

(Please read instructions before preparing Form)

This report is being filed by a/an:

- 1) Broker-dealer not registered as an SBSD or MSBSP
(stand-alone broker-dealer) 12000
- 2) Broker-dealer registered as an SBSD (broker-dealer SBSD) 12001
- 3) Broker-dealer registered as an MSBSP (broker-dealer MSBSP) 12002
- 4) SBSD without a prudential regulator and not registered as a broker-dealer (stand-alone SBSD) 12003
- 5) MSBSP without a prudential regulator and not registered as a broker-dealer (stand-alone MSBSP) ... 12004
- Check here if respondent is an OTC derivatives dealer 12005

This report is being filed by a: Firm authorized to use models 12006 U.S. person 12007 Non-U.S. person 12008

This report is being filed pursuant to (check applicable block(s)):

- 1) Rule 17a-5(a) 16
- 2) Rule 17a-5(b) 17
- 3) Special request by DEA or the Commission 19
- 4) Rule 18a-7 12999
- 5) Other (explain: _____) 26

NAME OF REPORTING ENTITY	SEC FILE NO.
WEDBUSH SECURITIES INC. <input type="checkbox"/> 13	8-12987 <input type="checkbox"/> 14
ADDRESS OF PRINCIPAL PLACE OF BUSINESS (Do not use P.O. Box No.)	FIRM ID NO.
1000 WILSHIRE BLVD. SUITE 900, ATTN: COMPLIANCE <input type="checkbox"/> 20	877 <input type="checkbox"/> 15
(No. and Street)	FOR PERIOD BEGINNING (MM/DD/YY)
LOS ANGELES <input type="checkbox"/> 21 CA <input type="checkbox"/> 22 90017-2457 <input type="checkbox"/> 23	01/01/2022 <input type="checkbox"/> 24
(City) (State/Province) (Zip Code)	AND ENDING (MM/DD/YY)
United States <input type="checkbox"/> 12009	01/31/2022 <input type="checkbox"/> 25
(Country)	

NAME OF PERSON TO CONTACT IN REGARD TO THIS REPORT	EMAIL ADDRESS	(AREA CODE) TELEPHONE NO.
DANIEL BILLINGS, CFO <input type="checkbox"/> 30	DAN.BILLINGS@WEDBUSH.COM <input type="checkbox"/> 12010	(213) 688-8000 <input type="checkbox"/> 31

NAME(S) OF SUBSIDIARIES OR AFFILIATES CONSOLIDATED IN THIS REPORT	OFFICIAL USE
_____ <input type="checkbox"/> 32	_____ <input type="checkbox"/> 33
_____ <input type="checkbox"/> 34	_____ <input type="checkbox"/> 35
_____ <input type="checkbox"/> 36	_____ <input type="checkbox"/> 37
_____ <input type="checkbox"/> 38	_____ <input type="checkbox"/> 39

Is this report consolidated or unconsolidated? Consolidated 198 Unconsolidated 199

Does respondent carry its own customer or security-based swap customer accounts? Yes 40 No 41

Check here if respondent is filing an audited report 42

EXECUTION: The registrant submitting this Form and its attachments and the person(s) by whom it is executed represent hereby that all information contained therein is true, correct and complete. It is understood that all required items, statements, and schedules are considered integral parts of this Form and that the submission of any amendment represents that all unamended items, statements, and schedules remain true, correct and complete as previously submitted.

Dated the _____ day of _____, 20____.

Signatures of:	Names of:
1) _____	Gary Wedbush <input type="checkbox"/> 12011
Principal Executive Officer or Comparable Officer	Principal Executive Officer or Comparable Officer
2) _____	Daniel Billings <input type="checkbox"/> 12012
Principal Financial Officer or Comparable Officer	Principal Financial Officer or Comparable Officer
3) _____	0 <input type="checkbox"/> 12013
Principal Operations Officer or Comparable Officer	Principal Operations Officer or Comparable Officer

ATTENTION: Intentional misstatements and/or omissions of facts constitute federal criminal violations. (See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).)

FOCUS
Report
Part II

Items on this page to be reported by a: Stand-Alone Broker-Dealer
Stand-Alone SBSD
Broker-Dealer SBSD
Stand-Alone MSBSP
Broker-Dealer MSBSP

ASSETS

<u>Assets</u>	<u>Allowable</u>	<u>Non-Allowable</u>	<u>Total</u>
1. Cash	\$ 38,498,288 <u>200</u>	\$ 0 <u>12014</u>	\$ 38,498,288 <u>750</u>
2. Cash segregated in compliance with federal and other regulations	\$ 2,337,920,246 <u>210</u>		\$ 2,337,920,246 <u>760</u>
3. Receivables from brokers/dealers and clearing organizations organizations			
A. Failed to deliver			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$ 102,651,260 <u>220</u>		
2. Other	\$ 22,179,193 <u>230</u>		\$ 124,830,453 <u>770</u>
B. Securities borrowed			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$ 304,719,167 <u>240</u>		
2. Other	\$ 2,013,188,958 <u>250</u>		\$ 2,317,908,125 <u>780</u>
C. Omnibus accounts			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$ 0 <u>260</u>		
2. Other	\$ 8,209,970 <u>270</u>		\$ 8,209,970 <u>790</u>
D. Clearing organizations			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a, or the CEA ..	\$ 27,027,773 <u>280</u>		
2. Other	\$ 548,290,086 <u>290</u>		\$ 575,317,859 <u>800</u>
E. Other	\$ 0 <u>300</u>	\$ 480,978 <u>550</u>	\$ 480,978 <u>810</u>
4. Receivables from customers			
A. Securities accounts			
1. Cash and fully secured accounts	\$ 645,799,858 <u>310</u>		
2. Partly secured accounts	\$ 18,276,148 <u>320</u>	\$ 56,543 <u>560</u>	
3. Unsecured accounts		\$ 4,599,686 <u>570</u>	
B. Commodity accounts	\$ 2,059,379 <u>330</u>	\$ 110,797 <u>580</u>	
C. Allowance for doubtful accounts	\$ (0) <u>335</u>	\$ (1,274,927) <u>590</u>	\$ 669,627,484 <u>820</u>
5. Receivables from non-customers			
A. Cash and fully secured accounts	\$ 199,193,934 <u>340</u>		
B. Partly secured and unsecured accounts	\$ 0 <u>350</u>	\$ 24,981 <u>600</u>	\$ 199,218,915 <u>830</u>
6. Excess cash collateral pledged on derivative transactions	\$ 0 <u>12015</u>	\$ 0 <u>12016</u>	\$ 0 <u>12017</u>
7. Securities purchased under agreements to resell ...	\$ 286,982,455 <u>360</u>	\$ 0 <u>605</u>	\$ 286,982,455 <u>840</u>
8. Trade date receivable	\$ 9,669,021 <u>292</u>		\$ 9,669,021 <u>802</u>
9. Total net securities, commodities, and swaps positions	\$ 754,826,320 <u>12019</u>	\$ 3,223,131 <u>12022</u>	\$ 758,049,451 <u>12024</u>
10. Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value			
A. Exempted securities \$ 0 <u>150</u>			
B. Other \$ 0 <u>160</u>	\$ 0 <u>460</u>	\$ 0 <u>630</u>	\$ 0 <u>880</u>
11. Secured demand notes – market value of collateral			
A. Exempted securities \$ 0 <u>170</u>			
B. Other \$ 0 <u>180</u>	\$ 0 <u>470</u>	\$ 0 <u>640</u>	\$ 0 <u>890</u>

Name of Firm: WEDBUSH SECURITIES INC.

As of: 01/31/2022

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Report
Part II

Items on this page to be reported by a: Stand-Alone Broker-Dealer
Stand-Alone SBSD
Broker-Dealer SBSD
Stand-Alone MSBSP
Broker-Dealer MSBSP

<u>Assets</u>	<u>Allowable</u>	<u>Non-Allowable</u>	<u>Total</u>
12. Memberships in exchanges:			
A. Owned, at market value\$ _____	190		
B. Owned at cost		\$ 7,449,670	650
C. Contributed for use of company, at market value		\$ 0	660
			\$ 7,449,670
13. Investment in and receivables from affiliates, subsidiaries and associated partnerships	\$ 0	480	
		\$ 6,253,063	670
			\$ 6,253,063
14. Property, furniture, equipment, leasehold improvements and rights under lease agreements At cost (net of accumulated depreciation and amortization).	\$ 31,100,361	490	
		\$ 954,415	680
			\$ 32,054,776
15. Other assets			
A. Dividends and interest receivable.	\$ 10,535,141	500	
B. Free shipments.	\$ 0	510	
C. Loans and advances.	\$ 0	520	
D. Miscellaneous.	\$ 8,590,331	530	
E. Collateral accepted under ASC 860	\$ 0	536	
F. SPE Assets.	\$ 0	537	
			\$ 61,823,950
16. TOTAL ASSETS	\$ 7,369,717,889	540	
		\$ 64,576,815	740
			\$ 7,434,294,704

Note: Stand-alone MSBSPs should only complete the Allowable and Total columns.

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Report
Part II

Items on this page to be reported by a: Stand-Alone Broker-Dealer
Stand-Alone SBSD
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Broker-Dealer MSBSP

LIABILITIES AND OWNERSHIP EQUITY

<u>Liabilities</u>	<u>A.I. Liabilities</u>		<u>Non-A.I. Liabilities</u>		<u>Total</u>	
17. Bank loans payable:						
A. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a, or the CEA . . .	\$	1030	\$	1240	\$	50,000,000 1460
B. Other	\$	1040	\$	1250	\$	85,000,000 1470
18. Securities sold under repurchase agreements,			\$	1260	\$	252,219,541 1480
19. Payable to brokers/dealers and clearing organizations						
A. Failed to receive:						
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$	1050	\$	1270	\$	7,025,103 1490
2. Other	\$	1060	\$	1280	\$	3,956,541 1500
B. Securities loaned						
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$	1070			\$	119,875,910 1510
2. Other	\$	1080	\$	1290	\$	2,114,185,320 1520
C. Omnibus accounts						
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$	1090			\$	0 1530
2. Other	\$	1095	\$	1300	\$	0 1540
D. Clearing organizations						
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a, or the CEA.	\$	1100			\$	5,542,590 1550
2. Other	\$	1105	\$	1310	\$	8,517,643 1560
E. Other	\$	1110	\$	1320	\$	1,123,029 1570
20. Payable to customers:						
A. Securities accounts - including free credits of \$ 2,328,206,727 950	\$	1120			\$	2,633,650,213 1580
B. Commodities accounts	\$	1130	\$	1330	\$	1,530,724,369 1590
21. Payable to non customers:						
A. Securities accounts	\$	1140	\$	1340	\$	124,359,908 1600
B. Commodities accounts	\$	1150	\$	1350	\$	208,097 1610
22. Excess cash collateral received on derivative transactions	\$	12025	\$	12026	\$	0 12027
23. Trade date payable	\$	12031	\$	12037	\$	0 1562
24. Total net securities, commodities, and swaps positions	\$	12032	\$	12038	\$	6,740,982 12044
25. Accounts payable and accrued liabilities and expenses						
A. Drafts payable	\$	1160			\$	5,089,488 1630
B. Accounts payable	\$	1170			\$	35,769,559 1640
C. Income taxes payable	\$	1180			\$	412,998 1650
D. Deferred income taxes			\$	1370	\$	0 1660
E. Accrued expenses and other liabilities	\$	1190			\$	81,074,234 1670
F. Other	\$	1200	\$	1380	\$	36,022,852 1680
G. Obligation to return securities	\$	12033	\$	1386	\$	0 1686
H. SPE Liabilities	\$	12045	\$	1387	\$	0 1687

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Items on this page to be reported by a: Stand-Alone Broker-Dealer
Stand-Alone SBSB
Broker-Dealer SBSB
Stand-Alone MSBSP
Broker-Dealer MSBSP

26. Notes and mortgages payable

A. Unsecured	\$		1210	\$		0	1690
B. Secured	\$		1211	\$		1390	1700

LiabilitiesA.I. LiabilitiesNon-A.I. LiabilitiesTotal

27. Liabilities subordinated to claims of

A. Cash borrowings	\$		1400	\$		25,000,000	1710
1. From outsiders	\$		0	970			
2. Includes equity subordination (Rule 15c3-1(d) or Rule 18a-1(g)) of	\$		0	980			
B. Securities borrowings, at market value	\$		1410	\$		0	1720
1. From outsiders	\$		0	990			
C. Pursuant to secured demand note collateral agreements	\$		1420	\$		0	1730
1. From outsiders	\$		0	1000			
2. Includes equity subordination (Rule 15c3-1(d) or Rule 18a-1(g)) of	\$		0	1010			
D. Exchange memberships contributed for use of company, at market value	\$		1430	\$		0	1740
E. Accounts and other borrowings not qualified for net capital purposes.	\$		1220	\$		1440	1750
28. TOTAL LIABILITIES	\$		1230	\$		7,126,498,377	1760

Ownership Equity

29. Sole proprietorship	\$			\$		0	1770
30. Partnership and limited liability company – including limited partners/members.	\$		0	1020	\$		0
31. Corporation							
A. Preferred stock	\$		0	1791			
B. Common stock	\$		700,000	1792			
C. Additional paid in capital	\$		18,305,107	1793			
D. Retained Earnings	\$		289,172,170	1794			
E. Accumulated other comprehensive income	\$		0	1797			
F. Total	\$					308,177,277	1795
G. Less capital stock in treasury	\$					(380,950)	1796
32. TOTAL OWNERSHIP EQUITY (sum of Line Items 1770, 1780, 1795, and 1796)	\$					307,796,327	1800
33. TOTAL LIABILITIES AND OWNERSHIP EQUITY (sum of Line Items 1760 and 1800)	\$					7,434,294,704	1810

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Report
Part II

Items on this page to be reported by a: Stand-Alone Broker-Dealer (Not Authorized to use models)
Stand-Alone SBSB (Not Authorized to use models)
Broker-Dealer SBSB (Not Authorized to use models)
Broker-Dealer MSBSP (Not Authorized to use models)

Computation of Net Capital

1. Total ownership equity from Item 1800		\$	307,796,327	3480
2. Deduct ownership equity not allowable for net capital		\$	(0)	3490
3. Total ownership equity qualified for net capital		\$	307,796,327	3500
4. Add:				
A. Liabilities subordinated to claims of creditors allowable in computation of net capital		\$	25,000,000	3520
B. Other (deductions) or allowable credits (list)		\$	0	3525
5. Total capital and allowable subordinated liabilities		\$	332,796,327	3530
6. Deductions and/or charges				
A. Total nonallowable assets from Statement of Financial Condition	\$	64,576,815	3540	
1. Additional charges for customers' and non-customers' security accounts	\$	255,471	3550	
2. Additional charges for customers' and non-customers' commodity accounts	\$	0	3560	
3. Additional charges for customers' and non-customers' security-based swap accounts	\$	0	12051	
4. Additional charges for customers' and non-customers' swap accounts	\$	0	12052	
B. Aged fail-to-deliver	\$	1,717,011	3570	
1. number of items		359	3450	
C. Aged short security differences-less reserve of	\$	0	3460	\$ 0 3580
number of items		0	3470	
D. Secured demand note deficiency	\$	0	3590	
E. Commodity futures contracts and spot commodities - proprietary capital charges	\$	51,000	3600	
F. Other deductions and/or charges	\$	17,813,662	3610	
G. Deductions for accounts carried under Rules 15c3-1(a)(6) and (c)(2)(x)	\$	0	3615	
H. Total deductions and/or charges	\$	(84,413,959)	3620	
7. Other additions and/or allowable credits (list)	\$	0	3630	
8. Tentative net capital (net capital before haircuts)	\$	248,382,368	3640	
9. Haircuts on securities other than security-based swaps				
A. Contractual securities commitments	\$	3,001	3660	
B. Subordinated securities borrowings	\$	0	3670	
C. Trading and investment securities	\$			
1. Bankers' acceptances, certificates of deposit, commercial paper, and money market instruments	\$	0	3680	
2. U.S. and Canadian government obligations	\$	927,696	3690	
3. State and municipal government obligations	\$	1,654,034	3700	
4. Corporate obligations	\$	9,353	3710	
5. Stocks and warrants	\$	2,010,548	3720	
6. Options	\$	2,487,590	3730	
7. Arbitrage	\$	0	3732	
8. Risk-based haircuts computed under 17 CFR 240.15c3-1a or 17 CFR 240.18a-1a	\$	0	12028	
9. Other securities	\$	0	3734	
D. Undue concentration	\$	0	3650	
E. Other (List: _____)	\$	252,302	3736	
10. Haircuts on security-based swaps	\$	0	12053	
11. Haircuts on swaps	\$	0	12054	
12. Total haircuts (sum of Lines 9A-9E, 10, and 11)	\$	(7,344,524)	3740	
13. Net capital (Line 8 minus Line 12)	\$	241,037,844	3750	

Name of Firm: WEDBUSH SECURITIES INC.

As of: 01/31/2022

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Part IIItems on this page to be reported by a: Stand-Alone Broker-Dealer
Broker-Dealer SBSD (other than OTC Derivatives Dealer)
Broker-Dealer MSBSP

Calculation of Excess Tentative Net Capital (If Applicable)

1. Tentative net capital	\$	248,382,368	3640
2. Minimum tentative net capital requirement	\$	0	12055
3. Excess tentative net capital (difference between Lines 1 and 2)	\$	248,382,368	12056
4. Tentative net capital in excess of 120% of minimum tentative net capital requirement reported on Line 2	\$	0	12057

Calculation of Minimum Net Capital Requirement

5. Ratio minimum net capital requirement			
A. 62/3% of total aggregate indebtedness (Line Item 3840)	\$		3756
B. 2% of aggregate debit items as shown in the Formula for Reserve Requirements pursuant to Rule 15c3-3	\$	81,551,254	3870
i. Minimum CFTC net capital requirement (if applicable)	\$	81,551,254	7490
C. Percentage of risk margin amount computed under 17 CFR 240.15c3-1(a)(7)(i) or (a)(10)	\$	0	12058
D. For broker-dealers engaged in reverse repurchase agreements, 10% of the amounts in 17 CFR 240.15c3-1(a)(9)(i)-(iii)	\$	0	12059
E. Minimum ratio requirement (sum of Lines 5A, 5B, 5C, and/or 5D, as applicable)	\$	81,551,254	12060
6. Fixed-dollar minimum net capital requirement	\$	1,000,000	3880
7. Minimum net capital requirement (greater of Lines 5E and 6)	\$	81,551,254	3760
8. Excess net capital (Item 3750 minus Item 3760)	\$	159,486,590	3910
9. Net capital and tentative net capital in relation to early warning thresholds			
A. Net capital in excess of 120% of minimum net capital requirement reported on Line 7	\$	143,176,339	12061
B. Net capital in excess of 5% of combined aggregate debit items as shown in the Formula for Reserve Requirements pursuant to Rule 15c3-3.	\$	183,560,472	3920

Computation of Aggregate Indebtedness (If Applicable)

10. Total aggregate indebtedness liabilities from Statement of Financial Condition (Item 1230)	\$		3790
11. Add			
A. Drafts for immediate credit	\$		3800
B. Market value of securities borrowed for which no equivalent value is paid or credited	\$		3810
C. Other unrecorded amounts (list)	\$		3820
D. Total additions (sum of Line Items 3800, 3810, and 3820)	\$		3830
12. Deduct: Adjustment based on deposits in Special Reserve Bank Accounts (see Rule 15c3-1(c)(1)(vii))	\$		3838
13. Total aggregate indebtedness (sum of Line Items 3790 and 3830)	\$		3840
14. Percentage of aggregate indebtedness to net capital (Item 3840 divided by Item 3750)	%		3850
15. Percentage of aggregate indebtedness to net capital <u>after</u> anticipated capital withdrawals (Item 3840 divided by Item 3750 less Item 4880)	%		3853

Calculation of Other Ratios

16. Percentage of net capital to aggregate debits (Item 3750 divided by Item 4470)	%	20.97	3851
17. Percentage of net capital, <u>after</u> anticipated capital withdrawals, to aggregate debits (Item 3750 less Item 4880, divided by Item 4470)	%	20.84	3854
18. Percentage of debt to debt-to-equity total, computed in accordance with Rule 15c3-1(d)	%	7.51	3860
19. Options deductions/net capital ratio (1000% test) total deductions exclusive of liquidating equity under Rule 15c3-1(a)(6) and (c)(2)(x) divided by net capital	%	0.00	3852

FOCUS
Report
Part II

Items on this page to be reported by: Futures Commission Merchant

NET CAPITAL REQUIRED

A. Risk-Based Requirement

i. Amount of Customer Risk

Maintenance Margin\$ 1,019,040,746 7415

ii. Enter 8% of line A.i \$ 81,523,260 7425

iii. Amount of Non-Customer Risk

Maintenance Margin\$ 349,928 7435

iv. Enter 8% of line A.iii \$ 27,994 7445

v. Amount of uncleared swap margin \$ 0 7446

vi. If the FCM is also registered as a swap dealer, enter 2% of Line A.v \$ 0 7447

vii. Enter the sum of Lines A.ii, A.iv and A.vi \$ 81,551,254 7455

B. Minimum Dollar Amount Requirement \$ 1,000,000 7465

C. Other NFA Requirement \$ 0 7475

D. Minimum CFTC Net Capital Requirement.

Enter the greatest of lines A.vii., B or C\$ 81,551,254 7490

Note: If amount on Line D is greater than the minimum net capital requirement computed on Item 3760, then enter this greater amount on Item 3760.

The greater of the amount required by the SEC or CFTC is the minimum net capital requirement.

CFTC early warning level – enter the greatest of 110% of Line A.vii. or 150% of Line B or 150% of Line C \$ 89,706,379 7495

Items on this page to be reported by: Futures Commission Merchant

SEGREGATION REQUIREMENTS

1. Net ledger balance	
A. Cash	\$ 1,352,589,879 7010
B. Securities (at market)	\$ 194,091,316 7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market	\$ 145,764,084 7030
3. Exchange traded options	
A. Add market value of open option contracts purchased on a contract market	\$ 3,063,369,922 7032
B. Deduct market value of open option contracts granted (sold) on a contract market	\$ (2,101,119,309) 7033
4. Net equity (deficit) (total of Lines 1, 2, and 3)	\$ 2,654,695,892 7040
5. Accounts liquidating to a deficit and accounts with debit balances	
- gross amount	\$ 5,542,152 7045
Less: amount offset by customer owned securities	\$ (5,386,937) 7047
	\$ 155,215 7050
6. Amount required to be segregated (add lines 4 and 5)	\$ 2,654,851,107 7060

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts	
A. Cash	\$ 509,090,090 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)	\$ 664,278 7090
8. Margins on deposit with derivatives clearing organizations of contract markets	
A. Cash	\$ 234,722,776 7100
B. Securities representing investments of customers' funds (at market)	\$ 699,893,598 7110
C. Securities held for particular customers or option customers in lieu of cash (at market)	\$ 189,069,572 7120
9. Net settlement from (to) derivatives clearing organizations of contract markets	\$ 84,133,871 7130
10. Exchange traded options	
A. Value of open long option contracts	\$ 3,063,369,922 7132
B. Value of open short option contracts	\$ (2,101,119,309) 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 (describe: _____)	\$ 4,357,466 7150
13. Total amount in segregation (add lines 7 through 12)	\$ 2,684,182,264 7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)	\$ 29,331,157 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	\$ 10,331,157 7198

Items on this page to be reported by: Futures Commission Merchant

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
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 investment 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 investment 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 investment 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 (describe: _____) \$	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 target excess \$	0	8770

Items on this page to be reported by a: Futures Commission Merchant

1. Amount required to be segregated in accordance with 17 CFR 32.6	\$	0	7200
2. Funds/property in segregated accounts			
A. Cash	\$	0	7210
B. Securities (at market value)	\$	0	7220
C. Total funds/property in segregated accounts	\$	0	7230
3. Excess (deficiency) funds in segregation (subtract Line 2C from Line 1)	\$	0	7240

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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	\$	29,695,522	7315
B. Securities (at market)	\$	0	7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$	504,707	7325
3. Exchange traded options			
A. Market value of open option contracts purchased on a foreign board of trade	\$	10,308	7335
B. Market value of open contracts granted (sold) on a foreign board of trade	\$	(71,911)	7337
4. Net equity (deficit)(add lines 1. 2. and 3.)	\$	30,138,626	7345
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount			
Less: amount offset by customer owned securities	\$	8,315	7351
Less: amount offset by customer owned securities	\$(0)	7352
Less: amount offset by customer owned securities	\$	8,315	7354
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$	30,146,941	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$	30,146,941	7360

Items on this page to be reported by: Futures Commission Merchant

FUNDS DEPOSITED IN SEPARATE 17 CFR. 30.7 ACCOUNTS

1. Cash in banks

A. Banks located in the United States \$ 8,711,841 7500

B. Other banks qualified under 17 CFR. 30.7

Name(s): 0 7510 \$ 6,442,762 7520 \$ 15,154,603 7530

2. Securities

A. In safekeeping with banks located in the United States \$ 0 7540

B. In safekeeping with other banks designated by 17 CFR. 30.7

Name(s): 0 7550 \$ 0 7560 \$ 0 7570

3. Equities with registered futures commission merchants

A. Cash \$ 7,152,394 7580

B. Securities \$ 0 7590

C. Unrealized gain (loss) on open futures contracts \$ 128,980 7600

D. Value of long option contracts \$ 10,308 7610

E. Value of short option contracts \$(71,911) 7615 \$ 7,219,771 7620

4. Amounts held by clearing organizations of foreign boards of trade

Name(s): 0 7630

A. Cash \$ 11,341,737 7640

B. Securities \$ 0 7650

C. Amount due to (from) clearing organizations - daily variation \$ 62,912 7660

D. Value of long option contracts \$ 0 7670

E. Value of short option contracts \$(0) 7675 \$ 11,404,649 7680

5. Amounts held by members of foreign boards of trade

Name(s): 0 7690

A. Cash \$ 864,840 7700

B. Securities \$ 0 7710

C. Unrealized gain (loss) on open futures contracts \$ 49,765 7720

D. Value of long option contracts \$ 0 7730

E. Value of short option contracts \$(0) 7735 \$ 914,605 7740

6. Amounts with other depositories designated by a foreign board of trade

Name(s): 0 7750 \$ 0 7760

7. Segregated funds on hand (describe:) \$ 0 7765

8. Total funds in separate 17 CFR 30.7 accounts \$ 34,693,628 7770

9. Excess (deficiency) set aside funds for secured amount

(Line Item 7770 minus Line Item 7360) \$ 4,546,687 7380

10. Management target amount for excess funds in separate 17 CFR 30.7 accounts \$ 1,000,000 7780

11. Excess (deficiency) funds in separate 17 CFR 30.7 accounts over (under) management target excess \$ 3,546,687 7785