

TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1
Stylesheet Version v1.2

ETAS ID: TM593326

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|---|--|--|-------------------------------------|
| SUBMISSION TYPE: | NEW ASSIGNMENT | | |
| NATURE OF CONVEYANCE: | ASSIGNMENT OF THE ENTIRE INTEREST AND THE GOODWILL | | |
| CONVEYING PARTY DATA | | | |
| Name | Formerly | Execution Date | Entity Type |
| GREENTECH CAPITAL ADVISORS, LLC | | 04/01/2020 | Limited Liability Company: DELAWARE |
| RECEIVING PARTY DATA | | | |
| Name: | NOMURA HOLDING AMERICA INC. | | |
| Street Address: | 309 West 49th Street | | |
| Internal Address: | Worldwide Plaza | | |
| City: | New York | | |
| State/Country: | NEW YORK | | |
| Postal Code: | 10019 | | |
| Entity Type: | Corporation: DELAWARE | | |
| PROPERTY NUMBERS Total: 3 | | | |
| Property Type | Number | Word Mark | |
| Registration Number: | 3740751 | GREENTECH CAPITAL ADVISORS | |
| Registration Number: | 4864118 | GCA INVESTMENT MANAGEMENT | |
| Registration Number: | 5043643 | R.I.S.E. (RESOURCES, INDUSTRIALS, SERVIC | |
| CORRESPONDENCE DATA | | | |
| Fax Number: | 2128066006 | | |
| <i>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.</i> | | | |
| Phone: | 2128065400 | | |
| Email: | tm@stroock.com | | |
| Correspondent Name: | Laura Goldbard George | | |
| Address Line 1: | 180 Maiden Lane, 38th Floor | | |
| Address Line 2: | Stroock & Stroock & Lavan LLP | | |
| Address Line 4: | New York, NEW YORK 10038-4982 | | |
| ATTORNEY DOCKET NUMBER: | 449205/0096 | | |
| NAME OF SUBMITTER: | Laura Goldbard George | | |
| SIGNATURE: | /laura goldbard george/ | | |
| DATE SIGNED: | 08/21/2020 | | |
| Total Attachments: 9 | | | |

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TRADEMARK ASSIGNMENT

This TRADEMARK ASSIGNMENT (this "Agreement") is made and entered into as of April 1, 2020 ("Effective Date"), by and between GREENTECH CAPITAL ADVISORS, LLC, a Delaware limited liability company located at Worldwide Plaza, 309 West 49th Street, New York, NY 10019 ("Assignor"), and NOMURA HOLDING AMERICA INC., a Delaware corporation located at Worldwide Plaza, 309 West 49th Street, New York, NY 10019 ("Assignee").

WHEREAS, Assignor is the owner of the trademarks and the record owner of the trademark applications and registrations as set forth in Schedule A attached hereto and made a part hereof, as well as any other trademarks used by, applied for registration by, and/or registered by Assignor, and trade names used by Assignor (collectively, the "Trademarks"); and

WHEREAS, Assignee is desirous of acquiring all of Assignor's rights, title and interest in and to all the Trademarks, including the registrations and applications thereof, together with the goodwill of the businesses symbolized by the Trademarks being assigned;

NOW THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged:

1. Assignor hereby irrevocably sells, assigns, transfers, convey and sets over to Assignee, its successors and assigns all of Assignor's rights, title and interest in and to: (a) each of the Trademarks, including any common law rights and the registrations and applications thereof, together with the goodwill of the businesses symbolized by the Trademarks being assigned; (b) all internet domain name registrations and social media account or user names (including "handles" incorporating any Trademark, and all associated web addresses, URLs, websites and web pages, and social media sites and pages, and all content and data thereon or relating thereto; (c) all licenses and similar contractual rights or permissions, whether exclusive or nonexclusive, related to any of the Trademarks; (d) all royalties, fees, income, payments, and other proceeds now or hereafter due or payable to Assignor with respect to any of the foregoing; (e) all claims and causes of action with respect to any of the foregoing, whether accruing before, on, or after the Effective Date, including all rights to and claims for damages, restitution, and injunctive and other legal and equitable relief for past, present, and future infringement, dilution, violation, breach, or default; and (f) all other rights, privileges, and protections of any kind whatsoever of Assignor accruing under any of the foregoing provided by any applicable law, treaty, or other international convention throughout the world.
2. Assignor agrees to execute and deliver at the request of Assignee, all papers, documents, instruments and assignments, and to perform any other reasonable acts, that (1) Assignee may require in order to vest all of Assignee's rights, title and interest in and to the Trademarks in Assignee; (2) may be required in states and countries foreign to the United States, to record Assignee as the owner of the


Trademarks and other rights herein assigned; and (3) Assignee may require in any legal action that Assignee may take regarding the protection of the rights of Assignee in the Trademarks. Assignor also agrees to provide evidence to support any of the foregoing in the event such evidence is deemed necessary by Assignee, to the extent such evidence is in the possession or control of Assignor.

3. Assignor further authorizes the Commissioner of Patents and Trademarks of the United States, and any official of any state or country foreign to the United States, whose duty it is to record trademark registrations, applications and title thereto, to record the Trademarks and title thereto as the property of Assignee, its successors, legal representatives and assigns in accordance with the terms of this instrument.
4. Each provision of this Agreement shall be considered separable; and if, for any reason, any provision of this Agreement is determined by a court of competent jurisdiction to be invalid, unlawful, or unenforceable, such determination shall not affect the enforceability of the remainder of this Agreement or the validity, lawfulness, or enforceability of such provision in any other jurisdiction.
5. This Agreement may be executed in counterparts, each of which shall be deemed an original, but all of which together shall be deemed to be one and the same agreement. A signed copy of this Agreement delivered by facsimile, email, or other means of electronic transmission shall be deemed to have the same legal effect as delivery of an original signed copy of this Agreement.
6. This Agreement may be amended in a written document signed by each party to be bound by the amendment and that identifies itself as an amendment to this Agreement.
7. All matters arising from or relating to this Agreement and the transactions contemplated hereby shall be governed by and construed in accordance with the laws of the State of New York without giving effect to any choice or conflict of law provision or rule. Each party irrevocably and unconditionally submits to the exclusive jurisdiction of The United States District Court for the Southern District of New York, or if such court does not have jurisdiction, New York State Supreme Court in the borough of Manhattan, for purposes of enforcing this Agreement.

[Signature Page follows]

IN WITNESS WHEREOF, Assignor and Assignee have caused this Agreement to be executed as of the Effective Date by their respective duly authorized officers.

GREENTECH CAPITAL ADVISORS, LLC

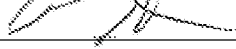
By:  _____
Sue Lee

Title: Chief Operating Officer

Date: 7/31/2020

AGREED TO AND ACCEPTED:

NOMURA HOLDING AMERICA INC.

By:  _____
Penny Tehrani

Title: Managing Director & Assistant Secretary


Date: 8/1/2020

SCHEDULE A

| <u>Mark</u> | <u>Country</u> | <u>Reg. No.</u> | <u>Services</u> |
|-------------------------------|----------------|-----------------|---|
| GREENTECH CAPITAL ADVISORS | China | 7153381 | Cl. 36 - Financial services, namely, financial consulting and advisory services; investment management services; investment advisory services; financial consulting in the field of private placement investment, debt restructuring, and initial public offerings; financial consulting services for corporate mergers and acquisitions, divestitures, expansions, restructurings, buy-outs, and joint ventures; financial consulting services regarding asset sales, capital structure, financing, valuation, and debt and equity financing; financial valuation of business assets; asset management service (financial services). |
| GREENTECH CARBON TRADING | China | 7153782 | Cl. 35 - Providing business information, namely, business information relating to the trading of carbon credits among business for the purpose of reduction of carbon emissions; Arranging for the sale of pollution and carbon offset credit, namely, procuring of contracts for the purchase of pollution and carbon offset credits, mediation of agreements regarding the sale of pollution and carbon offset credits |
| GREENTECH CARBON TRADING | China | 7153382 | Cl. 36 - Financial services, namely, financial exchange in the field of carbon credit trading; financial exchange services in the field of pollution and carbon offset credits |
| GCA INVESTMENT MANAGEMENT | China | 1547898 | Cl. 36 - Investment management services for investments in hedge funds, loan-only funds, and private equity funds, focused primarily on sustainable infrastructure, alternative and renewable energies, and environmentally friendly technologies |
| GCA INVESTMENT MANAGEMENT | China | 17755827 | Cl. 36 - Financial management; fund investments; capital investments; financing services; financial information |

| <u>Mark</u> | <u>Country</u> | <u>Reg. No.</u> | <u>Services</u> |
|----------------------------------|-------------------|-----------------|--|
| greentech capital advisors | European Union | 009781964 | Cl. 36 – Financial services, namely, financial consulting and advisory services; investment management services; financial advisory in the field of private placement investment, and debt restructuring; financial consulting services for corporate mergers and acquisitions, divestitures, expansions, restructurings, buy-outs, and joint ventures; financial consulting services regarding asset sales, capital structure, financing, valuation, and debt and equity financing; financial valuation of business assets. |
| GCA GLOBAL PARTNERS | European Union | 011648417 | Cl. 36 - Financial services, namely, financial consulting and advisory services; investment management services; financial advisory in the field of private placement investment, and debt restructuring; financial consulting services for corporate mergers and acquisitions, divestitures, expansions, restructurings, buy-outs, and joint ventures; financial consulting services regarding asset sales, capital structure, financing, valuation, and debt and equity financing; financial valuation of business assets |
| GCA INVESTMENT MANAGEMENT | European Union | 013192191 | Cl. 36 - Investment management services for investments in hedge funds, loan-only funds, and private equity funds, focused primarily on sustainable infrastructure, alternative and renewable energies, and environmentally friendly technologies |

| <u>Mark</u> | <u>Country</u> | <u>Reg. No.</u> | <u>Services</u> |
|-------------------------------|----------------|-----------------|--|
| GREENTECH CAPITAL ADVISORS | India | 1996608 | Cl. 36 – Financial services, namely, financial consulting and advisory services; investment management services; financial advisory in the field of private placement investment, and debt restructuring; financial consulting services for corporate mergers and acquisitions, divestitures, expansions, restructurings, buy-outs, and joint ventures; financial consulting services regarding asset sales, capital structure, financing, valuation, and debt and equity financing; financial valuation of business assets |
| GREENTECH CAPITAL ADVISORS | Japan | 5414322 | Cl. 36 – Financial analysis, financial information, management and maintenance of financial assets, financial consulting and advisory services; investment management services; financial advisory in the field of private placement investment, and debt restructuring; financial consulting services for corporate mergers and acquisitions, divestitures, business expansions, restructuring of business operations, corporate buy-outs, and joint ventures; financial consulting services regarding asset sales, capital structure, financing, valuation and debt and equity financing; financial valuation of business assets |
| GCA INVESTMENT MANAGEMENT | Japan | 5759508 | Cl. 36 - Investment operation and management services in relation to hedge funds, investment funds for collateralized debt obligations, and private equity funds, focused primarily on sustainable infrastructure, alternative and renewable energies, and environmentally friendly technologies |

| <u>Mark</u> | <u>Country</u> | <u>Reg. No.</u> | <u>Services</u> |
|---|----------------|-----------------|--|
| GREENTECH CAPITAL ADVISORS | South Korea | 4102270930000 | Cl. 36 - Financial consulting business, financial consulting business, financial advisory business, financial or financial consulting business, financial advisory business for private placement investment, financial advisory business for debt restructuring, merger / acquisition / split / expansion of companies / Restructuring / buy-outs / joint ventures financial consulting business, financial consulting business related to asset sales and capital structure, financial investment management business |
|  | Switzerland | 623604 | Cl. 36 (Translated from German) - financial services, namely financial advice; wealth management services; financial advisory services in the fields of private securities placement and debt rescheduling; Financial advice in connection with mergers and acquisitions, company divestments, expansions and restructurings, mergers of companies (joint ventures); financial advice relating to the sale of assets (asset sale), capital structure, financing, valuation, debt and equity financing; financial valuation of business assets. |
| GCA GLOBAL PARTNERS | Switzerland | 643604 | Cl. 36 - Financial services, namely, financial consulting and advisory services; investment management services; financial advisory in the field of private placement investment, and debt restructuring; financial consulting services for corporate mergers and acquisitions, divestitures, expansions, restructurings, buy-outs, and joint ventures; financial consulting services regarding asset sales, capital structure, financing, valuation, and debt and equity financing; financial valuation of business assets |

| <u>Mark</u> | <u>Country</u> | <u>Reg. No.</u> | <u>Services</u> |
|----------------------------|----------------------|-----------------|---|
| GCA INVESTMENT MANAGEMENT | Switzerland | 666074 | Cl. 36 - Investment management services for investments in hedge funds, loan-only funds, and private equity funds, focused primarily on sustainable infrastructure, alternative and renewable energies, and environmentally friendly technologies |
| GREENTECH CAPITAL ADVISORS | United Arab Emirates | 141565 | Cl. 36 - Financial services, namely, financial consulting and advisory services; investment management services; financial advisory in the field of private placement investment, and debt restructuring; financial consulting services for corporate mergers and acquisitions, divestitures, expansions, restructurings, buy-outs, and joint ventures; financial consulting services regarding asset sales, capital structure, financing, valuation, and debt and equity financing; financial valuation of business assets |
| GREENTECH CAPITAL ADVISORS | United Kingdom | UK00002501197 | Cl. 36 - Financial services; financial consulting and advisory services; investment management services; investment advisory services; asset management services; financial consulting in the field of private placement investment, debt restructuring, and initial public offerings; financial consulting services for corporate mergers and acquisitions, divestitures, expansions, restructurings, buy-outs, and joint ventures; financial consulting services regarding asset sales, capital structure, financing, valuation, and debt and equity financing; financial valuation of business assets. |

| <u>Mark</u> | <u>Country</u> | <u>Reg. No.</u> | <u>Services</u> |
|---|-------------------|-----------------|---|
| GREENTECH CARBON TRADING | United Kingdom | UK00002501198 | Cl. 35 - Providing business information; the distribution of information relating to the trading of carbon credits among businesses for the purpose of reduction of carbon emissions Cl. 36 - Financial services; providing financial consulting and exchange services in the field of carbon credit trading; arranging for the sale or exchange of pollution and carbon offset credits; brokerage of carbon credits; brokerage of carbon offsets |
| GREENTECH CAPITAL ADVISORS | United States | 3,740,751 | Cl. 36 - Financial services, namely, financial consulting and advisory services; investment management services; financial advisory in the field of private placement investment, and debt restructuring; financial consulting services for corporate mergers and acquisitions, divestitures, expansions, restructurings, buy-outs, and joint ventures; financial consulting services regarding asset sales, capital structure, financing, valuation, and debt and equity financing; financial valuation of business assets |
| GCA INVESTMENT MANAGEMENT | United States | 4,864,118 | Cl. 36 - Investment management services for investments in hedge funds, loan-only funds, and private equity funds, focused primarily on sustainable infrastructure, alternative and renewable energies, and environmentally friendly technologies |
| R.I.S.E. (RESOURCES, INDUSTRIALS, SERVICES, AND ENERGY) | United States | 5,043,643 | Cl. 36 - Financial advisory and consultancy services; Investment management |