

Rand Financial Services, Inc.

CFTC Regulation 1.55(o)(1)(iv)

Month-end Summary Schedule

| | <u>11/30/2017</u> | <u>10/31/2017</u> | <u>9/30/2017</u> | <u>8/31/2017</u> | <u>7/31/2017</u> | <u>6/30/2017</u> | <u>5/31/2017</u> | <u>4/30/2017</u> | <u>3/31/2017</u> | <u>2/28/2017</u> | <u>1/31/2017</u> | <u>12/31/2016</u> | <u>11/30/2016</u> |
|----------------------|-------------------|-------------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|-------------------|-------------------|
| Net Capital | \$ 87,313,700 | \$ 87,589,700 | \$ 87,369,300 | \$ 86,870,100 | \$ 86,508,300 | \$ 86,230,900 | \$ 85,832,300 | \$ 85,775,100 | \$ 85,725,000 | \$ 85,710,100 | \$ 85,608,000 | \$ 85,417,800 | \$ 85,123,600 |
| Adjusted Net Capital | \$ 86,029,144 | \$ 86,426,161 | \$ 85,939,031 | \$ 85,743,376 | \$ 85,375,507 | \$ 85,132,687 | \$ 84,688,006 | \$ 84,738,008 | \$ 84,395,031 | \$ 84,686,578 | \$ 84,483,779 | \$ 84,537,733 | \$ 83,984,536 |
| Excess Net Capital | \$ 71,510,445 | \$ 72,114,530 | \$ 72,825,938 | \$ 71,734,577 | \$ 72,390,355 | \$ 72,352,166 | \$ 64,328,796 | \$ 67,810,733 | \$ 67,645,203 | \$ 69,698,945 | \$ 68,098,648 | \$ 70,601,224 | \$ 67,205,037 |