



COMMONWEALTH OF KENTUCKY  
MICHAEL G. ADAMS, SECRETARY OF STATE

0066486.06

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AMD

Michael G. Adams  
Kentucky Secretary of State  
Received and Filed:  
5/17/2023 2:35 PM  
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Division of Business Filings  
P.O. Box 718  
Frankfort, KY 40602  
(502) 564-3490  
www.sos.ky.gov

Amended Certificate of Authority  
(Foreign Business Entity)

FCA

Pursuant to the provisions of KRS Chapter KRS 14A.9 - 040 the undersigned hereby applies for an amended certificate of authority on behalf of the entity named below and, for that purpose, submits the following statements:

1. The business entity is: ☒ profit corporation  
professional service corporation  
limited liability company  
professional limited liability company  
limited cooperative association  
other  
nonprofit corporation.  
business trust  
limited partnership  
statutory trust  
non-profit LLC
2. The name of the company is: BAL Investment & Advisory, Inc.  
(The name must be identical to the name on record with the Secretary of State.)
3. It is an entity organized and existing under the laws of the state or country of DE.
4. The entity received authority to transact business in Kentucky on 03/05/1975.
5. The entity has changed its (check all that apply)
  - x Domicile name to BAL Investment & Advisory, LLC  
Name to be used in Kentucky to \_\_\_\_\_  
Jurisdiction of organization to \_\_\_\_\_  
Period of duration \_\_\_\_\_
  - x Form of organization LLC
  - x Management type: Member managed ☒ Manager managed
6. This application will be effective upon filing.

I declare under penalty of perjury under the laws of the state of Kentucky that the foregoing is true and correct.

/s/Christina Costamagna	Christina Costamagna	Secretary	4/13/2023
Signature of Authorized Representative	Printed Name	Title	Date