



TradeUP Securities Inc. has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do at 1-800-962-7726, you should call our alternative number: 973-634-5257, or go to our website at www.marsco.com, for instructions on how we may provide prompt access to funds and securities, enter orders and process other trade-related, cash and security transfer transactions.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting our firm's books and records, and allowing our customers to transact business disruption.

Our business continuity plan addresses: data back up and recovery; all mission critical systems; financial and operational assessment; alternative communications with customers, employees and regulators; alternate physical location of employees; critical supplier, contractor, band and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our third party service bureau backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our service bureau that its objective is to restore its own operations within a short time period. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within three hours. In either situation, we plan to continue in business, transfer operations to another location if necessary, and notify you through our web site www.marsco.com or our customer emergency number, 1-973-634-5257, how to contact us. If the significant business disruption is severe, we will assure our customer's prompt access to their funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at 1-800-962-7726.