INITIAL
End Date: 3/10/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 3/11/2021
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
**INITIAL**

End Date: 3/10/2021  
Firm Name: WEDBUSH SECURITIES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 3/11/2021

**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.

<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>[7305]</td>
<td></td>
</tr>
</tbody>
</table>

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**

A. **Cash**

B. **Securities (at market)**

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**

3. **Exchange traded options**

   a. **Market value of open option contracts purchased on a foreign board of trade**

   b. **Market value of open contracts granted (sold) on a foreign board of trade**

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

5. **Account liquidating to a deficit and account with a debit balances - gross amount**

   a. **Less: amount offset by customer owned securities**

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**

   a. **Banks located in the United States**

   b. **Other banks qualified under Regulation 30.7**

2. **Securities**

   a. **In safekeeping with banks located in the United States**

   b. **In safekeeping with other banks qualified under Regulation 30.7**

3. **Equities with registered futures commission merchants**

   a. **Cash**

   b. **Securities**

   c. **Unrealized gain (loss) on open futures contracts**

   d. **Value of long option contracts**

   e. **Value of short option contracts**

4. **Amounts held by clearing organizations of foreign boards of trade**

   a. **Cash**

   b. **Securities**

   c. **Amount due to (from) clearing organization - daily variation**

   d. **Value of long option contracts**

   e. **Value of short option contracts**

5. **Amounts held by members of foreign boards of trade**

   a. **Cash**

   b. **Securities**

   c. **Unrealized gain (loss) on open futures contracts**

   d. **Value of long option contracts**

   e. **Value of short option contracts**

6. **Amounts with other depositories designated by a foreign board of trade**

7. **Segregated funds on hand**

8. **Total funds in separate section 30.7 accounts**

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**

10. **Management Target Amount for Excess funds in separate section 30.7 accounts**

11. **Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target**
**Segregation Requirements (Section 4d(2) of the CEAct)**

1. **Net ledger balance**
   - **A. Cash**: 1,672,509,241 [7010]
   - **B. Securities (at market)**: 102,134,699 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: -95,440,064 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**: 3,566,896,020 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: -3,230,998,326 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 2,015,196,818 [7060]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 323,266 [7045]
   - Less: amount offset by customer securities: -228,018 [7047] 95,248 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**: 2,015,196,818 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**: 623,637,709 [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)**: 501,998 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**: 427,628,212 [7100]
   - **B. Securities representing investments of customers’ funds (at market)**: 549,977,862 [7110]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**: 97,193,793 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**: 1,279,717 [7130]

10. **Exchange traded options**
    - **A. Value of open long option contracts**: 3,566,896,020 [7132]
    - **B. Value of open short option contracts**: -3,230,998,326 [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**: 4,438,908 [7150]

13. **Total amount in segregation (add lines 7 through 12)**: 2,040,555,893 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 25,359,075 [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**: 6,359,075 [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: 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
    - 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]