



**QUARTERLY STATEMENT**  
**AS OF SEPTEMBER 30, 2019**  
**OF THE CONDITION AND AFFAIRS OF THE**  
**Children's Community Health Plan, Inc.**

NAIC Group Code 0000 , 0000 NAIC Company Code 13739 Employer's ID Number 27-1494977  
(Current Period) (Prior Period)

Organized under the Laws of Wisconsin , State of Domicile or Port of Entry WI

Country of Domicile United States of America

Licensed as business type: Life, Accident & Health[ ] Property/Casualty[ ] Hospital, Medical & Dental Service or Indemnity[ ]  
 Dental Service Corporation[ ] Vision Service Corporation[ ] Health Maintenance Organization[X]  
 Other[ ] Is HMO Federally Qualified? Yes[X] No[ ] N/A[ ]

Incorporated/Organized 12/15/2009 Commenced Business 01/01/2010

Statutory Home Office 9000 W. Wisconsin Ave. , Milwaukee, WI, US 53226  
(Street and Number) (City or Town, State, Country and Zip Code)

Main Administrative Office 9000 W. Wisconsin Ave.  
(Street and Number)  
Milwaukee, WI, US 53226 (800)482-8010  
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Mail Address 9000 W. Wisconsin Ave. , Milwaukee, WI, US 53226  
(Street and Number or P.O. Box) (City or Town, State, Country and Zip Code)

Primary Location of Books and Records 9000 W. Wisconsin Ave.  
(Street and Number)  
Milwaukee, WI, US 53226 (800)482-8010  
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Internet Web Site Address www.childrenscommunityhealthplan.org

Statutory Statement Contact Cathy Colleen Gingrich (913)961-0619  
(Name) (Area Code)(Telephone Number)(Extension)  
cgingrich@mcs-nc.com (866)256-2108  
(E-Mail Address) (Fax Number)

**OFFICERS**

<u>Name</u>	<u>Title</u>
James Patrick Purko	Board Chairman #
Robert Elijah Duncan	President
Marc Andre Cadieux	Treasurer
Michelle Intrater Mettner	Secretary
Mark David Rakowski	Vice President

**OTHERS**

**DIRECTORS OR TRUSTEES**

David John Drury	Robert Elijah Duncan
Thomas Berry Precia Jr.	Peggy Nye Troy
Benjamin Blanton Melson	James Patrick Purko
Clark Egan Slipher	Michael Aaron Silver #

State of Wisconsin  
 County of \_\_\_\_\_ ss

The officers of this reporting entity being duly sworn, each depose and say that they are the described officers of said reporting entity, and that on the reporting period stated above, all of the herein described assets were the absolute property of the said reporting entity, free and clear from any liens or claims thereon, except as herein stated, and that this statement, together with related exhibits, schedules and explanations therein contained, annexed or referred to, is a full and true statement of all the assets and liabilities and of the condition and affairs of the said reporting entity as of the reporting period stated above, and of its income and deductions therefrom for the period ended, and have been completed in accordance with the NAIC Annual Statement Instructions and Accounting Practices and Procedures manual except to the extent that: (1) state law may differ; or, (2) that state rules or regulations require differences in reporting not related to accounting practices and procedures, according to the best of their information, knowledge and belief, respectively. Furthermore, the scope of this attestation by the described officers also includes the related corresponding electronic filing with the NAIC, when required, that is an exact copy (except for formatting differences due to electronic filing) of the enclosed statement. The electronic filing may be requested by various regulators in lieu of or in addition to the enclosed statement.

<u>Michelle Intrater Mettner</u> <small>(Signature)</small>	<u>Robert Elijah Duncan</u> <small>(Signature)</small>	<u>Marc Andre Cadieux</u> <small>(Signature)</small>
<u>Michelle Intrater Mettner</u> <small>(Printed Name)</small>	<u>Robert Elijah Duncan</u> <small>(Printed Name)</small>	<u>Marc Andre Cadieux</u> <small>(Printed Name)</small>
1. <u>Secretary</u> <small>(Title)</small>	2. <u>President</u> <small>(Title)</small>	3. <u>Treasurer</u> <small>(Title)</small>

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 2019

- a. Is this an original filing?  
 b. If no, 1. State the amendment number  
 2. Date filed  
 3. Number of pages attached

Yes[X] No[ ]

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

\_\_\_\_\_  
 (Notary Public Signature)

**ASSETS**

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1. Bonds .....	21,271,238		21,271,238	18,576,437
2. Stocks:				
2.1 Preferred stocks .....				
2.2 Common stocks .....				
3. Mortgage loans on real estate:				
3.1 First liens .....				
3.2 Other than first liens .....				
4. Real estate:				
4.1 Properties occupied by the company (less \$.....0 encumbrances) .....				
4.2 Properties held for the production of income (less \$.....0 encumbrances) .....				
4.3 Properties held for sale (less \$.....0 encumbrances) .....				
5. Cash (\$.....115,946,058), cash equivalents (\$.....491,556) and short-term investments (\$.....275,847) .....	116,713,461		116,713,461	118,642,028
6. Contract loans (including \$.....0 premium notes) .....				
7. Derivatives .....				
8. Other invested assets .....				
9. Receivables for securities .....				
10. Securities lending reinvested collateral assets .....				
11. Aggregate write-ins for invested assets .....				
12. Subtotals, cash and invested assets (Lines 1 to 11) .....	137,984,698		137,984,698	137,218,465
13. Title plants less \$.....0 charged off (for Title insurers only) .....				
14. Investment income due and accrued .....	112,599		112,599	100,828
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection .....	10,254,949	5,479	10,249,471	13,103,502
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$.....0 earned but unbilled premiums) .....				
15.3 Accrued retrospective premiums (\$.....0) and contracts subject to redetermination (\$.....20,304,644) .....	20,304,644		20,304,644	2,274,476
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers .....	8,222,586		8,222,586	
16.2 Funds held by or deposited with reinsured companies .....				
16.3 Other amounts receivable under reinsurance contracts .....				
17. Amounts receivable relating to uninsured plans .....				
18.1 Current federal and foreign income tax recoverable and interest thereon .....				
18.2 Net deferred tax asset .....				
19. Guaranty funds receivable or on deposit .....				
20. Electronic data processing equipment and software .....	199,191	171,039	28,151	46,790
21. Furniture and equipment, including health care delivery assets (\$.....0) .....	478,762	478,762	0	
22. Net adjustments in assets and liabilities due to foreign exchange rates .....				
23. Receivables from parent, subsidiaries and affiliates .....	226,012	226,012	0	
24. Health care (\$.....3,163,286) and other amounts receivable .....	4,713,198	1,549,912	3,163,286	6,279,820
25. Aggregate write-ins for other-than-invested assets .....	7,332,244	333,272	6,998,972	
26. TOTAL assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) .....	189,828,884	2,764,476	187,064,408	159,023,881
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts .....				
28. TOTAL (Lines 26 and 27) .....	189,828,884	2,764,476	187,064,408	159,023,881
<b>DETAILS OF WRITE-INS</b>				
1101. ....				
1102. ....				
1103. ....				
1198. Summary of remaining write-ins for Line 11 from overflow page .....				
1199. TOTALS (Lines 1101 through 1103 plus 1198) (Line 11 above) .....				
2501. Prepaid Expenses .....	333,272	333,272		
2502. Hospital/ASC Assessment Not Yet Received .....	6,998,972		6,998,972	
2503. ....				
2598. Summary of remaining write-ins for Line 25 from overflow page .....				
2599. TOTALS (Lines 2501 through 2503 plus 2598) (Line 25 above) .....	7,332,244	333,272	6,998,972	

**LIABILITIES, CAPITAL AND SURPLUS**

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less \$.....0 reinsurance ceded) .....	40,117,789	1,344,920	41,462,709	53,466,331
2. Accrued medical incentive pool and bonus amounts .....	791,110		791,110	305,692
3. Unpaid claims adjustment expenses .....	1,256,680		1,256,680	1,765,448
4. Aggregate health policy reserves, including the liability of \$.....31,523,000 for medical loss ratio rebate per the Public Health Service Act .....	32,205,523		32,205,523	19,905,652
5. Aggregate life policy reserves .....				
6. Property/casualty unearned premium reserve .....				
7. Aggregate health claim reserves .....				
8. Premiums received in advance .....	890,516		890,516	1,867,854
9. General expenses due or accrued .....	2,408,112		2,408,112	4,039,447
10.1 Current federal and foreign income tax payable and interest thereon (including \$.....0 on realized gains (losses)) .....				
10.2 Net deferred tax liability .....				
11. Ceded reinsurance premiums payable .....				
12. Amounts withheld or retained for the account of others .....				
13. Remittances and items not allocated .....				
14. Borrowed money (including \$.....0 current) and interest thereon \$.....0 (including \$.....0 current) .....				
15. Amounts due to parent, subsidiaries and affiliates .....				434,688
16. Derivatives .....				
17. Payable for securities .....				
18. Payable for securities lending .....				
19. Funds held under reinsurance treaties with (\$.....0 authorized reinsurers, \$.....0 unauthorized reinsurers and \$.....0 certified reinsurers) .....				
20. Reinsurance in unauthorized and certified (\$.....0) companies .....				
21. Net adjustments in assets and liabilities due to foreign exchange rates .....				
22. Liability for amounts held under uninsured plans .....	8,288,226		8,288,226	5,756,303
23. Aggregate write-ins for other liabilities (including \$.....17,343 current) .....	7,021,954		7,021,954	113,565
24. Total liabilities (Lines 1 to 23) .....	92,979,910	1,344,920	94,324,830	87,654,980
25. Aggregate write-ins for special surplus funds .....	X X X	X X X	2,226,227	
26. Common capital stock .....	X X X	X X X		
27. Preferred capital stock .....	X X X	X X X		
28. Gross paid in and contributed surplus .....	X X X	X X X	31,600,000	31,600,000
29. Surplus notes .....	X X X	X X X		
30. Aggregate write-ins for other-than-special surplus funds .....	X X X	X X X		
31. Unassigned funds (surplus) .....	X X X	X X X	58,913,351	39,768,899
32. Less treasury stock, at cost:				
32.1 .....0 shares common (value included in Line 26 \$.....0) .....	X X X	X X X		
32.2 .....0 shares preferred (value included in Line 27 \$.....0) .....	X X X	X X X		
33. Total capital and surplus (Lines 25 to 31 minus Line 32) .....	X X X	X X X	92,739,578	71,368,899
34. Total Liabilities, capital and surplus (Lines 24 and 33) .....	X X X	X X X	187,064,408	159,023,879
<b>DETAILS OF WRITE-INS</b>				
2301. Unclaimed Property .....	5,639		5,639	4,183
2302. Pass Through Payments Received not yet Distributed .....	17,343		17,343	109,382
2303. Hospital/ASC Assessment Not Yet Received .....	6,998,972		6,998,972	
2398. Summary of remaining write-ins for Line 23 from overflow page .....				
2399. TOTALS (Lines 2301 through 2303 plus 2398) (Line 23 above) .....	7,021,954		7,021,954	113,565
2501. 2019 ACA Estimated 9010 Tax .....	X X X	X X X	2,226,227	
2502. ....	X X X	X X X		
2503. ....	X X X	X X X		
2598. Summary of remaining write-ins for Line 25 from overflow page .....	X X X	X X X		
2599. TOTALS (Lines 2501 through 2503 plus 2598) (Line 25 above) .....	X X X	X X X	2,226,227	
3001. ....	X X X	X X X		
3002. ....	X X X	X X X		
3003. ....	X X X	X X X		
3098. Summary of remaining write-ins for Line 30 from overflow page .....	X X X	X X X		
3099. TOTALS (Lines 3001 through 3003 plus 3098) (Line 30 above) .....	X X X	X X X		

**STATEMENT OF REVENUE AND EXPENSES**

	Current Year To Date		Prior Year To Date	Prior Year Ended December 31
	1 Uncovered	2 Total	3 Total	4 Total
1. Member Months .....	X X X	1,203,342	1,374,783	1,816,519
2. Net premium income (including \$.....0 non-health premium income) .....	X X X	260,410,518	322,176,146	434,391,090
3. Change in unearned premium reserves and reserves for rate credits .....	X X X			
4. Fee-for-service (net of \$.....0 medical expenses) .....	X X X			
5. Risk revenue .....	X X X			
6. Aggregate write-ins for other health care related revenues .....	X X X	185	6,730	6,010
7. Aggregate write-ins for other non-health revenues .....	X X X		(301)	(301)
8. Total revenues (Lines 2 to 7) .....	X X X	260,410,702	322,182,575	434,396,799
<b>Hospital and Medical:</b>				
9. Hospital/medical benefits .....	6,032,771	187,916,873	236,883,001	308,076,043
10. Other professional services .....		14,200,536	14,895,946	19,461,900
11. Outside referrals .....				
12. Emergency room and out-of-area .....				
13. Prescription drugs .....		11,894,121	15,655,401	21,921,446
14. Aggregate write-ins for other hospital and medical .....		3,092,223	2,854,742	4,042,163
15. Incentive pool, withhold adjustments and bonus amounts .....		1,118,552	122,219	426,861
16. Subtotal (Lines 9 to 15) .....	6,032,771	218,222,304	270,411,308	353,928,413
<b>Less:</b>				
17. Net reinsurance recoveries .....		8,353,104	1,196,250	1,791,081
18. Total hospital and medical (Lines 16 minus 17) .....	6,032,771	209,869,200	269,215,059	352,137,332
19. Non-health claims (net) .....				
20. Claims adjustment expenses, including \$.....7,829,754 cost containment expenses .....		19,608,461	22,029,751	29,171,794
21. General administrative expenses .....		11,414,933	14,644,327	20,804,605
22. Increase in reserves for life and accident and health contracts (including \$.....0 increase in reserves for life only) .....				
23. Total underwriting deductions (Lines 18 through 22) .....	6,032,771	240,892,594	305,889,137	402,113,731
24. Net underwriting gain or (loss) (Lines 8 minus 23) .....	X X X	19,518,108	16,293,438	32,283,068
25. Net investment income earned .....		1,673,580	302,038	650,805
26. Net realized capital gains (losses) less capital gains tax of \$.....0 .....		(2,657)	(6,137)	(18,703)
27. Net investment gains or (losses) (Lines 25 plus 26) .....		1,670,924	295,901	632,102
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$.....0) (amount charged off \$.....0)] .....				
29. Aggregate write-ins for other income or expenses .....				
30. Net income or (loss) after capital gains tax and before all other federal income taxes (Lines 24 plus 27 plus 28 plus 29) .....	X X X	21,189,032	16,589,339	32,915,170
31. Federal and foreign income taxes incurred .....	X X X			
32. Net income (loss) (Lines 30 minus 31) .....	X X X	21,189,032	16,589,339	32,915,170
<b>DETAILS OF WRITE-INS</b>				
0601. Outpatient Case Management .....	X X X	185	6,730	6,010
0602. ....	X X X			
0603. ....	X X X			
0698. Summary of remaining write-ins for Line 6 from overflow page .....	X X X			
0699. TOTALS (Lines 0601 through 0603 plus 0698) (Line 6 above) .....	X X X	185	6,730	6,010
0701. Loss on Disposal of Asset .....	X X X		(301)	(301)
0702. ....	X X X			
0703. ....	X X X			
0798. Summary of remaining write-ins for Line 7 from overflow page .....	X X X			
0799. TOTALS (Lines 0701 through 0703 plus 0798) (Line 7 above) .....	X X X		(301)	(301)
1401. Durable Medical Equipment .....		3,092,223	2,854,742	4,042,163
1402. ....				
1403. ....				
1498. Summary of remaining write-ins for Line 14 from overflow page .....				
1499. TOTALS (Lines 1401 through 1403 plus 1498) (Line 14 above) .....		3,092,223	2,854,742	4,042,163
2901. ....				
2902. ....				
2903. ....				
2998. Summary of remaining write-ins for Line 29 from overflow page .....				
2999. TOTALS (Lines 2901 through 2903 plus 2998) (Line 29 above) .....				

**STATEMENT OF REVENUE AND EXPENSES (Continued)**

	1	2	3
	Current Year To Date	Prior Year To Date	Prior Year Ended December 31
<b>CAPITAL &amp; SURPLUS ACCOUNT</b>			
33. Capital and surplus prior reporting year .....	71,368,897	40,206,522	40,206,521
34. Net income or (loss) from Line 32 .....	21,189,032	16,589,339	32,915,170
35. Change in valuation basis of aggregate policy and claim reserves .....			
36. Change in net unrealized capital gains (losses) less capital gains tax of \$.....0			
37. Change in net unrealized foreign exchange capital gain or (loss) .....			
38. Change in net deferred income tax .....			
39. Change in nonadmitted assets .....	181,647	(2,865,421)	(1,752,794)
40. Change in unauthorized and certified reinsurance .....			
41. Change in treasury stock .....			
42. Change in surplus notes .....			
43. Cumulative effect of changes in accounting principles .....			
44. Capital Changes:			
44.1 Paid in .....			
44.2 Transferred from surplus (Stock Dividend) .....			
44.3 Transferred to surplus .....			
45. Surplus adjustments:			
45.1 Paid in .....			
45.2 Transferred to capital (Stock Dividend) .....			
45.3 Transferred from capital .....			
46. Dividends to stockholders .....			
47. Aggregate write-ins for gains or (losses) in surplus .....			
48. Net change in capital and surplus (Lines 34 to 47) .....	21,370,680	13,723,918	31,162,376
49. Capital and surplus end of reporting period (Line 33 plus 48) .....	92,739,577	53,930,440	71,368,897
<b>DETAILS OF WRITE-INS</b>			
4701. ....			
4702. ....			
4703. ....			
4798. Summary of remaining write-ins for Line 47 from overflow page .....			
4799. TOTALS (Lines 4701 through 4703 plus 4798) (Line 47 above) .....			

**CASH FLOW**

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
<b>Cash from Operations</b>			
1. Premiums collected net of reinsurance .....	256,559,184	336,819,651	452,894,907
2. Net investment income .....	1,651,012	310,369	640,410
3. Miscellaneous income .....	185	6,429	5,709
4. TOTAL (Lines 1 to 3) .....	258,210,380	337,136,449	453,541,026
5. Benefit and loss related payments .....	226,564,625	245,923,940	331,973,963
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts .....			
7. Commissions, expenses paid and aggregate write-ins for deductions .....	30,631,574	31,181,186	46,168,835
8. Dividends paid to policyholders .....			
9. Federal and foreign income taxes paid (recovered) net of \$.....0 tax on capital gains (losses) .....			
10. TOTAL (Lines 5 through 9) .....	257,196,200	277,105,126	378,142,798
11. Net cash from operations (Line 4 minus Line 10) .....	1,014,181	60,031,323	75,398,228
<b>Cash from Investments</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds .....	6,687,750	6,263,808	9,601,988
12.2 Stocks .....			
12.3 Mortgage loans .....			
12.4 Real estate .....			
12.5 Other invested assets .....			
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments .....			
12.7 Miscellaneous proceeds .....		6	6
12.8 TOTAL investment proceeds (Lines 12.1 to 12.7) .....	6,687,750	6,263,814	9,601,994
13. Cost of investments acquired (long-term only):			
13.1 Bonds .....	9,374,410	7,262,962	10,537,955
13.2 Stocks .....			
13.3 Mortgage loans .....			
13.4 Real estate .....			
13.5 Other invested assets .....			
13.6 Miscellaneous applications .....			
13.7 TOTAL investments acquired (Lines 13.1 to 13.6) .....	9,374,410	7,262,962	10,537,955
14. Net increase (or decrease) in contract loans and premium notes .....			
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14) .....	(2,686,660)	(999,148)	(935,961)
<b>Cash from Financing and Miscellaneous Sources</b>			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes .....			
16.2 Capital and paid in surplus, less treasury stock .....		1	
16.3 Borrowed funds .....			
16.4 Net deposits on deposit-type contracts and other insurance liabilities .....			
16.5 Dividends to stockholders .....			
16.6 Other cash provided (applied) .....	(256,088)	(372,998)	(322,227)
17. Net cash from financing and miscellaneous sources (Line 16.1 through 16.4 minus Line 16.5 plus Line 16.6) .....	(256,088)	(372,998)	(322,227)
<b>RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS</b>			
18. Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17) .....	(1,928,567)	58,659,178	74,140,040
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year .....	118,642,028	44,501,988	44,501,988
19.2 End of period (Line 18 plus Line 19.1) .....	116,713,461	103,161,165	118,642,028

**Note: Supplemental Disclosures of Cash Flow Information for Non-Cash Transactions:**

20.0001				
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## EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION

	1 Total	Comprehensive (Hospital & Medical)		4 Medicare Supplement	5 Vision Only	6 Dental Only	7 Federal Employees Health Benefit Plan	8 Title XVIII Medicare	9 Title XIX Medicaid	10 Other
		2 Individual	3 Group							
Total Members at end of:										
1. Prior Year .....	146,475	24,364							122,111	
2. First Quarter .....	133,993	11,980							122,013	
3. Second Quarter .....	133,680	11,109							122,571	
4. Third Quarter .....	132,600	10,594							122,006	
5. Current Year .....										
6. Current Year Member Months .....	1,203,342	104,328							1,099,014	
Total Member Ambulatory Encounters for Period:										
7. Physician .....	236,460	26,117							210,343	
8. Non-Physician .....	78,925	5,708							73,217	
9. Total .....	315,385	31,825							283,560	
10. Hospital Patient Days Incurred .....	30,673	3,294							27,379	
11. Number of Inpatient Admissions .....	7,888	636							7,252	
12. Health Premiums Written (a) .....	262,215,306	84,395,221							177,820,085	
13. Life Premiums Direct .....										
14. Property/Casualty Premiums Written .....										
15. Health Premiums Earned .....	262,215,306	84,395,221							177,820,085	
16. Property/Casualty Premiums Earned .....										
17. Amount Paid for Provision of Health Care Services .....	226,695,144	80,488,959							146,206,185	
18. Amount Incurred for Provision of Health Care Services .....	218,222,304	70,111,359							148,110,945	

(a) For health premiums written: amount of Medicare Title XVIII exempt from state taxes or fees \$.....0.

**CLAIMS UNPAID AND INCENTIVE POOL, WITHHOLD AND BONUS (Reported and Unreported)****Aging Analysis of Unpaid Claims**

1 Account	2 1 - 30 Days	3 31 - 60 Days	4 61 - 90 Days	5 91 - 120 days	6 Over 120 Days	7 Total
0199999 Individually Listed Claims Unpaid .....						
0299999 Aggregate Accounts Not Individually Listed - Uncovered .....						
0399999 Aggregate Accounts Not Individually Listed - Covered .....	13,088,778	547,621	4,274	9,915		13,650,588
0499999 Subtotals .....	13,088,778	547,621	4,274	9,915		13,650,588
0599999 Unreported claims and other claim reserves .....						27,812,120
0699999 Total Amounts Withheld .....						
0799999 Total Claims Unpaid .....						41,462,709
0899999 Accrued Medical Incentive Pool And Bonus Amounts .....						791,110



## UNDERWRITING AND INVESTMENT EXHIBIT

### ANALYSIS OF CLAIMS UNPAID-PRIOR YEAR-NET OF REINSURANCE

	Claims Paid Year to Date		Liability End of Current Quarter		5	6
	1	2	3	4	Claims Incurred in Prior Years (Columns 1+3)	Estimated Claim Reserve and Claim Liability Dec 31 of Prior Year
	On Claims Incurred Prior to January 1 of Current Year	On Claims Incurred During the Year	On Claims Unpaid Dec 31 of Prior Year	On Claims Incurred During the Year		
1. Comprehensive (hospital & medical) .....	21,601,837	50,580,535	666,981	12,305,303	22,268,818	24,375,869
2. Medicare Supplement .....						
3. Dental only .....						
4. Vision only .....						
5. Federal Employees Health Benefits Plan .....						
6. Title XVIII - Medicare .....						
7. Title XIX - Medicaid .....	20,899,668	124,626,865	334,010	28,156,415	21,233,678	29,090,462
8. Other health .....						
9. Health subtotal (Lines 1 to 8) .....	42,501,505	175,207,400	1,000,991	40,461,718	43,502,495	53,466,331
10. Healthcare receivables (a) .....	114,138	4,596,545			114,138	7,756,048
11. Other non-health .....						
12. Medical incentive pools and bonus amounts .....	417,948	215,186		791,110	417,948	305,692
13. Totals (Lines 9 - 10 + 11 + 12) .....	42,805,314	170,826,041	1,000,991	41,252,828	43,806,305	46,015,975

(a) Excludes \$.....0 loans or advances to providers not yet expensed.

## Notes to Financial Statement

### 1. Summary of Significant Accounting Policies and Going Concern

#### A. Accounting Practices

The financial statements of Children's Community Health Plan, Inc. are presented on the basis of accounting practices prescribed or permitted by the Wisconsin Department of Insurance. The Wisconsin Department of Insurance recognizes only statutory accounting practices prescribed or permitted by the State of Wisconsin for determining and reporting the financial condition and results of operations of an insurance company, for determining its solvency under the Wisconsin Insurance Law. The National Association of Insurance Commissioners' (NAIC) *Accounting Practices and Procedures* manual (NAIC SAP) has been adopted as a component of prescribed or permitted practices by the State of Wisconsin.

The State has adopted certain prescribed accounting practices that differ from those found in NAIC SAP. Under s. Ins 9.10, Wis. Adm. Code, receivables, notes or obligations due from an affiliate must be shown as nonadmitted assets unless the Commissioner has approved a different value and the amount is fully secured by cash. The nonadmission of the Receivables from Parent, Subsidiaries and Affiliates amounted to \$226,012 and effects statutory surplus.

A reconciliation of the Company's net income and capital and surplus between NAIC SAP and practices prescribed and permitted by the State of Wisconsin is shown below:

		SSAP #	F/S Page	F/S Line #	September 30, 2019	2018
<b>NET INCOME</b>						
(1)	Children's Community Health Plan, Inc. state basis (Page 4, Line 32, Columns 2 & 3)				\$21,189,032	\$32,915,171
(2)	State Prescribed Practices that increase/(decrease) NAIC SAP:					
(3)	State Permitted Practices that increase/(decrease) NAIC SAP:					
(4)	NAIC SAP (1-2-3=4)				\$21,189,032	\$32,915,171
<b>SURPLUS</b>						
(5)	Children's Community Health Plan, Inc. state basis (Page 3, Line 33, Columns 3 & 4)				\$92,739,578	\$71,368,899
(6)	State Prescribed Practices that increase/(decrease) NAIC SAP:					
(601)	Nonadmission of Receivables from Parent, Subsidiaries and Affiliates	4	2	23	\$(226,012)	
(699)	Total				\$(226,012)	
(7)	State Permitted Practices that increase/(decrease) NAIC SAP:					
(8)	NAIC SAP (5-6-7=8)				\$92,965,590	\$71,368,899

#### B. Use of Estimates in the Preparation of the Financial Statements

The preparation of financial statements in conformity with Statutory Accounting Principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities. It also requires disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the period. Actual results could differ from those estimates.

#### C. Accounting Policy

Health capitation premiums are recognized in the period members are entitled to related health care services. In addition, the Company uses the following accounting policies:

- (1) No Material Change
- (2) Bonds not backed by other loans are stated at amortized cost using the interest method. The Company does not own mandatory convertible securities or SVO identified investments.
- (3)–(5) No Material Change
- (6) Loan-backed securities are stated at amortized cost.

## Notes to Financial Statement

(7) – (13) No Material Change

D. Going Concern

Management has evaluated the Company's ability to continue as a going concern. There is no substantial doubt in its ability to continue as a going concern.

**2. Accounting Changes and Corrections of Errors**

No Material Change

**3. Business Combinations and Goodwill**

No Material Change

**4. Discontinued Operations**

No Material Change

**5. Investments**

A. Mortgage Loans, including Mezzanine Real Estate Loans - No Material Change

B. Debt Restructuring - No Material Change

C. Reverse Mortgages - No Material Change

D. Loan-Backed Securities

(1) Prepayment assumptions for single class and multi-class mortgage-backed/asset-backed securities were obtained from broker dealer survey values or internal estimates.

(2) There are no other-than-temporary impairments on any Loan-Backed Securities.

(3) There are no other-than-temporary impairments on any Loan-Backed Securities.

(4) and (5) All impaired securities (fair value is less than cost or amortized cost) for which an other-than-temporary impairment has not been recognized in earnings as a realized loss (including securities with a recognized other-than-temporary impairment for non-interest related declines when a non-recognized interest related impairment remains) - None

E. Repurchase Agreements and/or Securities Lending Transaction

(1) Policy for requiring collateral or other security – No Material Change

(2) Carrying amount and classification of both those assets and associated liabilities – No Material Change

(3) Collateral accepted that it is permitted by contract or custom to sell or repledge:

a. Aggregate amount of contractually obligated open collateral positions – No Material Change

b. Fair value of that collateral and of the portion of that collateral that is has sold or repledged – None

c. Information about the sources and uses of that collateral – No Material Change

(4) Aggregate value of the reinvested collateral which is “one-line” reported and the aggregate reinvested collateral which is reported in the investment schedules – No Material Change

(5) Reinvestment of the cash collateral and any securities which it or its agent receives as collateral that can be sold or repledged – No Material Change

(6) Collateral accepted that it is not permitted by contract or custom to sell or repledge – No Material Change

(7) Collateral for transactions that extend beyond one year from the reporting date – No Material Change

F. Repurchase Agreements Transactions Accounted for as Secured Borrowing – None

G. Reverse Repurchase Agreements Transactions Accounted for as Secured Borrowing – None

## Notes to Financial Statement

- H. Repurchase Agreements Transactions Accounted for as a Sale – None
- I. Reverse Repurchase Agreements Transactions Accounted for as a Sale – None
- J. Real Estate – No Material Change
- K. Low-Income Housing Tax Credits (LIHTC) – No Material Change
- L. Restricted Assets

(1) Restricted Assets (Including Pledged)

Restricted Asset Category	1 Total Gross (Admitted & Nonadmitted) Restricted from Current Year	2 Total Gross (Admitted & Nonadmitted) Restricted From Prior Year	3 Increase/ (Decrease) (1 minus 2)	4 Total Current Year Nonadmitted Restricted	5 Total Current Year Admitted Restricted (1 minus 4)	6 Gross (Admitted & Nonadmitted) Restricted to Total Assets (a)	7 Admitted Restricted To Total Admitted Assets (b)
a. Subject to contractual obligation for which liability is not shown						%	%
b. Collateral held under security lending agreements						%	%
c. Subject to repurchase agreements						%	%
d. Subject to reverse repurchase agreements						%	%
e. Subject to dollar repurchase agreements						%	%
f. Subject to dollar reverse repurchase agreements						%	%
g. Placed under option contracts						%	%
h. Letter stock or securities restricted as to sale— excluding FHLB capital stock						%	%
i. FHLB capital stock						%	%
j. On deposit with states	\$736,285	\$70,045	\$666,240		\$736,285	0.388%	0.394%
k. On deposit with other regulatory bodies						%	%
l. Pledged as collateral to FHLB (including assets backing funding agreements)						%	%
m. Pledged as collateral not captured in other categories						%	%
n. Other restricted assets						%	%
o. Total Restricted Assets	\$736,285	\$70,045	\$736,285		\$736,285	0.388%	0.394%

a) Column 1 divided by Asset Page Column 1, Line 28

(b) Column 5 divided by Asset Page, Column 3, Line 28

(2) Detail of Assets Pledged as Collateral Not Captured in Other Categories – None

(3) Detail of Other Restricted Assets – None

(4) Collateral Received and Reflected as Assets Within the Reporting Entity's Financial Statements - None

- M. Working Capital Finance Investments – No Material Change
  - (1) Book value of working capital financial investments by NAIC designation – No Material Change
  - (2) Book value maturity distribution on the underlying Working Capital Finance Programs by the following categories: maturities up to 180 days and 181 days to 365 days – None
  - (3) Disclose any events of default of working capital finance investments during the reporting period – None
- N. Offsetting and Netting of Assets and Liabilities - None
- O. Structured Notes – No Material Change
- P. 5GI Securities – No Material Change
- Q. Short Sales – No Material Change
- R. Prepayment Penalty and Acceleration Fees – No Material Change

**6. Joint Ventures, Partnerships and Limited Liability Companies**

No Material Change

**7. Investment Income**

No Material Change

**8. Derivative Instruments**

A. – G. No Material Change

H. None

**9. Income Taxes**

The Company is organized under Chapter 613 of the Wisconsin Statutes and is not subject to federal income taxes.

## Notes to Financial Statement

### 10. Information Concerning Parent, Subsidiaries, Affiliates and Other Related Parties

A,B&C. No Material Change

- D. Amounts Due From or To Related Parties - No Material Change
- E. Guarantees or undertakings for benefit of affiliate – No Material Change
- F. Description of Material Management Contracts and Cost-Sharing Agreements – No Material Change
- G. Nature of the Control Relationship Company – No Material Change
- H. Ownership in Upstream Entity - No Material Change
- I. Investment in SCA – No Material Change
- J. Investment in impaired SCA – No Material Change
- K. Invest in foreign insurance subsidiary – No Material Change
- L. Investments in downstream non-insurance holding company - No Material Change
- M. The Company does not have any SCA investments – No Material Change
- N. The Company does not have any insurance SCAs - No Material Change
- O. SCA Loss Tracking – No Material Change

### 11. Debt

- A. A \$15,000,000 line of credit was established on June 24, 2013 with the Company's parent, Children's Hospital and Health System, Inc. At September 30, 2019 the Company did not have an outstanding loan. The interest rate paid for the line of credit is based on the one month LIBOR plus 125 points. Interest and principal may be paid without premium or penalty at any time.
- B. FHLB (Federal Home Loan Bank) Agreements - None

### 12. Retirement Plans, Deferred Compensation, Postemployment Benefits and Compensated Absences and Other Postretirement Benefit Plans

- A. Defined Benefit Plan
  - (1)-(3) No Material Change
  - (4) Amount of Net Periodic Benefit Cost Recognized – None
  - (5)-(21) No Material Change
- B. Narrative Description of Investments Policies and Strategies – No Material Change
- C. Fair Value of Each Class of Plan Assets – No Material Change
- D. Narrative Description of the Basis Used to Determine the Overall Expected Long-Term Rate-of-Return-on-Assets Assumption – No Material Change
- E. Defined Contribution Plans – No Material Change
- F. Multiemployer Plans – No Material Change
- G. Consolidated/Holding Company Plans – No Material Change
- H. Postemployment Benefits and Compensated Balances – No Material Change
- I. Impact of Medicare Modernization Act on Postretirement Benefits (INT 04-17) – No Material Change

### 13. Capital and Surplus, Dividend Restrictions and Quasi-Reorganizations

No Material Change

### 14. Liabilities, Contingencies and Assessments

No Material Change

### 15. Leases

A. Lessee Operating Lease

- (1) a. The Company is committed under a non-cancellable operating lease for rental of office space. The Company entered into this agreement on 2/22/13 and the term of the lease began on 4/15/13. The Company's non-cancellable operating lease was extended on June 12, 2019 to extend the term until December 31, 2022.
- b. The Company has no contingent rental payments
- c. Certain rental commitments have renewal options extending through December 31, 2025. The current term ends in 2022. Some of these renewals are subject to adjustments in future periods.

## Notes to Financial Statement

d. The Company has no restrictions imposed by lease agreements.

(2) Leases having remaining non-cancellable lease terms in excess of one year:

a. At September 30, 2019, the minimum aggregate rental commitments are as follows:

Years Ending December 31	Operating Leases
2020	\$298,826
2021	\$289,454
2022	\$295,243
2023	
TOTAL	\$883,523

b. The Company has no subleases.

(3) The Company is not involved in any sales-leaseback transactions.

B. Lessor Leases – No Material Change

### 16. Information About Financial Instruments With Off-Balance-Sheet Risk And Financial Instruments With Concentrations of Credit Risk

No Material Change

### 17. Sale, Transfer and Servicing of Financial Assets and Extinguishments of Liabilities

A. Transfers of Receivables reported as Sales – No Material Change

B. Transfer and Servicing of Financial Assets

(1) Description of loaned securities – No Material Change

(2) Servicing Assets and Liabilities

a. Risks inherent in servicing assets and servicing liabilities – None

b. Amount of contractually specified servicing fees, late fees and ancillary fees earned for each period – None

c. Assumptions used to estimate the fair value – None

(3) Servicing assets and servicing liabilities are subsequently measured at fair value – No Material Change

(4) For securitizations, asset-backed financing arrangements, and similar transfers accounted for as sales when the transferor has continuing involvement (as defined in the glossary of the Accounting Practices & Procedures Manual) with the transferred financial assets:

a. Each income statement presented – None

b. Each statement of financial position presented, regardless of when the transfer occurred – None

(5) Transfers of financial assets accounted for as secured borrowing value – No Material Change

(6) Transfers of receivables with recourse – No Material Change

(7) Securities underlying repurchase and reverse repurchase agreements – No Material Change

C. Wash Sales – None

### 18. Gain or Loss to the Reporting Entity from Uninsured Plans and the Uninsured Portion of Partially Insured Plans

A. ASO Plans – No Material Change

## Notes to Financial Statement

- B. ASC Plans – No Material Change
- C. Medicare or Similarly Structured Cost Based Reimbursement Contract - No Material Change

### 19. Direct Premium Written/Produced by Managing General Agents/Third Party Administrators

No Material Change

### 20. Fair Value Measurements

- A. The Company's financial assets and liabilities carried at fair value have been classified, for disclosure purposes, based on a hierarchy that prioritizes the inputs to valuation techniques used to measure fair value into three broad levels. The hierarchy gives the highest priority to fair values determined using unadjusted quoted prices in active markets for identical assets or liabilities (Level 1) and the lowest priority to fair values determined using unobservable inputs (Level 3). An asset's or liability's classification is determined based on the lowest level input that is significant to its measurement.

For example, a Level 3 fair value measurement may include inputs that are both observable (Levels 1 and 2) and unobservable (Level 3). The levels of the fair value hierarchy are as follows:

Level 1: Inputs are unadjusted, quoted prices for identical assets or liabilities in active markets at the measurement date.

Level 2: Inputs are other than quoted prices included in Level 1 that are observable for the asset or liability through corroboration with market data at the measurement date.

Level 3: Inputs are unobservable and reflect management's best estimate of what market participants would use in pricing the asset or liability at the measurement date.

Fair value of actively traded fixed-income and equity securities is based on quoted market prices. Fair value of inactively traded fixed-income securities is based on quoted market prices of identical or similar securities based on observable inputs like interest rates using a market valuation approach is generally classified as Level 2. Investments measured based on the practical expedient being net asset value (NAV), based on the NAV of the fund as provided for in the audited financial statements and other fund reporting, are generally classified as Level 3.

#### (1) Fair Value Measurements at Reporting Date

	Description for each class of asset or liability	(Level 1)	(Level 2)	(Level 3)	Total	Net Asset Value Included in Level 2
a.	Assets at fair value					
	Cash Equivalents					
	Money Market Funds		\$491,556		\$491,556	
	Total Cash Equivalents		\$491,556		\$491,556	
	Subtotal – Assets at fair value		\$491,556		\$491,556	
	Liabilities at fair value					
	Subtotal – Liabilities at fair value					

- (2) Fair Value Measurements in (Level 3) of the Fair Value Hierarchy - None
- (3) The Company's policy for determining when transfers between levels are recognized is determined at the end of the reporting period.
- (4) The Company has not valued any securities at a Level 3.
- (5) Derivative Assets and Liabilities – None

- B. Fair Value Information under SSAP No. 100 combined with Fair Value Information Under Other Accounting Pronouncements - None

## Notes to Financial Statement

C.

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	(Level 3)	Not Practicable (Carrying Value)	Net Asset Value (NAV) Included In Level 2
Bonds	\$21,391,671	\$21,271,238		\$21,391,671			
Short-Term Investments	\$275,760	\$275,847		\$275,760			
Cash Equivalents	\$491,556	\$491,556		\$491,556			

D. Not Practicable to Estimate Fair Value – None

E. Investments Using the NAV Practical Expedient – None.

**21. Other Items**

- A. Unusual or Infrequent Items - No Material Change
- B. Troubled Debt Restructuring: Debtors - No Material Change
- C. Other Disclosures

Medicaid Assessment/Access Pass-Through Payments – The total hospital assessment/access pass-through payments received from Wisconsin Medicaid was \$62,711,236. Of that, \$6,998,972 has not been received or distributed. The \$62,711,236 is not included as revenue and expense in the Statement of Revenue and Expenses.

- D. Business Interruption Insurance Recoveries – No Material Change
- E. State Transferable and Non-transferable Tax Credits - No Material Change
- F. Subprime-Mortgage-Related Risk Exposure - No Material Change
- G. Retained Assets – No Material Change
- H. Insurance Linked Securities (ILS) Contracts- No Material Change

**22. Events Subsequent**

Type I – Recognized Subsequent Events – No Material Change

Type II – Nonrecognized Subsequent Events

On January 1, 2020, the Company will be subject to an annual fee under Section 9010 of the federal Affordable Care Act (ACA). The Company is segregating surplus in anticipation of paying this fee. For the period ending September 30, 2019, the Company has segregated \$2,226,227.

**23. Reinsurance**

No Material Change

**24. Retrospectively Rated Contracts & Contracts Subject to Redetermination**

- A. Accrued retrospective premium adjustments - No Material Change
- B. Accrued retrospective premium as an adjustment to earned premium - No Material Change
- C. Net premiums written subject to retrospective rating features - No Material Change



## Notes to Financial Statement

## D. Medical loss ratio rebates required pursuant to the Public Health Service Act

	Individual	Small Group Employer	Large Group Employer	Other Categories with Rebates	Total
Prior Reporting Year					
(1) Medical loss ratio rebates incurred					
(2) Medical loss ratio rebates paid					
(3) Medical loss ratio rebates unpaid	\$19,058,000				\$19,058,000
(4) Plus reinsurance assumed amounts	XXX	XXX	XXX	XXX	
(5) Less reinsurance ceded amounts	XXX	XXX	XXX	XXX	
(6) Rebates unpaid net of reinsurance	XXX	XXX	XXX	XXX	\$19,058,000
Current Reporting Year-to-Date					
(7) Medical loss ratio rebates incurred	\$12,465,000				\$12,465,000
(8) Medical loss ratio rebates paid					
(9) Medical loss ratio rebates unpaid	\$31,523,000				\$31,523,000
(10) Plus reinsurance assumed amounts	XXX	XXX	XXX	XXX	
(11) Less reinsurance ceded amounts	XXX	XXX	XXX	XXX	
(12) Rebates unpaid net of reinsurance	XXX	XXX	XXX	XXX	\$31,523,000

## E. Risk-Sharing Provisions of the Affordable Care Act (ACA)

(1) Did the reporting entity write accident and health insurance premium that is subject to the Affordable Care Act risk-sharing provisions (YES/NO)? Yes

(2) Impact of Risk-Sharing Provisions of the Affordable Care Act on Admitted Assets, Liabilities and Revenue for the Current Year

AMOUNT

## a. Permanent ACA Risk Adjustment Program

## Assets

1. Premium adjustments receivable due to ACA Risk Adjustment \$20,304,644

## Liabilities

2. Risk adjustment user fees payable for ACA Risk Adjustment \$15,649

3. Premium adjustments payable due to ACA Risk Adjustment \$0

## Operations (Revenue &amp; Expense)

4. Reported as revenue in premium for accident and health contracts (written/collected) due to ACA Risk Adjustment \$21,096,326

5. Reported in expenses as ACA risk adjustment user fees (incurred/paid) \$15,771

## b. Transitional ACA Reinsurance Program

## Assets

1. Amounts recoverable for claims paid due to ACA Reinsurance \$-0-

2. Amounts recoverable for claims unpaid due to ACA Reinsurance (Contra Liability) \$-0-

3. Amounts receivable relating to uninsured plans for contributions for ACA Reinsurance \$-0-

## Notes to Financial Statement

## Liabilities

4. Liabilities for contributions payable due to ACA Reinsurance – not reported as ceded premium \$-0-
5. Ceded reinsurance premiums payable due to ACA Reinsurance \$-0-
6. Liabilities for amounts held under uninsured plans contributions for ACA Reinsurance \$-0-

## Operations (Revenue &amp; Expense)

7. Ceded reinsurance premiums due to ACA Reinsurance \$-0-
8. Reinsurance recoveries (income statement) due to ACA Reinsurance payments or expected payments \$-0-
9. ACA Reinsurance contributions – not reported as ceded premium \$-0-

## c. Temporary ACA Risk Corridors Program

## Assets

1. Accrued retrospective premium due to ACA Risk Corridors \$-0-

## Liabilities

2. Reserve for rate credits or policy experience rating refunds due to ACA Risk Corridors \$-0-

## Operations (Revenue &amp; Expense)

3. Effect of ACA Risk Corridors on net premium income (paid/received) \$-0-
4. Effect of ACA Risk Corridors on change in reserves for rate credits \$-0-

(3) Roll-forward of prior year ACA risk-sharing provisions for the following asset (gross of any nonadmission) and liability balances, along with the reasons for adjustments to prior year balance.

	Accrued During the Prior Year on Business Written Before December 31 of the Prior Year		Received or Paid as of the Current Year on Business Written Before December 31 of the Prior Year		Differences		Adjustments		Unsettled Balances as of the Reporting Date		
					Prior Year Accrued Less Payments (Col 1 - 3)	Prior Year Accrued Less Payments (Col 2 - 4)	To Prior Year Balances	To Prior Year Balances	Cumulative Balance from Prior Years (Col 1 - 3 + 7)	Cumulative Balance from Prior Years (Col 2 - 4 + 8)	
					5	6	7	8	9	10	
	1	2	3	4	5	6	7	8	Ref	9	10
	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)		Receivable	(Payable)
<b>a. Permanent ACA Risk Adjustment Program</b>											
1. Premium adjustments receivable	\$2,274,476	\$0	\$3,066,158	\$0	\$(791,682)	\$0	\$6,207,194	\$0	A	\$5,415,512	\$0
2. Premium adjustments (payable)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$944,453	B	\$0	\$944,453
3. Subtotal ACA Permanent Risk Adjustment Program	\$2,274,476	\$0	\$3,066,158	\$0	\$(791,682)	\$0	\$6,207,194	\$944,453		\$5,415,512	\$944,453
<b>b. Transitional ACA Reinsurance Program</b>											
1. Amounts recoverable for claims paid	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	C	\$0	\$0
2. Amounts recoverable for claims unpaid (contra liability)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	D	\$0	\$0
3. Amounts receivable relating to uninsured plans	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	E	\$0	\$0
4. Liabilities for contributions payable due to ACA Reinsurance – not reported as ceded premium	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	F	\$0	\$0
5. Ceded reinsurance premiums payable	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	G	\$0	\$0
6. Liability for amounts held under uninsured plans	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	H	\$0	\$0
7. Subtotal ACA Transitional Reinsurance Program	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0		\$0	\$0
<b>c. Temporary ACA Risk Corridors Program</b>											
1. Accrued retrospective premium	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	I	\$0	\$0
2. Reserve for rate credits or policy experience rating refunds	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	J	\$0	\$0
3. Subtotal ACA Risk Corridors Program	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0		\$0	\$0
d. Total for ACA Risk Sharing Provisions	\$2,274,476	\$0	\$3,066,158	\$0	\$(791,682)	\$0	\$6,207,194	\$944,453		\$5,415,512	\$944,453

A The Company adjusted the receivable to better reflect the anticipated receivable and for the amounts that were actually received.

B The Company received the 2017 Benefit Year HHS Risk Adjustment Validation Results and estimated its payable at \$944,453. This amount will be paid in 2021.

(4) Roll Forward of ACA Risk Corridor Asset and Liability Balances – None

(5) ACA Risk Corridors Receivable as of Reporting Date - None

## 25. Change in Incurred Losses and Loss Adjustment Expenses

Reserves as of December 31, 2018 were \$55,537,471. As of September 30, 2019, \$52,440,949 has been paid for incurred claims and claims adjustment expenses attributable to insured events of prior years. Reserves remaining for prior years are now \$1,000,991 as a result of re-estimation of unpaid claims and claim adjustment expenses. Therefore, there has been \$2,209,670 favorable prior-year development since December 31, 2018 to September 30,

## Notes to Financial Statement

2019. The decrease is generally the result of ongoing analysis of recent loss development trends. Original estimates are increased or decreased, as additional information becomes known regarding individual claims. The reserves continue to be adequate but are evaluated regularly. There were no significant changes in methodologies and assumptions used in calculating the liability for unpaid losses and loss adjustment expenses.

**26. Intercompany Pooling Arrangements**

No Material Change

**27. Structured Settlements**

No Material Change

**28. Health Care Receivables**

No Material Change

**29. Participating Policies**

No Material Change

**30. Premium Deficiency Reserves**

No Material Change

**31. Anticipated Salvage and Subrogation**

No Material Change

# GENERAL INTERROGATORIES

## PART 1 - COMMON INTERROGATORIES GENERAL

- 1.1 Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act? Yes[ ] No[X]
- 1.2 If yes, has the report been filed with the domiciliary state? Yes[ ] No[ ] N/A[X]
  
- 2.1 Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity? Yes[ ] No[X]
- 2.2 If yes, date of change: .....
  
- 3.1 Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? Yes[X] No[ ]  
 If yes, complete Schedule Y, Parts 1 and 1A.
- 3.2 Have there been any substantial changes in the organizational chart since the prior quarter end? Yes[X] No[ ]
- 3.3 If the response to 3.2 is yes, provide a brief description of those changes:  
 Two non-insurance affiliates were added to the organizational chart. Both are subsidiaries of Children's Hospital and Health System, Inc. The two companies are: West Allis Prescription Center, Inc. and Wauwatosa Prescription Center, Inc.
- 3.4 Is the reporting entity publicly traded or a member of a publicly traded group? Yes[ ] No[X]
- 3.5 If the response to 3.4 is yes, provide the CIK (Central Index Key) code issued by the SEC for the entity/group.
  
- 4.1 Has the reporting entity been a party to a merger or consolidation during the period covered by this statement? Yes[ ] No[X]  
 If yes, complete and file the merger history data file with the NAIC for the annual filing corresponding to this period.
- 4.2 If yes, provide the name of entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.

1 Name of Entity	2 NAIC Company Code	3 State of Domicile
.....	.....	.....

- 5. If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved? Yes[ ] No[X] N/A[ ]  
 If yes, attach an explanation.
  
- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. ..... 12/31/2018 .....
- 6.2 State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. This date should be the date of the examined balance sheet and not the date the report was completed or released. ..... 12/31/2013 .....
- 6.3 State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date). ..... 11/06/2014 .....
- 6.4 By what department or departments?  
 Wisconsin Office of the Commissioner of Insurance
- 6.5 Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments? Yes[ ] No[ ] N/A[X]
- 6.6 Have all of the recommendations within the latest financial examination report been complied with? Yes[ ] No[ ] N/A[X]
  
- 7.1 Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period? Yes[ ] No[X]
- 7.2 If yes, give full information
  
- 8.1 Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board? Yes[ ] No[X]
- 8.2 If response to 8.1 is yes, please identify the name of the bank holding company.
- 8.3 Is the company affiliated with one or more banks, thrifts or securities firms? Yes[ ] No[X]
- 8.4 If response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator.]

1 Affiliate Name	2 Location (City, State)	3 FRB	4 OCC	5 FDIC	6 SEC
.....	.....	..... No .....	..... No .....	..... No .....	..... No .....

- 9.1 Are the senior officers (principal executive officer, principal financial officer, principal accounting officer or controller, or persons performing similar functions) of the reporting entity subject to a code of ethics, which includes the following standards?  
 (a) Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships;  
 (b) Full, fair, accurate, timely and understandable disclosure in the periodic reports required to be filed by the reporting entity;  
 (c) Compliance with applicable governmental laws, rules and regulations;  
 (d) The prompt internal reporting of violations to an appropriate person or persons identified in the code; and  
 (e) Accountability for adherence to the code. Yes[X] No[ ]
- 9.11 If the response to 9.1 is No, please explain:
- 9.2 Has the code of ethics for senior managers been amended? Yes[ ] No[X]
- 9.21 If the response to 9.2 is Yes, provide information related to amendment(s).
- 9.3 Have any provisions of the code of ethics been waived for any of the specified officers? Yes[ ] No[X]
- 9.31 If the response to 9.3 is Yes, provide the nature of any waiver(s).

## FINANCIAL

- 10.1 Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement? Yes[X] No[ ]
- 10.2 If yes, indicate any amounts receivable from parent included in the Page 2 amount: \$ ..... 0

## INVESTMENT

- 11.1 Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.) Yes[ ] No[X]
- 11.2 If yes, give full and complete information relating thereto:
  
- 12. Amount of real estate and mortgages held in other invested assets in Schedule BA: \$ ..... 0
- 13. Amount of real estate and mortgages held in short-term investments: \$ ..... 0

## GENERAL INTERROGATORIES (Continued)

### INVESTMENT

14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates? Yes  No   
 14.2 If yes, please complete the following:

	1 Prior Year-End Book/Adjusted Carrying Value	2 Current Quarter Book/Adjusted Carrying Value
14.21 Bonds .....		
14.22 Preferred Stock .....		
14.23 Common Stock .....		
14.24 Short-Term Investments .....		
14.25 Mortgages Loans on Real Estate .....		
14.26 All Other .....		
14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26) .....		
14.28 Total Investment in Parent included in Lines 14.21 to 14.26 above .....		

15.1 Has the reporting entity entered into any hedging transactions reported on Schedule DB? Yes  No   
 15.2 If yes, has a comprehensive description of the hedging program been made available to the domiciliary state? Yes  No  N/A   
 If no, attach a description with this statement.

16. For the reporting entity's security lending program, state the amount of the following as of the current statement date:  
 16.1 Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2 \$ ..... 0  
 16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2 \$ ..... 0  
 16.3 Total payable for securities lending reported on the liability page \$ ..... 0

17. Excluding items in Schedule E - Part 3 - Special Deposits, real estate, mortgage loans and investments held physically in the reporting entity's offices, vaults or safety deposit boxes, were all stocks, bonds and other securities, owned throughout the current year held pursuant to a custodial agreement with a qualified bank or trust company in accordance with Section 1, III - General Examination Considerations, F. Outsourcing of Critical Functions, Custodial or Safekeeping Agreements of the NAIC Financial Condition Examiners Handbook? Yes  No   
 17.1 For all agreements that comply with the requirements of the NAIC Financial Condition Examiners Handbook, complete the following:

1 Name of Custodian(s)	2 Custodian Address
The Northern Trust Company .....	50 S. LaSalle Street, Chicago, IL 60603 .....

17.2 For all agreements that do not comply with the requirements of the NAIC Financial Condition Examiners Handbook, provide the name, location and a complete explanation:

1 Name(s)	2 Location(s)	3 Complete Explanation(s)

17.3 Have there been any changes, including name changes, in the custodian(s) identified in 17.1 during the current quarter? Yes  No   
 17.4 If yes, give full and complete information relating thereto:

1 Old Custodian	2 New Custodian	3 Date of Change	4 Reason

17.5 Investment management - Identify all investment advisors, investment managers, broker/dealers, including individuals that have the authority to make investment decisions on behalf of the reporting entity. For assets that are managed internally by employees of the reporting entity, note as such. [" that have access to the investment accounts"; " handle securities"]

1 Name of Firm or Individual	2 Affiliation
Boyd Eager .....	U .....

17.5097 For those firms/individuals listed in the table for Question 17.5, do any firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") manage more than 10% of the reporting entity's assets? Yes  No   
 17.5098 For firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") listed in the table for Question 17.5, does the total assets under management aggregate to more than 50% of the reporting entity's assets? Yes  No   
 17.6 For those firms or individuals listed in the table for 17.5 with an affiliation code of "A" (affiliated) or "U" (unaffiliated), provide the information for the table below.

1 Central Registration Depository Number	2 Name of Firm or Individual	3 Legal Entity Identifier (LEI)	4 Registered With	5 Investment Management Agreement (IMA) Filed
106466 .....	Boyd Eager .....	36-3673844 .....	SEC, Natl Futures Assoc, Dept of Labor .....	NO .....

18.1 Have all the filing requirements of the Purposes and Procedures Manual of the NAIC Investment Analysis Office been followed? Yes  No   
 18.2 If no, list exceptions:

19. By self-designating 5GI securities, the reporting entity is certifying the following elements for each self-designated 5GI security:  
 a. Documentation necessary to permit a full credit analysis of the security does not exist or an NAIC CRP credit rating for an FE or PL security is not available.  
 b. Issuer or obligor is current on all contracted interest and principal payments.  
 c. The insurer has an actual expectation of ultimate payment of all contracted interest and principal.  
 Has the reporting entity self-designated 5GI securities? Yes  No

20. By self-designating PLGI securities, the reporting entity is certifying the following elements for each self-designated PLGI security:

## **GENERAL INTERROGATORIES (Continued)**

- a. The security was purchased prior to January 1, 2018 .
  - b. The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
  - c. The NAIC Designation was derived from the credit rating assigned by an NAIC CRP in its legal capacity as a NRSRO which is shown on a current private letter rating held by the insurer and available for examination by state insurance regulators.
  - d. The reporting entity is not permitted to share this credit rating of the PL security with the SVO.
- Has the reporting entity self-designated PLGI securities?

Yes[ ] No[X]

# GENERAL INTERROGATORIES

## PART 2 - HEALTH

- |   |               |
|---|---------------|
| 1. Operating Percentages:   |               |
| 1.1 A&H loss percent  | ..... 83.598% |
| 1.2 A&H cost containment percent  | ..... 3.007%  |
| 1.3 A&H expense percent excluding cost containment expenses   | ..... 8.907%  |
| 2.1 Do you act as a custodian for health savings accounts?  | Yes[ ] No[X]  |
| 2.2 If yes, please provide the amount of custodial funds held as of the reporting date.   | \$..... 0     |
| 2.3 Do you act as an administrator for health savings accounts?   | Yes[ ] No[X]  |
| 2.4 If yes, please provide the balance of the funds administered as of the reporting date.  | \$..... 0     |
| 3. Is the reporting entity licensed or chartered, registered, qualified, eligible or writing business in at least two states?   | Yes[ ] No[X]  |
| 3.1 If no, does the reporting entity assume reinsurance business that covers risks residing in at least one state other than the state of domicile of the reporting entity? | Yes[ ] No[X]  |

## SCHEDULE S - CEDED REINSURANCE

### Showing All New Reinsurance Treaties - Current Year to Date

1 NAIC Company Code	2 ID Number	3 Effective Date	4 Name of Reinsurer	5 Domiciliary Jurisdiction	6 Type of Reinsurance Ceded	7 Type of Reinsurer	8 Certified Reinsurer Rating (1 through 6)	9 Effective Date of Certified Reinsurer Rating
<b>Accident and Health - Non-affiliates</b>								
23680 .....	47-0698507 .....		ODYSSEY REINS CO .....	CT .....	ASL/A/I .....	Authorized .....		
39322 .....	13-3029255 .....		GENERAL SECURITY NATL INS CO .....	NY .....	ASL/L/I .....	Authorized .....		
	39-6006451 .....		Wisconsin Healthcare Stability Health Plan .....	WI .....	ASL/A/I .....	Authorized .....		



# SCHEDULE T - PREMIUMS AND OTHER CONSIDERATIONS

## Current Year to Date - Allocated by States and Territories

1	State, Etc.	Active Status (a)	Direct Business Only							
			2 Accident and Health Premiums	3 Medicare Title XVIII	4 Medicaid Title XIX	5 Federal Employees Health Benefits Program Premiums	6 Life and Annuity Premiums and Other Considerations	7 Property/Casualty Premiums	8 Total Columns 2 Through 7	9 Deposit-Type Contracts
1.	Alabama (AL)	N								
2.	Alaska (AK)	N								
3.	Arizona (AZ)	N								
4.	Arkansas (AR)	N								
5.	California (CA)	N								
6.	Colorado (CO)	N								
7.	Connecticut (CT)	N								
8.	Delaware (DE)	N								
9.	District of Columbia (DC)	N								
10.	Florida (FL)	N								
11.	Georgia (GA)	N								
12.	Hawaii (HI)	N								
13.	Idaho (ID)	N								
14.	Illinois (IL)	N								
15.	Indiana (IN)	N								
16.	Iowa (IA)	N								
17.	Kansas (KS)	N								
18.	Kentucky (KY)	N								
19.	Louisiana (LA)	N								
20.	Maine (ME)	N								
21.	Maryland (MD)	N								
22.	Massachusetts (MA)	N								
23.	Michigan (MI)	N								
24.	Minnesota (MN)	N								
25.	Mississippi (MS)	N								
26.	Missouri (MO)	N								
27.	Montana (MT)	N								
28.	Nebraska (NE)	N								
29.	Nevada (NV)	N								
30.	New Hampshire (NH)	N								
31.	New Jersey (NJ)	N								
32.	New Mexico (NM)	N								
33.	New York (NY)	N								
34.	North Carolina (NC)	N								
35.	North Dakota (ND)	N								
36.	Ohio (OH)	N								
37.	Oklahoma (OK)	N								
38.	Oregon (OR)	N								
39.	Pennsylvania (PA)	N								
40.	Rhode Island (RI)	N								
41.	South Carolina (SC)	N								
42.	South Dakota (SD)	N								
43.	Tennessee (TN)	N								
44.	Texas (TX)	N								
45.	Utah (UT)	N								
46.	Vermont (VT)	N								
47.	Virginia (VA)	N								
48.	Washington (WA)	N								
49.	West Virginia (WV)	N								
50.	Wisconsin (WI)	L	84,395,221		177,820,085				262,215,305	
51.	Wyoming (WY)	N								
52.	American Samoa (AS)	N								
53.	Guam (GU)	N								
54.	Puerto Rico (PR)	N								
55.	U.S. Virgin Islands (VI)	N								
56.	Northern Mariana Islands (MP)	N								
57.	Canada (CAN)	N								
58.	Aggregate other alien (OT)	X X X								
59.	Subtotal	X X X	84,395,221		177,820,085				262,215,305	
60.	Reporting entity contributions for Employee Benefit Plans	X X X								
61.	<b>Total (Direct Business)</b>	<b>X X X</b>	<b>84,395,221</b>		<b>177,820,085</b>				<b>262,215,305</b>	
<b>DETAILS OF WRITE-INS</b>										
58001.		X X X								
58002.		X X X								
58003.		X X X								
58998.	Summary of remaining write-ins for Line 58 from overflow page	X X X								
58999.	<b>TOTALS (Lines 58001 through 58003 plus 58998) (Line 58 above)</b>	<b>X X X</b>								

(a) Active Status Counts:

- L Licensed or Chartered - Licensed insurance carrier or domiciled RRG
- E Eligible - Reporting entities eligible or approved to write surplus lines in the state
- N None of the above - Not allowed to write business in the state

1

- R Registered - Non-domiciled RRGs
- Q Qualified - Qualified or accredited reinsurer

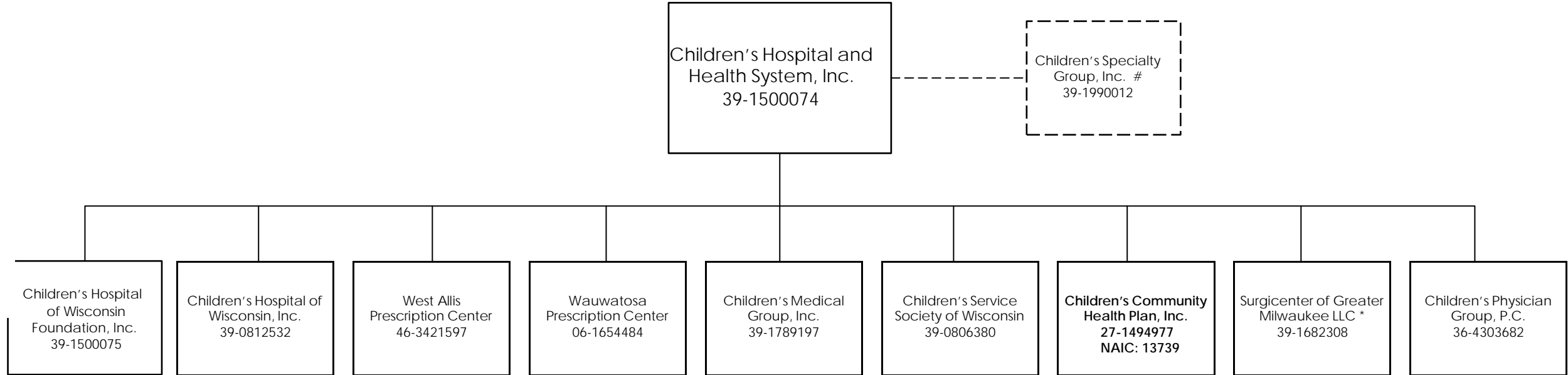
56

# SCHEDULE Y - INFORMATION CONCERNING ACTIVITIES OF INSURER

## MEMBERS OF A HOLDING COMPANY GROUP

### PART 1 - ORGANIZATIONAL CHART

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(\*) Disregard entity for purposes of federal and state income tax. (#) Unconsolidated entity

# SCHEDULE Y

## PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	FEDERAL RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity / Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies) / Person(s)	Is an SCA Filing Required? (Y/N)	*
.....	Children's Hospital and Health System	00000	39-1500074	.....	.....	.....	Children's Hospital and Health System, Inc.	WI	UDP	.....	Board of Directors	.....	.....	N	.....
.....	Children's Hospital and Health System	00000	39-0812532	.....	.....	.....	Children's Hospital of Wisconsin, Inc.	WI	NIA	Children's Hospital and Health System, Inc.	Ownership, Board of Directors, Management	100.0	Children's Hospital and Health System, Inc.	N	.....
.....	Children's Hospital and Health System	00000	39-1789197	.....	.....	.....	Children's Medical Group, Inc.	WI	NIA	Children's Hospital and Health System, Inc.	Ownership, Board of Directors, Management	100.0	Children's Hospital and Health System, Inc.	N	.....
.....	Children's Hospital and Health System	00000	39-0806380	.....	.....	.....	Children's Service Society of Wisconsin	WI	NIA	Children's Hospital and Health System, Inc.	Ownership, Board of Directors, Management	100.0	Children's Hospital and Health System, Inc.	N	.....
.....	Children's Hospital and Health System	00000	39-1990012	.....	.....	.....	Children's Specialty Group, Inc.	WI	NIA	Children's Hospital and Health System, Inc.	Ownership	50.0	Children's Hospital and Health System, Inc.	N	.....
.....	Children's Hospital and Health System	00000	36-4303682	.....	.....	.....	Children's Physician Group, P.C.	IL	NIA	Children's Hospital and Health System, Inc.	Ownership, Board of Directors, Management	100.0	Children's Hospital and Health System, Inc.	N	.....
.....	Children's Hospital and Health System	13739	27-1494977	.....	.....	.....	CHILDRENS COMM HLTH PLAN INC	WI	RE	Children's Hospital and Health System, Inc.	Ownership, Board of Directors, Management	100.0	Children's Hospital and Health System, Inc.	N	.....
.....	Children's Hospital and Health System	00000	39-1682308	.....	.....	.....	Surgicenter of Greater Milwaukee LLC	WI	NIA	Children's Hospital and Health System, Inc.	Ownership, Board of Directors, Management	100.0	Children's Hospital and Health System, Inc.	N	.....
.....	Children's Hospital and Health System	00000	39-1500075	.....	.....	.....	Children's Hospital of Wisconsin Foundation, Inc.	WI	NIA	Children's Hospital and Health System, Inc.	Ownership, Board of Directors, Management	100.0	Children's Hospital and Health System, Inc.	N	.....
.....	Children's Hospital and Health System	00000	46-3421597	.....	.....	.....	West Allis Prescription Center, Inc.	WI	NIA	Children's Hospital and Health System, Inc.	Ownership, Board of Directors, Management	100.0	Children's Hospital and Health System, Inc.	N	.....
.....	Children's Hospital and Health System	00000	06-1654484	.....	.....	.....	Wauwatosa Prescription Center, Inc.	WI	NIA	Children's Hospital and Health System, Inc.	Ownership, Board of Directors, Management	100.0	Children's Hospital and Health System, Inc.	N	.....

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Asterisk	Explanation
0000001	.....

# SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

The following supplemental reports are required to be filed as part of your statement filing. However, in the event that your company does not transact the type of business for which the special report must be filed, your response of NO to the specific interrogatory will be accepted in lieu of filing a "NONE" report and a bar code will be printed below. If the supplement is required of your company but is not being filed for whatever reason enter SEE EXPLANATION and provide an explanation following the interrogatory questions.

**RESPONSE**

1. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement?

No

Explanations:

Bar Codes:

Medicare Part D Coverage Supplement



13739201936500003

2019

Document Code: 365

**OVERFLOW PAGE FOR WRITE-INS**

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STATEMENT AS OF **September 30, 2019** OF THE **Children's Community Health Plan, Inc.**  
**SCHEDULE A - VERIFICATION**

**Real Estate**

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....		
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....		
2.2 Additional investment made after acquisition .....		
3. Current year change in encumbrances .....		
4. Total gain (loss) on disposals .....		
5. Deduct amounts received on disposals .....		
6. Total foreign exchange change in book/adjusted carrying value .....		
7. Deduct current year's other-than-temporary impairment recognized .....		
8. Deduct current year's depreciation .....		
9. Book/adjusted carrying value at the end of current period (Lines 1 + 2 + 3 + 4 - 5 + 6 - 7 - 8) .....		
10. Deduct total nonadmitted amounts .....		
11. Statement value at end of current period (Line 9 minus Line 10) .....		

**NONE**

**SCHEDULE B - VERIFICATION**

**Mortgage Loans**

	1	2
	Year To Date	Prior Year Ended December 31
1. Book value/recorded investment excluding accrued interest, December 31 of prior year .....		
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....		
2.2 Additional investment made after acquisition .....		
3. Capitalized deferred interest and other .....		
4. Accrual of discount .....		
5. Unrealized valuation increase (decrease) .....		
6. Total gain (loss) on disposals .....		
7. Deduct amounts received on disposals .....		
8. Deduct amortization of premium and mortgage interest points .....		
9. Total foreign exchange change in book value/recorded investment .....		
10. Deduct current year's other-than-temporary impairment recognized .....		
11. Book value/recorded investment excluding accrued interest at end of current period (Lines 1 + 2 + 3 + 4 + 5 + 6 - 7 - 8 + 9 - 10) .....		
12. Total valuation allowance .....		
13. Subtotal (Line 11 plus Line 12) .....		
14. Deduct total nonadmitted amounts .....		
15. Statement value at end of current period (Line 13 minus Line 14) .....		

**NONE**

**SCHEDULE BA - VERIFICATION**

**Other Long-Term Invested Assets**

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....		
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....		
2.2 Additional investment made after acquisition .....		
3. Capitalized deferred interest and other .....		
4. Accrual of discount .....		
5. Unrealized valuation increase (decrease) .....		
6. Total gain (loss) on disposals .....		
7. Deduct amounts received on disposals .....		
8. Deduct amortization of premium and depreciation .....		
9. Total foreign exchange change in book/adjusted carrying value .....		
10. Deduct current year's other-than-temporary impairment recognized .....		
11. Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 + 6 - 7 - 8 + 9 - 10) .....		
12. Deduct total nonadmitted amounts .....		
13. Statement value at end of current period (Line 11 minus Line 12) .....		

**NONE**

**SCHEDULE D - VERIFICATION**

**Bonds and Stocks**

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year .....	18,576,436	17,675,760
2. Cost of bonds and stocks acquired .....	9,374,410	10,537,955
3. Accrual of discount .....	36,591	20,779
4. Unrealized valuation increase (decrease) .....		
5. Total gain (loss) on disposals .....	(2,657)	(18,709)
6. Deduct consideration for bonds and stocks disposed of .....	6,687,750	9,601,988
7. Deduct amortization of premium .....	25,793	37,361
8. Total foreign exchange change in book/adjusted carrying value .....		
9. Deduct current year's other-than-temporary impairment recognized .....		
10. Total investment income recognized as a result of prepayment penalties and/or acceleration fees .....		
11. Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 - 6 - 7 + 8 - 9 + 10) .....	21,271,238	18,576,436
12. Deduct total nonadmitted amounts .....		
13. Statement value at end of current period (Line 11 minus Line 12) .....	21,271,238	18,576,436

## SCHEDULE D - PART 1B

### Showing the Acquisitions, Dispositions and Non-Trading Activity During the Current Quarter for all Bonds and Preferred Stock by NAIC Designation

	1	2	3	4	5	6	7	8
NAIC Designation	Book/Adjusted Carrying Value Beginning of Current Quarter	Acquisitions During Current Quarter	Dispositions During Current Quarter	Non-Trading Activity During Current Quarter	Book/Adjusted Carrying Value End of First Quarter	Book/Adjusted Carrying Value End of Second Quarter	Book/Adjusted Carrying Value End of Third Quarter	Book/Adjusted Carrying Value December 31 Prior Year
<b>BONDS</b>								
1. NAIC 1 (a) .....	19,835,569	2,986,520	2,049,652	5,405	18,835,276	19,835,569	20,777,842	18,376,894
2. NAIC 2 (a) .....	812,308		40,668	(2,398)	1,157,081	812,308	769,243	599,722
3. NAIC 3 (a) .....								
4. NAIC 4 (a) .....								
5. NAIC 5 (a) .....								
6. NAIC 6 (a) .....								
7. Total Bonds .....	20,647,877	2,986,520	2,090,320	3,008	19,992,357	20,647,877	21,547,085	18,976,616
<b>PREFERRED STOCK</b>								
8. NAIC 1 .....								
9. NAIC 2 .....								
10. NAIC 3 .....								
11. NAIC 4 .....								
12. NAIC 5 .....								
13. NAIC 6 .....								
14. Total Preferred Stock .....								
15. Total Bonds & Preferred Stock .....	20,647,877	2,986,520	2,090,320	3,008	19,992,357	20,647,877	21,547,085	18,976,616

(a) Book/Adjusted Carrying Value column for the end of the current reporting period includes the following amount of short-term and cash equivalent bonds by NAIC designation: NAIC 1 \$.....275,847; NAIC 2 \$.....0; NAIC 3 \$.....0; NAIC 4 \$.....0; NAIC 5 \$.....0; NAIC 6 \$.....0

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**SCHEDULE DA - PART 1****Short - Term Investments**

	1 Book/Adjusted Carrying Value	2 Par Value	3 Actual Cost	4 Interest Collected Year To Date	5 Paid for Accrued Interest Year To Date
9199999. Totals .....	275,847	X X X	275,818		395

**SCHEDULE DA - Verification****Short-Term Investments**

	1 Year To Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	300,199	1,781,547
2. Cost of short-term investments acquired .....	275,818	710,276
3. Accrual of discount .....	264	1,491
4. Unrealized valuation increase (decrease) .....		
5. Total gain (loss) on disposals .....		6
6. Deduct consideration received on disposals .....	300,000	2,192,006
7. Deduct amortization of premium .....	434	1,115
8. Total foreign exchange change in book/adjusted carrying value .....		
9. Deduct current year's other-than-temporary impairment recognized .....		
10. Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 - 6 - 7 + 8 - 9) .....	275,847	300,199
11. Deduct total nonadmitted amounts .....		
12. Statement value at end of current period (Line 10 minus Line 11) .....	275,847	300,199



**SI04 Schedule DB - Part A Verification ..... NONE**

**SI04 Schedule DB - Part B Verification ..... NONE**

**SI05 Schedule DB Part C Section 1 ..... NONE**

**SI06 Schedule DB Part C Section 2 ..... NONE**

**SI07 Schedule DB - Verification ..... NONE**

**SCHEDULE E - PART 2 - VERIFICATION**

(Cash Equivalents)

		1	2
		Year To Date	Prior Year Ended December 31
1.	Book/adjusted carrying value, December 31 of prior year .....	486,476	941,243
2.	Cost of cash equivalents acquired .....	12,263,971	25,612,432
3.	Accrual of discount .....	1,303	7,998
4.	Unrealized valuation increase (decrease) .....		
5.	Total gain (loss) on disposals .....		
6.	Deduct consideration received on disposals .....	12,260,194	26,075,194
7.	Deduct amortization of premium .....		2
8.	Total foreign exchange change in book/adjusted carrying value .....		
9.	Deduct current year's other-than-temporary impairment recognized .....		
10.	Book/adjusted carrying value at end of current period (Lines 1 + 2 + 3 + 4 + 5 - 6 - 7 + 8 - 9) .....	491,556	486,477
11.	Deduct total nonadmitted amounts .....		
12.	Statement value at end of current period (Line 10 minus Line 11) .....	491,556	486,477

**E01 Schedule A Part 2 ..... NONE**

**E01 Schedule A Part 3 ..... NONE**

**E02 Schedule B Part 2 ..... NONE**

**E02 Schedule B Part 3 ..... NONE**

**E03 Schedule BA Part 2 ..... NONE**

**E03 Schedule BA Part 3 ..... NONE**

## SCHEDULE D - PART 3

Show All Long-Term Bonds and Stock Acquired During the Current Quarter

1	2	3	4	5	6	7	8	9	10
CUSIP Identification	Description	Foreign	Date Acquired	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	NAIC Designation and Administrative Symbol/ Market Indicator (a)
<b>Bonds - U.S. Governments</b>									
912828L99	US Treasury Note 1.375% Sen 10/31/20		03/19/2019	DB Alex Brown	X X X	196,422	200,000	1,064	1
912828J84	US Treasury Note 1.375% Sen 3/31/20		01/08/2019	HSBC Security Inc.	X X X	73,875	75,000	286	1
912828L32	US Treasury Note 1.375% Sen 8/31/20		04/09/2019	DB Alex Brown	X X X	147,861	150,000	224	1
912828XU9	US Treasury Note 1.5% Sen 6/15/20		05/08/2019	M&I Trust	X X X	74,282	75,000	448	1
912828Z22	US Treasury Note 1.625% Sen 10/15/20		07/16/2019	Montgomery Securities	X X X	422,828	425,000	1,289	1
912828M98	US Treasury Note 1.625% Sen 11/30/20		09/17/2019	HSBC Security Inc.	X X X	149,502	150,000	733	1
912828XM7	US Treasury Note 1.625% Sen 7/31/20		05/29/2019	DB Alex Brown	X X X	153,850	155,000	821	1
912828S8	US Treasury Note 1.625% Sen 8/31/22		09/12/2019	HSBC Security Inc.	X X X	155,499	155,000	63	1
9128283L2	US Treasury Note 1.875% Sen 12/15/20		07/10/2019	HSBC Security Inc.	X X X	204,600	205,000	263	1
9128283Q1	US Treasury Note 2% Sen 1/15/21		09/09/2019	Goldman, Sachs & Company	X X X	164,598	165,000	939	1
912828VP2	US Treasury Note 2% Sen 7/31/20		07/30/2019	HSBC Security Inc.	X X X	274,538	275,000	2,309	1
9128284C1	US Treasury Note 2.25% Sen 3/31/20		03/26/2019	Goldman, Sachs & Company	X X X	94,829	95,000	1,039	1
912828WY2	US Treasury Note 2.25% Sen 7/31/21		06/24/2019	Nomura Securities Intl Fixed	X X X	227,426	225,000	2,028	1
912828PC8	US Treasury Note 2.625% Sen 11/15/20		02/21/2019	HSBC Security Inc.	X X X	190,200	190,000	1,364	1
9128285Q9	US Treasury Note 2.75% Sen 11/30/20		03/01/2019	HSBC Security	X X X	75,220	75,000	533	1
9128285B2	US Treasury Note 2.75% Sen 9/30/20		07/26/2019	Chase Securities	X X X	502,840	500,000	4,800	1
9128285F3	US Treasury Note 2.875% Sen 10/15/21		03/08/2019	Montgomery Securities, Inc	X X X	40,419	40,000	464	1
0599999	Subtotal - Bonds - U.S. Governments				X X X	3,148,789	3,155,000	18,666	X X X
<b>Bonds - U.S. Special Revenue, Special Assessment</b>									
313383ZU8	Federal Home Ln Bks 3% Sen 9/10/21		08/13/2019	Morgan Stanley and Co, Inc.	X X X	267,254	260,000	3,247	1FE
313378JP7	FHLB Cons Bd 2.375% Sen 9/10/21		02/01/2019	Mellon Bank N.A.	X X X	149,210	150,000	1,425	1FE
3130AEWA4	FHLB Tranche 00481 2.625% Sen 10/1/20		08/01/2019	Morgan Stanley and Co., Inc.	X X X	151,146	150,000	1,313	1FE
3199999	Subtotal - Bonds - U.S. Special Revenue, Special Assessment				X X X	567,609	560,000	5,984	X X X
<b>Bonds - Industrial and Miscellaneous (Unaffiliated)</b>									
06051GFN4	Bank Amer Corp 2.25% Sen 4/21/20		02/07/2019	Montgomery Securities	X X X	129,119	130,000	894	1FE
06051GFT1	Bank America Corp 2.625% Sen 10/19/20		01/29/2019	Toronto Dominion	X X X	149,160	150,000	1,105	1FE
06417GZ84	Bank Nova Scotia CD Var% Sen 9/21/20	A	04/25/2019	Goldman, Sachs & Company	X X X	310,645	310,000	872	1FE
06051GFW4	Bank of America Corp 2.625% Sen 4/19/21		05/10/2019	First Union Capital Markets	X X X	344,119	345,000	3,028	1FE
06406HBU2	Bank of NY Mellon Corp 4.15% Sen 2/1/21		09/18/2019	Toronto Dominion	X X X	113,101	110,000	621	1FE
05531FAZ6	BB&T Corp 2.15% Sen 2/1/21		08/07/2019	Morgan Stanley & Co.	X X X	110,157	110,000	53	1FE
06406FAA1	Bk New York Mellon 2.5% Sen 4/15/21		01/19/2019	First Union Capital Markets	X X X	138,470	140,000	943	1FE
12189LAF8	Burl Northn Santa 3.45% Sen 9/15/21		03/05/2019	Goldman, Sachs & Company	X X X	146,805	145,000	2,390	1FE
00440EAT4	Chubb INA Holdings Inc 2.3% Sen 11/3/20		07/23/2019	First Union Capital Markets	X X X	275,173	275,000	1,441	1FE
22532XMG0	Credit Agri Corp CD 2.583% Sen 1/11/21	C	07/02/2019	Goldman, Sachs & Company	X X X	249,550	250,000	1	1FE
22532XKA5	Credit Agri Corp CD 2.76638% Sen 9/24/20	C	04/29/2019	JP Morgan Chase Bank	X X X	110,240	110,000	330	1FE
316773CT5	Fifth 3rd Bancorp 2.875% Sen 7/27/20		03/12/2019	First Union Capital Markets	X X X	105,009	105,000	394	2FE
40054PBS3	GS Bk USA Instl CD Var% Sen 6-10-21		06/10/2019	Goldman, Sachs & Company	X X X	100,000	100,000	1	1FE
416515AZ7	Hartford Finl Svcs 5.5% Sen 3/30/20		01/07/2019	Toronto Dominion	X X X	76,961	75,000	1,134	2FE
438516BM7	Honeywell Intl Inc 1.85% Sen 11/1/21		02/27/2019	First Union Capital Markets	X X X	132,031	135,000	833	1FE
40435RCN9	HSBC Banks USA CD 2.7% Sen 10/2/20		04/03/2019	HSBC Security Inc	X X X	150,000	150,000	1	1FE
24422ETQ2	John Deere Tr #00423 2.2% Sen 3/13/20		02/11/2019	First Union Capital Markets	X X X	99,437	100,000	911	1FE
46625HJD3	JP Morgan Chase 4.5% Sen 1/24/22		09/27/2019	Millennium Advisors LLC	X X X	105,452	100,000	825	1FE
46625HLW8	JPMorgan Chase & Co 2.75% Sen 6/23/20		01/24/2019	Salomon Brothers & Co	X X X	248,888	250,000	668	1FE
494550BE5	Kinder Morgan 5.3% Sen 9/15/20		05/02/2019	Barclays Capital Fixed Inc	X X X	206,455	200,000	1,072	2FE
61746BED4	Morgan Stanley 2.625% Sen 11/17/21		02/04/2019	BNP Paribas Securities	X X X	244,481	248,000	1,429	1FE
65339KAQ3	Nextera Energy Cap 3.342% Sen 9/1/20		03/21/2019	Millennium Advisors LLC	X X X	181,289	180,000	299	2FE
665859AL8	Northern Tr Corp 3.45% Sen 11/4/20		06/25/2019	US Bancorp Investments Inc	X X X	152,663	150,000	762	1FE
682134AC5	Omnicom Group Inc 4.45% Sen 8/15/20		03/22/2019	Millennium Advisors LLC	X X X	102,217	100,000	507	2FE
68389XBK0	Oracle Corp 1.9% Sen 9/15/21		05/20/2019	First Union Capital Markets	X X X	98,348	100,000	354	1FE
68389XBA2	Oracle Corp 2.8% Sen 7/8/21		02/25/2019	US Bancorp Investments Inc	X X X	175,203	175,000	667	1FE
69371RM94	Paccar Finl Corp 2.25% Sen 2/25/21		05/07/2019	Keybank Capital Markets, Inc	X X X	124,288	125,000	578	1FE
69371RP42	Paccar Finl Corp 3.15% Sen 8/8/21		08/13/2019	Raymond James	X X X	112,219	110,000	58	1FE

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## SCHEDULE D - PART 3

Show All Long-Term Bonds and Stock Acquired During the Current Quarter

1 CUSIP Identification	2 Description	3 Foreign	4 Date Acquired	5 Name of Vendor	6 Number of Shares of Stock	7 Actual Cost	8 Par Value	9 Paid for Accrued Interest and Dividends	10 NAIC Designation and Administrative Symbol/ Market Indicator (a)
89114QBG2	Toronto Dominion 2.125% Sen 4/7/21	A	02/22/2019	Toronto Dominion	X X X	113,155	115,000	944	1FE
91159HHA1	US Bancorp 4.125% Sen 5/24/21		03/05/2019	Montgomery Securities	X X X	46,170	45,000	531	1FE
92343VDW1	Verizon 3.125% Sen 3/16/22		03/18/2019	First Union Capital Markets	X X X	141,260	140,000	49	2FE
34528QFY5	Ford Cr Floorplan 2.95% Sen 5/15/23		04/22/2019	Calyon Securities USA Inc	X X X	275,516	275,000	203	1FE
43814PAC4	Honda Auto Rec 2017-3 1.79% Sen 9/20/21		06/05/2019	Chase Securities Inc	X X X	140,259	140,754	133	1FE
47789JAB2	John Deere Own Tr 2.85% Sen 12/15/21		03/05/2019	Salomon Brothers & Co.	X X X	224,990	225,000		1FE
98162YAD5	World Omni Auto Rec 3.04% Sen 5/15/24		08/20/2019	Montgomery Securities	X X X	225,182	220,000	130	1FE
3899999	Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)				X X X	5,658,012	5,638,754	24,155	X X X
8399997	Subtotal - Bonds - Part 3				X X X	9,374,410	9,353,754	48,805	X X X
8399998	Summary Item from Part 5 for Bonds (N/A to Quarterly)				X X X	X X X	X X X	X X X	X X X
8399999	Subtotal - Bonds				X X X	9,374,410	9,353,754	48,805	X X X
8999998	Summary Item from Part 5 for Preferred Stocks (N/A to Quarterly)				X X X	X X X	X X X	X X X	X X X
8999999	Subtotal - Preferred Stocks				X X X		X X X		X X X
9799998	Summary Item from Part 5 for Common Stocks (N/A to Quarterly)				X X X	X X X	X X X	X X X	X X X
9799999	Subtotal - Common Stocks				X X X		X X X		X X X
9899999	Subtotal - Preferred and Common Stocks				X X X		X X X		X X X
9999999	Total - Bonds, Preferred and Common Stocks				X X X	9,374,410	X X X	48,805	X X X

(a) For all common stock bearing the NAIC market indicator "U" provide: the number of such issues .....0.

# SCHEDULE D - PART 4

**Show All Long-Term Bonds and Stocks Sold, Redeemed or Otherwise Disposed of During the Current Quarter**

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Forfeiture	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amortization)/ Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in B./A.C.V. (11 + 12 - 13)	Total Foreign Exchange Change in B./A.C.V.	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol/ Market Indicator (a)
<b>Bonds - U.S. Governments</b>																					
912828S43	US Treasury Note .75% Sen 7/15/19		07/15/2019	Maturity	X X X	135,000	135,000	134,568	134,918				82		135,000				1,013	07/15/2019	1
912828N63	US Treasury Note 1.125% Sen 1/15/19		01/15/2019	Maturity	X X X	60,000	60,000	60,319	60,005				(5)		60,000				338	01/15/2019	1
38378BXQ7	GNMA Remic 2012-89 1.537% Sen 1/16/36		09/16/2019	Redemption	X X X	6,278	6,278	6,286	6,279				(1)		6,278				46	01/16/2036	1
0599999 Subtotal - Bonds - U.S. Governments					X X X	201,278	201,278	201,172	201,201				76		201,278				1,396	X X X	X X X
<b>Bonds - U.S. Special Revenue, Special Assessment</b>																					
3133782M2	Federal Home Ln Banks 1.5% Sen 3/8/19		03/08/2019	Maturity	X X X	100,000	100,000	101,459	100,101				(101)		100,000				750	03/08/2019	1FE
313380FB8	FHLB Cons Bd 1.375% Sen 9/13/19		09/13/2019	Maturity	X X X	110,000	110,000	109,956	109,984				16		110,000				1,513	09/13/2019	1FE
313379EE5	FHLB Cons Bd 1.625% Sen 6/14/19		06/14/2019	Maturity	X X X	100,000	100,000	101,580	100,263				(263)		100,000				813	06/14/2019	1FE
3130A8Y72	FHLB Tranche 00758 .875% Sen 8/5/19		08/05/2019	Maturity	X X X	200,000	200,000	199,368	199,867				133		200,000				1,750	08/05/2019	1FE
31378KWB2	FHLMC Var% Sen 4/25/21		09/25/2019	Redemption	X X X	108,900	108,900	110,134	109,506				(606)		108,900				756	04/25/2021	1FE
3135G0J53	FNMA Tranche 00644 1% Sen 2/26/19		02/26/2019	Maturity	X X X	285,000	285,000	285,211	285,012				(12)		285,000				1,425	02/26/2019	1FE
31398VGL4	FHLMC Multi Remic 2.5% Sen 12/15/19		09/15/2019	Redemption	X X X	8,912	8,912	9,048	8,949				(37)		8,912				82	12/15/2019	1FE
3199999 Subtotal - Bonds - U.S. Special Revenue, Special Assessment					X X X	912,812	912,812	916,756	913,682				(870)		912,812				7,088	X X X	X X X
<b>Bonds - Industrial and Miscellaneous (Unaffiliated)</b>																					
0258M0EC9	American Express Cr 1.7% Sen 10/30/19		09/30/2019	Call	X X X	235,000	235,000	231,621	232,737				2,035		234,772		228	228	3,651	10/30/2019	1FE
037833CB4	Apple Inc 1.1% Sen 8/2/19		08/02/2019	Maturity	X X X	100,000	100,000	98,920	99,709				291		100,000				1,094	08/02/2019	1FE
037833AQ3	Apple Inc 2.1% Sen 5/6/19		05/06/2019	Maturity	X X X	75,000	75,000	76,526	75,216				(216)		75,000				788	05/06/2019	1FE
06051GFD6	Bank Amer Corp 2.65% Sen 4/1/19		04/01/2019	Maturity	X X X	250,000	250,000	255,636	250,569				(569)		250,000				3,313	04/01/2019	1FE
06406HCU1	BK New York Inc 2.2% Sen 5/15/19		05/15/2019	Maturity	X X X	75,000	75,000	75,624	75,182				(182)		75,000				825	05/15/2019	1FE
05565QCR7	BP Cap Mkts P L C 2.237% Sen 5/10/19		05/10/2019	Maturity	X X X	200,000	200,000	201,638	200,320				(320)		200,000				2,237	05/10/2019	1FE
13606BZD1	Canadian Imperial Bank Var% Sen 8/13/19	A	08/13/2019	Maturity	X X X	175,000	175,000	175,098	175,058				(58)		175,000				3,285	08/13/2019	1FE
14912L6W6	Caterpillar Fin Serv 1.9% Sen 3/22/19	C	03/22/2019	Maturity	X X X	89,000	89,000	88,767	88,954				46		89,000				846	03/22/2019	1FE
13607RAB6	Cdn Imperial Bank 1.6% Sen 9/6/19	A	09/06/2019	Maturity	X X X	75,000	75,000	73,929	74,351				649		75,000				1,200	09/06/2019	1FE
22532XGA0	Credit Agricole Corp CD Var% Sen 6/3/19	C	06/03/2019	Maturity	X X X	200,000	200,000	200,429	200,109				(109)		200,000				3,122	06/03/2019	1FE
30231GAP7	Exxon Mobil Corp 1.708% Sen 3/1/19		03/01/2019	Maturity	X X X	125,000	125,000	125,468	125,038				(38)		125,000				1,068	03/01/2019	1FE
38145XAA1	Goldman Sachs 2.625% Sen 1/31/19		01/31/2019	Maturity	X X X	125,000	125,000	126,451	125,060				(60)		125,000				1,641	01/31/2019	1FE
24422ETE9	John Deer Cap Corp 1.95% Sen 1/8/19		01/08/2019	Maturity	X X X	125,000	125,000	125,726	125,008				(8)		125,000				1,219	01/08/2019	1FE
49327M2P8	Keybank Natl Assn 1.6% Sen 8/22/19		08/22/2019	Maturity	X X X	250,000	250,000	246,240	247,991				2,009		250,000				4,000	08/22/2019	1FE
61746BDM5	Morgan Stanley 2.5% Sen 1/24/19		01/24/2019	Maturity	X X X	140,000	140,000	142,792	140,067				(67)		140,000				1,750	04/24/2019	1FE
637432NH4	National Rural Utilis 1.65% Sen 2/8/19		02/08/2019	Maturity	X X X	210,000	210,000	211,576	210,061				(61)		210,000				1,733	02/08/2019	1FE
65590ADM5	Norden Bank AB Cfd Dep Var% Sen 3/7/19	C	03/07/2019	Maturity	X X X	100,000	100,000	99,983	99,998				2		100,000				776	03/07/2019	1FE
65590ABC9	Norden Bank NY CD Var% Sen 1/25/19	C	01/25/2019	Maturity	X X X	100,000	100,000	100,286	100,015				(15)		100,000				746	01/25/2019	1FE
682134AC5	Omnicom Group Inc 4.45% Sen 8/15/20		08/01/2019	Call	X X X	40,899	40,000	40,887				(219)		40,668		231	231	821	08/15/2020	2FE	
69371RM86	Paccar Finl Corp 1.65% Sen 2/25/19		02/25/2019	Maturity	X X X	75,000	75,000	75,033	75,003				(3)		75,000				619	02/25/2019	1FE
78012KRK5	Royal Bank CDA 1.5% Sen 7/29/19	A	07/29/2019	Maturity	X X X	65,000	65,000	64,875	64,973				27		65,000				975	07/29/2019	1FE
86563YWP4	Sumitomo CD Var% Sen 5/15/19	C	05/15/2019	Maturity	X X X	250,000	250,000	249,750	249,979				21		250,000				3,908	05/15/2019	1FE
90331HNE9	US Bk Natl Assn Cinc Var% Sen 5/24/19		04/25/2019	Call	X X X	251,128	250,000	250,000	250,000						250,000		1,128	1,128	1,794	05/24/2019	1FE
92343VCH5	Verizon 2.625% Sen 2/21/20		05/06/2019	Call	X X X	100,037	100,000	101,669	100,690				(209)		100,481		(444)	(444)	1,859	02/21/2020	2FE
92343VCA0	Verizon Comm Inc Var% Sen 6/17/19		03/18/2019	Maturity	X X X	100,158	100,000	100,944	100,197				(92)		100,105		53	53	918	06/17/2019	2FE
25468PDH6	Walt Disney Co 1.65% Sen 1/8/19		01/08/2019	Maturity	X X X	75,000	75,000	76,384	75,010				(10)		75,000				619	01/08/2019	1FE
961214CG6	Westpac Bkg Corp Var% Sen 1/17/19	C	01/17/2019	Maturity	X X X	75,000	75,000	75,278	75,007				(7)		75,000				586	01/17/2019	1FE
06540RAA2	Bank 2017 2.322% Sen 11/15/24		09/01/2019	Redemption	X X X	17,220	17,220	17,220	17,220				0		17,220				166	11/15/2054	1FM
46590TA3	CMO JP Morgan 2.0961% Sen 3/15/50		09/17/2019	Redemption	X X X	102,247	102,247	102,598	102,598				(79)		102,519		(273)	(273)	2,521	03/15/2050	1FM
61767CAQ1	CMO Morgan Stanley 2.031% Sen 5/15/50		09/01/2019	Redemption	X X X	30,240	30,240	30,353	30,253				(14)		30,240				275	05/15/2050	1FM
61762DAU5	CMO Morgan Stanley 2.657% Sen 5/15/46		09/01/2019	Redemption	X X X	31,930	31,930	31,496	31,885				46		31,930				353	05/15/2046	1FM
31680GAD8	5th 3rd Auto Tr 1.42% Sen 3/16/20		01/15/2019	Call	X X X	2,046	2,046	2,050	2,047				0		2,047		(1)	(1)	2	03/16/2020	1FE
02007HAC5	Ally Auto Rec 2017-2 1.78% Sen 8/16/21		09/17/2019	Redemption	X X X	102,265	102,265	102,305	102,278				(13)		102,265				732	08/16/2021	1FE
02005AFR4	Ally Master Owner Var% Sen 2/15/21		02/15/2019	Call	X X X	150,000	150,000	150,357	150,249				(14)		150,235		(235)	(235)	721	02/15/2021	1FE
03065DAD9	Americredit 1.46% Sen 5/10/21		08/08/2019	Redemption	X X X	424,106	424,106	422,155	422,198				1,881		424,080		26	26	2,060	05/10/2021	1FE
05582XAD4	BMW Veh Lease 1.43% Sen 9/20/19		03/20/2019	Redemption	X X X	86,432	86,432	86,196	86,361				69		86,430		2	2	164	09/20/2019	1FE
055657AC4	BMW Veh Lease 1.98% Sen 5/20/20		08/20/2019	Redemption	X X X	93,592	93,592	93,018	93,212				353		93,564		27	27	725	05/20/2020	1FE
14314MAC7	Carmax Auto Owner 1.52% Sen 2/16/21		09/16/2019	Redemption	X X X	38,237	38,237	38,235	38,236				1		38,237				236	02/16/2021	1FE
12592WAD0	CNH Equip Ser 2015A 1.85% Sen 4/15/21		04/15/2019	Redemption	X X X	125,180	128,180	129,637	128,937				(317)		128,620		(3,440)	(3,440)	624	04/15/2021	1FE
29365YAA1	Entergy Ark 2.3% Sen 8/1/21		05/01/2019	Redemption	X X X	12,609	12,609	12,848	12,650				(41)		12,609				145	08/01/2021	1FE
38013MAD8																					



**E06 Schedule DB Part A Section 1 ..... NONE**

**E07 Schedule DB Part B Section 1 ..... NONE**

**E08 Schedule DB Part D Section 1 ..... NONE**

**E09 Schedule DB Part D Section 2 - Collateral Pledged By Reporting Entity ..... NONE**

**E09 Schedule DB Part D Section 2 - Collateral Pledged To Reporting Entity ..... NONE**

**E10 Schedule DL - Part 1 - Securities Lending Collateral Assets ..... NONE**

**E11 Schedule DL - Part 2 - Securities Lending Collateral Assets ..... NONE**



**SCHEDULE E - PART 1 - CASH****Month End Depository Balances**

1 Depository	2 Code	3 Rate of Interest	4 Amount of Interest Received During Current Quarter	5 Amount of Interest Accrued at Current Statement Date	Book Balance at End of Each Month During Current Quarter			9 *
					6	7	8	
					First Month	Second Month	Third Month	
<b>open depositories</b>								
US Bank-Payroll	St. Paul, MN				37,678	155,820	112,890	X X X
JPMorgan Chase Bank, N.A. - Claims	San Antonio, TX	1.020	95,205		34,487,979	34,273,565	37,316,717	X X X
JPMorgan Chase Bank, N.A. - C4K	San Antonio, TX				121,851	32,573	175,310	X X X
The Bank of New York Mellon	New York, NY	1.050	2,667,761		71,736,370	71,178,434	76,561,561	X X X
US Bank CD	Milwaukee, WI 03/27/2020 SD	2.250			736,285	736,285	736,285	X X X
Canadian Imperial Bank CD	Toronto, Canada 07/05/2019		1,106					X X X
Credit Suisse CD	New York, NY 07/22/2019	2.930	4,395					X X X
US Bk Natl Assn Minn CD	Minneapolis, MN 07/23/2019	2.910	5,497					X X X
Canadian Imperial Bank CD	Toronto, Canada 09/20/2019	2.612	1,681		110,000	110,000		X X X
Svenska Handel NY CD	New York, NY 07/08/2019		283					X X X
Natixis NY BRH CD	New York, NY 11/07/2019		1,684	870	250,001	250,001	250,000	X X X
Svenska Handel NY CD	New York, NY 10/21/2019		1,681	1,181	235,076	235,047	235,020	X X X
Bank Tokyo Mitsu CD	New York, NY 09/09/2019		1,468		200,091	200,019		X X X
Westpac Bkg Corp CD	New York, NY 02/11/2020		1,126	534	172,950	172,957	172,965	X X X
Bank Nova Scotia CD	New York, NY 09/14/2020			126			109,947	X X X
Credit Agricole CD	New York, NY 11/08/2019	2.427		364		100,038	100,022	X X X
Sumitomo Mistui CD	New York, NY 07/24/2020	2.703		907		175,376	175,342	X X X
0199998 Deposits in .....0 depositories that do not exceed the allowable limit in any one depository (see Instructions) - open depositories	X X X	X X X						X X X
0199999 Totals - Open Depositories	X X X	X X X	2,781,885	3,981	108,088,281	107,620,115	115,946,058	X X X
0299998 Deposits in .....0 depositories that do not exceed the allowable limit in any one depository (see Instructions) - suspended depositories	X X X	X X X						X X X
0299999 Totals - Suspended Depositories	X X X	X X X						X X X
0399999 Total Cash On Deposit	X X X	X X X	2,781,885	3,981	108,088,281	107,620,115	115,946,058	X X X
0499999 Cash in Company's Office	X X X	X X X	X X X	X X X				X X X
0599999 Total Cash	X X X	X X X	2,781,885	3,981	108,088,281	107,620,115	115,946,058	X X X

## SCHEDULE E - PART 2 - CASH EQUIVALENTS

Show Investments Owned End of Current Quarter

1	2	3	4	5	6	7	8	9
Cusip	Description	Code	Date Acquired	Rate of Interest	Maturity Date	Book/Adjusted Carrying Value	Amount of Interest Due & Accrued	Amount Received During Year
<b>Exempt Money Market Mutual Funds - as Identified by SVO</b>								
665279873	Northern Instl Fds Treas Port Premier		09/29/2019	1.000	X X X	491,556		6,983
8599999	Subtotal - Exempt Money Market Mutual Funds - as Identified by SVO					491,556		6,983
8899999	Total - Cash Equivalents					491,556		6,983

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