INITIAL
End Date: 7/28/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 7/29/2021
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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
b. Minimum percentage of customer segregated funds required: % ; or
c. Dollar amount range between: and; or
d. Percentage range of customer segregated funds required between: % and%.

19,000,000
0
0 0
0 0

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

a. Minimum dollar amount: ; or
b. Minimum percentage of customer secured funds required: % ; or
c. Dollar amount range between: and; or
d. Percentage range of customer secured funds required between: % and%.

1,000,000
0
0 0
0 0

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

a. Minimum dollar amount: ; or
b. Minimum percentage of cleared swaps customer collateral required: % ; or
c. Dollar amount range between: and; or
d. Percentage range of cleared swaps customer collateral required between: % and%.

0
0
0 0
0 0

Attach supporting documents
**INITIAL**

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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** 33,863,172 [7315]
   - **B. Securities (at market)** 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade** -1,760,787 [7325]

3. **Exchange traded options**
   - a. Market value of open option contracts purchased on a foreign board of trade 11,906 [7335]
   - b. Market value of open contracts granted (sold) on a foreign board of trade -935 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)** 32,113,356 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount** 6,218 [7351]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)** 32,119,574 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.** 32,119,574 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - A. Banks located in the United States 7,880,758 [7500]
   - B. Other banks qualified under Regulation 30.7 6,271,666 [7520] 14,152,424 [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 8,740,331 [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] 8,740,331 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - A. Cash 12,069,332 [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] 12,069,332 [7680]

5. **Amounts held by members of foreign boards of trade**
   - A. Cash 2,035,457 [7700]
   - B. Securities 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts 0 [7720]
   - D. Value of long option contracts 11,906 [7730]
   - E. Value of short option contracts -935 [7735] 2,046,428 [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** 37,008,515 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)** 4,888,941 [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** 3,888,941 [7785]
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**Daily Segregation - Segregation Statement**

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

1. **Net ledger balance**
   - **A. Cash**  
     - 1,175,634,906 [7010]
   - **B. Securities (at market)**  
     - 116,728,671 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**  
   - -22,395,678 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**  
     - 3,248,553,014 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**  
     - -2,623,959,286 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**  
   - 1,894,561,627 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**  
   - 254,542 [7045]
   - Less: amount offset by customer securities  
     - -124,856 [7047]
     - **129,686** [7050]

6. **Amount required to be segregated (add lines 4 and 5)**  
   - 1,894,691,313 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**  
     - 450,101,902 [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)**  
     - 487,710 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**  
     - 90,869,428 [7100]
   - **B. Securities representing investments of customers' funds (at market)**  
     - 633,959,912 [7110]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**  
     - 111,879,113 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**  
   - 9,172,805 [7130]

10. **Exchange traded options**
    - **A. Value of open long option contracts**  
      - 3,248,553,014 [7132]
    - **B. Value of open short option contracts**  
      - -2,623,959,286 [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**  
    - 4,361,848 [7150]

13. **Total amount in segregation (add lines 7 through 12)**  
    - 1,925,426,446 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**  
    - 30,735,133 [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**  
    - 11,735,133 [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]