INITIAL
End Date: 6/28/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 6/29/2021
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 and $0
- d. Percentage range of customer segregated funds required between: 0% and 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 and $0
- d. Percentage range of customer secured funds required between: 0% and 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 and $0
- d. Percentage range of cleared swaps customer collateral required between: 0% and 0%

Attach supporting documents
---

**INITIAL**

End Date: 6/28/2021  
Firm Name: WEDBUSH SECURITIES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 6/29/2021

### 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: 31,548,082 [7315]
   - B. Securities (at market): 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: -226,753 [7325]

3. **Exchange traded options**
   - a. Market value of open option contracts purchased on a foreign board of trade: 4,311 [7335]
   - b. Market value of open contracts granted (sold) on a foreign board of trade: -1,352 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)**: 31,324,288 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**: 6,260 [7351]
   - Less: amount offset by customer owned securities: 0 [7352] 6,260 [7354]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**: 31,330,548 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: 31,330,548 [7360]

---

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**
   - A. Banks located in the United States: 9,541,326 [7500]
   - B. Other banks qualified under Regulation 30.7: 8,140,855 [7520] 17,682,181 [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: 6,427,971 [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] 6,427,971 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - A. Cash: 11,514,554 [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] 11,514,554 [7680]

5. **Amounts held by members of foreign boards of trade**
   - A. Cash: 1,112,403 [7700]
   - B. Securities: 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts: 0 [7720]
   - D. Value of long option contracts: 4,311 [7730]
   - E. Value of short option contracts: -1,352 [7735] 1,115,362 [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**: 36,740,068 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: 5,409,520 [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**: 4,409,520 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**
     - \( 1,112,262,853 \) [7010]
   - **B. Securities (at market)**
     - \( 129,182,605 \) [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - \( -114,164,008 \) [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**
     - \( 3,527,800,759 \) [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**
     - \( -2,910,470,519 \) [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - \( 1,744,611,690 \) [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - \( 243,364 \) [7045]
   - Less: amount offset by customer securities
     - \( -125,682 \) [7047] \( 117,682 \) [7050]

6. **Amount required to be segregated (add lines 4 and 5)**
   - \( 1,744,729,372 \) [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**
     - \( 325,799,415 \) [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)**
     - \( 512,634 \) [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**
     - \( 106,739,662 \) [7100]
   - **B. Securities representing investments of customers’ funds (at market)**
     - \( 574,973,953 \) [7110]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**
     - \( 124,077,634 \) [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
   - \( 21,997,286 \) [7130]

10. **Exchange traded options**
    - **A. Value of open long option contracts**
      - \( 3,527,800,759 \) [7132]
    - **B. Value of open short option contracts**
      - \( -2,910,470,519 \) [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**
    - \( 4,592,337 \) [7150]

13. **Total amount in segregation (add lines 7 through 12)**
    - \( 1,776,023,161 \) [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - \( 31,293,789 \) [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
      - \( 12,293,789 \) [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]