INITIAL
End Date: 5/10/2021
Firm Name: WEKBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 5/11/2021
Firm Name: WEDBUSH SECURITIES INC
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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 $19,000,000
b. Minimum percentage of customer segregated funds required: % ; or 0%
c. Dollar amount range between: and $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 $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 $0 $0
d. Percentage range of cleared swaps customer collateral required between: % and %.
0% 0%

Attach supporting documents
**INITIAL**

**End Date:** 5/10/2021  
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**Daily Segregation - Secured Amounts**

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Foreign Futures and Foreign Options Secured Amounts</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>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</td>
<td>0 [7305]</td>
<td></td>
</tr>
<tr>
<td><strong>1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>26,918,467 [7315]</td>
<td></td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>0 [7317]</td>
<td></td>
</tr>
<tr>
<td><strong>2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade</strong></td>
<td>3,120,658 [7325]</td>
<td></td>
</tr>
<tr>
<td><strong>3. Exchange traded options</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Market value of open option contracts purchased on a foreign board of trade</td>
<td>0 [7335]</td>
<td></td>
</tr>
<tr>
<td>b. Market value of open contracts granted (sold) on a foreign board of trade</td>
<td>0 [7337]</td>
<td></td>
</tr>
<tr>
<td><strong>4. Net equity (deficit) (add lines 1. 2. and 3.)</strong></td>
<td>30,039,125 [7345]</td>
<td></td>
</tr>
<tr>
<td><strong>5. Account liquidating to a deficit and account with a debit balances - gross amount</strong></td>
<td>21,223 [7351]</td>
<td></td>
</tr>
<tr>
<td>Less: amount offset by customer owned securities</td>
<td>0 [7352] 21,223 [7354]</td>
<td></td>
</tr>
<tr>
<td><strong>6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)</strong></td>
<td>30,060,348 [7355]</td>
<td></td>
</tr>
<tr>
<td><strong>7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.</strong></td>
<td>30,060,348 [7360]</td>
<td></td>
</tr>
<tr>
<td><strong>Funds Deposited in Separate Regulation 30.7 Accounts</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Cash in banks</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Banks located in the United States</td>
<td>10,768,106 [7500]</td>
<td></td>
</tr>
<tr>
<td>B. Other banks qualified under Regulation 30.7</td>
<td>2,984,469 [7520] 13,752,575 [7530]</td>
<td></td>
</tr>
<tr>
<td>2. Securities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. In safekeeping with banks located in the United States</td>
<td>0 [7540]</td>
<td></td>
</tr>
<tr>
<td>B. In safekeeping with other banks qualified under Regulation 30.7</td>
<td>0 [7560] 0 [7570]</td>
<td></td>
</tr>
<tr>
<td>3. Equities with registered futures commission merchants</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>8,055,860 [7580]</td>
<td></td>
</tr>
<tr>
<td>B. Securities</td>
<td>0 [7590]</td>
<td></td>
</tr>
<tr>
<td>C. Unrealized gain (loss) on open futures contracts</td>
<td>0 [7600]</td>
<td></td>
</tr>
<tr>
<td>D. Value of long option contracts</td>
<td>0 [7610]</td>
<td></td>
</tr>
<tr>
<td>E. Value of short option contracts</td>
<td>0 [7615] 8,055,860 [7620]</td>
<td></td>
</tr>
<tr>
<td>4. Amounts held by clearing organizations of foreign boards of trade</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>11,831,194 [7640]</td>
<td></td>
</tr>
<tr>
<td>B. Securities</td>
<td>0 [7650]</td>
<td></td>
</tr>
<tr>
<td>C. Amount due to (from) clearing organization - daily variation</td>
<td>0 [7660]</td>
<td></td>
</tr>
<tr>
<td>D. Value of long option contracts</td>
<td>0 [7670]</td>
<td></td>
</tr>
<tr>
<td>E. Value of short option contracts</td>
<td>0 [7675] 11,831,194 [7680]</td>
<td></td>
</tr>
<tr>
<td>5. Amounts held by members of foreign boards of trade</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>1,825,012 [7700]</td>
<td></td>
</tr>
<tr>
<td>B. Securities</td>
<td>0 [7710]</td>
<td></td>
</tr>
<tr>
<td>C. Unrealized gain (loss) on open futures contracts</td>
<td>0 [7720]</td>
<td></td>
</tr>
<tr>
<td>D. Value of long option contracts</td>
<td>0 [7730]</td>
<td></td>
</tr>
<tr>
<td>E. Value of short option contracts</td>
<td>0 [7735] 1,825,012 [7740]</td>
<td></td>
</tr>
<tr>
<td>6. Amounts with other depositories designated by a foreign board of trade</td>
<td>0 [7760]</td>
<td></td>
</tr>
<tr>
<td>7. Segregated funds on hand</td>
<td>0 [7765]</td>
<td></td>
</tr>
<tr>
<td>8. Total funds in separate section 30.7 accounts</td>
<td>35,464,641 [7770]</td>
<td></td>
</tr>
<tr>
<td>9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)</td>
<td>5,404,293 [7780]</td>
<td></td>
</tr>
<tr>
<td>10. Management Target Amount for Excess funds in separate section 30.7 accounts</td>
<td>1,000,000 [7780]</td>
<td></td>
</tr>
<tr>
<td>11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target</td>
<td>4,404,293 [7785]</td>
<td></td>
</tr>
</tbody>
</table>
INITIAL
End Date: 5/10/2021
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Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash 1,613,404,255 [7010]
   B. Securities (at market) 96,267,437 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market -247,372,897 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 4,246,315,190 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -3,697,130,750 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 2,011,483,235 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 1,034,104 [7045]
   Less: amount offset by customer securities -892,502 [7047] 141,602 [7050]

6. Amount required to be segregated (add lines 4 and 5) 2,011,624,837 [7060]

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   A. Cash 648,382,555 [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) 478,730 [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   A. Cash 298,447,495 [7100]
   B. Securities representing investments of customers’ funds (at market) 449,998,468 [7110]
   C. Securities held for particular customers or option customers in lieu of cash (at market) 90,970,442 [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets -2,261,394 [7130]

10. Exchange traded options
    A. Value of open long option contracts 4,246,315,190 [7132]
    B. Value of open short option contracts -3,697,130,750 [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 4,818,265 [7150]

13. Total amount in segregation (add lines 7 through 12) 2,040,019,001 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 28,394,164 [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 9,394,164 [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]
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]