INITIAL
End Date: 6/3/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 6/4/2021
INITIAL
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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; or 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; or 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; or 0 0
   d. Percentage range of cleared swaps customer collateral required between: % and%. 0 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**: 28,877,426 [7315]
   - **B. Securities (at market)**: 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: 856,241 [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.)**: 29,733,667 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**: 8,094 [7351]

   Less: amount offset by customer owned securities: 0 [7352] 8,094 [7354]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**: 29,741,761 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: 29,741,761 [7360]

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**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**
   - A. Banks located in the United States: 9,003,506 [7500]
   - B. Other banks qualified under Regulation 30.7: 6,637,430 [7520] 15,640,936 [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: 6,291,192 [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] 6,291,192 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - A. Cash: 11,306,067 [7640]
   - B. Securities: 0 [7650]
   - C. Amount due to (from) clearing organization - daily variation: 0 [7660]
   - D. Value of long option contracts: 0 [7670]

5. **Amounts held by members of foreign boards of trade**
   - A. Cash: 1,195,586 [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] 1,195,586 [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**: 34,433,781 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: 4,692,020 [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**: 3,692,020 [7785]
## Daily Segregation - Segregation Statement

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

1. Net ledger balance
   - A. Cash: **1,267,041,726** [7010]
   - B. Securities (at market): **104,907,154** [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market: **25,381,690** [7030]

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market: **3,952,490,921** [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: **-3,488,418,485** [7033]

4. Net equity (deficit) (add lines 1, 2 and 3): **1,861,403,006** [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount: **254,343** [7045]
   - Less: amount offset by customer securities: **-132,167** [7047]
     - **122,176** [7050]

6. Amount required to be segregated (add lines 4 and 5): **1,861,525,182** [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   - A. Cash: **582,464,674** [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): **500,043** [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   - A. Cash: **316,464,278** [7100]
   - B. Securities representing investments of customers' funds (at market): **424,994,663** [7110]
   - C. Securities held for particular customers or option customers in lieu of cash (at market): **99,469,133** [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets: **-1,177,388** [7130]

10. Exchange traded options
    - A. Value of open long option contracts: **3,952,490,921** [7132]
    - B. Value of open short option contracts: **-3,488,418,485** [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: **4,937,978** [7150]

13. Total amount in segregation (add lines 7 through 12): **1,891,725,817** [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13): **30,200,635** [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
    - Excess: **11,200,635** [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]