

# **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](http://www.investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing. To learn more about TradeUP, 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.

<b>U.S. Stocks &amp; ETFs</b>	<b>Fee/Rate</b>
Commission (Listed)	\$0
	\$0.0002/Share with maximum of \$0.05*Value of Aggregate Transaction (Additional fees and interest may be charged for trading activity that triggers an NSCC or exchange illiquidity charge)
Commission (OTC)	
SEC Fees (Charged to sell orders only)	\$0.000278*Value of Aggregate Sales with minimum of \$0.01/Order
FINRA Trading Activity Fee (Charged to sell orders only)	\$0.000166/Share with maximum of \$8.3/Order
<b>U.S. Equity and Index Options</b>	
Commission	\$0
Contract Fee (Equity Options)	\$0/Contract
Contract Fee (Index Options)	\$0/Contract
Option Regulatory Fee (ORF)	\$0.0269/Contract
SEC Fees (Charged to sell orders only)	\$0.000278*Value of Aggregate Sales with minimum of \$0.01/Order
FINRA Trading Activity Fee (Charged to sell orders only)	\$0.00279/Contract
OCC Clearing Fee	\$0.02/Contract, with maximum of \$55/Order
<b>Interest on Idle Cash (Annual Rate)</b>	
Interest on Idle Cash (Annual Rate)	0.1% with minimum payout amount of \$1
<b>Other Fees</b>	
Confirmation Mailing Fee	\$1
Statements Mailing Fee	\$2
Voluntary Reorganizations	\$25
Issue Stock Certificate	\$75
Wire Out Fee	\$50
ACATS Out Fee (Full Account Out)	\$50
ACH Reversal Fee	\$30
DRS/DWAC Transaction Fee	\$150
DRS/DWAC Rejection Fee	\$150
<b>Margin Interest</b>	
Annual Margin Interest Rate	5.99%

## **TradeUP Securities, Inc. – Customer Relationship Summary**

- 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 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](http://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.