

 **UBS FINANCIAL SERVICES INC.**

As of Date	Adjusted Net Capital	Net Capital Requirement	Excess Net Capital
September 30, 2017	\$1,402,962,910	\$130,390,971	\$1,272,571,939
August 31, 2017	\$1,406,933,533	\$125,955,976	\$1,280,977,557
July 31, 2017	\$1,474,913,997	\$125,000,459	\$1,349,913,538
June 30, 2017	\$1,351,169,445	\$123,616,508	\$1,227,552,937
May 31, 2017	\$1,338,226,072	\$128,346,729	\$1,209,879,343
April 30, 2017	\$1,264,712,996	\$121,786,529	\$1,142,926,467
March 31, 2017	\$1,279,952,100	\$121,411,307	\$1,158,540,793
February 28, 2017	\$1,294,908,052	\$122,362,879	\$1,172,545,173
January 31, 2017	\$1,411,814,492	\$117,053,954	\$1,294,760,538
December 31, 2016*	\$1,338,859,966	\$119,563,458	\$1,219,296,508
November 30, 2016	\$1,317,017,630	\$121,184,560	\$1,195,833,070
October 31, 2016	\$1,216,041,190	\$116,356,214	\$1,099,684,976
September 30, 2016	\$1,164,721,970	\$122,560,855	\$1,042,161,115

\* The Adjusted Net Capital, Net Capital Requirement, and Excess Net Capital have been adjusted since initially posted.  
 UBS Financial Services Inc. is a subsidiary of UBS Group AG.