

## 2011 P3 Client Periodic Report

Lobbyist Name: Nuveen Investments Holdings, Inc.

Client Name: Nuveen Investments Holdings, Inc.

### Lobbyist Information

Principal Officer Name	Keefe, Mary
Principal Officer Title	Director of Compliance
Principal Officer Email	BLOCKED_EMAIL
Principal Officer Phone	(312) 917-7868
Lobbyist Business Name	Nuveen Investments Holdings, Inc.
Lobbyist Business Address	333 West Wacker Drive, Floor 33, Chicago, IL 60606 United States of America
Lobbyist Business Phone	(312) 917-7868

### Client Information

Client Name	Nuveen Investments Holdings, Inc.
Business Address	333 West Wacker Drive, Floor 33, Chicago, IL 60606 United States of America
Client P.O. Name	Keefe, Mary
Business Phone	(312) 917-7868
Business Email	BLOCKED_EMAIL

### Employee(s) Lobbying for Client

#### Employee # 1

Employee's Name	Popkin, Anne
Employee's Work Address	555 California Street, Suite 2975, San Francisco, CA 94104 United States of America
Employee's Work Phone	(415) 676-4000
Employee's Salary	\$1,634.62

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### Lobbying Activities

#### Activity # 1

**Subject Category** Investment advisory services.

**Subject Details** Opportunities Across the Capital Structure: High yield bonds, convertibles, leveraged loans and CLOs.

Target	Office/Department	Contact Name
Comptroller's Office		Divgi, Adi

### Summary of Compensation

**Total Compensation Paid or Owed for Current Period** \$1,634.62

### Lobbying Expenses

**Aggregate of all expenses for salaries of support staff** \$1,146.00

**Total of Aggregate Expenses \$75.00 or less** \$0.00

**Are there expenses greater than \$75.00?** YES

### Itemized Expenses

#### Itemized Expense # 1

**Paid to** New York Harvard Club

**Purpose** Co-sponsorship of Educational Program.

**Amount** \$3,188.11

#### Itemized Expense # 2

**Paid to** Staples

**Purpose** Supplies purchased for NY Harvard Club event.

**Amount** \$160.92

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Itemized Expense Total	\$3,349.03
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Total Expenses for Current Period	\$4,495.03
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### CERTIFICATION

I certify that all statements made on this report are true and correct to the best of my knowledge and belief, and I understand that the willful false statement of any material fact herein will subject me to the provisions of law relevant to the making of false instruments and will render such statement null and void.

Principal Officer Name	Keefe, Mary
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Principal Officer Email	BLOCKED_EMAIL
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Certification Date	07/14/2011 17:41
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### ELECTRONIC SIGNATURE

Mary Keefe was required to indicate acceptance of the representations made in the following statement by entering his or her password used to access the E-Lobbyist, New York City Lobbyist Filing System and pressing the Submit button to affix his or her electronic signature and file the report with the Office of City Clerk - City of New York.

"I certify that all statements made on this report are true and correct to the best of my knowledge and belief, and I understand that the willful false statement of any material fact herein will subject me to the provisions of law relevant to the making of false instruments and will render such statement null and void."