INITIAL
End Date: 11/5/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/8/2021
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: 19,000,000
- b. Minimum percentage of customer segregated funds required: 0%
- c. Dollar amount range between: 0 and 0
- d. Percentage range of customer segregated funds required between: 0% and 0%

FCM's Customer Secured Amount Funds Residual Interest Target (choose one):
- a. Minimum dollar amount: 1,000,000
- b. Minimum percentage of customer secured funds required: 0%
- c. Dollar amount range between: 0 and 0
- d. Percentage range of customer secured funds required between: 0% and 0%

FCM's Cleared Swaps Customer Collateral Residual Interest Target (choose one):
- a. Minimum dollar amount: 0
- b. Minimum percentage of cleared swaps customer collateral required: 0%
- c. Dollar amount range between: 0 and 0
- d. Percentage range of cleared swaps customer collateral required between: 0% and 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 26,246,740 [7315]
   - B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 4,743,117 [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.) 30,998,857 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount 7,439 [7351]
   Less: amount offset by customer owned securities 0 [7352] 7,439 [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)
   30,997,296 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.
   30,997,296 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks
   - A. Banks located in the United States 8,126,627 [7500]
   - B. Other banks qualified under Regulation 30.7 3,228,613 [7520] 11,355,240 [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 0 [7590]
   - B. Securities 0 [7600]
   - C. Unrealized gain (loss) on open futures contracts 0 [7610]
   - D. Value of long option contracts 0 [7615] 7,349,069 [7620]
   - E. Value of short option contracts 0 [7675] 14,496,346 [7680]

4. Amounts held by clearing organizations of foreign boards of trade
   - A. Cash 14,496,346 [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 [7735] 14,496,346 [7680]

5. Amounts held by members of foreign boards of trade
   - A. Cash 2,232,234 [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] 2,232,234 [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 35,432,889 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 4,435,593 [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 3,435,593 [7785]
**Daily Segregation - Segregation Statement**

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

1. **Net ledger balance**
   - A. Cash: \[1,063,946,930\] (7010)
   - B. Securities (at market): \[109,418,687\] (7020)

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - \[90,989,025\] (7030)

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: \[3,262,625,792\] (7032)
   - B. Deduct market value of open option contracts granted (sold) on a contract market: \[-2,331,098,600\] (7033)

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - \[2,195,881,834\] (7040)

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - \[3,898,536\] (7045)
   - Less: amount offset by customer securities: \[-3,753,816\] (7047) \[144,720\] (7050)

6. **Amount required to be segregated (add lines 4 and 5)**
   - \[2,196,026,554\] (7060)

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - A. Cash: \[556,736,929\] (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: \[51,009,543\] (7100)
   - B. Securities representing investments of customers' funds (at market): \[574,946,024\] (7110)
   - C. Securities held for particular customers or option customers in lieu of cash (at market): \[104,850,671\] (7120)

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
   - \[3,579,951\] (7130)

10. **Exchange traded options**
    - A. Value of open long option contracts: \[3,262,625,792\] (7132)
    - B. Value of open short option contracts: \[-2,331,098,600\] (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)**
    - \[2,227,218,326\] (7180)

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - \[31,191,772\] (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: \[12,191,772\] (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 [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]