



Alton Securities Group, Inc. Business Continuity Executive Summary

Alton Securities Group, Inc (ASG) is providing this Business Continuity Executive Summary (BCES) to provide background to ASG's ability to respond to certain business disruptions, and to inform interested parties that ASG has Business Continuity Plans (BCP), in place to respond to certain business disruptions.

ASG anticipates two types of Significant Business Disruptions (SBD): internal and external. Internal SBD's, affect only our firm's ability to communicate and do business, such as a fire in our main office location. External SBD's affect the securities markets, a large number of firms or a wide scale regional disruption.

ASG has studied a number of SBD's and varying scenarios, each requiring myriad responses. ASG's BCP addresses as many SBD's as practically possible.

ASG's policy in response to an SBD, will be to safeguard employee's lives and firm property, make a financial and operational assessment, resume business operations and to implement the BCP if necessary.

ASG maintains back-up facilities and arrangements in the event of failure of one or more "mission critical systems."

ASG's BCP is subject to modification and amendments as necessary, and while designed to assist during an SBD, there can be no assurances as to specific responses given the varying nature and scope of potential SBD's.

A copy of this BCES is available by request.

For any questions concerning the summary contact:

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