INITIAL
End Date: 3/22/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 3/23/2021
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: $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]

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - A. Cash 20,734,613 [7315]
   - B. Securities (at market) 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**
   2,573,614 [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.)**
   23,308,227 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**
   4,057 [7351]
   Less: amount offset by customer owned securities 0 [7352] 4,057 [7354]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity**
   Method (add lines 4 and 5)
   23,312,284 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**
   23,312,284 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - A. Banks located in the United States 9,364,689 [7500]
   - B. Other banks qualified under Regulation 30.7 3,539,301 [7520] 12,903,990 [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 5,433,371 [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] 5,433,371 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - A. Cash 10,076,313 [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] 10,076,313 [7680]

5. **Amounts held by members of foreign boards of trade**
   - A. Cash 137,957 [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] 137,957 [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**
   28,551,631 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement**
    
8 Page 1 from Line 8)
   5,239,347 [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**
    4,239,347 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**: 2,045,169,986 [7010]
   - **B. Securities (at market)**: 101,743,145 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: -276,463,913 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**: 2,760,273,640 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: -2,674,528,681 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 1,956,194,177 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 225,043 [7045]
   - **Less: amount offset by customer securities**: -132,786 [7047] 92,257 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**: 1,956,286,434 [7060]

FUNDs IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**: 680,413,418 [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)**: 486,326 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**: 676,159,093 [7100]
   - **B. Securities representing investments of customers' funds (at market)**: 449,993,441 [7110]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**: 96,694,051 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**: -7,781,105 [7130]

10. **Exchange traded options**
    - **A. Value of open long option contracts**: 2,760,273,640 [7132]
    - **B. Value of open short option contracts**: -2,674,528,681 [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**: 4,562,768 [7150]

13. **Total amount in segregation (add lines 7 through 12)**: 1,986,272,991 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 29,986,517 [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**: 10,986,517 [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**
   - Less: amount offset by customer owned securities 0 [8560] 0 [8580]

6. **Amount required to be segregated for cleared swaps customers (add lines 4 and 5)** 0 [8590]

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 [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]