

TradeUP Securities Inc. – Customer Relationship Summary

Introduction

TradeUP Securities Inc. is registered with FINRA and the SEC as a broker-dealer. Free and simple tools are available to research firms and financial professionals at: www.Investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing. To learn more about TradeUP Securities Inc., you may go to FINRA's BrokerCheck at: <https://brokercheck.finra.org/>.

Relationships and Services

What investment services and advice can you provide me?

We specialize in the execution of secondary market transactions in U.S. and non-U.S. equity securities for customers through an online brokerage platform. The investments we make available to retail investors include: stocks, exchange-traded funds, options, and mutual funds.

You will make the ultimate decision regarding the purchase or sale of investments in your brokerage account. It is important to understand that the Firm and its registered representatives do not monitor your investment or account after a transaction is entered.

The securities products we offer may be subject to minimum deposits, which may vary between the products. Any minimum deposit requirements are outlined in each product's respective prospectus or agreement.

Questions to consider:

- *Given my financial situation, should I choose a brokerage service? Why or why not?*
- *How will you choose investments to recommend to me?*
- *What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?*

Fees, Costs, Conflicts and Standard of Conduct

What fees will I pay?

It is important for you, the retail investor, to understand the principal fees and costs you will incur for your brokerage services, including how frequently they are assessed and the conflict of interest they create.

U.S. Stock & ETFs

Commission	\$0
SEC Fees ¹ (Charged to sell orders only)	\$0.0000051*Value of Aggregate Sales
FINRA Trading Activity Fee (Charged to sell orders only)	\$0.00019/Share with maximum \$5.95/Order

U.S. Equity and Index Options

Commission	\$0
Contract Fee	\$0/Contract
Option Regulatory Fee (ORF) ²	\$0.0389/Contract
SEC Fees ¹	\$0.0000051*Value of Aggregate Sales
FINRA Trading Activity Fee (Charged to sell orders only)	\$0.002/Contract
OCC Clearing Fee	\$0.055/Per contract, with Maximum \$55/order

Interest on Idle Cash (Annual Rate)

Interest on Idle Cash ³ (Annual Rate)	0.1% with minimum payout amount of \$1
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Other Fees

Confirmation Mailing Fee	\$1
Statements Mailing Fee	\$2
Voluntary Reorganizations	\$25
Issue Stock Certificate	\$75
Wire Out Fee ⁴	\$50
ACATS Out Fee (Full Account Out)	\$50
ACH Reversal Fee ACH	\$30

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- We also may receive a rebate from the execution broker in cases where we provide liquidity.

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying.

Questions to consider:

- *Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?*

What are your legal obligations to me when providing recommendations as my broker-dealer? How else does your firm make money and what conflicts of interest do you have?

TradeUP Securities Inc. offers online brokerage services to self-directed investors. We do not provide investment recommendations and customers accept responsibility for an understand that their investment decisions and trading strategies are at their sole discretion and risk. Our Firm makes money from interest on cash balances, financing margin balances, stock loan rebates, and rebates from executing market centers.

Questions to consider:

- *How might your conflicts of interest affect me, and how will you address them?*

How do your financial professionals make money?

Our registered representatives (RRs) receive a fixed salary along with a year-end bonus which is based upon the Firm's performance during the year.

Disciplinary History

Do you or your financial professionals have legal or disciplinary history?

Yes. For a free and simple search tool to research our firm and our registered representatives' disciplinary actions and history, please go to: www.investor.gov/CRS

Questions to consider:

- *As a financial professional, do you have any disciplinary history?*
- *If so, for what type of conduct?*

Additional Information

If you would like up-to-date information about our firm or to request a copy of the relationship summary, please call 800-962-7726.