

ATEL Investor Services

APPLICATION FOR TRANSFER

Qualified

For use with IRA, Roth IRA, SEP, Simple IRA, Pension plans, qualified benefit plans and custodial accounts. Transfers due to death must include certified copy of the death certificate and applicable documentation such as Letters Testamentary, Affidavit of Domicile or a Successor Trustee Designation. Transfers due to divorce must include divorce documents detailing the disposition of property and any applicable certificates of name change. All account holders must sign, and each signature must be signature guaranteed. Custodian must sign.

SEND TO:

ATEL INVESTOR SERVICES
C/O ACS SECURITIES SERVICES, INC.
A XEROX COMPANY
14911 QUORUM DRIVE
Suite 200A
DALLAS, TEXAS 75254

Transfer Fees:

Custodian to Custodian Transfer: \$10
Name and Registration Type Remain Same
All other Transfers: \$50

Please make checks payable to:
ACS Securities Services, Inc.

SHARES TO BE TRANSFERRED ☐ ALL OR _____ SHARES
Number

Full name of fund _____

Transferor (or Seller's) Information: ATEL Shareholder Number: _ _ _ _ _

Title: _____

Address: _____

City, State, Zip: _____

Social Security or Tax ID Number: _____

Telephone: _ _ _ - _ _ _ - _ _ _

Current Custodian Information:

Custodian Name: _____

Custodian Account Number: _____

Custodian Address: _____

City, State, Zip: _____

Custodian Tax Identification Number: _____

Custodian Telephone: _ _ _ - _ _ _ - _ _ _

By executing this Form, the transferor(s) hereby certifies and represents possession of valid title and all requisite power to assign such interests and represents and warrants that the transfer effected hereby is made in accordance with all applicable federal and state securities law and regulation. The transferor(s) understands that the transfer may be made only in compliance with the Articles of Incorporation and bylaws, as amended, of the Company. The signature(s) on this Form must correspond with the name(s) in which the transferor(s) hold the transferred shares.

Reason for Transfer (check one): For certain types of transfer, additional documentation may be required

- ☐ Re-registration (name change, divorce/separation, individual to trust, etc)
☐ Sale ☐ Death ☐ Gift ☐ Other (please specify)_____

Sign, Date, and Signature Guarantee All Signatures

Transferor's Signature

Date

Place Medallion Guarantee Stamp here

Co-Transferor's Signature

Date

Place Medallion Guarantee Stamp here

Custodian Signature

Date

Place Medallion Guarantee Stamp here

ALL SIGNATURES MUST BE GUARANTEED BY A MEMBER OF AN APPROVED MEDALLION SIGNATURE GUARANTEE PROGRAM

California Residents: It is unlawful to consummate a sale or transfer of limited partnership interests or any interests therein, or to receive any compensation therefore, without the prior written consent of the Commissioner of Corporations of the State of California, except as permitted by the Commissioner's rules.

APPLICATION FOR TRANSFER (part 2)

SHARES TO BE TRANSFERRED ☐ ALL OR _____ SHARES
Number

Transferee (or Buyer's) Information:

Title: _____

Address: _____

City, State, Zip: _____

Telephone: ____ - ____ - ____ e-mail: _____

U.S Citizen ____ Yes ____ No ____

Country of Residence _____

Social Security or Tax ID Number: _____

New Custodian Information:

Custodian Name _____

Custodian Account Number _____

Custodian Address: _____

City, State, Zip: _____

Custodian Tax Identification Number: _____

Custodian Telephone: ____ - ____ - ____

New Advisor Information (if applicable) :

Name _____

Office Address _____

Telephone Number () ____ - ____ - ____

e-mail address _____

Name of New Broker Dealer _____

Broker Dealer Address _____

Telephone number of new Broker Dealer () ____ - ____ - ____

Representative CRD # _____

Registration Type (circle one): **(for certain types of transfers, additional documentation may be required-see instructions at the top of this form)**
(IRA) (SEP) (Simple) (Pension) (Roth) (Other Custodial)-explain below:

Distributions will be paid to your custodial account listed above.

Sign, Date, and Signature Guarantee All Signatures

By executing this Form, the transferee(s) represent that they have received and/or reviewed the Prospectus and other filings made by the Company with the Securities and Exchange Commission. The transferee(s) accept and agree to be bound by the terms and conditions of the Company's Articles of Incorporation and Bylaws, as amended.

Transferee's Signature

Date

Place Medallion Guarantee Stamp here

Co-Transferee's Signature

Date

Place Medallion Guarantee Stamp here

Custodian Signature

Date

Place Medallion Guarantee Stamp here

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Please use this checklist to ensure a quick turnaround on your transfer request!

- ☐ All parties (account holders) must sign and date
- ☐ Previous Custodian and New Custodian Must Sign
- ☐ Custodians must include a corporate resolution showing all parties authorized to sign on behalf of the custodian
- ☐ Custodian information section must be complete
- ☐ All signatures must be signature guaranteed
- ☐ Include \$50.00 check payable to *ACS Securities Services, Inc.* (check amount will only be \$10.00 for custodian to custodian transfers)
- ☐ Review the disbursement options to ensure you made a selection.
- ☐ Include supporting documents:
 - If this transfer changes the Tax Payer ID or SS# the buyer is required to fill out a W-9 form (available under the sample forms section at www.atel.com/investors)
 - If transfer includes creation of a trust, please include trust documents
 - If this is a transfer due to death, please include certified death certificate and letters testamentary or affidavit of domicile, or successor trustee designation.
 - If this transfer includes the formation of a corporate, LLC, or partnership account, please include articles of partnership or incorporation.
 - If this transfer is due to divorce, please include the divorce documents and certification of name change.
 - Include any powers of attorney authorizing 3rd party signatures

Mail to:

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