INITIAL
End Date: 10/8/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 10/11/2021
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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
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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:

1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers  
   - A. Cash: 32,399,093 [7315]  
   - B. Securities (at market): 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 305,849 [7325]

3. Exchange traded options:
   - a. Market value of open option contracts purchased on a foreign board of trade: 0 [7335]  
   - 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.): 32,704,942 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount: 7,041 [7351]  
   - Less: amount offset by customer owned securities: 0 [7352]  
   - 7,041 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5): 32,711,983 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 32,711,983 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks:
   - A. Banks located in the United States: 11,126,928 [7500]  
   - B. Other banks qualified under Regulation 30.7: 1,820,669 [7520]  
   - 12,947,597 [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: 7,471,930 [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]  
   - 7,471,930 [7620]

4. Amounts held by clearing organizations of foreign boards of trade:
   - A. Cash: 12,854,126 [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]  
   - 12,854,126 [7680]

5. Amounts held by members of foreign boards of trade:
   - A. Cash: 3,999,780 [7700]  
   - B. Securities: 0 [7710]  
   - C. Unrealized gain (loss) on open futures contracts: 0 [7720]  
   - D. Value of long option contracts: 0 [7730]  
   - E. Value of short option contracts: 0 [7735]  
   - 3,999,780 [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: 37,273,433 [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: 3,561,450 [7785]
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### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: $1,343,315,169 [7010]
   - B. Securities (at market): $103,423,013 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: $82,701,151 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: $3,267,161,975 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: ($2,251,962,979) [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: $2,544,638,329 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: $351,020 [7045]
   - Less: amount offset by customer securities: ($180,546) [7047]
   - 170,474 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**: $2,544,808,803 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - A. Cash: $586,509,932 [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): $471,702 [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - A. Cash: $341,659,282 [7100]
   - B. Securities representing investments of customers' funds (at market): $524,945,403 [7110]
   - C. Securities held for particular customers or option customers in lieu of cash (at market): $98,943,637 [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**: $11,845,780 [7130]

10. **Exchange traded options**
    - A. Value of open long option contracts: $3,267,161,975 [7132]
    - B. Value of open short option contracts: ($2,251,962,979) [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**: $4,007,674 [7150]

13. **Total amount in segregation (add lines 7 through 12)**: $2,583,582,406 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: $36,773,603 [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**: $19,773,603 [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**