INITIAL
End Date: 11/10/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/11/2021
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 ___ and ___
d. Percentage range of customer segregated funds required between: % and % or ___ and ___ or ___ and ___

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 ___ and ___
d. Percentage range of customer secured funds required between: % and % or ___ and ___ or ___ and ___

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 ___ and ___
d. Percentage range of cleared swaps customer collateral required between: % and % or ___ and ___ or ___ and ___

Attach supporting documents CH
**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: 27,728,573 [7315]
   B. Securities (at market): 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 3,131,866 [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.): 30,860,439 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount: 7,590 [7351]

   Less: amount offset by customer owned securities: 0 [7352] 7,590 [7354]

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

   30,868,029 [7355]

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

   30,868,029 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks
   
   A. Banks located in the United States: 9,580,846 [7500]
   B. Other banks qualified under Regulation 30.7: 3,617,200 [7520] 13,198,046 [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: 7,557,968 [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] 7,557,968 [7620]

4. Amounts held by clearing organizations of foreign boards of trade
   
   A. Cash: 13,716,863 [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] 13,716,863 [7680]

5. Amounts held by members of foreign boards of trade
   
   A. Cash: 1,028,438 [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] 1,028,438 [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: 35,501,315 [7770]

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

   4,633,286 [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: 3,633,286 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**: \(1,079,208,104\) [7010]
   - **B. Securities (at market)**: \(108,679,128\) [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: \(187,242,554\) [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**: \(3,254,414,504\) [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: \(-2,294,966,537\) [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: \(2,334,577,753\) [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: \(2,542,804\) [7045]
   - **Less: amount offset by customer securities**: \(-2,404,608\) [7047] \(138,196\) [7050]

6. **Amount required to be segregated (add lines 4 and 5)**: \(2,334,715,949\) [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**: \(500,984,699\) [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)**: \(511,231\) [7090]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**: \(206,358,591\) [7100]
   - **B. Securities representing investments of customers' funds (at market)**: \(574,950,393\) [7110]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**: \(103,850,671\) [7120]

9. **Net settlement from (to) derivatives clearing organizations of contract markets**: \(11,036,594\) [7130]

10. **Exchange traded options**
    - **A. Value of open long option contracts**: \(3,254,414,504\) [7132]
    - **B. Value of open short option contracts**: \(-2,294,966,537\) [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**: \(4,317,226\) [7150]

13. **Total amount in segregation (add lines 7 through 12)**: \(2,361,457,372\) [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: \(26,741,423\) [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**: \(7,741,423\) [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]

6. **Amount required to be segregated for cleared swaps customers (add lines 4 and 5)**: 0 [8570] 0 [8580]

**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]