INITIAL
End Date: 4/15/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 4/16/2021
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 0  
d. Percentage range of customer segregated funds required between: 0 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 0  
d. Percentage range of customer secured funds required between: 0 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 0  
d. Percentage range of cleared swaps customer collateral required between: 0 0

Attach supporting documents
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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: 28,451,412 [7315]
   B. Securities (at market): 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 1,404,867 [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.): 29,856,279 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount: 5,792 [7351]
   Less: amount offset by customer owned securities: 0 [7352] 5,792 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)
   29,862,071 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.
   29,862,071 [7360]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   A. Banks located in the United States: 11,192,525 [7500]
   B. Other banks qualified under Regulation 30.7: 3,219,033 [7520] 14,411,558 [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: 8,207,912 [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] 8,207,912 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   A. Cash: 11,665,615 [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] 11,665,615 [7680]

5. Amounts held by members of foreign boards of trade
   A. Cash: 765,842 [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] 765,842 [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: 35,050,927 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)
   5,188,856 [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: 4,188,856 [7785]
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Daily Segregation - Segregation Statement

SEGREGATION REQUIREMENTS (Section 4d(2) of the CEA C):

1. Net ledger balance
   A. Cash 1,428,903,108 [7010]
   B. Securities (at market) 106,455,682 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market -126,351,016 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 3,845,939,970 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -3,262,346,076 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 1,992,601,668 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 331,506 [7045]
   Less: amount offset by customer securities -241,446 [7047] 90,060 [7050]

6. Amount required to be segregated (add lines 4 and 5) 1,992,691,728 [7060]

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   A. Cash 644,775,631 [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) 481,187 [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   A. Cash 155,606,191 [7100]
   B. Securities representing investments of customers' funds (at market) 499,992,642 [7110]
   C. Securities held for particular customers or option customers in lieu of cash (at market) 101,465,373 [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets 28,691,416 [7130]

10. Exchange traded options
    A. Value of open long option contracts 3,845,939,970 [7132]
    B. Value of open short option contracts -3,262,346,076 [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 4,509,122 [7150]

13. Total amount in segregation (add lines 7 through 12) 2,019,115,456 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 26,423,728 [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 7,423,728 [7198]

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

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<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Net ledger balance</td>
<td>0 [8500]</td>
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<tr>
<td>2.</td>
<td>Net unrealized profit (loss) in open cleared swaps</td>
<td>0 [8520]</td>
</tr>
<tr>
<td>3.</td>
<td>Cleared swaps options</td>
<td>0 [8530]</td>
</tr>
<tr>
<td>4.</td>
<td>Net Equity (deficit)</td>
<td>0 [8550]</td>
</tr>
<tr>
<td>5.</td>
<td>Accounts liquidating to a deficit and accounts with debit balances - gross amount</td>
<td>0 [8560]</td>
</tr>
<tr>
<td>6.</td>
<td>Amount required to be segregated for cleared swaps customers</td>
<td>0 [8590]</td>
</tr>
<tr>
<td>7.</td>
<td>Deposited in cleared swaps customer segregated accounts at banks</td>
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<tr>
<td>8.</td>
<td>Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts</td>
<td>0 [8630]</td>
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<tr>
<td>9.</td>
<td>Net settlement from (to) derivatives clearing organizations</td>
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<tr>
<td>10.</td>
<td>Cleared swaps options</td>
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<td>11.</td>
<td>Net equities with other FCMs</td>
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<td>12.</td>
<td>Cleared swaps customer funds on hand</td>
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<td>13.</td>
<td>Total amount in cleared swaps customer segregation</td>
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<tr>
<td>14.</td>
<td>Excess (deficiency) funds in cleared swaps customer segregation</td>
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<tr>
<td>15.</td>
<td>Management Target Amount for Excess funds in cleared swaps segregated accounts</td>
<td>0 [8760]</td>
</tr>
<tr>
<td>16.</td>
<td>Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management</td>
<td>0 [8770]</td>
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