



State of Rhode Island and Providence Plantations
Office of the Secretary of State

Fee: \$50.00

Division Of Business Services
148 W. River Street
Providence RI 02904-2615
(401) 222-3040

Foreign Business Corporation
Annual Report

Filing Period: January 1 - March 1

In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its
annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501
(c&d)) is subject to a penalty fee of \$25.00.

ANNUAL REPORT YEAR: 2015

1. Corporate ID No. 000677878

2. Name of Corporation H G K Asset Management, Inc.

3. Street Address Principal Business Office:

No. and Street: 525 WASHINGTON BOULEVARD
NEWPORT TOWER

City or Town: JERSEY CITY State: NJ Zip: 07310 Country: USA

4. Business Phone No.

5. State of Incorporation

State: NY

6. Brief Description of the Character of Business Conducted in Rhode Island

INVESTMENT MANAGER

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

Table with 3 columns: Title, Individual Name, Address. Rows include President (Jeffrey Harris), Secretary (Carol Bandille), CEO (Michael Pendergast), and COO (David Heruck).

**8. Shares Authorized and Issued**

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of Shares</i>
PNP	A	\$0.0000	52,000.00	0
CNP		\$0.0000	110,000.00	91875

**9. This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.**

**Signed this 5 Day of January, 2015 at 8:54:58 AM.** *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By CAROL BANDILLE  
Signature of Authorized Representative of the Corporation

**This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in section 7.**

Form No. 630  
Revised 09/07

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