INITIAL
End Date: 8/26/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 8/27/2021
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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 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 CH
**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**
   
   
<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Cash</td>
<td>33,408,736 [7315]</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>0 [7317]</td>
</tr>
</tbody>
</table>

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**

   -30,865 [7325]

3. **Exchange traded options**
   
   - a. Market value of open option contracts purchased on a foreign board of trade
   - 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.)**

   33,393,611 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**

   6,341 [7351]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**

   33,399,952 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**

   33,399,952 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**

   - A. Banks located in the United States
   - B. Other banks qualified under Regulation 30.7

   4,837,972 [7500]  
   3,324,347 [7520]  
   **8,162,319** [7530]

2. **Securities**

   - A. In safekeeping with banks located in the United States
   - B. In safekeeping with other banks qualified under Regulation 30.7

   0 [7540]  
   0 [7560]  
   **0** [7570]

3. **Equities with registered futures commission merchants**

   - A. Cash
   - B. Securities
   - C. Unrealized gain (loss) on open futures contracts
   - D. Value of long option contracts
   - E. Value of short option contracts

   9,658,291 [7580]  
   0 [7590]  
   0 [7600]  
   0 [7610]  
   0 [7615]  
   **9,658,291** [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**

   - A. Cash
   - B. Securities
   - C. Amount due to (from) clearing organization - daily variation
   - D. Value of long option contracts
   - E. Value of short option contracts

   12,594,103 [7640]  
   0 [7650]  
   0 [7660]  
   0 [7670]  
   0 [7675]  
   **12,594,103** [7680]

5. **Amounts held by members of foreign boards of trade**

   - A. Cash
   - B. Securities
   - C. Unrealized gain (loss) on open futures contracts
   - D. Value of long option contracts
   - E. Value of short option contracts

   7,861,629 [7700]  
   0 [7710]  
   0 [7720]  
   15,740 [7730]  
   0 [7735]  
   **7,877,369** [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**

   38,292,082 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**

   4,892,130 [7380]

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**

    3,892,130 [7785]
### SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)

1. **Net ledger balance**
   - A. Cash: $1,340,228,355 [7010]
   - B. Securities (at market): $131,052,814 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: $93,240,706 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: $2,767,573,247 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: $-2,210,893,021 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: $2,121,202,101 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: $261,706 [7045]
   
   Less: amount offset by customer securities: $-128,453

6. **Amount required to be segregated (add lines 4 and 5)**: $2,121,335,354 [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - A. Cash: $574,247,084 [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): $462,330 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - A. Cash: $246,594,366 [7100]
   - B. Securities representing investments of customers’ funds (at market): $574,971,868 [7110]
   - C. Securities held for particular customers or option customers in lieu of cash (at market): $126,376,611 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**: $66,779,657 [7130]

10. **Exchange traded options**
    - A. Value of open long option contracts: $2,767,573,247 [7132]
    - B. Value of open short option contracts: $-2,210,893,021 [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**: $4,213,873 [7150]

13. **Total amount in segregation (add lines 7 through 12)**: $2,150,326,015 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: $28,990,661 [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: $9,990,661 [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**
   - Less: amount offset by customer owned securities: 0 [8560] 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 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]