

## TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

ETAS ID: TM318646

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	Termination and Release of Security Interest in Trademarks
<b>SEQUENCE:</b>	3

## CONVEYING PARTY DATA

Name	Formerly	Execution Date	Entity Type
DEUTSCHE BANK AG NEW YORK BRANCH		10/01/2014	CORPORATION: NEW YORK

## RECEIVING PARTY DATA

<b>Name:</b>	Nuveen Investments, Inc.
<b>Street Address:</b>	333 West Wacker Drive
<b>City:</b>	Chicago
<b>State/Country:</b>	ILLINOIS
<b>Postal Code:</b>	60606
<b>Entity Type:</b>	CORPORATION: DELAWARE

## PROPERTY NUMBERS Total: 28

Property Type	Number	Word Mark
Registration Number:	3396546	333 ADVISORS
Registration Number:	3442026	CLOSE THE INCOME GAP
Registration Number:	3796031	CLOSE YOUR INCOME GAP
Registration Number:	2920245	FUNDPREFERRED
Registration Number:	1677862	IT'S NOT WHAT YOU EARN, IT'S WHAT YOU KE
Registration Number:	2481495	LOOK AHEAD. INVEST WELL. LEAVE YOUR MA
Registration Number:	2500306	
Registration Number:	3357647	
Registration Number:	1724187	MUNIPREFERRED
Registration Number:	3109164	NEW FRONTIERS
Registration Number:	2313480	NUVEEN
Registration Number:	2514096	NUVEEN INVESTMENTS
Registration Number:	2514095	NUVEEN INVESTMENTS
Registration Number:	2191848	NUVEEN PORTFOLIO CONSTRUCTOR
Registration Number:	3612393	NWQ
Registration Number:	3416336	PERSONALPLAN
Registration Number:	2817682	PRESERVING FAMILY WEALTH FOR GENERATIONS
Registration Number:	2020367	RITTENHOUSE

TRADEMARK

Property Type	Number	Word Mark
Registration Number:	2892799	RITTENHOUSE
Registration Number:	2892800	RITTENHOUSE
Registration Number:	2885940	RITTENHOUSE
Registration Number:	2894769	RITTENHOUSE
Registration Number:	2905925	RITTENHOUSE ASSET MANAGEMENT
Registration Number:	2839918	SMARTER WAYS TO BE CONSERVATIVE
Registration Number:	2627791	THE RITTENHOUSE TRUST COMPANY
Registration Number:	3561029	TRADEWINDS
Serial Number:	77098052	SMARTSHARES
Serial Number:	77098031	SMART SHARES

**CORRESPONDENCE DATA**

Fax Number: 2129096836

*Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.*

Phone: 212-909-6000

Email: trademarks@debevoise.com

Correspondent Name: Maxine Sharavsky, Esq.

Address Line 1: 919 Third Avenue

Address Line 2: Debevoise & Plimpton LLP

Address Line 4: New York, NEW YORK 10022

**ATTORNEY DOCKET NUMBER:** 07406-1070

**NAME OF SUBMITTER:** Maxine Sharavsky

**SIGNATURE:** /Maxine Sharavsky/

**DATE SIGNED:** 10/01/2014

**Total Attachments: 5**

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**TERMINATION AND RELEASE OF  
SECURITY INTEREST IN TRADEMARKS**  
(in respect of July 28, 2009 Trademark Security Agreement – Second Lien)

TERMINATION AND RELEASE OF SECURITY INTEREST IN TRADEMARKS, dated as of October 1, 2014, from DEUTSCHE BANK AG NEW YORK BRANCH, having a principal place of business at 60 Wall Street, New York, NY 10005, as First-Lien Collateral Agent and Second-Lien Collateral Agent (the “Agent”) for the several banks and other persons (the “Lenders”) that are parties to the Credit Agreement (as hereinafter defined) and for certain other Secured Parties (as defined in the Credit Agreement), to NUVEEN INVESTMENTS, INC., a Delaware Corporation having a principal place of business at 333 West Wacker Drive, Chicago, IL 60606 (the “Grantor”). Capitalized terms used herein without definition are used as defined in the Credit Agreement, dated as of November 13, 2007, as amended and restated as of September 19, 2012, as further amended as of October 11, 2012, as further amended as of February 28, 2013 and as further amended as of April 29, 2013 (as otherwise amended, modified, supplemented, extended, renewed, restated or replaced, collectively, prior to the date hereof, the “Credit Agreement”) by and among Grantor, Windy City Investments, Inc., the Lenders, the Agent, and the other persons party thereto, and in the Guarantee and Collateral Agreement (as hereinafter defined).

WITNESSETH:

WHEREAS, pursuant to (i) that certain Guarantee and Collateral Agreement, dated as of November 13, 2007 and amended and restated as of February 29, 2012 (as otherwise amended, modified, supplemented, extended, renewed, restated or replaced, collectively, prior to the date hereof, the “Guarantee and Collateral Agreement”), by and among Grantor, the Agent, and Windy City Investments, Inc., and (ii) that certain Trademark Security Agreement (Second Lien), dated as of July 28, 2009 (the “Trademark Security Agreement”) by and between Grantor and the Agent, a security interest (the “Security Interest”) was granted by the Grantor to the Agent in certain Trademark Collateral (as hereinafter defined); and

WHEREAS, the Trademark Security Agreement was recorded in the Trademark Division of the United States Patent and Trademark Office on August 11, 2009, at Reel 4042, Frame 0109; and

WHEREAS, the Agent now desires to terminate and release the entirety of its Security Interest in the Trademark Collateral;

NOW, THEREFORE, for good and valuable consideration including the satisfaction of all obligations, indebtedness and liabilities secured by the Trademark

Collateral pursuant to the Guarantee and Collateral Agreement and the Trademark Security Agreement, the receipt and adequacy of which are hereby acknowledged, and upon the terms set forth in this Termination and Release, the Agent hereby states as follows:

1. Trademark Collateral: The term "Trademark Collateral," as used herein, shall mean, other than the Excluded Collateral, all of the Grantor's right, title and interest in and to all of the following: (a) all trademarks, service marks, trade names, corporate names, company names, business names, fictitious business names, trade styles, trade dress, logos, other source or business identifiers, designs and general intangibles of like nature, now existing or hereafter adopted or acquired, all registrations and recordings thereof, and all registration and recording applications filed in connection therewith, including registrations and registration applications in the United States Patent and Trademark Office (or any successor office), and all extensions or renewals thereof, including those registrations and applications listed on Schedule A hereto, (b) all goodwill associated therewith or symbolized thereby, (c) all other assets, rights and interests that uniquely reflect or embody such goodwill and (d) all causes of action arising prior to or after the date hereof for infringement of any trademark or unfair competition regarding the same.

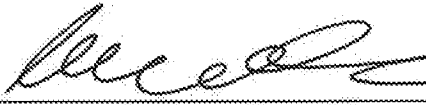
2. Release of Security Interest: The Agent hereby terminates, releases and discharges its Security Interest in the Trademark Collateral, and any right, title or interest of the Agent in the Trademark Collateral shall hereby cease and become void.

\* \* \*

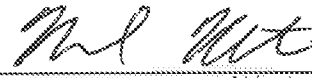
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IN WITNESS WHEREOF, the undersigned has executed this Termination and Release by its duly authorized officer as of the date first above written.

DEUTSCHE BANK AG NEW YORK  
BRANCH, as First-Lien Collateral Agent  
and Second-Lien Collateral Agent

By: 

Name: Anca Trifan  
Title: Managing Director

By: 

Name: Michael Winters  
Title: Vice President

SCHEDULE A

Trademark Registrations and Applications

<u>Trademark</u>	<u>Jurisdiction</u>	<u>Application Number</u>	<u>Filing Date</u>	<u>Registration Number</u>	<u>Registration Date</u>
333 ADVISORS	United States of America	78/969,684	9/8/2006	3,396,546	3/11/2008
CLOSE THE INCOME GAP	United States of America	77/213,229	6/22/2007	3,442,026	6/3/2008
CLOSE YOUR INCOME GAP	United States of America	77/213,553	6/22/2007	3,796,031	6/1/2010
FUNDPREFERRED	United States of America	78/343,007	12/18/2003	2,920,245	1/18/2005
IT'S NOT WHAT YOU EARN, IT'S WHAT YOU KEEP	United States of America	74/142,716	2/27/1991	1,677,862	3/3/1992
LOOK AHEAD. INVEST WELL. LEAVE YOUR MARK.	United States of America	75/805,996	9/22/1999	2,481,495	8/28/2001
Miscellaneous Design (Infinity Symbol)	United States of America	76/155,759	10/30/2000	2,500,306	10/23/2001
Miscellaneous Design (Swirl Logo)	United States of America	78/825,374	2/28/2006	3,357,647	12/18/2007
MUNIPREFERRED	United States of America	74/134,316	1/25/1991	1,724,187	10/13/1992
NEW FRONTIERS	United States of America	78/645,911	6/8/2005	3,109,164	6/27/2006
NUVEEN	United States of America	75/526,820	7/28/1998	2,313,480	2/1/2000
NUVEEN INVESTMENTS	United States of America	75/877,355	12/21/1999	2,514,096	12/4/2001
NUVEEN INVESTMENTS and Design	United States of America	75/877,204	12/21/1999	2,514,095	12/4/2001
NUVEEN PORTFOLIO CONSTRUCTOR	United States of America	75/225,832	1/15/1997	2,191,848	9/29/1998
NWQ	United States of	77/609,816	11/7/2008	3,612,393	4/28/2009

<u>Trademark</u>	<u>Jurisdiction</u>	<u>Application Number</u>	<u>Filing Date</u>	<u>Registration Number</u>	<u>Registration Date</u>
	America				
PERSONALPLAN	United States of America	77/121,311	3/2/2007	3,416,336	4/22/2008
PRESERVING FAMILY WEALTH FOR GENERATIONS	United States of America	75/855,629	11/22/1999	2,817,682	2/24/2004
RITTENHOUSE	United States of America	74/695,382	6/30/1995	2,020,367	12/3/1996
RITTENHOUSE	United States of America	76/525,248	6/25/2003	2,892,799	10/12/2004
RITTENHOUSE	United States of America	76/525,489	6/25/2003	2,892,800	10/12/2004
RITTENHOUSE	United States of America	76/525,475	6/25/2003	2,885,940	9/21/2004
RITTENHOUSE	United States of America	76/537,226	8/14/2003	2,894,769	10/19/2004
RITTENHOUSE ASSET MANAGEMENT	United States of America	76/546,485	9/24/2003	2,905,925	11/30/2004
SMART SHARES	United States of America	77/098052	2/2/2007	N/A	N/A
SMART SHARES	United States of America	77/098031	2/2/2007	N/A	N/A
SMARTER WAYS TO BE CONSERVATIVE	United States of America	76/522,174	6/12/2003	2,839,918	5/11/2004
THE RITTENHOUSE TRUST COMPANY	United States of America	76/250,590	5/3/2001	2,627,791	10/1/2002
TRADEWINDS	United States of America	77/512,599	7/1/2008	3,561,029	1/13/2009