

*This brochure supplement provides information about Alec Berens that supplements the Attessa Capital LLC brochure. You should have received a copy of that brochure. Please contact Alec Berens if you did not receive Attessa Capital LLC's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Alec Berens is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **Attessa Capital LLC**

### **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

### **Alec Berens**

Personal CRD Number: 6504172

Investment Adviser Representative

Attessa Capital LLC  
3060 N Swan Rd  
Tucson, AZ 85712  
(520) 600-3064  
[aberens@attessacapital.com](mailto:aberens@attessacapital.com)

UPDATED: 01/03/2024

## Item 2: Educational Background and Business Experience

**Name:** Alec Berens **Born:** 1992

### Educational Background and Professional Designations:

#### Education:

Bachelor of Arts Mathematics and Economics, Emory University - 2014

#### Business Background:

01/2020 - Present	Managing Partner Attesa Capital LLC (formerly BGK Capital LLC)
10/2015 - 01/2020	Director of Research Sterling Investment Management
03/2015 - 10/2015	Equity Research JMP Securities
01/2015 - 03/2015	Private Equity & Real Estate Analyst Diamond Ventures
05/2014 - 01/2015	Professional Golfer Bridgestone Golf
08/2010 - 05/2014	Student Emory University

## Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

#### **Item 4: Other Business Activities**

Alec Berens is a volunteer member and President of the Board of Directors for a non-profit organization, El Rio Health Center. Mr. Berens helps with strategic planning for the organization alongside other board members. Mr. Berens does not receive compensation for this position. Mr. Berens does not solicit this activity to clients of Attesa Capital LLC. Mr. Berens spends 8 hours per month on this activity.

Alec Berens is a volunteer member of the Board of Directors for a non-profit organization, JPSA (Jewish Philanthropies of Southern Arizona). Mr. Berens helps with strategic planning for the organization alongside other board members. Mr. Berens does not receive compensation for this position. Mr. Berens does not solicit this activity to clients of Attesa Capital LLC. Mr. Berens spends 4 hours per month on this activity.

Alec Berens is a volunteer Director of Southeast Holdings, Inc., Grant Road Holdings, Inc., and Cherrybell Holdings, Inc., which are subsidiary companies of El Rio Health Center. These entities were created so El Rio Health Center could obtain loans for new health center buildings through the New Markets Tax Credit Program (NMTC). This company has no operations outside of holding this loan. There are several directors of this company, and Mr. Berens volunteered to be director and help oversee the loan for the Board of Directors. Mr. Berens does not receive compensation for this position. Mr. Berens does not solicit this activity to clients of Attesa Capital LLC. Mr. Berens spends less than 1 hour per month on this activity.

Alec Berens is a volunteer President of his homeowners' association, Rancho Reposo (HOA) where he resides. Mr. Berens helps decide matters related to his housing community such as architecture changes, landscaping, timing of repairs or maintenance, HOA dues, etc. Mr. Berens does not receive compensation for this position. Mr. Berens does not solicit this activity to clients of Attesa Capital LLC. Mr. Berens spends 1 hour per month on this activity.

#### **Item 5: Additional Compensation**

Alec Berens does not receive any economic benefit from any person, company, or organization, other than Attesa Capital LLC in exchange for providing clients advisory services through Attesa Capital LLC.

#### **Item 6: Supervision**

As a representative of Attesa Capital LLC, Alec Berens is supervised by David William Kornberg, the firm's Chief Compliance Officer. David William Kornberg is responsible for

ensuring that Alec Berens adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for David William Kornberg is (520) 429-9754.

### **Item 7: Requirements for State Registered Advisers**

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

A. Alec Berens has NOT been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.
2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.

B. Alec Berens has NOT been the subject of a bankruptcy.