td>
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<td>C. Securities held for particular cleared swaps customers in lieu of cash (at market)</td>
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<tr>
<td>13. Total amount in cleared swaps customer segregation (add lines 7 through 12)</td>
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<tr>
<td>14. Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)</td>
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<td>15. Management Target Amount for Excess funds in cleared swaps segregated accounts</td>
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</tr>
<tr>
<td>16. Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management</td>
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</tr>
</tbody>
</table>

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