



**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:** 2017

**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 SUITE 2000  
NEWPORT TOWER

City or Town: JERSEY CITY

State: NJ Zip: 07310 Country: USA

**4. Business Phone No.**

**5. State of Incorporation**

State: NY

**ARTICLE III**

Using the following NAICS codes, please select the code that best describes your business.

NAICS Code

6

52

**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.**

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
TREASURER	CAROL BANDILLE	SUITE 2000 525 WASHINGTON BOULEVARD JERSEY CITY, NJ 07310 USA

SECRETARY	CAROL BANDILLE	SUITE 2000 525 WASHINGTON BOULEVARD JERSEY CITY, NJ 07310 USA
CEO	MICHAEL PENDERGAST	SUITE 2000 525 WASHINGTON BOULEVARD JERSEY CITY , NJ 07310 USA
COO	DAVID HAUCK	SUITE 2000 525 WASHINGTON BOULEVARD JERSEY CITY, NJ 07310 USA

#### 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>
CNP		\$0.0000	110,000.00	89097
PNP	A	\$0.0000	52,000.00	0

**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 27 Day of February, 2017 at 1:00:12 PM.** *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

Form No. 630  
Revised 09/07

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