

 **UBS FINANCIAL SERVICES INC.**

| As of Date         | Tentative<br>Net Capital | Adjusted<br>Net Capital | Net Capital<br>Requirement | Excess<br>Net Capital |
|--------------------|--------------------------|-------------------------|----------------------------|-----------------------|
| March 31, 2024     | \$939,989,772            | \$864,165,619           | \$140,330,480              | \$723,835,139         |
| February 29, 2024  | \$939,709,342            | \$869,498,118           | \$141,344,577              | \$728,153,541         |
| *January 31, 2024  | \$1,212,823,572          | \$1,147,481,603         | \$133,872,443              | \$1,013,609,160       |
| *December 31, 2023 | \$1,287,010,017          | \$1,214,742,157         | \$138,404,286              | \$1,076,337,871       |
| November 30, 2023  | \$1,268,870,391          | \$1,200,456,876         | \$135,886,726              | \$1,064,570,150       |
| October 31, 2023   | \$1,267,409,951          | \$1,200,434,260         | \$129,978,988              | \$1,070,455,272       |
| September 30, 2023 | \$1,336,152,079          | \$1,272,040,648         | \$138,960,584              | \$1,133,080,064       |
| August 31, 2023    | \$1,377,610,149          | \$1,310,770,197         | \$155,510,341              | \$1,155,259,856       |
| Jul 31, 2023       | \$1,319,791,869          | \$1,255,942,746         | \$161,156,956              | \$1,094,785,790       |
| Jun 30, 2023       | \$1,350,224,008          | \$1,284,226,190         | \$156,459,287              | \$1,127,766,903       |
| May 31, 2023       | \$1,083,926,924          | \$1,016,904,966         | \$149,302,897              | \$867,602,069         |
| April 30, 2023     | \$1,088,872,986          | \$1,025,138,099         | \$147,636,052              | \$877,502,047         |

\*The presence of an asterisk indicates a change to that date's net capital information since initial posting.  
UBS Financial Services Inc. is a subsidiary of UBS Group AG.