INITIAL
End Date: 4/16/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 4/19/2021
Name of Company: WEDBUSH SECURITIES INC
Contact Name: Kevin Wirth
Contact Phone Number: 312-784-0475
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FCM's Customer Segregated Funds Residual Interest Target (choose one):
- Minimum dollar amount: 19,000,000
- Minimum percentage of customer segregated funds required: 0%
- Dollar amount range: 0
- Percentage range of customer segregated funds required: 0% and 0%

FCM's Customer Secured Amount Funds Residual Interest Target (choose one):
- Minimum dollar amount: 1,000,000
- Minimum percentage of customer secured funds required: 0%
- Dollar amount range: 0
- Percentage range of customer secured funds required: 0% and 0%

FCM's Cleared Swaps Customer Collateral Residual Interest Target (choose one):
- Minimum dollar amount: 0
- Minimum percentage of cleared swaps customer collateral required: 0%
- Dollar amount range: 0
- Percentage range of cleared swaps customer collateral required: 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: $28,281,343 [7315]
   - B. Securities (at market): $0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: $1,398,640 [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.)**: $29,679,983 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**: $8,596 [7351]
   - Less: amount offset by customer owned securities: $0 [7352] $8,596 [7354]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**: $29,688,579 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: $29,688,579 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - A. Banks located in the United States: $11,180,280 [7500]
   - B. Other banks qualified under Regulation 30.7: $3,115,091 [7520] $14,295,371 [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: $7,909,328 [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] $7,909,328 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - A. Cash: $11,858,587 [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] $11,858,587 [7680]

5. **Amounts held by members of foreign boards of trade**
   - A. Cash: $870,387 [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] $870,387 [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**: $34,933,673 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: $5,245,094 [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**: $4,245,094 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: \(1,561,303,634\) [7010]
   - B. Securities (at market): \(106,455,682\) [7020]
2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - \(-102,641,386\) [7030]
3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: \(3,400,987,948\) [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: \(-2,992,786,043\) [7033]
4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - \(1,973,319,835\) [7040]
5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Less: amount offset by customer securities: \(-126,656\) [7047]
   - \(102,403\) [7050]
6. **Amount required to be segregated (add lines 4 and 5)**
   - \(1,973,422,238\) [7060]
7. **FUNDS IN SEGREGATED ACCOUNTS**
   - A. Cash: \(622,938,862\) [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: \(359,104,415\) [7100]
   - B. Securities representing investments of customers’ funds (at market): \(499,993,108\) [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**
   - \(3,986,558\) [7130]
10. **Exchange traded options**
    - A. Value of open long option contracts: \(3,400,987,948\) [7132]
    - B. Value of open short option contracts: \(-2,992,786,043\) [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)**
    - \(2,000,680,530\) [7180]
14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - \(27,258,292\) [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**: \(8,258,292\) [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]

6. **Amount required to be segregated for cleared swaps customers (add lines 4 and 5)**
   - Deposited in cleared swaps customer segregated accounts at banks: 0 [8570]
   - 0 [8580]

7. **Funds in Cleared Swaps Customer Segregated Accounts**
   - 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]