

TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1
Stylesheet Version v1.2

ETAS ID: TM652932

SUBMISSION TYPE:	NEW ASSIGNMENT		
NATURE OF CONVEYANCE:	RELEASE OF SECURITY INTEREST		
CONVEYING PARTY DATA			
Name	Formerly	Execution Date	Entity Type
UBS AG, STAMFORD BRANCH, as collateral agent		06/09/2021	Aktiengesellschaft (Ag): SWITZERLAND
RECEIVING PARTY DATA			
Name:	ARETEC GROUP, INC.		
Street Address:	200 N. Pacific Coast Highway, Suite 1200		
City:	El Segundo		
State/Country:	CALIFORNIA		
Postal Code:	90245-4399		
Entity Type:	Corporation: DELAWARE		
Name:	CETERA FINANCIAL HOLDINGS, INC.		
Street Address:	200 N. Pacific Coast Highway, Suite 1200		
City:	El Segundo		
State/Country:	CALIFORNIA		
Postal Code:	90245-4399		
Entity Type:	Corporation: DELAWARE		
Name:	CETERA FINANCIAL GROUP, INC.		
Street Address:	200 N. Pacific Coast Highway, Suite 1200		
City:	El Segundo		
State/Country:	CALIFORNIA		
Postal Code:	90245-4399		
Entity Type:	Corporation: DELAWARE		
Name:	FAS HOLDINGS, INC.		
Street Address:	655 West Broadway, 12th Floor		
City:	San Diego		
State/Country:	CALIFORNIA		
Postal Code:	92101		
Entity Type:	Corporation: DELAWARE		
Name:	INVESTORS CAPITAL HOLDINGS, LLC		
Street Address:	200 N. Pacific Coast Highway, Suite 1200		
City:	El Segundo		

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State/Country:	CALIFORNIA
Postal Code:	90245-4399
Entity Type:	Limited Liability Company: DELAWARE
Name:	J.P. TURNER & COMPANY, L.L.C.
Street Address:	200 N. Pacific Coast Highway, Suite 1200
City:	El Segundo
State/Country:	CALIFORNIA
Postal Code:	90245-4399
Entity Type:	Limited Liability Company: GEORGIA
Name:	SUMMIT FINANCIAL GROUP, INC.
Street Address:	595 South Federal Highway, Suite 500
City:	Boca Raton
State/Country:	FLORIDA
Postal Code:	33432
Entity Type:	Corporation: FLORIDA

PROPERTY NUMBERS Total: 43

Property Type	Number	Word Mark
Registration Number:	4386542	C CETERA
Registration Number:	3953736	C CETERA FINANCIAL GROUP
Registration Number:	4386540	C
Registration Number:	4386541	CETERA
Registration Number:	3953295	CETERA FINANCIAL GROUP
Registration Number:	4400652	CONNECT2CLIENTS
Registration Number:	4919274	CONNECT2CLIENTS
Registration Number:	4919272	CONNECT2CLIENTS
Registration Number:	4689345	DATAPAK
Registration Number:	3764318	FLEXINSURED ACCOUNT
Registration Number:	4887018	IC2I
Registration Number:	4227341	ICONNECT2INVEST
Registration Number:	4501486	MANAGED WEALTH ADVANTAGE
Registration Number:	3912040	SMARTWORKS
Registration Number:	4664849	PENTAMETER
Registration Number:	4078041	PLATFORMPREP
Registration Number:	3907114	REP ON DEMAND
Registration Number:	4165371	SMARTWORKS ADVISER
Registration Number:	2122102	TOWER SQUARE SECURITIES
Registration Number:	4886991	TOWER SQUARE INVESTMENT MANAGEMENT
Registration Number:	4882991	TOWER SQUARE INVESTMENT MANAGEMENT

Property Type	Number	Word Mark
Registration Number:	4195933	XMA
Registration Number:	2165498	1 FP
Registration Number:	4632535	COMPETITIVE EDGE
Registration Number:	3066881	INVESTORS CAPITAL
Registration Number:	3047858	INVESTORS CAPITAL HOLDINGS
Registration Number:	4645920	RCS CAPITAL
Registration Number:	4083225	R C SECURITIES
Registration Number:	4083031	RC SECURITIES
Registration Number:	4605004	TRUPOLY
Registration Number:	3598192	
Registration Number:	3504418	J.P. TURNER & COMPANY
Registration Number:	5026839	TOWER SQUARE
Registration Number:	5261935	1040 PROSPECTOR
Registration Number:	5099168	PENTAMETER FIVE MEASURES OF BUSINESS SUC
Registration Number:	5445179	MYADVICEARCHITECT
Registration Number:	5403517	ADVICEARCHITECT ECOSYSTEM
Registration Number:	5125829	DOL DYNAMIQS
Registration Number:	2194574	PRIMESWEEP
Registration Number:	3806932	CPR COLLEGE PLANNING RELIEF
Registration Number:	4342766	SUMMIT COMMUNITY BANK
Registration Number:	4638801	SUMMIT FINANCIAL GROUP
Serial Number:	87978425	ADVICE-CENTRIC EXPERIENCE

CORRESPONDENCE DATA

Fax Number: 2138924738

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: 424-386-4328

Email: dcip@milbank.com, marnold@milbank.com

Correspondent Name: Monica Arnold, Esq.

Address Line 1: 2029 Century Park East, 33rd Floor

Address Line 2: Milbank, LLP

Address Line 4: Los Angeles, CALIFORNIA 90067

ATTORNEY DOCKET NUMBER:	37199.09500
NAME OF SUBMITTER:	Monica Arnold
SIGNATURE:	/s/ Monica Arnold /s/
DATE SIGNED:	06/09/2021

Total Attachments: 6

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**RELEASE OF SECURITY INTEREST
IN SECOND LIEN TRADEMARK COLLATERAL**

This RELEASE OF SECURITY INTEREST IN TRADEMARK COLLATERAL, dated as of June 9, 2021 (this "Release"), is made by UBS AG, STAMFORD BRANCH, as collateral agent (in such capacity, the "Collateral Agent"), in favor of ARETEC GROUP, INC., a Delaware corporation, CETERA FINANCIAL HOLDINGS, INC., a Delaware corporation, CETERA FINANCIAL GROUP, INC., a Delaware corporation, FAS HOLDINGS, INC., a Delaware corporation, INVESTORS CAPITAL HOLDINGS, LLC, a Delaware limited liability company, J.P. TURNER & COMPANY, L.L.C., a Georgia limited liability company and SUMMIT FINANCIAL GROUP, INC., a Florida corporation (the "Grantors", and each, a "Grantor"), as follows:

W I T N E S S E T H

WHEREAS, pursuant to the Second Lien Trademark Security Agreement, dated as of October 1, 2018 (the "Second Lien Trademark Security Agreement") and recorded with the U.S. Patent and Trademark Office on October 1, 2018 at Reel/Frame 6446/0614, as security for the payment or performance, as the case may be, in full of the Obligations, each Grantor under the Second Lien Trademark Security Agreement granted to the Collateral Agent, for the benefit of the Secured Parties, a security interest in all of such Grantor's right, title and interest in, to and under all of such Grantor's United States Trademarks, in each case, that constitute Material Intellectual (collectively, the "Released Trademark Collateral");

WHEREAS, the Grantors have requested that the Collateral Agent release its security interest in all of each Grantor's right, title and interest in or to the Released Trademark Collateral.

NOW, THEREFORE, the Collateral Agent, without recourse, representation or warranty of any kind or nature, and at each Grantor's sole cost and expense, hereby terminates, cancels and releases its security interest in all of each Grantor's right, title and interest in, to or under the Released Trademark Collateral, including the trademark applications and trademark registrations listed on Schedule I hereto, all associated goodwill, and any and all right, title and interest of the Collateral Agent in the Released Trademark Collateral shall hereby terminate, cease and become void.

The Collateral Agent authorizes and requests that the Commissioner for Trademarks and any other applicable government officer record this Release.

THIS RELEASE SHALL BE CONSTRUED IN ACCORDANCE WITH AND GOVERNED BY THE LAWS OF THE STATE OF NEW YORK.

Capitalized terms used but not defined herein shall have the meanings given to them in the Second Lien Trademark Security Agreement.

IN WITNESS WHEREOF, the Collateral Agent has caused this Release to be duly executed and delivered by its duly authorized officer as of the date first written above.

UBS AG, STAMFORD BRANCH,
as Collateral Agent

By: Anthony N Joseph
Name: Anthony N Joseph
Title: Associate Director





By: H D
Name: Houssein Daly
Title: Director



**SCHEDULE I
TO
RELEASE OF SECURITY INTEREST
IN TRADEMARK COLLATERAL**

Reel/Frame No. 6446/0614

Trademark Registrations and Applications

Owner	Title	Trademark Registration / Serial Number
Cetera Financial Holdings, Inc.	 Cetera	4386542
Cetera Financial Holdings, Inc.	 Cetera <small>FINANCIAL GROUP</small>	3953736
Cetera Financial Holdings, Inc.		4386540
Cetera Financial Holdings, Inc.	CETERA	4386541
Cetera Financial Holdings, Inc.	CETERA FINANCIAL GROUP	3953295
Cetera Financial Holdings, Inc.	CONNECT2CLIENTS	4400652
Cetera Financial Holdings, Inc.	CONNECT2CLIENTS	4919274
Cetera Financial Holdings, Inc.	 Connect2Clients	4919272
Cetera Financial Holdings, Inc.	DATAPAK	4689345
Cetera Financial Group, Inc.	FLEXINSURED ACCOUNT	3764318
Cetera Financial Holdings, Inc.		4887018
Cetera Financial Holdings, Inc.	ICONNECT2INVEST	4227341
Cetera Financial Holdings, Inc.	MANAGED WEALTH ADVANTAGE	4501486
Cetera Financial Group, Inc.	SMARTWORKS	3912040

Owner	Title	Trademark Registration / Serial Number
Cetera Financial Holdings, Inc.	PENTAMETER	4664849
Cetera Financial Holdings, Inc.	PLATFORMPREP	4078041
Cetera Financial Holdings, Inc.	REP ON DEMAND	3907114
Cetera Financial Holdings, Inc.	SMARTWORKS ADVISER	4165371
Cetera Financial Holdings, Inc.	TOWER SQUARE SECURITIES	2122102
Cetera Financial Holdings, Inc.		4886991
Cetera Financial Holdings, Inc.	TOWER SQUARE INVESTMENT MANAGEMENT	4882991
Cetera Financial Holdings, Inc.	XMA	4195933
FAS Holdings, Inc.		2165498
FAS Holdings, Inc.	COMPETITIVE EDGE	4632535
Investors Capital Holdings, LLC	INVESTORS CAPITAL	3066881
Investors Capital Holdings, LLC	INVESTORS CAPITAL HOLDINGS	3047858
Aretec Group, Inc. (formerly known as RCS Capital Corporation)	RCS CAPITAL	4645920
Aretec Group, Inc. (formerly known as RCS Capital Corporation)		4083225
Aretec Group, Inc. (formerly known as RCS Capital Corporation)		4083031
Aretec Group, Inc. (formerly known as RCS Capital Corporation)	TRUPOLY	4605004

Owner	Title	Trademark Registration / Serial Number
Capital Corporation)		
J.P. Turner & Company, L.L.C.		3598192
J.P. Turner & Company, L.L.C.	J.P. TURNER & COMPANY	3504418
Cetera Financial Holdings, Inc.	TOWER SQUARE	5,026,839
Cetera Financial Holdings, Inc.	1040 PROSPECTOR	5261935
Cetera Financial Holdings, Inc.		5,099,168
Cetera Financial Holdings, Inc.		5445179
Cetera Financial Holdings, Inc.	ADVICEARCHITECT ECOSYSTEM	5403517
Cetera Financial Holdings, Inc.	DOL DYNAMIQS	5125829
Cetera Financial Holdings, Inc.	PRIMESWEEP	2194574
Summit Financial Group, Inc.	CPR COLLEGE PLANNING RELIEF	3806932
Summit Financial Group, Inc.	SUMMIT COMMUNITY BANK	4342766
Summit Financial Group, Inc.	SUMMIT FINANCIAL GROUP	4638801

Owner	Title	Trademark Registration / Serial Number
Cetera Financial Holdings, Inc.	ADVICE-CENTRIC EXPERIENCE	87/978,425