INITIAL
End Date: 7/7/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 7/8/2021
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Daily Segregation - Cover Page

Name of Company

Contact Name

Contact Phone Number

Contact Email Address

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

WEDBUSH SECURITIES INC

Kevin Wirth

312-784-0475

kevin.wirth@wedbush.com
INITIAL
End Date: 7/7/2021
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**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: 32,916,194 [7315]
   B. Securities (at market): 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 152,724 [7325]

3. Exchange traded options
   a. Market value of open option contracts purchased on a foreign board of trade: 3,038 [7335]
   b. Market value of open contracts granted (sold) on a foreign board of trade: -3,426 [7337]

4. Net equity (deficit) (add lines 1, 2, and 3): 33,068,530 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount: 6,572 [7351]
   Less: amount offset by customer owned securities: 0 [7352] 6,572 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5): 33,075,102 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 33,075,102 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks
   A. Banks located in the United States: 11,228,675 [7500]
   B. Other banks qualified under Regulation 30.7: 4,560,328 [7520] 15,789,003 [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: 7,895,397 [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: 7,895,397 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   A. Cash: 12,915,093 [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: 12,915,093 [7680]

5. Amounts held by members of foreign boards of trade
   A. Cash: 1,690,948 [7700]
   B. Securities: 0 [7710]
   C. Unrealized gain (loss) on open futures contracts: 0 [7720]
   D. Value of long option contracts: 3,038 [7730]
   E. Value of short option contracts: -3,426 [7735] 1,690,560 [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: 38,290,053 [7770]


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: 4,214,951 [7785]
**SEGREGATION REQUIREMENTS (Section 4d(2) of the CEA)**

1. **Net ledger balance**
   - **A. Cash**: 1,276,633,947 [7010]
   - **B. Securities (at market)**: 128,076,739 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: -253,150,508 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**: 3,540,771,566 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: -2,949,723,759 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 1,742,607,985 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 233,077 [7045]
   - Less: amount offset by customer securities: -122,755
   - **110,322 [7050]**

6. **Amount required to be segregated (add lines 4 and 5)**: 1,742,718,307 [7060]

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**: 361,318,067 [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)**: 501,630 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**: 44,222,606 [7100]
   - **B. Securities representing investments of customers' funds (at market)**: 654,963,911 [7110]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**: 123,072,572 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**: -6,748,319 [7130]

10. **Exchange traded options**
    - **A. Value of open long option contracts**: 3,540,771,566 [7132]
    - **B. Value of open short option contracts**: -2,949,723,759 [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**: 4,502,537 [7150]

13. **Total amount in segregation (add lines 7 through 12)**: 1,772,880,811 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 30,162,504 [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**: 11,162,504 [7198]
### Daily Segregation - Swaps Statement

**STATEMENT OF CLEARED SWAPS CUSTOMER SEGREGATION REQUIREMENTS AND FUNDS IN CLEARED SWAPS CUSTOMER ACCOUNTS UNDER 4D(F) OF THE CEA**

Cleared Swaps Customer Requirements

<table>
<thead>
<tr>
<th>1. Net ledger balance</th>
<th>0 [8500]</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Cash</td>
<td></td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>0 [8510]</td>
</tr>
<tr>
<td>2. Net unrealized profit (loss) in open cleared swaps</td>
<td>0 [8520]</td>
</tr>
<tr>
<td>3. Cleared swaps options</td>
<td>0 [8530]</td>
</tr>
<tr>
<td>A. Market value of open cleared swaps option contracts purchased</td>
<td>0 [8540]</td>
</tr>
<tr>
<td>B. Market value of open cleared swaps option contracts granted (sold)</td>
<td>0 [8550]</td>
</tr>
<tr>
<td>4. Net Equity (deficit) (add lines 1, 2, and 3)</td>
<td>0 [8560]</td>
</tr>
<tr>
<td>5. Accounts liquidating to a deficit and accounts with debit balances - gross amount</td>
<td>0 [8570] 0 [8580]</td>
</tr>
</tbody>
</table>

**Amount required to be segregated for cleared swaps customers (add lines 4 and 5)**

<table>
<thead>
<tr>
<th>6. Funds in Cleared Swaps Customer Segregated Accounts</th>
<th>0 [8590]</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Cash</td>
<td>0 [8600]</td>
</tr>
<tr>
<td>B. Securities representing investments of cleared swaps customers' funds (at market)</td>
<td>0 [8610]</td>
</tr>
<tr>
<td>C. Securities held for particular cleared swaps customers in lieu of cash (at market)</td>
<td>0 [8620]</td>
</tr>
</tbody>
</table>

**Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts**

<table>
<thead>
<tr>
<th>7. Deposited in cleared swaps customer segregated accounts at banks</th>
<th>0 [8630]</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Cash</td>
<td>0 [8640]</td>
</tr>
<tr>
<td>B. Securities representing investments of cleared swaps customers' funds (at market)</td>
<td>0 [8650]</td>
</tr>
<tr>
<td>C. Securities held for particular cleared swaps customers in lieu of cash (at market)</td>
<td>0 [8660]</td>
</tr>
</tbody>
</table>

**Net settlement from (to) derivatives clearing organizations**

<table>
<thead>
<tr>
<th>8.</th>
<th>0 [8670]</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td></td>
</tr>
<tr>
<td>B.</td>
<td>0 [8680]</td>
</tr>
<tr>
<td>Value of open cleared swaps long option contracts</td>
<td></td>
</tr>
<tr>
<td>Value of open cleared swaps short option contracts</td>
<td></td>
</tr>
</tbody>
</table>

**Net equities with other FCMs**

<table>
<thead>
<tr>
<th>9.</th>
<th>0 [8690]</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td></td>
</tr>
<tr>
<td>B.</td>
<td>0 [8700]</td>
</tr>
<tr>
<td>C.</td>
<td>0 [8710]</td>
</tr>
<tr>
<td>Net liquidating equity</td>
<td></td>
</tr>
<tr>
<td>Securities representing investments of cleared swaps customers' funds (at market)</td>
<td></td>
</tr>
<tr>
<td>Securities held for particular cleared swaps customers in lieu of cash (at market)</td>
<td></td>
</tr>
</tbody>
</table>

**Cleared swaps customer funds on hand**

<table>
<thead>
<tr>
<th>10.</th>
<th>0 [8720]</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td></td>
</tr>
<tr>
<td>B.</td>
<td>0 [8730]</td>
</tr>
<tr>
<td>C.</td>
<td>0 [8740]</td>
</tr>
<tr>
<td>Value of open cleared swaps long option contracts</td>
<td></td>
</tr>
<tr>
<td>Value of open cleared swaps short option contracts</td>
<td></td>
</tr>
</tbody>
</table>

**Total amount in cleared swaps customer segregation (add lines 7 through 12)**

<table>
<thead>
<tr>
<th>11.</th>
<th>0 [8750]</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>0 [8760]</td>
</tr>
<tr>
<td>B.</td>
<td>0 [8770]</td>
</tr>
<tr>
<td>C.</td>
<td></td>
</tr>
<tr>
<td>Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)</td>
<td></td>
</tr>
</tbody>
</table>

**Excess (deficiency) funds in cleared swaps customer segregated accounts**

<table>
<thead>
<tr>
<th>12.</th>
<th>0 [8780]</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>0 [8790]</td>
</tr>
<tr>
<td>B.</td>
<td>0 [8800]</td>
</tr>
<tr>
<td>C.</td>
<td></td>
</tr>
<tr>
<td>Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management</td>
<td></td>
</tr>
</tbody>
</table>