

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

PARP  
0066486  
Alison Lundergan Grimes  
KY Secretary of State  
Received and Filed  
5/2/2016 7:15:43 AM  
Fee receipt: \$15.00

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:** 5/2/2016 7:15:43 AM  
**Fee:** \$15.00

**Principal Office**

555 CALIFORNIA STREET,  
4TH FLOOR  
SAN FRANCISCO, CA 94104

**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	JASON PRITCHARD	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>	Jason Pritchard
<b>Title</b>	SVP