**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):**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Minimum dollar amount:</td>
<td>19,000,000</td>
</tr>
<tr>
<td>b. Minimum percentage of customer segregated funds required: %</td>
<td>0</td>
</tr>
<tr>
<td>c. Dollar amount range between: and:</td>
<td>0 0</td>
</tr>
<tr>
<td>d. Percentage range of customer segregated funds required between: % and: %</td>
<td>0 0</td>
</tr>
</tbody>
</table>

**FCM's Customer Secured Amount Funds Residual Interest Target (choose one):**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Minimum dollar amount:</td>
<td>1,000,000</td>
</tr>
<tr>
<td>b. Minimum percentage of customer secured funds required: %</td>
<td>0</td>
</tr>
<tr>
<td>c. Dollar amount range between: and:</td>
<td>0 0</td>
</tr>
<tr>
<td>d. Percentage range of customer secured funds required between: % and: %</td>
<td>0 0</td>
</tr>
</tbody>
</table>

**FCM's Cleared Swaps Customer Collateral Residual Interest Target (choose one):**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Minimum dollar amount:</td>
<td>0</td>
</tr>
<tr>
<td>b. Minimum percentage of cleared swaps customer collateral required: %</td>
<td>0</td>
</tr>
<tr>
<td>c. Dollar amount range between: and:</td>
<td>0 0</td>
</tr>
<tr>
<td>d. Percentage range of cleared swaps customer collateral required between: % and: %</td>
<td>0 0</td>
</tr>
</tbody>
</table>

Attach supporting documents
**INITIAL**

**End Date:** 5/18/2021  
**Firm Name:** WEDBUSH SECURITIES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 5/19/2021

### 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: 0 [7305]

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - **A. Cash:** 26,894,402 [7315]  
   - **B. Securities (at market):** 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** 3,151,860 [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.):** 30,046,262 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount:** 26,915 [7351]  
   - Less: amount offset by customer owned securities: 0 [7352]  
   - **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5):** 30,073,177 [7355]

6. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6:** 30,073,177 [7360]

---

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**
   - A. Banks located in the United States: 9,699,581 [7500]  
   - B. Other banks qualified under Regulation 30.7: 5,203,723 [7520]  
     - **Total:** 14,903,304 [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]  
     - **Total:** 0 [7570]

3. **Equities with registered futures commission merchants**
   - A. Cash: 8,100,611 [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]  
     - **Total:** 8,100,611 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - A. Cash: 11,054,429 [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]  
     - **Total:** 11,054,429 [7680]

5. **Amounts held by members of foreign boards of trade**
   - A. Cash: 1,149,242 [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]  
     - **Total:** 1,149,242 [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:** 35,207,586 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8):** 5,134,409 [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:** 4,134,409 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **Cash**: 1,487,058,049 [7010]
   - **Securities (at market)**: 95,112,528 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - **Unrealized profit**: -129,266,033 [7030]

3. **Exchange traded options**
   - **Add market value of open option contracts purchased on a contract market**: 3,857,713,727 [7032]
   - **Deduct market value of open option contracts granted (sold) on a contract market**: -3,399,214,472 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - **Net equity**: 1,911,403,799 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - **Less: amount offset by customer securities**: -217,599 [7047]
   - **Net amount**: 276,548 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**
   - **Amount required**: 1,911,680,347 [7060]

#### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - **Cash**: 605,045,894 [7070]
   - **Securities representing investments of customers' funds (at market)**: 0 [7080]
   - **Securities held for particular customers or option customers in lieu of cash (at market)**: 508,149 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **Cash**: 267,074,675 [7100]
   - **Securities representing investments of customers' funds (at market)**: 524,995,278 [7110]
   - **Securities held for particular customers or option customers in lieu of cash (at market)**: 89,670,445 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
   - **Net settlement**: -11,472,822 [7130]

10. **Exchange traded options**
    - **Value of open long option contracts**: 3,857,713,727 [7132]
    - **Value of open short option contracts**: -3,399,214,472 [7133]

11. **Net equities with other FCMs**
    - **Net liquidating equity**: 0 [7140]
    - **Securities representing investments of customers' funds (at market)**: 0 [7160]
    - **Securities held for particular customers or option customers in lieu of cash (at market)**: 0 [7170]

12. **Segregated funds on hand**
    - **Amount**: 4,933,934 [7150]

13. **Total amount in segregation (add lines 7 through 12)**
    - **Total amount**: 1,939,254,808 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - **Excess**: 27,574,461 [7190]

15. **Management Target Amount for Excess funds in segregation**
    - **Target amount**: 19,000,000 [7194]

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - **Excess**: 8,574,461 [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]