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AltruShare Securities offers institutional clients a brokerage platform based on an agency-only model free of traditional conflicts of interest, which ensures our clients' interests are always put first.

AltruShare competes on execution quality, service and price and combines the most current trading technology with the human edge in client service.

AltruShare sponsors cutting-edge, independent research on community investment.

We invite you to explore our site to discover a new business model, one which empowers institutional clients to integrate corporate social responsibility into the daily business of investments without sacrificing best execution, service or price.

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History and Mission

Co-founded by Peter Drasher and Dawn Edwards, AltruShare Securities received NASD membership in February of 2006. AltruShare offers comprehensive and competitive institutional brokerage services to public and corporate plan sponsors, endowments and foundations, as well as the institutional money management community.

The execution platform is supported by the most current trading technology, and the AltruShare team is experienced. Each has over twenty years experience in institutional brokerage, portfolio trading, and transition management both domestically and internationally.

AltruShare's advisory board is composed of nationally recognized experts in the area of community investment and pension administration. While constructing the necessary infrastructure and systems, AltruShare sponsored a variety of independent research on community investment.

In September 2006, AltruShare breaks new ground as both the first institutional brokerage firm to specialize in community investment, and the first Community Investment Enterprise in the industry. Community Investment Enterprises are for-profit businesses created to provide a sustainable source of support for underserved communities. Their nonprofit ownership ensures the depth and longevity of their commitment.

AltruShare empowers institutional clients to integrate corporate social responsibility without sacrificing execution quality, service, or price. AltruShare's proprietary research and nonprofit ownership with decades of experience in community investment, ensures our profits are effectively reinvested into communities where the need is greatest.

AltruShare's profits fund new models of customized community investment to maximize impact in the communities in which AltruShare conducts business. It is our goal to promote positive growth and development in low-income communities by targeting programs focused on youth development, education and economic opportunity.

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Institutional US Equity Trading

AltruShare adds value by offering a brokerage platform free of traditional conflict of interest. Our agency-only model ensures our clients' interests are always put first. AltruShare competes on execution quality, service and price to offer an optimal platform for all types of orders.

AltruShare combines the most current trading technology with the human edge in client service. AltruShare's unique perspective and a clear understanding of our clients allow us to work closely as a trusted source to institutional trading desks.

Our trading services include:

Market Analysis

Pre-trade analytics are fundamental to developing a careful and thoughtful approach to executing institutional orders. Our in-house analytic tools enable us to plan the best approach to executing an order with minimal market impact.

Independent third party post-trade analytics ensure an objective assessment of our services. Transaction cost analysis is available for all orders as well as cumulative cost analysis of historical trading.

Market Intelligence

Our traders are experienced at sourcing and interpreting news and events which have the potential to effect price movements such as earnings, unusual trading patterns, corporate federal filings, and regulatory actions.

Block Trading

AltruShare's unique relationships allow us access to top buy-side trading desks. Block orders are not shopped or advertised indiscriminately, but are handled responsibly and discreetly.

Algorithmic Trading

AltruShare's trade platform consolidates multiple market venues and crossing mechanisms to ensure orders are routed to the optimal destination. AltruShare offers a full complement of algorithmic trading strategies.

Volume and Time Weighted Algorithms are designed to achieve the average price over the trading session.

Implementation Shortfall is designed to achieve execution at target price or better by adjusting the size and timing of participation to minimize slippage.

Market Dynamic Algorithms are designed to execute an optimal strategy based on the client's risk levels and constraints. Each stock in a portfolio is traded according to the stock's behavior and strategies are adapted continually to changing market conditions.

Pairs-Trading Algorithms on one or multiple pairs of stocks issue orders only when a trading opportunity is identified.

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Corporate Buy-Back Algorithms comply with SEC 10b-18 Rules for corporate stock buy backs by integrating restrictions on timing, volume and price impact.



Experienced Back Office

Our seasoned operations personnel will deliver your staff timely and continuous flow of information about settlements and corporate actions.

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Community Investment Research

AltruShare Securities offers institutional clients a brokerage platform based on an agency-only model free of traditional conflicts of interest, which ensures our clients' interests are always put first.

☞ The Social Investment Forum produced a **Ten Year Review of Trends in Socially Responsible Investing** in January of 2006, including a section devoted to Community Investing sponsored by AltruShare.

The full report is available [\[HERE\]](#) in Adobe PDF format.

☞ **Portfolio Audit Snapshot** of Screening Issues and Shareholder Advocacy Activity.

AltruShare can provide a customized Social Issues report covering shareholder activism at US companies over a year's period. Given the increase in shareholder activism over the past several years, the ability to oversee a specific portfolio at any given time will have value. Available to our institutional clients upon request.

☞ **Industry and Company Profiles**

AltruShare has sponsored research to identify best practices and trends within specific industry groups including specific company profiles. Available to our institutional clients upon request.

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Team Bios

Our experienced management and trading team specializes in serving the needs of our institutional clients.

Peter Drasher, Managing Partner managed an institutional trading desk at Arnhold and S. Bleichroeder for 20 years. Peter's portfolio trading desk included clients throughout the US, Europe and Asia, and the team was responsible for trading in over 50 markets.

Dawn Edwards, President began her career at Lazard Freres in 1987. During her tenure, her duties included program trading, technology and soft dollar management. In 1997 she joined GENA, a woman-owned international broker dealer servicing institutional clients in ADRs, developed and emerging markets. In 2000, Dawn joined BNY Global Transition Management and handled transitions for public and corporate plan sponsors, endowments, foundations and Taft-Hartley clients.

Ledice Sweeney, Senior Vice President has over 15 years experience covering institutional clients in domestic equities. She spent the previous 4 years prior to joining AltruShare with Griswold Inc and worked previously at UBS Warburg Dillon Read marketing and selling equities and research to institutional clients. She began her career in 1991 on the Latin American trading desk of Oppenheimer & Company.

John Tarleton, Senior Vice President brings to AltruShare a broad range of experience, from the floor of the AMEX, NASDAQ market maker, portfolio administrator/trader for a large mutual fund, and chief compliance officer of a start up broker dealer. His range of experience is tremendously beneficial in building an infrastructure that is seamless and efficient to benefit our clients.

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Business Continuity Plan

Business Continuity Plan

AltruShare Securities, LLC has developed a Business Continuity Plan to 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 203 330-8111 or info@AltruShare.com you should call our alternative number 203 434-0117. If you cannot access us through either of those means, you should contact our clearing firm, BNY Brokerage Inc., at 800 828-5454 or www.bnybrokerage.com for instructions on how they will assist you in providing prompt access to your 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 the firm's books and records, and allowing our customers to transact business. In short, our Business Continuity Plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our Business Continuity Plan addresses: data back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank 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 clearing firm, BNY Brokerage Inc., 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 clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments as soon as possible. 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 as soon as possible. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business again as soon as possible. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site info@AltruShare.com or our customer emergency number, 203 434-0117 on how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

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For more information - If you have questions about our **Business Continuity Planning**, you can contact us at 203 330- 8100 or info@AltruShare.com.

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Contact Us



Institutional Trading Desk

Phone: 203.330.8111

Email: Info@AltruShare.com



Institutional Sales and Marketing

Phone: 203.330.8100

Email: Info@AltruShare.com



AltruShare Mentoring Program 2006-7

Contact Dawn Edwards, President

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Mailing Address

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