

**Commonwealth of Kentucky**  
**Alison Lundergan Grimes, Secretary of State**

PARP  
0066486  
Alison Lundergan Grimes  
KY Secretary of State  
Received and Filed  
6/19/2012 3:17:28 AM  
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Alison Lundergan Grimes  
Secretary of State  
P. O. Box 1150  
Frankfort, KY 40602-1150  
(502) 564-3490  
<http://www.sos.ky.gov>

**Annual Report  
Online Filing**

**ARP**

**Company:** BAL INVESTMENT & ADVISORY, INC.  
**Company ID:** 0066486  
**State of origin:** Delaware  
**Formation date:** 3/5/1975 12:00:00 AM  
**Date filed:** 6/19/2012 3:17:28 AM  
**Fee:** \$15.00

**Principal Office**

401 N TRYON ST  
NC1-021-02-20  
CHARLOTTE, NC 28255

**Registered Agent Name/Address**

C T CORPORATION SYSTEM  
306 W MAIN ST  
SUITE 512  
FRANKFORT, KY 40601

**Current Officers**

President	RICHARD R FLEISCHER	150 N COLLEGE ST; NC1-028-17-06, CHARLOTTE NC 28255
Secretary	CHRISTINE M COSTAMAGNA	150 N COLLEGE ST; NC1-028-17-06, CHARLOTTE NC 28255
Treasurer	DAVID G GAUTHIER	150 N COLLEGE ST; NC1-028-17-06, CHARLOTTE NC 28255
Vice President	DONNA DeSOUZA	150 N COLLEGE ST; NC1-028-17-06, CHARLOTTE NC 28255

**Directors**

Director	RICHARD R FLEISCHER	150 N COLLEGE ST; NC1-028-17-06, CHARLOTTE NC 28255
Director	DAVID G GAUTHIER	150 N COLLEGE ST; NC1-028-17-06, CHARLOTTE NC 28255

**Signatures**

<b>Signature</b>	DONNA DESOUZA
<b>Title</b>	SVP