

2012 FOR PROFIT CORPORATION ANNUAL REPORT

DOCUMENT# 833944

FILED
Apr 26, 2012
Secretary of State

Entity Name: BAL INVESTMENT & ADVISORY, INC.

Current Principal Place of Business:

555 CALIFORNIA ST
4TH FLOOR
SAN FRANCISCO, CA 94104 US

New Principal Place of Business:

Current Mailing Address:

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

New Mailing Address:

150 N COLLEGE ST
NC1-028-17-06
CHARLOTTE, NC 28255 US

FEI Number: 95-2928333

FEI Number Applied For ()

FEI Number Not Applicable ()

Certificate of Status Desired ()

Name and Address of Current Registered Agent:

CT CORPORATION SYSTEM
1200 S. PINE ISLAND ROAD
PLANTATION, FL 33324 US

Name and Address of New Registered Agent:

The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.

SIGNATURE:

Electronic Signature of Registered Agent

Date

OFFICERS AND DIRECTORS:

Title: D/P
Name: FLEISCHER, RICHARD R
Address: 150 N COLLEGE ST; NC1-028-17-06
City-St-Zip: CHARLOTTE, NC 28255

Title: SVP
Name: DESOUZA, DONNA
Address: 150 N COLLEGE ST; NC1-028-17-06
City-St-Zip: CHARLOTTE, NC 28255

Title: D/TR
Name: GAUTHIER, DAVID G
Address: 150 N COLLEGE ST; NC1-028-17-06
City-St-Zip: CHARLOTTE, NC 28255

Title: SEC
Name: COSTAMAGNA, CHRISTINE M
Address: 150 N COLLEGE ST; NC1-028-17-06
City-St-Zip: CHARLOTTE, NC 28255

I hereby certify that the information indicated on this report or supplemental report is true and accurate and that my electronic signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears above, or on an attachment with all other like empowered.

SIGNATURE: DONNA DESOUZA

SVP

04/26/2012

Electronic Signature of Signing Officer or Director

Date