INITIAL
End Date: 6/29/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 6/30/2021
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: ; 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**: 31,464,717 [7315]
   - **B. Securities (at market)**: 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: -458,084 [7325]

3. **Exchange traded options**
   - **a. Market value of open option contracts purchased on a foreign board of trade**: 8,997 [7335]
   - **b. Market value of open contracts granted (sold) on a foreign board of trade**: -429 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.):** 31,015,201 [7345]

5. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**: 31,023,896 [7355]

6. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: 31,023,896 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **A. Banks located in the United States**: 8,527,907 [7500]
   - **B. Other banks qualified under Regulation 30.7**: 8,083,577 [7520] 16,611,484 [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**: 6,805,709 [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] 6,805,709 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A. Cash**: 11,536,706 [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] 11,536,706 [7680]

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash**: 1,132,078 [7700]
   - **B. Securities**: 0 [7710]
   - **C. Unrealized gain (loss) on open futures contracts**: 0 [7720]
   - **D. Value of long option contracts**: 8,997 [7730]
   - **E. Value of short option contracts**: -429 [7735] 1,140,646 [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**: 36,094,545 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: 5,070,649 [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**: 4,070,649 [7785]
## Daily Segregation - Segregation Statement

SEGRESSION REQUIREMENTS (Section 4d(2) of the CEAct)

1. **Net ledger balance**
   - A. Cash: 1,147,488,788 [7010]
   - B. Securities (at market): 129,117,089 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - (-146,811,802) [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 3,552,259,002 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -2,934,147,843 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - 1,747,905,234 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - 241,896 [7045]
   - Less: amount offset by customer securities: -125,706 [7047] 116,190 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**
   - 1,748,021,424 [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - A. Cash: 349,945,592 [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): 503,080 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - A. Cash: 102,796,402 [7100]
   - B. Securities representing investments of customers' funds (at market): 574,971,765 [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**
   - 1,961,056 [7130]

10. **Exchange traded options**
    - A. Value of open long option contracts: 3,552,259,002 [7132]
    - B. Value of open short option contracts: -2,934,147,843 [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**
    - 4,536,375 [7150]

13. **Total amount in segregation (add lines 7 through 12)**
    - 1,776,903,063 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - 28,881,639 [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: 9,881,639 [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
   - B. Securities (at market)
2. **Net unrealized profit (loss) in open cleared swaps**
3. **Cleared swaps options**
   - A. Market value of open cleared swaps option contracts purchased
   - B. Market value of open cleared swaps option contracts granted (sold)
4. **Net Equity (deficit) (add lines 1, 2, and 3)**
5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Less: amount offset by customer owned securities
6. **Amount required to be segregated for cleared swaps customers (add lines 4 and 5)**
7. **Deposited in cleared swaps customer segregated accounts at banks**
   - A. Cash
   - B. Securities representing investments of cleared swaps customers' funds (at market)
   - C. Securities held for particular cleared swaps customers in lieu of cash (at market)
8. **Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts**
   - A. Cash
   - B. Securities representing investments of cleared swaps customers' funds (at market)
   - C. Securities held for particular cleared swaps customers in lieu of cash (at market)
9. **Net settlement from (to) derivatives clearing organizations**
10. **Cleared swaps options**
    - A. Value of open cleared swaps long option contracts
    - B. Value of open cleared swaps short option contracts
11. **Net equities with other FCMs**
    - A. Net liquidating equity
    - B. Securities representing investments of cleared swaps customers' funds (at market)
    - C. Securities held for particular cleared swaps customers in lieu of cash (at market)
12. **Cleared swaps customer funds on hand**
    - A. Cash
    - B. Securities representing investments of cleared swaps customers' funds (at market)
    - C. Securities held for particular cleared swaps customers in lieu of cash (at market)
13. **Total amount in cleared swaps customer segregation (add lines 7 through 12)**
14. **Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)**
15. **Management Target Amount for Excess funds in cleared swaps segregated accounts**
16. **Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management**