



ATEL Securities Corporation

Securities

Representative Account Access

ATEL Securities Corporation
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800-543-2835 x2
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ATEL Securities Corporation: Your Strategic Partner in the Capital Markets

ATEL Securities Corporation ("ASC") is a FINRA (Financial Industry Regulatory Authority) registered broker dealer. ASC works with other FINRA firms as part of an underwriting syndicate that raises equity for ATEL Capital Group's equipment financing funds. Some of these funds offer individual investors the opportunity to be a part of a fund that has traditionally only been available to institutional investors.

Over the last three decades the underwriting syndicates assembled by ASC have raised billions of dollars in the U.S. public securities markets. Our success is attributed to ASC's dedication and service to over 50,000 investors and also to the many long standing relationships ASC has cultivated with our selling broker dealers and their representatives.

As a FINRA member firm, ASC is a part of a network that includes five thousand broker dealers with over one hundred thousand branch offices and almost three-quarters of a million Registered Representatives. Headquartered in San Francisco, ASC maintains offices across the United States to better serve our broker dealer community.

FINRA Investor Protection

Financial Industry Regulatory Authority (FINRA) Conduct Rule 2287 ATEL values the trust you have placed in us. As a part of our relationship, we respect and FINRA Rules & Regulation Website: <http://www.finra.org/RulesRegulation> acknowledge your privacy. Pursuant to Federal Trade Commission regulations (and SEC Regulation) The FINRA Regulation Public Disclosure Program Hotline:

FINRA P.O. Box: 3401
Cockeysburg, Maryland 20898-9401
Telephones: (800) 289-9999
Fax: (301) 212-8137

The FINRA Regulation Public Disclosure Program publishes an investor brochure which is available by contacting Public Disclosure at the above telephone number or address.

Visit FINRA at <http://www.finra.org>

FINRA BrokerCheck: Click Here to check the background of your investment professional.

BUSINESS CONTINUITY PLAN

PATRIOT ACT NOTIFICATION

Privacy Policy

ATEL values the trust you have placed in us. As a part of our relationship, we respect and acknowledge your privacy. Regulations issued by the Federal Trade Commission and the Securities and Exchange Commission require that ATEL and its affiliates (together, the "ATEL Companies") and each of the investment programs sponsored and managed by the ATEL Companies (the "Funds"), provide the Funds' investors with written notice of their policies and procedures for disclosure of the investors' non-public personal information. Our policies relating to disclosure of your non-public personal information are as follows:

1. We collect non-public personal information about you from the following sources:

- Information we receive from you on applications or other forms,
- Information about your transactions with us, our affiliates, or others, and
- Information we receive from a consumer reporting agency.

2. We do not disclose any non-public personal information about Fund investors or former investors to anyone, except as permitted by law.

3. We restrict access to non-public personal information about you to employees and agents of ATEL who need to know that information to provide services to you and the Fund in which you have invested, and require that all such employees and agents adhere to our privacy policy. Furthermore, ATEL has confirmed that each provider of administrative services to the Funds is also governed by the FTC and/or SEC privacy rules and will maintain a similar policy with regard to protecting the privacy of your non-public personal information.

4. We maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your non-public personal financial information.

5. We will not permit any ATEL Company which has no prior business relationship with you to market its products or services to you based on information another ATEL Company may collect from you, including, but not limited to, information concerning your income and net worth, your credit score and your account history with the ATEL Company.

If you have any questions about these policies or our use, maintenance and disclosure of your non-public personal financial information, please contact our Investor Services Department at (800) 543-2835, ext. 3. We are required by law to inform you of our privacy policy once a year. Please note that this is not a request for an "opt out" statement; from you, the above stated policies are the policies in place at this time.

MEMBER FINRA



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