INITIAL
End Date: 11/23/2021
Firm Name: WEDBUSH SECURITIES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/24/2021

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
b. Minimum percentage of customer segregated funds required: % ; or
c. Dollar amount range between: $ and $ ; or
d. Percentage range of customer segregated funds required between: % 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
d. Percentage range of customer secured funds required between: % 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
d. Percentage range of cleared swaps customer collateral required between: % and %.

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**
   - **A. Cash**: 28,434,670 [7315]  
   - **B. Securities (at market)**: 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: 1,806,535 [7325]

3. **Exchange traded options**
   - **a. Market value of open option contracts purchased on a foreign board of trade**: 27,489 [7335]  
   - **b. Market value of open contracts granted (sold) on a foreign board of trade**: -104,944 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)**: 30,163,750 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**: 5,065 [7351]  
   **Less: amount offset by customer owned securities**: 0 [7352]  
   **5,065** [7354]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**: 30,168,815 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: 30,168,815 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**
   - **A. Banks located in the United States**: 8,368,765 [7500]  
   - **B. Other banks qualified under Regulation 30.7**: 4,226,155 [7520]  
   **12,594,920** [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**: 7,142,714 [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]  
   **7,142,714** [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A. Cash**: 12,903,448 [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]  
   **12,903,448** [7680]

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash**: 4,453,054 [7700]  
   - **B. Securities**: 0 [7710]  
   - **C. Unrealized gain (loss) on open futures contracts**: 0 [7720]  
   - **D. Value of long option contracts**: 27,489 [7730]  
   - **E. Value of short option contracts**: -104,944 [7735]  
   **4,375,599** [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**: 37,016,681 [7770]
9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: 6,847,866 [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**: 5,847,866 [7785]
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### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**  
   - **A. Cash**  
     - 1,273,073,932 [7010]  
   - **B. Securities (at market)**  
     - 164,009,329 [7020]  

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**  
   - -17,850,446 [7030]

3. **Exchange traded options**  
   - **A. Add market value of open option contracts purchased on a contract market**  
     - 2,934,366,556 [7032]  
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**  
     - -2,011,273,759 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**  
   - 2,342,325,612 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**  
   - Less: amount offset by customer securities  
     - -5,570,949 [7047] 131,338 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**  
   - 2,342,456,950 [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**  
   - **A. Cash**  
     - 490,744,457 [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)**  
     - 506,798 [7090]  

8. **Margins on deposit with derivatives clearing organizations of contract markets**  
   - **A. Cash**  
     - 162,515,801 [7100]  
   - **B. Securities representing investments of customers’ funds (at market)**  
     - 599,951,232 [7110]  
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**  
     - 159,262,206 [7120]  

9. **Net settlement from (to) derivatives clearing organizations of contract markets**  
   - 33,958,612 [7130]

10. **Exchange traded options**  
    - **A. Value of open long option contracts**  
      - 2,934,366,556 [7132]  
    - **B. Value of open short option contracts**  
      - -2,011,273,759 [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**  
    - 4,240,325 [7150]

13. **Total amount in segregation (add lines 7 through 12)**  
    - 2,374,272,228 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**  
    - 31,815,278 [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**  
      - 12,815,278 [7198]
STATEMENT OF CLEARED SWAPS CUSTOMER SEGREGATION REQUIREMENTS AND FUNDING 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