

NAME SEARCHED: **HBRK Associates, Inc**

PWM BIS-RESEARCH performed due diligence research in accordance with the standards set by AML Compliance for your business. We completed thorough searches on your subject name(s) in the required databases and have attached the search results under the correct heading below. Significant negative media results may require escalation to senior business, Legal and Compliance management. Also, all accounts involving PEPs must be escalated.

Search:	Result:	Click here for results:	Reviewer Comments (as necessary):
RDC	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	I. RDC Results	No RDC alert (Please see attached)
PCR	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	II. PCR Results	No PCR alert (Please see attached)
BIS	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required	III. Negative Media	No Information found
		IV. Non-Negative Media	No Information found
		V. Other Language Media	Not Required
D&B	Results? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required	VI. D&B	Result Found(please see attached)
Smartlinx	Results? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required	VII. Smartlinx	Result Found(please see attached)
Court Cases	<input type="checkbox"/> Review by Legal May be Required <input checked="" type="checkbox"/> No Results <input type="checkbox"/> Search not required	VIII. Court Cases	No Information found

Prepared by: Urvashi Lavania Date:10/02/2013
Research Analyst

Instructions:

1. Review and confirm that all results are returned for your client.
2. Please note that you are still required to perform any Martindale-Hubbell search (if applicable) on each search subject. We have attached the web link below for your convenience: [Martindale-Hubbellhttp://www.martindale.com/xp/Martindale/home.xml](http://www.martindale.com/xp/Martindale/home.xml)
3. As needed, provide comment for any negative results.
4. If applicable, please obtain clearance from Compliance for all alerts.
5. Save any changes you make to this document and attach file to your KYC.

Please note: Submission of a signed KYC is your confirmation that you have fully reviewed the research documents.

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SDNY_GM_00053770

OFAC RESULTS

RDC:

11527228 No Match Found 6851801 HBRK Associates, Inc Country:United States

PCR:

C20131019066012 HBRK Associates, Inc 6851801 NCA customised Auto-Closed No-Hit 02/10/2013

BIS RESULTS

Negative Media:

No Information Found

Non-Negative Media:

No Information Found

Other Language Media:

Not Required

Public Records:

1 OF 2 RECORD(S)

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Subject Summary

Name	Address	Phone	County/FIPS
HBRK ASSOCIATES INC	1365 YORK AVE APT 28 NEW YORK, NY 10021-4035	[REDACTED]	

Name Variations/DBAs

#	Name Variations
1.	HBRK ASSOCIATES INC.

Phone Summary - 1 records found

#	Telephone Number
1.	[REDACTED]

Addresses - 3 records found

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SDNY_GM_00053771

#	Address	Dates	County	MSA
1.	1365 YORK AVE 28A NEW YORK, NY 10021	8/29/2008 -	NEW YORK	New York, NY - 5600
2.	[REDACTED] 1	8/29/2008 9/4/2008 -	NEW YORK	New York, NY - 5600
3.	[REDACTED]	10/18/2011 8/29/2008 -		-
		8/29/2008		

Profile Information - 2 records found

1: HBRK ASSOCIATES INC.

Company Name: HBRK ASSOCIATES INC.
 Date Of Incorporation: 8/29/2008
 State Of Incorporation: NY
 Charter Number: 3714818
 Duration: PERPETUAL
 Status Of Incorporation: ACTIVE
 Corporation Structure: DOMESTIC BUSINESS

2: HBRK ASSOCIATES INC.

Company Name: HBRK ASSOCIATES INC.
 Date Of Incorporation: 8/29/2008
 State Of Incorporation: NY
 Charter Number: 3714818
 Duration: PERPETUAL
 Status Of Incorporation: ACTIVE
 Corporation Structure: DOMESTIC BUSINESS

Executives - 1 records found

#	Name	Titles
1.	KAHN, RICHARD	CONTACT

Registered Agents - 1 records found

#	Name	Address
1.	RICHARD KAHN	[REDACTED]

Company ID Numbers - 1 records found

Company ID Numbers
 Sec. of State Charter No(s): NY, 3714818

Person Associates - 1 records found

#	Name	Address
1.	KAHN, RICHARD	[REDACTED]

Sources - 6 records found

All Sources	6 Source Document(s)
Business Contacts	2 Source Document(s)
Business Finder	3 Source Document(s)
Corporate Filings	1 Source Document(s)

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Important: The Public Records and commercially available data sources used on reports have errors. Data is sometimes entered poorly, processed incorrectly and is generally not free from defect. This system should not be relied upon as definitively accurate. Before relying on any data this system supplies, it should be independently verified. For Secretary of State documents, the following data is for information purposes only and is not an official record. Certified copies may be obtained from that individual state's Department of State.

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Your GLBA Permissible Use is: Legal Compliance

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2 OF 2 RECORD(S)

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Subject Summary

Name	Address	Phone	County/FIPS
HBRK ASSOCIATES, INC.	301 E 66TH ST NEW YORK, NY 10065-6205	None Listed	

Name Variations/DBAs

#	Name Variations
1.	HBRK ASSOCIATES, INC.

Phone Summary - 2 records found

#	Telephone Number
1.	[REDACTED]

Addresses - 2 records found

#	Address	Dates	County	MSA
1.	301 E 66TH ST NEW YORK, NY 10065	10/2008 -	NEW YORK	New York, NY - 5600
2.	301 E 66TH ST 10F NEW YORK, NY 10065	10/2008 -	NEW YORK	New York, NY - 5600

4/1/2009
10/2008

Company ID Numbers - 1 records found

Company ID Numbers
FEINs: 30-0503838

Business Associates - 4 records found

#	Name	Address
1.	C O U Q FOUNDATION INC	301 E 66TH ST APT 10F NEW YORK, NY 10065-6216
2.	EPSTEIN INTERESTS	301 E 66TH ST APT 10F NEW YORK, NY 10065-6216
3.	NEW YORK STRATEGY GROUP, LLC	301 E 66TH ST APT 10F NEW YORK, NY 10065-6216
4.	NINE EAST 71ST STREET CORPORATION	301 E 66TH ST APT 10F NEW YORK, NY 10065-6216

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DB-SDNY-0016597

EFTA_00164343

EFTA01295068

Sources - 5 records found

All Sources

Business Finder

Experian Business Reports

5 Source Document(s)

4 Source Document(s)

1 Source Document(s)

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D&B:

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Federal Employer Identification Numbers

April 1, 2009

HBRK ASSOCIATES, INC.

301 E 66TH STREET
NEW YORK, NY 10065
UNITED STATES

***** COMMUNICATIONS *****

TELEPHONE: [REDACTED]

***** COMPANY IDENTIFIERS *****

FEIN: 30-0503838

SOURCE REFERENCE NAME: DEPARTMENT OF LABOR

***** EXECUTIVES *****

TOP CONTACT: Principal Hal Brill

***** MARKET AND INDUSTRY *****

SIC CODES:

99992222

CROSS REFERENCE:

. PRIMARY BUSINESS NAME: Hbrk Associate Inc

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DB-SDNY-0016598

EFTA_00164344

EFTA01295069

LOAD-DATE: July 23, 2013

LEGAL RESULTS:

Court Cases:

No Information Found

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SDNY_GM_00053775

DB-SDNY-0016599
EFTA_00164345

EFTA01295070