

2013 P5 Client Periodic Report

Lobbyist Name: Nuveen Investments Holdings, Inc.

Client Name: Nuveen Investments Holdings, Inc.

Lobbyist Information

Principal Officer Name Smith, Shanita

Principal Officer Title Assistant Vice President

Principal Officer Email BLOCKED_EMAIL

Principal Officer Phone (312) 917-8385

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) 917-8385

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 Smith, Shanita

Business Phone (312) 917-8385

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 \$128.26

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Lobbying Activities

Activity # 1

Subject Category Pension Funds and Retirement Systems

Subject Details Discussions regarding the investment of pension funds.

| Target | Office/Department | Contact Name |
|---------------------------------------|-------------------|------------------|
| Employees' Retirement System (NYCERS) | | Banat, Catherine |

Summary of Compensation from Client

Total Compensation Paid or Owed for Current Period \$128.26

Lobbying Expenses

Aggregate of all expenses for salaries of support staff \$0.00

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

Are there expenses greater than \$75.00? No

Itemized Expense Total \$0.00

Total Expenses for Current Period \$0.00

Reimbursed Expenses

Total Reimbursed Expenses for Current Period \$0.00

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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 | Smith, Shanita |
| Principal Officer Email | BLOCKED_EMAIL |
| Certification Date | 11/12/2013 15:07 |

ELECTRONIC SIGNATURE

Shanita Smith 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."