INITIAL
End Date: 11/4/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/5/2021
Name of Company

WEDBUSH SECURITIES INC

Contact Name

Kevin Wirth

Contact Phone Number

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Contact Email Address

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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**

**End Date:** 11/4/2021  
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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  
   27,089,307 [7315]
   B. Securities (at market)  
   0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade  
   4,886,977 [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.)  
   31,976,284 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount  
   4,769 [7351]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)  
   31,981,053 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.  
   31,981,053 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks  
   A. Banks located in the United States  
   7,198,514 [7500]
   B. Other banks qualified under Regulation 30.7  
   5,060,282 [7520] **12,258,796** [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  
   7,318,874 [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] **7,318,874** [7620]

4. Amounts held by clearing organizations of foreign boards of trade  
   A. Cash  
   13,964,463 [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] **13,964,463** [7680]

5. Amounts held by members of foreign boards of trade  
   A. Cash  
   2,802,741 [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] **2,802,741** [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  
   36,344,874 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)  
   4,363,821 [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  
    3,363,821 [7785]
Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash 1,082,288,440 [7010]
   B. Securities (at market) 113,618,687 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 91,744,977 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 3,180,756,993 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -2,288,348,162 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 2,180,060,935 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 4,022,913 [7045]

6. Amount required to be segregated (add lines 4 and 5) 2,180,199,921 [7060]

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   A. Cash 580,676,212 [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) 507,652 [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   A. Cash 59,935,009 [7100]
   B. Securities representing investments of customers' funds (at market) 574,958,818 [7110]
   C. Securities held for particular customers or option customers in lieu of cash (at market) 109,050,671 [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets -11,162,375 [7130]

10. Exchange traded options
    A. Value of open long option contracts 3,180,756,993 [7132]
    B. Value of open short option contracts -2,288,348,162 [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 4,060,364 [7150]

13. Total amount in segregation (add lines 7 through 12) 2,210,435,182 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 30,235,261 [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 11,235,261 [7198]

Excess
**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)**

**Funds in Cleared Swaps Customer Segregated Accounts**

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**