

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. <a href="#">RDC Results</a>	No RDC alert (Please see attached)
PCR	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	II. <a href="#">PCR Results</a>	No PCR alert (Please see attached)
BIS	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <input type="checkbox"/> Not Required	III. <a href="#">Negative Media</a>	There was no information found
		IV. <a href="#">Non-Negative Media</a>	There was no information found
		V. <a href="#">Other Language Media</a>	Not Required
D&B	Results? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required	VI. <a href="#">D&amp;B</a>	Result Found (Please see attached)
Smartlinx	Results? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required	VII. <a href="#">Smartlinx</a>	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. <a href="#">Court Cases</a>	There was no information found

Prepared by: Prachi Pawa Date: 06/16/2017  
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\_00058149

## OFAC RESULTS

### RDC:

11602747	<a href="#">No Match Found</a>	KYC 1791049	 HBRK Associates, Inc	Country: UNITED STATES
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### PCR:

C20170637921892 HBRK Associates, Inc 12893127 NCA customised Auto-Closed No-Hit  
16/06/2017

## BIS RESULTS

### Negative Media:

There was no information found

### Non-Negative Media:

There was no information found

### Other Language Media:

Not Required

### Public Records:

1 OF 1 RECORD(S)

### Comprehensive Business Report

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Report Created:6-16-2017 7:36 AM EST | FOR INFORMATIONAL PURPOSES ONLY | Copyright © 2017 LexisNexis, All rights reserved.

Search Terms - company(HBRK Associates, Inc) radius(30) last-name(Simoes Birmann) first-name(Bernardo)

Executives - Current (0)	Incorporation/SOS (0)	Operations/Sites (1)	Sales (0)
Licenses (0)	URLs (0)	Real Property - Current (0)	Real Property - Prior (0)
MVRs - Current (0)	MVRs - Prior (0)	Watercraft - Current (0)	Watercraft - Prior (0)
Aircraft - Current (0)	Aircraft - Prior (0)	Bankruptcy Filings (0)	Judgments & Liens Filings (0)
UCC Filings (0)	Executives - Prior (0)	Registered Agents (0)	Name Variations (1)
Possible Employees (0)	Person Associates (0)	Business Associates (0)	TINs (0)
Possible Connected Business (2)	Parent Company (0)	Industry Information (0)	
View All Sources (3)			

## Business Summary

Name	Address	Phone
HBRK ASSOCIATES INC  (No recent public filings on file)	130 E 75th St New York, NY 10021-3241 New York County	
LexID	Established	TIN
0000-6537-3878	2014 (3 Years in Business)	

## At a Glance

Real Property	0	UCC Debtor	0
Personal Property	0	Bankruptcy	0
Secured Assets	0	Judgments/Liens	0
Executives	0	Foreclosure/Notice of Default	0

## Name Variations - 1 name variations found

NO.	NAME
1.	HBRK ASSOCIATES INC

## TINs - 0 TINs found

## Business Profile

Executives: Current - 0 executive(s) found

Incorporation/SOS (0 active, 0 other)

Operating Locations - Showing 1 location(s)

NO.	ADDRESS	METRO AREA	PHONE
1.	130 E 75th St New York, NY 10021-3241 New York County	New York, NY	

Sales - 0 record(s) found

Parent Company - 0 record(s) found

Industry Information - no information found

Licenses - 0 licenses found

URLs - 0 URLs found

Bankruptcy (0 active, 0 closed)

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**Judgments/Liens (0 filings)**

**UCC Filings (0 debtor, 0 creditor)**

**Real Property (0 current, 0 prior)**

**Personal Property (0 current, 0 prior)**

**Associates**

**Executives: Prior - 0 prior executive(s) found**

**Registered Agents - 0 registered agent(s) found**

**Possible Employees - 0 current, 0 prior employees found**

**Person Associates - 0 other person associates found**

**Possible Connected Business - 2 businesses found**

NO.	NAME	ADDRESS
1.	HBRK ASSOCIATES INC	575 Lexington Ave New York, NY 10022-6102 New York County
2.	HBRK ASSOCIATES INC.	1365 York Ave Apt 28A New York, NY 10021-4040

**Business Associates - 0 business associates found**

**Sources**

All Sources	3 Source Documents
Telco	2 Source Documents
Experian	1 Source Documents

**D&B:**

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EFTA\_00168712

EFTA01296175

Worldbase, 12/14/2013, HBRK ASSOCIATES INC.

December 14, 2013

HBRK ASSOCIATES INC.

1365 YORK AVE  
NEW YORK, NY 100214035  
USA

COUNTY: NEW YORK  
REGION: NORTH AMERICA

\*\*\*\*\* COMPANY IDENTIFIERS \*\*\*\*\*

DUNS: 01-011-3230

\*\*\*\*\* COMPANY INFORMATION \*\*\*\*\*

FOUNDED: 2010

COMPANY TYPE: Private

\*\*\*\*\* EXECUTIVES \*\*\*\*\*

CEO:

RICHARD KAHN, PRINCIPAL

\*\*\*\*\* DESCRIPTION \*\*\*\*\*

UNDETERMINED

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

SIC CODES:

9999 - Nonclassified establishment

LOAD-DATE: June 26, 2016

LEGAL RESULTS:

**Court Cases:**

There was no information found

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