



# HEALTH QUARTERLY STATEMENT

As of September 30, 2019  
of the Condition and Affairs of the

## Dean Health Plan, Inc.

NAIC Group Code.....1294, 1294 (Current Period) (Prior Period) NAIC Company Code..... 96156 Employer's ID Number..... 39-1535024

Organized under the Laws of WI State of Domicile or Port of Entry WI Country of Domicile US

Licensed as Business Type Health Maintenance Organization Is HMO Federally Qualified? Yes [ X ] No [ ]

Incorporated/Organized..... August 22, 1983 Commenced Business..... January 1, 1984

Statutory Home Office 1277 Deming Way .. Madison .. WI .. .. 53717  
(Street and Number) (City or Town, State, Country and Zip Code)

Main Administrative Office 1277 Deming Way .. Madison .. WI .. .. 53717 608-836-1400  
(Street and Number) (City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Mail Address 1277 Deming Way .. Madison .. WI .. .. 53717  
(Street and Number or P. O. Box) (City or Town, State, Country and Zip Code)

Primary Location of Books and Records 1277 Deming Way .. Madison .. WI .. .. 53717 608-836-1400  
(Street and Number) (City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Internet Web Site Address www.deancare.com

Statutory Statement Contact Janet Marie Berger 608-830-5950  
(Name) (Area Code) (Telephone Number) (Extension)  
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(E-Mail Address) (Fax Number)

### OFFICERS

Name	Title	Name	Title
1. David Wilson Fields	President	2. Randy John Ruplinger	Treasurer & DHP CFO
3. Dean Allan Sutton	Secretary & General Counsel	4.	

### OTHER

Randy John Ruplinger	Treasurer & DHP CFO	Kevin Jon Eichhorn #	Interim Chief Medical Officer
Stephanie Jean Cook	VP - Compliance, Audit & Public Policy	Michael Andrew Weber	VP - Sales, Client & Health Promotion Services
David Scott Docherty	VP - Chief Growth Officer	Bradley William Bartle #	Chief Actuary & VP of Applied Analytics
Marcus Charles Julian	VP - Chief Operating Officer	Kathy Ann Killian	VP - Operations
Loretta Anne Lorenzen	VP - Network Management & Contracting	Brandon Boyd Sonne #	VP - Market Leader
Daniel James Houchell #	VP - Product Management	Ralph Buelling #	VP - Information Technology
Jason Andrew Coons #	VP - Business Transformation		

### DIRECTORS OR TRUSTEES

William Milton Ehrhardt M.D. #	Mark Anthony Covaleski Ph.D.	Jennifer Lynn Maskel M.D. #	Jason Steven Isenberg M.D.
Ralph Richard Kauten	Gregory Michael Matzke M.D.	Albert John Musa M.D.	John Michael Phelan M.D.
Wesley Norwood Sparkman	Carter Leon Dredge	Stephen John Sramek M.D.	Damond Williams Boatwright

State of..... Wisconsin  
County of..... Dane

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.

(Signature) David Wilson Fields 1. (Printed Name) President (Title)	(Signature) Randy John Ruplinger 2. (Printed Name) Treasurer & DHP CFO (Title)	(Signature) Dean Allan Sutton 3. (Printed Name) Secretary & General Counsel (Title)
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Subscribed and sworn to before me This \_\_\_\_\_ day of \_\_\_\_\_

a. Is this an original filing? Yes [ X ] No [ ]

b. If no: 1. State the amendment number \_\_\_\_\_  
2. Date filed \_\_\_\_\_  
3. Number of pages attached \_\_\_\_\_

## ASSETS

	Current Statement Date			4 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1. Bonds.....	53,664,559		53,664,559	52,024,446
2. Stocks:				
2.1 Preferred stocks.....	565,092		565,092	565,092
2.2 Common stocks.....	39,694,338		39,694,338	33,491,899
3. Mortgage loans on real estate:				
3.1 First liens.....			0	
3.2 Other than first liens.....			0	
4. Real estate:				
4.1 Properties occupied by the company (less \$.....0 encumbrances).....	16,352,891		16,352,891	16,898,085
4.2 Properties held for the production of income (less \$.....0 encumbrances).....			0	
4.3 Properties held for sale (less \$.....0 encumbrances).....			0	
5. Cash (\$.....137,537,922), cash equivalents (\$.....100,610) and short-term investments (\$.....1,655,428).....	139,293,960		139,293,960	160,343,314
6. Contract loans (including \$.....0 premium notes).....			0	
7. Derivatives.....			0	
8. Other invested assets.....			0	
9. Receivables for securities.....			0	
10. Securities lending reinvested collateral assets.....			0	
11. Aggregate write-ins for invested assets.....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11).....	249,570,840	0	249,570,840	263,322,836
13. Title plants less \$.....0 charged off (for Title insurers only).....			0	
14. Investment income due and accrued.....	425,748		425,748	495,499
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection.....	4,360,854		4,360,854	4,388,850
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$.....0 earned but unbilled premiums).....			0	
15.3 Accrued retrospective premiums (\$.....147,425) and contracts subject to redetermination (\$.....0).....	147,425		147,425	128,350
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers.....	18,088,772		18,088,772	
16.2 Funds held by or deposited with reinsured companies.....			0	
16.3 Other amounts receivable under reinsurance contracts.....			0	
17. Amounts receivable relating to uninsured plans.....	89,926		89,926	
18.1 Current federal and foreign income tax recoverable and interest thereon.....			0	
18.2 Net deferred tax asset.....	5,558,868		5,558,868	4,744,601
19. Guaranty funds receivable or on deposit.....			0	
20. Electronic data processing equipment and software.....	18,082,235	13,338,235	4,744,000	4,408,802
21. Furniture and equipment, including health care delivery assets (\$.....0).....	2,562,619	2,562,619	0	
22. Net adjustment in assets and liabilities due to foreign exchange rates.....			0	
23. Receivables from parent, subsidiaries and affiliates.....	4,271,206	4,271,206	0	
24. Health care (\$.....47,205) and other amounts receivable.....	1,255,776	1,208,571	47,205	8,841
25. Aggregate write-ins for other than invested assets.....	5,781,329	3,922,566	1,858,763	3,129,134
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 through 25).....	310,195,598	25,303,197	284,892,401	280,626,913
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			0	
28. Total (Lines 26 and 27).....	310,195,598	25,303,197	284,892,401	280,626,913

### DETAILS OF WRITE-INS

1101.....			0	
1102.....			0	
1103.....			0	
1198. Summary of remaining write-ins for Line 11 from overflow page.....	0	0	0	0
1199. Totals (Lines 1101 thru 1103 plus 1198) (Line 11 above).....	0	0	0	0
2501. Prepaid Expenses.....	3,922,566	3,922,566	0	
2502. Government Program Receivable.....	1,833,824		1,833,824	3,069,527
2503. Other Receivables.....	24,939		24,939	59,607
2598. Summary of remaining write-ins for Line 25 from overflow page.....	0	0	0	0
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above).....	5,781,329	3,922,566	1,858,763	3,129,134

**LIABILITIES, CAPITAL AND SURPLUS**

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less \$.....0 reinsurance ceded).....	15,416,786	777,317	16,194,103	12,964,007
2. Accrued medical incentive pool and bonus amounts.....	(3,377,657)		(3,377,657)	(2,983,755)
3. Unpaid claims adjustment expenses.....	180,087		180,087	265,597
4. Aggregate health policy reserves, including the liability of \$.....0 for medical loss ratio rebate per the Public Health Service Act.....	37,518,129		37,518,129	41,456,791
5. Aggregate life policy reserves.....			0	
6. Property/casualty unearned premium reserve.....			0	
7. Aggregate health claim reserves.....			0	
8. Premiums received in advance.....	31,351,815		31,351,815	25,484,093
9. General expenses due or accrued.....	14,514,453		14,514,453	12,545,578
10.1 Current federal and foreign income tax payable and interest thereon (including \$.....0 on realized gains (losses)).....	4,239,704		4,239,704	14,874,200
10.2 Net deferred tax liability.....			0	
11. Ceded reinsurance premiums payable.....			0	
12. Amounts withheld or retained for the account of others.....	207,526		207,526	2,139,232
13. Remittances and items not allocated.....	1,269,943		1,269,943	2,540,830
14. Borrowed money (including \$.....0 current) and interest thereon \$.....0 (including \$.....0 current).....			0	
15. Amounts due to parent, subsidiaries and affiliates.....	23,970,247		23,970,247	8,754,736
16. Derivatives.....			0	
17. Payable for securities.....			0	
18. Payable for securities lending.....			0	
19. Funds held under reinsurance treaties with (\$.....0 authorized reinsurers, \$.....0 unauthorized reinsurers and certified \$.....0 reinsurers).....			0	
20. Reinsurance in unauthorized and certified (\$.....0) companies.....			0	
21. Net adjustments in assets and liabilities due to foreign exchange rates.....			0	
22. Liability for amounts held under uninsured plans.....	132,651		132,651	389,597
23. Aggregate write-ins for other liabilities (including \$.....14,306,161 current).....	14,306,161	0	14,306,161	6,398,344
24. Total liabilities (Lines 1 to 23).....	139,729,845	777,317	140,507,162	124,829,250
25. Aggregate write-ins for special surplus funds.....	XXX	XXX	29,833,751	0
26. Common capital stock.....	XXX	XXX	175,000	175,000
27. Preferred capital stock.....	XXX	XXX		
28. Gross paid in and contributed surplus.....	XXX	XXX	15,000,000	15,000,000
29. Surplus notes.....	XXX	XXX	6,662,500	6,662,500
30. Aggregate write-ins for other than special surplus funds.....	XXX	XXX	0	0
31. Unassigned funds (surplus).....	XXX	XXX	92,713,988	133,960,163
32. Less treasury stock, at cost:				
32.1 .....0.000 shares common (value included in Line 26 \$.....0).....	XXX	XXX		
32.2 .....0.000 shares preferred (value included in Line 27 \$.....0).....	XXX	XXX		
33. Total capital and surplus (Lines 25 to 31 minus Line 32).....	XXX	XXX	144,385,239	155,797,663
34. Total liabilities, capital and surplus (Lines 24 and 33).....	XXX	XXX	284,892,401	280,626,913

**DETAILS OF WRITE-INS**

2301. Medicare Cost Contingency.....	14,109,177		14,109,177	6,214,682
2302. Escheat Checks Payable.....	195,928		195,928	175,593
2303. Payable to CCHP.....	1,056		1,056	8,069
2398. Summary of remaining write-ins for Line 23 from overflow page.....	0	0	0	0
2399. Totals (Lines 2301 thru 2303 plus 2398) (Line 23 above).....	14,306,161	0	14,306,161	6,398,344
2501. ACA Surplus.....	XXX	XXX	29,833,751	
2502. ....				
2503. ....				
2598. Summary of remaining write-ins for Line 25 from overflow page.....	XXX	XXX	0	0
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above).....	XXX	XXX	29,833,751	0
3001. ....				
3002. ....				
3003. ....				
3098. Summary of remaining write-ins for Line 30 from overflow page.....	XXX	XXX	0	0
3099. Totals (Lines 3001 thru 3003 plus 3098) (Line 30 above).....	XXX	XXX	0	0

**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.....	.XXX.....	2,422,979	2,417,119	3,208,785
2. Net premium income (including \$.....0 non-health premium income).....	.XXX.....	1,036,134,934	1,038,266,939	1,371,680,584
3. Change in unearned premium reserves and reserve for rate credits.....	.XXX.....			
4. Fee-for-service (net of \$.....0 medical expenses).....	.XXX.....			
5. Risk revenue.....	.XXX.....			
6. Aggregate write-ins for other health care related revenues.....	.XXX.....	1,706,764	1,691,897	1,701,183
7. Aggregate write-ins for other non-health revenues.....	.XXX.....	0	0	0
8. Total revenues (Lines 2 to 7).....	.XXX.....	1,037,841,698	1,039,958,836	1,373,381,767
<b>Hospital and Medical:</b>				
9. Hospital/medical benefits.....	26,468,257	551,422,026	529,726,506	700,568,328
10. Other professional services.....	4,704,394	98,008,208	92,628,421	123,518,722
11. Outside referrals.....	126,215	2,629,474	2,947,271	4,347,433
12. Emergency room and out-of-area.....	7,988,021	166,417,108	154,862,007	206,728,773
13. Prescription drugs.....	5,565,132	115,940,253	112,841,877	148,823,769
14. Aggregate write-ins for other hospital and medical.....	0	0	0	0
15. Incentive pool, withhold adjustments and bonus amounts.....	(155,093)	(3,231,107)	1,141,789	(2,113,103)
16. Subtotal (Lines 9 to 15).....	44,696,926	931,185,962	894,147,871	1,181,873,922
<b>Less:</b>				
17. Net reinsurance recoveries.....		688,059	154,768	401,920
18. Total hospital and medical (Lines 16 minus 17).....	44,696,926	930,497,903	893,993,103	1,181,472,002
19. Non-health claims (net).....				
20. Claims adjustment expenses, including \$.....19,790,252 cost containment expenses.....		20,899,682	11,394,690	27,249,685
21. General administrative expenses.....		79,695,362	109,570,322	129,379,158
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).....	44,696,926	1,031,092,947	1,014,958,115	1,338,100,845
24. Net underwriting gain or (loss) (Lines 8 minus 23).....	.XXX.....	6,748,751	25,000,721	35,280,922
25. Net investment income earned.....		6,692,821	3,974,995	5,491,152
26. Net realized capital gains (losses) less capital gains tax of \$.....120,780.....		64,982	(8,728)	(356,121)
27. Net investment gains or (losses) (Lines 25 plus 26).....	0	6,757,803	3,966,267	5,135,031
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$.....1,388) (amount charged off \$.....69,157)].....		(67,769)	(220,596)	(296,729)
29. Aggregate write-ins for other income or expenses.....	0	(27,089)	(159,274)	2,427,809
30. Net income or (loss) after capital gains tax and before all other federal income taxes (Lines 24 plus 27 plus 28 plus 29).....	.XXX.....	13,411,696	28,587,118	42,547,033
31. Federal and foreign income taxes incurred.....	.XXX.....	4,114,725	11,721,681	14,735,473
32. Net income (loss) (Lines 30 minus 31).....	.XXX.....	9,296,971	16,865,437	27,811,560

**DETAILS OF WRITE-INS**

0601. Other Healthcare Related Revenue.....	.XXX.....	1,706,764	1,691,897	1,701,183
0602. ....	.XXX.....			
0603. ....	.XXX.....			
0698. Summary of remaining write-ins for Line 6 from overflow page.....	.XXX.....	0	0	0
0699. Totals (Lines 0601 thru 0603 plus 0698) (Line 6 above).....	.XXX.....	1,706,764	1,691,897	1,701,183
0701. ....	.XXX.....			
0702. ....	.XXX.....			
0703. ....	.XXX.....			
0798. Summary of remaining write-ins for Line 7 from overflow page.....	.XXX.....	0	0	0
0799. Totals (Lines 0701 thru 0703 plus 0798) (Line 7 above).....	.XXX.....	0	0	0
1401. ....				
1402. ....				
1403. ....				
1498. Summary of remaining write-ins for Line 14 from overflow page.....	0	0	0	0
1499. Totals (Lines 1401 thru 1403 plus 1498) (Line 14 above).....	0	0	0	0
2901. Gain on Sale of Assets.....		(29,772)	(118,649)	1,394,443
2902. Other Expenses.....		2,683	(4,225)	(4,011)
2903. Fines & Penalties.....			(36,400)	(36,400)
2998. Summary of remaining write-ins for Line 29 from overflow page.....	0	0	0	1,073,777
2999. Totals (Lines 2901 thru 2903 plus 2998) (Line 29 above).....	0	(27,089)	(159,274)	2,427,809

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

<b>CAPITAL AND SURPLUS ACCOUNT</b>	1 Current Year to Date	2 Prior Year To Date	3 Prior Year Ended December 31
33. Capital and surplus prior reporting year.....	155,797,663	129,221,914	129,221,914
34. Net income or (loss) from Line 32.....	9,296,971	16,865,437	27,811,560
35. Change in valuation basis of aggregate policy and claim reserves.....			
36. Change in net unrealized capital gains (losses) less capital gains tax of \$.....(1,204,448).....	4,531,018	2,360,982	(2,738,943)
37. Change in net unrealized foreign exchange capital gain or (loss).....			
38. Change in net deferred income tax.....	2,018,713	(285,686)	626,960
39. Change in nonadmitted assets.....	(3,259,126)	4,855,729	876,172
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.....	(24,000,000)		
47. Aggregate write-ins for gains or (losses) in surplus.....	0	0	0
48. Net change in capital and surplus (Lines 34 to 47).....	(11,412,424)	23,796,462	26,575,749
49. Capital and surplus end of reporting period (Line 33 plus 48).....	144,385,239	153,018,376	155,797,663

**DETAILS OF WRITE-INS**

4701. ....			
4702. ....			
4703. ....			
4798. Summary of remaining write-ins for Line 47 from overflow page.....	0	0	0
4799. Totals (Lines 4701 thru 4703 plus 4798) (Line 47 above).....	0	0	0

## 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.....	1,038,072,915	1,031,807,695	1,380,794,086
2. Net investment income.....	7,317,992	4,627,424	6,286,418
3. Miscellaneous income.....	1,706,764	1,691,897	1,701,183
4. Total (Lines 1 through 3).....	1,047,097,671	1,038,127,016	1,388,781,687
5. Benefit and loss related payments.....	945,640,803	890,513,235	1,182,367,002
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			
7. Commissions, expenses paid and aggregate write-ins for deductions.....	91,245,592	121,601,581	151,850,438
8. Dividends paid to policyholders.....			
9. Federal and foreign income taxes paid (recovered) net of \$.....0 tax on capital gains (losses).....	14,870,001	10,700,000	10,569,108
10. Total (Lines 5 through 9).....	1,051,756,396	1,022,814,816	1,344,786,548
11. Net cash from operations (Line 4 minus Line 10).....	(4,658,725)	15,312,200	43,995,139
<b>CASH FROM INVESTMENTS</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds.....	18,060,819	10,236,784	12,794,435
12.2 Stocks.....	2,251,787	1,424,208	1,857,611
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.....			(83)
12.7 Miscellaneous proceeds.....			
12.8 Total investment proceeds (Lines 12.1 to 12.7).....	20,312,606	11,660,992	14,651,963
13. Cost of investments acquired (long-term only):			
13.1 Bonds.....	19,652,847	12,374,830	15,653,523
13.2 Stocks.....	2,264,627	1,910,649	2,647,222
13.3 Mortgage loans.....			
13.4 Real estate.....	326,543	283,279	393,660
13.5 Other invested assets.....			
13.6 Miscellaneous applications.....		1,852	
13.7 Total investments acquired (Lines 13.1 to 13.6).....	22,244,017	14,570,610	18,694,405
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).....	(1,931,411)	(2,909,618)	(4,042,442)
<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.....			
16.3 Borrowed funds.....			
16.4 Net deposits on deposit-type contracts and other insurance liabilities.....			
16.5 Dividends to stockholders.....	24,000,000		
16.6 Other cash provided (applied).....	9,540,782	(273,612)	2,187,271
17. Net cash from financing and miscellaneous sources (Lines 16.1 through 16.4 minus Line 16.5 plus Line 16.6).....	(14,459,218)	(273,612)	2,187,271
<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 Line 15 plus Line 17).....	(21,049,354)	12,128,970	42,139,968
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year.....	160,343,314	118,203,346	118,203,346
19.2 End of period (Line 18 plus Line 19.1).....	139,293,960	130,332,316	160,343,314

Note: Supplemental disclosures of cash flow information for non-cash transactions:

20.0001 .....			
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## EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION

	1	Comprehensive (Hospital & Medical)		4	5	6	7	8	9	10
	Total	2 Individual	3 Group	Medicare Supplement	Vision Only	Dental Only	Federal Employees Health Benefit Plan	Title XVIII Medicare	Title XIX Medicaid	Other
<b>Total Members at End of:</b>										
1. Prior Year.....	263,937	35,138	163,141	1,633			3,357	24,301	36,367	
2. First Quarter.....	270,928	37,036	167,831	1,622			3,417	24,365	36,657	
3. Second Quarter.....	268,741	35,606	167,340	1,630			3,354	24,219	36,592	
4. Third Quarter.....	267,054	34,220	167,577	1,632			3,329	24,097	36,199	
5. Current Year.....	0									
6. Current Year Member Months.....	2,422,979	321,324	1,509,842	14,598			30,314	218,495	328,406	
<b>Total Member Ambulatory Encounters for Period:</b>										
7. Physician.....	631,864	61,103	342,548	8,319			10,108	123,578	86,208	
8. Non-Physician.....	651,510	54,867	406,540	4,303			8,915	93,374	83,511	
9. Total.....	1,283,374	115,970	749,088	12,622	0	0	19,023	216,952	169,719	0
10. Hospital Patient Days Incurred.....	111,900	6,656	37,285	3,975			2,455	52,789	8,740	
11. Number of Inpatient Admissions.....	16,924	1,371	6,909	414			313	5,781	2,136	
12. Health Premiums Written (a).....	1,036,594,264	131,646,301	699,097,340	26,106,668			19,929,809	108,365,136	51,449,010	
13. Life Premiums Direct.....	0									
14. Property/Casualty Premiums Written.....	0									
15. Health Premiums Earned.....	1,036,594,264	131,646,301	699,097,340	26,106,668			19,929,809	108,365,136	51,449,010	
16. Property/Casualty Premiums Earned.....	0									
17. Amount Paid for Provision of Health Care Services.....	931,186,973	131,921,047	612,483,642	27,466,364			18,057,099	93,265,332	47,993,489	
18. Amount Incurred for Provision of Health Care Services.....	931,185,962	131,861,171	609,849,265	27,552,059			18,108,911	95,807,223	48,007,333	

007

(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
<b>Claims Unpaid (Reported)</b>						
0299999. Aggregate Accounts Not Individually Listed-Uncovered.....	465,545					465,545
0399999. Aggregate Accounts Not Individually Listed-Covered.....	9,233,308					9,233,308
0499999. Subtotals.....	9,698,853	0	0	0	0	9,698,853
0599999. Unreported Claims and Other Claim Reserves.....						6,495,250
0799999. Total Claims Unpaid.....						16,194,103
0899999. Accrued Medical Incentive Pool and Bonus Amounts.....						(3,377,657)



## UNDERWRITING AND INVESTMENT EXHIBIT

### Analysis of Claims Unpaid - Prior Year - Net of Reinsurance

Line of Business	Claims Paid Year to Date		Liability End of Current Quarter		5 Claims Incurred in Prior Years (Columns 1 + 3)	6 Estimated Claim Reserve and Claim Liability December 31 of Prior Year
	1 On Claims Incurred Prior to January 1 of Current Year	2 On Claims Incurred During the Year	3 On Claims Unpaid December 31 of Prior Year	4 On Claims Incurred During the Year		
1. Comprehensive (hospital and medical).....	12,571,151	731,437,365	119,034	14,339,776	12,690,185	13,921,955
2. Medicare Supplement.....	90,009	27,376,355		175,704	90,009	90,009
3. Dental only.....					.0	
4. Vision only.....					.0	
5. Federal Employees Health Benefits Plan.....	63,672	17,993,427		115,484	63,672	63,672
6. Title XVIII - Medicare.....	(1,217,028)	94,482,360	123,425	1,176,493	(1,093,603)	(1,241,972)
7. Title XIX - Medicaid.....	130,343	47,571,260		144,187	130,343	130,343
8. Other health.....					.0	
9. Health subtotal (Lines 1 to 8).....	11,638,147	918,860,767	242,459	15,951,644	11,880,606	12,964,007
10. Healthcare receivables (a).....					.0	
11. Other non-health.....					.0	
12. Medical incentive pools and bonus amounts.....	(2,837,205)			(3,377,657)	(2,837,205)	(2,983,755)
13. Totals (Lines 9-10+11+12).....	8,800,942	918,860,767	242,459	12,573,987	9,043,401	9,980,252

609

(a) Excludes \$.00 loans or advances to providers not yet expensed.

**NOTES TO FINANCIAL STATEMENTS****1. Summary of Significant Accounting Policies****A. Accounting Practices**

The financial statements of Dean Health Plan, Inc. (the Company) are presented on the basis of accounting practices prescribed or permitted by the Office of the Commissioner of Insurance of the State of Wisconsin (OCI).

The OCI 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 solvency under the Wisconsin Insurance Law. The National Association of Insurance Commissioners' 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. Specifically, the state has adopted a prescribed practice on affiliate receivables. Per Wisconsin Ins. 9.10, a receivable or other obligation of an affiliate to a health maintenance organization insurer or a limited service health organization insurer shall be valued at zero by the insurer for all purposes including, but not limited to, the purpose of reports or statements filed with the office, unless the commissioner specifically approves a different value. The different value shall not be more than the amount of the receivable, note or other obligation, which is fully secured by a security interest in cash or cash equivalents held in a segregated account or trust.

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

	SSAP #	F/S Page	F/S Line #	September 30, 2019	December 31, 2018
<b>NET INCOME</b>					
(1) The Company state basis (Page 4, Line 32, Columns 2 & 4)	XXX	XXX	XXX	\$ 9,296,971	\$ 27,811,560
(2) State prescribed practices that is an increase/(decrease) from NAIC SAP None				-	-
(3) State permitted practices that is an increase/(decrease) from NAIC SAP None				-	-
(4) NAIC SAP	XXX	XXX	XXX	\$ 9,296,971	\$ 27,811,560
<b>SURPLUS</b>					
(5) The Company state basis (Page 3, Line 33, Columns 3 & 4)	XXX	XXX	XXX	\$ 144,385,239	\$ 155,797,663
(6) State prescribed practices that is an increase/(decrease) from NAIC SAP Related Party receivables	WI Code 9.10	2	23	4,271,206	214,683
Related Party pharmacy rebate receivables	WI Code 9.10	2	24	1,208,571	1,356,613
(7) State permitted practices that is an increase/(decrease) from NAIC SAP None				-	-
(8) NAIC SAP	XXX	XXX	XXX	\$ 148,656,445	\$ 156,012,346

**B. Use of Estimates**

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 premiums are recognized as revenue over the coverage period. A liability for premiums received in advance is established for premiums received for future coverage periods.

Expenses incurred in connection with acquiring new insurance business, including such acquisition costs as sales commissions, are charged to operations as incurred.

Net investment income earned consists primarily of interest, dividends and rent income less investment related expenses. Interest is recognized on an accrual basis and dividends are recognized on an ex-dividend basis. Rental income includes an imputed rent for the Company's occupancy of its own building. Net realized capital gains (losses) are recognized on a specific identification basis when securities are sold, redeemed or otherwise disposed. Realized capital losses include write-downs for impairments considered to be other- than-temporary as applicable.

Real estate investments are classified in the balance sheet as properties occupied by the Company. They are carried at depreciated cost.

In addition, the Company uses the following accounting policies:

1. Short-term investments are stated at amortized cost.
2. Bonds are valued as prescribed by the NAIC. Bonds not backed by other loans are generally carried at cost, adjusted for the amortization of premiums, accretion of discounts, and any impairment. Premiums and discounts are amortized and accreted over the estimated lives of the related bonds based on the interest-yield method. The Company's bond portfolio is reviewed quarterly and as a result the carrying value of a bond may be reduced to reflect changes in valuation resulting from asset impairment. Bonds which have been assigned the NAIC category 3 thru 6 designations are written down to the appropriate NAIC carrying value

## NOTES TO FINANCIAL STATEMENTS

3. Common stocks are reported at fair value
4. Preferred stocks are reported at cost
5. Mortgage loans are not applicable
6. Investment grade loan-backed securities are stated at amortized cost. The retrospective adjustment method is used to determine amortized value for all loan-backed securities. Non-investment grade loan-backed securities with NAIC designations 6 would be stated at the lower of amortized cost or fair value. The Company does not currently have any non-investment grade loan-backed securities.

The carrying value and final NAIC designation for non-agency residential mortgage backed securities are determined using a special two-step NAIC process. Those assigned a NAIC designation in the first step of 1 or 2 are stated at amortized cost and those assigned 6 designation are stated at the lower of amortized cost or fair value. The NAIC designation assigned under the second step of the process is reported for these securities in Schedule D and is used in the risk-based capital calculation. The Company does not currently have any non-agency residential mortgage backed securities.

7. Investments in subsidiaries controlled and affiliated entities are not applicable
  8. Investments in joint ventures and partnerships are not applicable.
  9. Derivative investments are not applicable.
  10. Premium deficiency reserves are not applicable
  11. Claims unpaid include an amount determined from individual case estimates and loss reports and an amount, based on past experience, for adverse development on case reserves and for losses incurred but not reported. Such liabilities are necessarily based on assumptions and estimates and while management believes the amount is adequate, the ultimate liability may be in excess of or less than the amount provided. The methods for making such estimates and for establishing the resulting liability is continually reviewed and any adjustments are reflected in the period determined.
  12. The Company has a written capitalization policy for prepaid expense and purchases of items such as EDP equipment, software, furniture, other equipment and leasehold improvements. The predefined capitalization thresholds under the Company's policy have not changed from those of the prior year
  13. The Company estimates pharmaceutical rebates utilizing past experience and accumulated statistical data. These estimates are continuously reviewed and any adjustment are reflected in current operations.
- D. After evaluating the entity's ability to continue as a going concern, management was not aware of any conditions or events which raised substantial doubts concerning the entity's ability to continue as a going concern as of the date of the filing of this statement.

### 2. Accounting Changes and Corrections of Errors

- A. Accounting Changes as a Result of a Change in Accounting Principles and/or Corrections of Errors

Not Applicable

### 3. Business Combinations and Goodwill

Not Applicable

### 4. Discontinued Operations

Not Applicable

### 5. Investments

- A. Mortgage Loans, including Mezzanine Real Estate Loans

Not Applicable

- B. Troubled Debt Restructuring for Creditors

Not Applicable

- C. Reverse Mortgages

Not Applicable

- D. Loan-Backed Securities

Not Applicable

- E. Repurchase Agreements and /or Securities Lending Transaction

Not Applicable

**NOTES TO FINANCIAL STATEMENTS**

- F. Repurchase agreements transactions accounted for as secured borrowing  
Not Applicable
- G. Reverse repurchase agreements transactions accounted for as secured borrowing  
Not Applicable
- H. Repurchase agreements transaction accounted for as secured borrowing  
Not Applicable
- I. Reverse repurchase agreements transaction accounted for as a sale  
Not Applicable
- J. Real Estate  
Not Applicable
- K. Low income house tax credits  
Not Applicable
- L. Restricted Assets

Restricted Asset Category	1	2	3	4	5	6
	Total Gross Restricted From Current Year	Total Gross Restricted From Prior Year	Increase / Decrease (1 minus 2)	Total Current Year Admitted Restricted	% Gross Restricted to Total Assets	% Admitted Restricted to Total Admitted Assets
a. Subject to contractual Obligation for which is not shown	\$ -	\$ -	\$ -	\$ -	0%	0%
b. Collateral held under security lending agreements	-	-	-	-	-	-
c. Subject to repurchase agreements	-	-	-	-	-	-
d. Subject to dollar 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 state(s)	12,295,452	12,423,444	(127,992)	12,295,452	4.0%	4.3%
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	12,295,452	12,423,444	(127,992)	12,295,452	4.0%	4.3%

- M. Working Capital Finance Investment

Not Applicable

- N. Offsetting and Netting Assets and Liabilities

Not Applicable

- O. Structured Notes

Not Applicable

- P. 5\* Securities

Not Applicable

- Q. Short Sales

Not Applicable

- R. Prepayment Penalty and Acceleration

	General Account
(1) Number of CUSIPs	1
(2) Aggregate Amount of Investment Income	\$ 3,636

## NOTES TO FINANCIAL STATEMENTS

6. Joint Ventures, Partnerships and Limited Liability Companies

A. Detail for Those Greater than 10% of Admitted Assets

Not Applicable

B. Write-downs for Impairments of Joint Ventures, Partnerships and LLCs

Not Applicable

7. Investment Income

A. Accrued Investment Income

The Company does not admit investment income due and accrued if amounts are over 90 days past due.

B. Amounts Nonadmitted

Not Applicable

8. Derivative Instruments

Not Applicable

9. Income Taxes

No significant changes

10. Information Concerning Parent, Subsidiaries and Affiliates

A., B.

The Company is 100% owned by Dean Health Insurance, Inc. All outstanding shares of Dean Health Insurance, Inc. are owned by Dean Health Systems, Inc., who is 100% owned by FPP, Inc. FPP, Inc. is an owned subsidiary of SSM Health Care Corporation. Significant transactions are presented in Schedule Y.

C. Change in Terms of Intercompany Arrangements

Not Applicable

D. Amounts Due to or from Related Parties

As of September 30, 2019, Dean Health Plan, Inc. is owed \$543,052 from Dean Health Systems, Inc., \$169,328 from Dean Health Service Company, LLC, \$1,195,778 from Navitus Health Solutions LLC, and \$3,571,619 from SSM Health Care Corporation and owes \$23,970,247 to Dean Health Insurance, Inc. The amount due to Dean Health Insurance, Inc. includes a \$24,000,000 dividend declared on September 10, 2019, offset by \$29,753 due from Dean Health Insurance, Inc. The amount due from Navitus Health Solutions, LLC includes pharmacy rebates receivable of \$1,208,571, offset by \$12,794 owed to Navitus Health Solutions, LLC.

E. Guarantees or Contingencies for Related Parties

Not Applicable

F. Management, Service Contracts, Cost Sharing Arrangements

Dean Health Plan, Inc. has agreed to have Navitus Health Solutions, LLC provide certain administrative services regarding insurance policies underwritten by Dean Health Plan, Inc. These services include claims processing, provider contracting, administration of benefits, and performance of appropriate business functions that are reasonable and necessary for the general conduct of the Dean Health Plan, Inc. business.

The Company contracts with Dean Health Service Company for various administrative and management services.

G. Nature of Relationships that Could Affect Operations

Not Applicable

H. Amount Deducted for Investment in Upstream Company

Not Applicable

I. Detail of Investments in Affiliates Greater than 10% of Admitted Assets

Not Applicable

J. Write-down for Impairments of Investment in Affiliates

Not Applicable

K. CARVM assumptions for adjusting foreign subsidiary annuity reserves from GAAP

Not Applicable

## NOTES TO FINANCIAL STATEMENTS

- L. Downstream Holding Company Valued using Look-Through Method  
Not Applicable
  - M. Non-Insurance subsidiary, controller and affiliated (SCA) entity valuations  
Not Applicable
  - N. Non Insurance SCA investments  
Not Applicable
11. Debt  
Not Applicable
12. Retirement Plans, Deferred Compensation, Post-Employment Benefits and Compensated Absences and Other Postretirement Benefit Plans
- A. Defined Benefit Plans  
Not Applicable
  - B. Description of Investment Policies  
Not Applicable
  - C. Fair Value of Plan Assets  
Not Applicable
  - D. Rate of Return Assumptions  
Not Applicable
  - E. Defined Contribution Plans  
No significant changes
  - F. Multiemployer Plans  
Not Applicable
  - G. Consolidated/Holding Company Plans  
Not Applicable
  - H. Postemployment Benefits and Compensated Absences  
Not Applicable
  - I. Impact of Medicare Modernization Act  
Not Applicable
13. Capital and Surplus, Shareholders' Dividend Restrictions and Quasi-Reorganizations
- 1. Outstanding Shares  
The Company has 100 shares authorized, issued and outstanding.
  - 2. Dividend Rate of Preferred Stock  
Not Applicable
  - 3. Dividend Restrictions  
Without prior approval of its domiciliary commissioner, dividends to shareholders are limited by the laws of the Company's state of incorporation, Wisconsin.
  - 4. Ordinary or Extraordinary Dividends Paid  
An extraordinary dividend in the amount of \$24,000,000 was declared by the Company on September 10, 2019 and will be paid to Dean Health Insurance, Inc. in the fourth quarter. Dean Health Insurance, Inc. will then pay a \$24,000,000 extraordinary dividend to Dean Health Services Company, LLC.
  - 5. Profits that may be Paid as Ordinary Dividends  
Within the limitations of (C) above, there are no restrictions placed on the portion of the Company's profits that may be paid as ordinary dividends to stockholders.

**NOTES TO FINANCIAL STATEMENTS**

## 6. Restrictions Placed on Surplus

Not Applicable

## 7. Mutual Surplus Advances

Not Applicable

## 8. Company Stock Held for Special Purposes

Not Applicable

## 9. Changes in Special Surplus Funds

Not Applicable

## 10. Changes in Unassigned Funds

The portion of unassigned funds (surplus) represented or reduced by cumulative unrealized gains and losses are \$4,852,884.

## 11. Surplus Notes

- (1) The Company issued the following surplus debentures or similar obligations:

	<u>Date Issued</u>	<u>Interest Rate</u>	<u>Par Value</u>	<u>Carrying Value of Note</u>	<u>Interest And/Or Principal Paid Current Year</u>	<u>Total Interest And/Or Principal Paid</u>	<u>Unapproved Interest And/Or Principal</u>	<u>Date of Maturity</u>
1.	11/19/2012	2.60%	4,996,875	4,996,875	0	0	297,772	see 11 (6) below
2.	11/19/2012	2.60%	1,665,625	1,665,625	0	0	99,257	see 11 (6) below
		<b>Total</b>	<b>6,662,500</b>	<b>6,662,500</b>	<b>0</b>	<b>0</b>	<b>397,029</b>	<b>XXX</b>

The surplus note in the amount of \$4,996,875, listed as item #1 in the above table, was issued to St Vincent Hospital in exchange for cash.

The surplus note in the amount of \$1,665,625, listed as item #2 in the above table, was issued to Prevea Clinic, Inc. in exchange for cash.

- (2) Rule 144A under the Securities Act of 1933

Not Applicable

- (3) The surplus note has the following repayment conditions and restrictions:

DHP shall not repay, discharge or retire these Surplus Notes nor pay any principal or accrued interest under these Surplus Notes (together, "Payment Obligations") unless it shall have given the Office of the Wisconsin Commissioner of Insurance ("the Commissioner") at least sixty (60) days prior written notifications of the proposed payment, repayment, discharge or retirement and said Commissioner has indicated his or her prior written approval of said payment. The Commissioner has complete discretion to approve or refuse to approve a payment, repayment, discharge or retirement. The Commissioner may consider any factors in making his or her determination including, but not limited to, the compliance of the Company with compulsory and security surplus requirements.

- (4) The surplus note has the following subordination terms:

The rights of the holder hereof to payment of any Payment Obligations(s) are and shall remain subject and subordinate to all policy claims against, indebtedness of and other claims against the Company, and, in the event of any insolvency proceeding, dissolution or liquidation of the Company, no payment Obligations shall be due or payable upon this Surplus Notes until the just claims of all policy claimants, creditors and other claimants of the Company have been paid in full. The Company may establish an appropriate reserve account, out of its surplus, to provide for the orderly repayment of these Surplus Notes, but any such reserve account shall be subject to this provision for subordinations.

- (5) In the event of any insolvency proceedings, dissolution or liquidation of the Company, no payment obligations shall be due or payable upon these Surplus notes until just claims of all policy claimants, creditors and other claimants of the Company have been paid in full.
- (6) The Company has an outstanding liability for borrowed money in the amount of \$4,996,875 due to St. Vincent Hospital and \$1,665,625 due to Prevea Clinic, Inc. due on or before eighteenth calendar month after the date of expiration or termination of that certain Network Organization and Administration Agreement by and among DHP and Lenders. Interest at 2.6% is required to be paid upon approval from the Office of the Commissioner of Insurance – State of Wisconsin. Interest paid during both 2019 and 2018 was \$0.

## 12. Quasi-Reorganizations

Not Applicable

## 13. Effective Date of Quasi-Reorganizations

Not Applicable

## NOTES TO FINANCIAL STATEMENTS

### 14. Contingencies

A. Contingent Commitments

Not Applicable

B. Guaranty Fund and Other Assessments

Not Applicable

C. Gain Contingencies

Not Applicable

D. Claims Related Extra Contractual Obligation and Bad Faith Losses Stemming from Lawsuits

Not Applicable

E. Joint and Several Liabilities

Not Applicable

F. Other Contingencies

Dean Health Plan, Inc. (DHP) is a participant in the Medicare Cost program. As part of the program, the annual Cost reports are routinely audited by Centers for Medicare and Medicaid Services. Each audit may result in the Company being paid additional revenue for the audited periods or returning revenue for the audited period. The Company calculates and holds a contingency reserve for possible unfavorable audit results. The contingency reserve is developed using actuarial estimates and product knowledge. The contingency reserve amount is reviewed annually. The contingency reserve for the Medicare Cost product is \$14,109,177 and \$6,214,681 as of September 30, 2019 and December 31, 2018, respectively.

At September 30, 2019, the Company had admitted assets of \$4,360,854 in uncollected premiums. The Company routinely assesses the collectability of these receivables. Based upon experience, the Company estimated that \$1,300,000 may be uncollectible at September 30, 2019 and December 31, 2018. In addition, the Company non-admits any receivable balances over 90 days.

### 15. Leases

A. No significant changes

B. Lessor Leasing Arrangements

Not Applicable

### 16. Information about Financial Instruments with Off-Balance Sheet Risk and Financial Instruments with Concentrations of Credit Risk

Not Applicable

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

A. Transfers of Receivables Reported as Sales

Not Applicable

B. Transfer and Servicing of Financial Assets

Not Applicable

C. Wash Sales

Not Applicable

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

A. Administrative Services Only (ASO) Plans

No significant changes

B. Administrative Services Contract (ASC) Plans

Not Applicable

C. Medicare or Other Similarly Structured Cost Based Reimbursement Contract

No significant changes

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

Not Applicable



**NOTES TO FINANCIAL STATEMENTS**

## 20. Fair Value Measurement

## A. Inputs Used for Assets and Liabilities Measured and Reported at Fair Value

## (1) Items Measured at Fair Value by Levels 1, 2 and 3

Description	Level 1	Level 2	Level 3	Total	Net Asset Value (NAV) Included in Level 2
<b>a. Asset at fair value</b>					
<b>Common Stock</b>					
Industrial and Misc	\$ 30,464,712	\$ -	\$ -	\$ 30,464,712	\$ -
Mutual Funds	9,229,626	-	-	9,229,626	-
<b>Total Common Stock</b>	<b>\$ 39,694,338</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 39,694,338</b>	<b>\$ -</b>

## (2) Roll forward of Level 3 Items

Not Applicable

## (3) Policy on Transfers Into and Out of Level 3

The Company has no assets or liabilities measured at fair value in the Level 2 or 3 category

## (4) Inputs and Techniques used for Level 2 and Level 3 Fair Value.

The Company has no assets or liabilities measured at fair value in the Level 2 or 3 category

## (5) Derivative Assets and Liabilities

Not Applicable

## B. Other Fair value Disclosures

Not Applicable

## C. Aggregate Fair Value for All Financial Instruments by Levels 1, 2 and 3

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
Long-Term Bonds	\$ 55,817,141	\$ 53,664,559	\$ 20,174,755	\$ 35,642,386	\$ -	\$ -	\$ -
Short-Term Bonds	1,659,218	1,655,428	1,659,218	-	-	-	-
Common Stock	39,694,338	39,694,338	39,694,338	-	-	-	-
Redeemable Preferred Stock	564,742	565,092	564,742	-	-	-	-

## D. Reasons Not Practicable to Estimate Fair Value

Not Applicable

## E. NAV Practical Expedient Investments

Not Applicable

## 21. Other Items

## A. Unusual or Infrequent Items

Not Applicable

## B. Troubled Debt Restructuring for Debtors

Not Applicable

## C. Other Disclosures

Declines in fair value which are determined to be other-than-temporary are recorded as realized losses. The Company determines a decline to be other-than-temporary by reviewing all investments and evaluating various subjective and objective factors. These factors, among others, include the financial condition of the issuer, the market, the length of time the security has been in a loss position, and the severity of that loss. The amount of these declines deemed other-than-temporary was \$0 as of September 30, 2019 and December 31, 2018.

The Company, as mandated by the OCI, eliminated reporting of hospital tax in the financial statement to disclosing the amount of hospital tax in this note, hospital tax legislation enacted into law in 2009 of \$12,152,314 and \$15,520,293 as of September 30, 2019 and December 31, 2018, respectively. In addition, the Company discloses the ambulatory surgical center and critical access tax legislation enacted into law in 2010 of \$424,318 and \$605,082 as of September 30, 2019 and December 31, 2018, respectively.

## NOTES TO FINANCIAL STATEMENTS

D. Business Interruption Insurance Recoveries

Not Applicable

E. State Transferable and Non-transferable Tax Credits

Not Applicable

F. Subprime Mortgage Related Risk Exposure

Not Applicable

G. Retained Assets

Not Applicable

H. Insurance-linked securities

Not Applicable

22. Events Subsequent

A. Type I - Recognized Subsequent Events

Not Applicable

B. Type II - Non-recognized Subsequent Event

Subsequent events have been considered through November 15, 2019 for the statutory financial statement issued on November 15, 2019.

23. Reinsurance

A. Ceded Reinsurance Report

Section 1 – General Interrogatories

1. Are any of the reinsurers, listed in Schedule S as non-affiliated, owned in excess of 10% or controlled, either directly or indirectly, by the company or by any representative, officer, trustee, or director of the company? Yes ( ) No (X)
2. Have any policies issued by the company been reinsured with a company chartered in a country other than the United States (excluding U.S. Branches of such companies) which is owned in excess of 10% or controlled directly or indirectly by an insured, a beneficiary, a creditor or an insured or any other person not primarily engaged in the insurance business? Yes ( ) No (X)

Section 2 – Ceded Reinsurance Report – Part A

1. Does the company have any reinsurance agreements in effect under which the reinsurer may unilaterally cancel any reinsurance for reasons other than for nonpayment of premium or other similar credits? Yes ( ) No (X)
2. Does the company have any reinsurance agreements in effect such that the amount of losses paid or accrued through the statement date may result in a payment to the reinsurer of amounts which, in aggregate and allowing for offset of mutual credits from other reinsurance agreements with the same reinsurer, exceed the total direct premium collected under the reinsured policies? Yes ( ) No (X)

Section 3 – Ceded Reinsurance Report – Part B

1. What is the estimated amount of the aggregate reduction in surplus, for agreements, not reflected in Section 2 above, of termination of all reinsurance agreements, by either party, as of the date of this statement? Where necessary, the company may consider the current or anticipated experience of the business reinsured in making this estimate. \$0
2. Have any new agreements been executed or existing agreements amended, since January 1 of the year of this statement, to include policies or contracts which were in-force or which had existing reserves established by the company as of the effective date of the agreement? Yes ( ) No (X)

B. Uncollectible Reinsurance

Not Applicable

C. Commutation of Ceded Reinsurance

Not Applicable

D. Certified Reinsurer Rating Downgraded or Status Subject to Revocation

Not Applicable

24. Retrospectively Rated Contracts and Contracts Subject to Redetermination

A. The Company estimates accrued retrospective premium adjustments for its group health insurance business through a model using the Company's underwriting rules.

B. The Company records accrued retrospective premium as an adjustment to earned premiums.

**NOTES TO FINANCIAL STATEMENTS**

- C. Pursuant to the ACA, the Company's commercial business is subject to retrospectively rated features based on the actual medical loss ratios experienced on the commercial line of business. The formula is calculated pursuant to the ACA guidance. The total amount of direct premiums written for the commercial line of business subject to the retrospectively rated features was \$850,673,450 and \$1,128,168,613, representing 82.1% and 82.1% of total direct premiums written as of September 30, 2019 and December 31, 2018, respectively.

The Company has risk-adjustment amounts from CMS which are subject to a redetermination feature related to Medicare premiums. The Company has estimated premium adjustments for changes to each member's health scores based on guidelines determined by CMS. The total amount of Medicare direct premiums written for which a portion is subject to the redetermination feature was \$5,573,548 and \$5,415,875, representing .5% and .4% of total direct premiums written as of September 30, 2019 and December 31, 2018, respectively.

- D. As of September 30, 2019 the company was not required to pay and does not anticipate paying any Medical Loss ratio rebates.

- E. Risk-Sharing Provision of the Affordable Care Act

1. Did the reporting entity write accident and health insurance premium which is subject to the Affordable Care Act risk sharing provision? Yes
2. Impact of Risk Sharing Provision of the Affordable Care Act on admitted assets, liabilities, and revenue for the current year:

	<b>9/30/2019</b>
<b>a. Permanent ACA Risk Adjustment Program</b>	
Assets	
1. Premium adjustments receivable due to ACA Risk Adjustment	\$ -
Liabilities	
2. Risk adjustment user fees payable for ACA Risk Adjustment	52,020
3. Premium adjustments payable due to ACA Risk Adjustment	37,518,129
Operations (Revenue & Expenses)	
4. Reported as revenue in premium for accident and health contracts (written/collected) due to ACA Risk Adjustment	(31,493,467)
5. Reported in expenses as ACA risk adjustment user fees (incurred/paid)	51,602
<b>b. Transitional ACA Reinsurance Program</b>	
Asset	
1. Amounts recoverable for claims paid due to ACA Reinsurance	\$ -
2. Amounts recoverable for claims unpaid due to ACA Reinsurance (Contra Liability)	-
3. Amounts receivable relating to uninsured plans for contributions for ACA Reinsurance	-
Liabilities	
4. Liabilities for contributions payable due to ACA Reinsurance - not reported as ceded premium	-
5. Ceded reinsurance premiums payable due to ACA Reinsurance	-
6. Liabilities for amounts held under uninsured plans contributions for ACA Reinsurance	-
Operations (Revenue & Expenses)	
7. Ceded reinsurance premiums due to ACA Reinsurance	-
8. Reinsurance recoveries (income statement) due to ACA Reinsurance payments or expected payments	96,294
9. ACA Reinsurance contributions - not reported as ceded premium	-
<b>c. Temporary ACA Risk Corridors Program</b>	
Assets	
1. Accrued retrospective premium due to ACA Risk Corridors	\$ -
Liabilities	
2. Reserve for rate credits or policy experience rating refunds due to ACA Risk Corridors	-
Operations (Revenue & Expenses)	
3. Effect of ACA Risk Corridors on net premium income (paid/received)	-
4. Effect of ACA Risk Corridors on change in reserves for rate credits	-

The Company participated in the Federal Insurance Exchange in the State of Wisconsin for individual products during 2019. At September 30, 2019 the Company recorded the financial impact that the Affordable Care Act (ACA) market stabilization programs (Risk Adjustment, Reinsurance, Risk Corridor and Cost Share Reduction) have due to our participation. The Company holds all ACA liabilities and receivables with ultimate responsibility for these programs. Some of these stabilization programs are netted in the financial statements by transferring the financial impact to our capitated, risk assuming providers per existing Service Agreement. Accordingly, some of these stabilization programs render no net impact on operating results of the Company at September 30, 2019.

**NOTES TO FINANCIAL STATEMENTS**

3. Roll forward of prior year Affordable Care Act risk sharing provision for the following asset (gross of any non-admission) and liability balances along with the reasons for adjustment to prior year balance

	Accrued During the Prior Year on		Received or Paid as of the Current Year on		Difference		Adjustments		Unsettled Balances as of the Reporting Date		
	Business Written Before December 31 of		Business Written Before December 31 of the		Prior Year Accrued	Prior Year Accrued	To Prior Year	To Prior Year	Cumulative Balance	Cumulative Balance	
	1	2	3	4	Less Payment (Col 1-3) 5	Less Payment (Col 2-4) 6	Balances 7	Balances 8	9	10	11
<u>Receivable</u>	<u>(Payable)</u>	<u>Receivable</u>	<u>(Payable)</u>	<u>Receivable</u>	<u>(Payable)</u>	<u>Receivable</u>	<u>(Payable)</u>		<u>Receivable</u>	<u>(Payable)</u>	
a. Permanent ACA Risk Adjustment Program											
1. Premium adjustment receivable	-	-	-	-	-	-	-	-	-	-	-
2. Premium adjustment (payable)	-	(41,456,791)	-	(35,432,129)	-	(6,024,662)	-	4,874,259	-	-	(1,150,403)
<b>3. Subtotal ACA Permanent Risk Adjustment Program</b>	<b>-</b>	<b>(41,456,791)</b>	<b>-</b>	<b>(35,432,129)</b>	<b>-</b>	<b>(6,024,662)</b>	<b>-</b>	<b>4,874,259</b>	<b>-</b>	<b>-</b>	<b>(1,150,403)</b>
b. Transitional ACA Reinsurance Program											
1. Amounts recoverable for claims paid	-	-	96,294	-	(96,294)	-	96,294	-	-	-	-
2. Amounts recoverable for claims unpaid (Contra Liability)	-	-	-	-	-	-	-	-	-	-	-
3. Amounts receivable relating to uninsured plans	-	-	-	-	-	-	-	-	-	-	-
<b>7. Subtotal ACA Transitional Reinsurance Program</b>	<b>-</b>	<b>-</b>	<b>96,294</b>	<b>-</b>	<b>(96,294)</b>	<b>-</b>	<b>96,294</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
c. Temporary ACA Risk Corridors Program											
1. Accrued retrospective premium	-	-	-	-	-	-	-	-	-	-	-
2. Reserve for rate-credits or policy experience rating refunds	-	-	-	-	-	-	-	-	-	-	-
<b>3. Subtotal ACA Risk Corridors Program</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>d. Total for ACA Risk Sharing Provisions</b>	<b>-</b>	<b>(41,456,791)</b>	<b>96,294</b>	<b>(35,432,129)</b>	<b>(96,294)</b>	<b>(6,024,662)</b>	<b>96,294</b>	<b>4,874,259</b>	<b>-</b>	<b>-</b>	<b>(1,150,403)</b>

**NOTES TO FINANCIAL STATEMENTS**

## 4. Roll Forward of ACA Risk Corridor Asset and Liability Balances

	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	
					Prior Year	Prior Year	To Prior	To Prior		
					Accrued Less Payments (Col. 1-3)	Accrued Less Payments (Col. 2-4)	Year Balances	Year Balances		
	1	2	3	4	5	6	7	8	9	10
	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)
a. Second Prior Year										
1. Accrued retrospective premium	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
2. Reserve for rate credits for policy experience rating refunds	-	-	-	-	-	-	-	-	-	-
b. Prior Year										
1. Accrued retrospective premium	-	-	-	-	-	-	-	-	-	-
2. Reserve for rate credits for policy experience rating refunds	-	-	-	-	-	-	-	-	-	-
c. Current Year										
1. Accrued retrospective premium	-	-	-	-	-	-	-	-	-	-
2. Reserve for rate credits for policy experience rating refunds	-	-	-	-	-	-	-	-	-	-
d. Total for Risk Corridors	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

## 5. Risk Corridor Receivable

	(1)	(2)	(3)	(4)	(5)	(6)
Risk Corridor Program Year	Estimated Amount to be Filed or Final Amount Filed with CMS	Non-Accrued Amounts for Impairment or Other Reasons	Amounts received from CMS	Asset Balance (gross of Nonadmission) (1-2-3)	Non-admitted Amount	Net Admitted Asset (4-5)
2014	\$ 14,089,113	\$ 11,852,974	\$ 2,236,139	-	-	-
2015	19,914,347	19,914,347	-	-	-	-
2016	5,406,793	5,406,793	-	-	-	-
Total	\$ 39,410,253	\$ 37,174,114	\$ 2,236,139	-	-	-

## 25. Changes in Incurred Claims and Claim Adjustment Expenses

Reserves as of December 31, 2018 were \$12,964,007. As of September 30, 2019 \$11,638,147 has been paid for incurred claims and claim adjustment expenses attributable to insured events of prior years. Reserves remaining for prior years are now \$242,459 as a result of re-estimation of unpaid claims and claim adjustment expenses. Therefore, there has been favorable prior-year development since December 31, 2018 to September 30, 2019. Original estimates are increased or decreased, as additional information becomes known regarding individual claims. The Company experienced \$95,344 of favorable prior year claim development on retrospectively rated policies. However, the business to which it relates is subject to premium adjustments.

## 26. Intercompany Pooling Arrangements

Not Applicable

## 27. Structured Settlements

Not Applicable

**NOTES TO FINANCIAL STATEMENTS**

## 28. Health Care Receivables

## A. Pharmaceutical Rebate Receivables

Quarter	Estimated Pharmacy Rebates as Reported on Financial Statements	Pharmacy Rebates as Billed or Otherwise Confirmed	Actual Rebates Received Within 90 Days of Billing	Actual Rebates Received Within 91 to 180 Days of Billing	Actual Rebates Received More Than 180 Days of Billing
9/30/2019	755,803	755,803			
6/30/2019	1,066,112	1,066,112	613,344		
3/31/2019	916,045	916,045	264,087	651,958	
12/31/2018	574,067	962,875	325,444	634,743	2,688
9/30/2018	782,546	762,958	110,730	653,356	(1,128)
6/30/2018	760,907	763,053	106,178	654,740	2,135
3/31/2018	666,163	667,996	57,607	608,680	1,709
12/31/2017	-	449,824	362,800	87,024	-
9/30/2017	-	427,188	427,188	-	
6/30/2017	12,767,648	6,975,062	2,102,758	4,872,303	
3/31/2017	10,193,184	6,660,852	759,771	5,901,081	
		-			
12/31/2016	11,337,997	6,334,713	3,134,656	3,068,714	131,344

## B. Risk Sharing Receivables

No significant changes

## 29. Participating Policies

Not Applicable

## 30. Premium Deficiency Reserves

Not Applicable

## 31. Anticipated Salvage and Subrogation

Not Applicable

# 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
- 1.2 If yes, has the report been filed with the domiciliary state? Yes  No
- 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
- 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? If yes, complete Schedule Y, Parts 1 and 1A. Yes  No
- 3.2 Have there been any substantial changes in the organizational chart since the prior quarter end? Yes  No
- 3.3 If the response to 3.2 is yes, provide a brief description of those changes.

- 3.4 Is the reporting entity publicly traded or a member of a publicly traded group? Yes  No
- 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? If yes, complete and file the merger history data file with the NAIC for the annual filing corresponding to this period. Yes  No

4.2 If yes, provide 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? If yes, attach an explanation. Yes  No  N/A
- The Company contracts with Dean Health Service Company for various administrative and management services.

- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. 12/31/2014
- 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. 12/31/2014
- 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). 06/30/2016

- 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
- 6.6 Have all of the recommendations within the latest financial examination report been complied with? Yes  No  N/A
- 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
- 7.2 If yes, give full information:

- 8.1 Is the company a subsidiary of a bank holding company regulated with the Federal Reserve Board? Yes  No
- 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
- 8.4 If the 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

- 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? Yes  No
- (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.

- 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
- 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
- 9.31 If the response to 9.3 is Yes, provide the nature of any waiver(s).

# GENERAL INTERROGATORIES

## PART 1 - COMMON INTERROGATORIES

### FINANCIAL

- 10.1 Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement? Yes [ ] No [X]
- 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
- 14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates? Yes [ ] No [X]
- 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	\$ 0		\$ 0
14.22 Preferred Stock	0		0
14.23 Common Stock	0		0
14.24 Short-Term Investments	0		0
14.25 Mortgage Loans on Real Estate	0		0
14.26 All Other	0		0
14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26)	\$ 0		\$ 0
14.28 Total Investment in Parent included in Lines 14.21 to 14.26 above	\$ 0		\$ 0

- 15.1 Has the reporting entity entered into any hedging transactions reported on Schedule DB? Yes [ ] No [X]
- 15.2 If yes, has a comprehensive description of the hedging program been made available to the domiciliary state? Yes [ ] No [ ]
- 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 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 [X] 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 South 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 [X]
- 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
The Northern Trust Company	U
Northern Trust Securities	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 [X] 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 [X]

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
	The Northern Trust Company	6PTKHDJ8HDUF78PFWH30	N	No
7927	Northern Trust Securities	3CHSO99JSPHD9HGNYJ46	Y	No

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



## GENERAL INTERROGATORIES

### PART 1 - COMMON INTERROGATORIES

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 [X]
20. By self-designating PLGI securities, the reporting entity is certifying the following elements for each self-designated PLGI security:
- 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 (continued)

### PART 2 - HEALTH

1. Operating Percentages:		
1.1 A&H loss percent .....		91.7 %
1.2 A&H cost containment percent .....		1.9 %
1.3 A&H expense percent excluding cost containment expenses .....		7.8 %
2.1 Do you act as a custodian for health savings accounts? .....	Yes [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]
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 [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]
2.4 If yes, please provide the amount of 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 [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]
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 [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]

## SCHEDULE S - CEDED REINSURANCE

Showing All New Reinsurance Treaties - Current Year to Date

1	2	3	4	5	6	7	8	9
NAIC Company Code	ID Number	Effective Date	Name of Reinsurer	Domiciliary Jurisdiction	Type of Reinsurance Ceded	Type of Reinsurer	Certified Reinsurer Rating (1 through 6)	Effective Date of Certified Reinsurer Rating
<b>A&amp;H Non-Affiliates</b>								
93572.....	43-1235868.....	05/15/2019	RGA REINS CO.....	MO.....	SSL/A/I.....	Authorized.....	.....	.....

# SCHEDULE T - PREMIUMS AND OTHER CONSIDERATIONS

Current Year to Date - Allocated by States and Territories

State, Etc.	1	Direct Business Only							
		2	3	4	5	6	7	8	9
	Active Status (a)	Accident and Health Premiums	Medicare Title XVIII	Medicaid Title XIX	Federal Employees Health Benefits Program Premiums	Life and Annuity Premiums and Other Considerations	Property/Casualty Premiums	Total Columns 2 through 7	Deposit-Type Contracts
1. Alabama.....AL	N							0	
2. Alaska.....AK	N							0	
3. Arizona.....AZ	N							0	
4. Arkansas.....AR	N							0	
5. California.....CA	N							0	
6. Colorado.....CO	N							0	
7. Connecticut.....CT	N							0	
8. Delaware.....DE	N							0	
9. District of Columbia.....DC	N							0	
10. Florida.....FL	N							0	
11. Georgia.....GA	N							0	
12. Hawaii.....HI	N							0	
13. Idaho.....ID	N							0	
14. Illinois.....IL	N							0	
15. Indiana.....IN	N							0	
16. Iowa.....IA	N							0	
17. Kansas.....KS	N							0	
18. Kentucky.....KY	N							0	
19. Louisiana.....LA	N							0	
20. Maine.....ME	N							0	
21. Maryland.....MD	N							0	
22. Massachusetts.....MA	N							0	
23. Michigan.....MI	N							0	
24. Minnesota.....MN	N							0	
25. Mississippi.....MS	N							0	
26. Missouri.....MO	N							0	
27. Montana.....MT	N							0	
28. Nebraska.....NE	N							0	
29. Nevada.....NV	N							0	
30. New Hampshire.....NH	N							0	
31. New Jersey.....NJ	N							0	
32. New Mexico.....NM	N							0	
33. New York.....NY	N							0	
34. North Carolina.....NC	N							0	
35. North Dakota.....ND	N							0	
36. Ohio.....OH	N							0	
37. Oklahoma.....OK	N							0	
38. Oregon.....OR	N							0	
39. Pennsylvania.....PA	N							0	
40. Rhode Island.....RI	N							0	
41. South Carolina.....SC	N							0	
42. South Dakota.....SD	N							0	
43. Tennessee.....TN	N							0	
44. Texas.....TX	N							0	
45. Utah.....UT	N							0	
46. Vermont.....VT	N							0	
47. Virginia.....VA	N							0	
48. Washington.....WA	N							0	
49. West Virginia.....WV	N							0	
50. Wisconsin.....WI	L	850,673,450	134,471,804	51,449,010				1,036,594,264	
51. Wyoming.....WY	N							0	
52. American Samoa.....AS	N							0	
53. Guam.....GU	N							0	
54. Puerto Rico.....PR	N							0	
55. U.S. Virgin Islands.....VI	N							0	
56. Northern Mariana Islands.....MP	N							0	
57. Canada.....CAN	N							0	
58. Aggregate Other alien.....OT	XXX	0	0	0	0	0	0	0	0
59. Subtotal.....	XXX	850,673,450	134,471,804	51,449,010	0	0	0	1,036,594,264	0
60. Reporting entity contributions for Employee Benefit Plans.....	XXX							0	
61. Total (Direct Business).....	XXX	850,673,450	134,471,804	51,449,010	0	0	0	1,036,594,264	0

**DETAILS OF WRITE-INS**

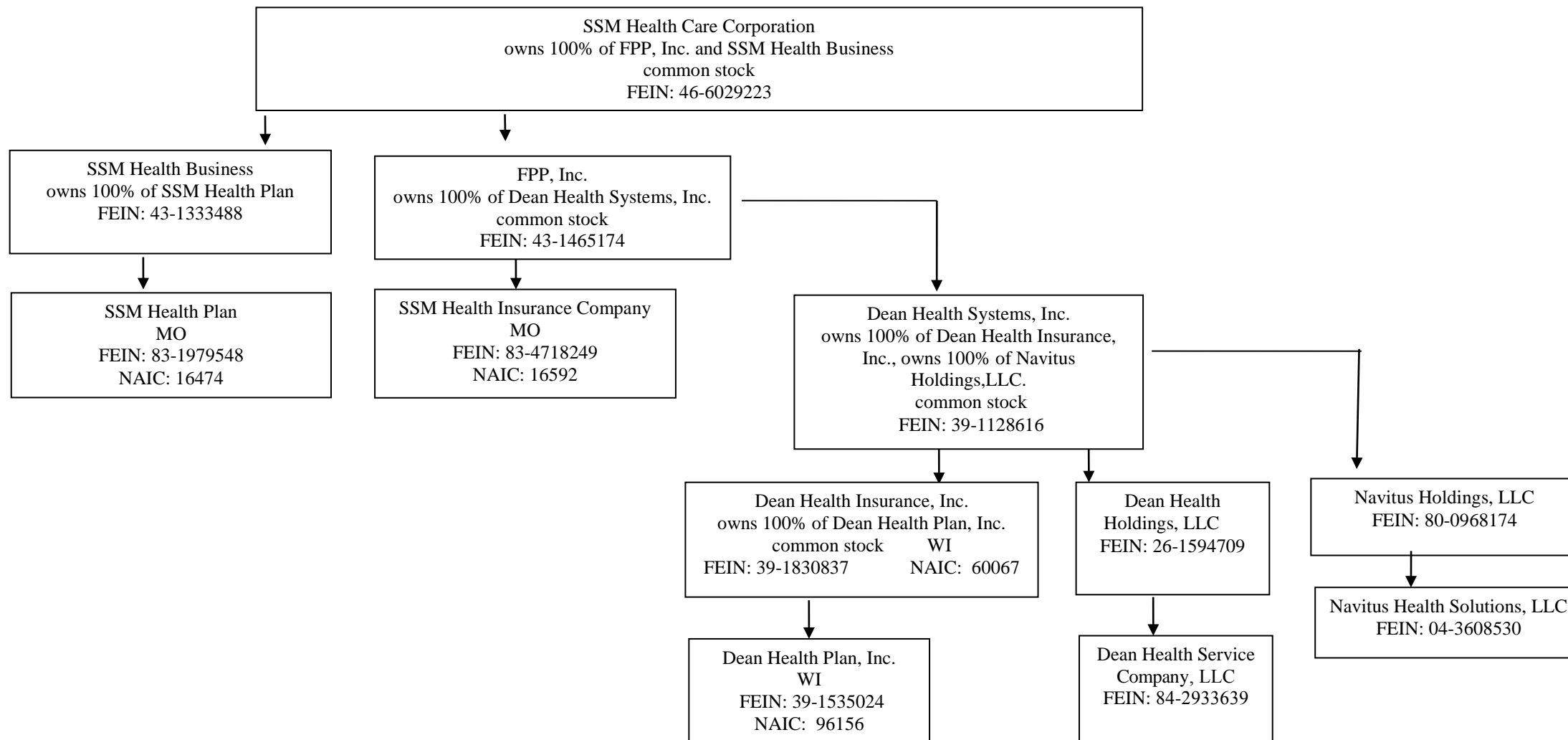
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58002.....								0	
58003.....								0	
58998. Summary of remaining write-ins for line 58 from overflow page.....		0	0	0	0	0	0	0	0
58999. Total (Lines 58001 thru 58003 plus 58998) (Line 58 above).....		0	0	0	0	0	0	0	0

(a) Active Status Count

L - Licensed or Chartered - Licensed insurance carrier or domiciled RRG.....	1	R - Registered - Non-domiciled RRGs.....	0
E - Eligible - Reporting entities eligible or approved to write surplus lines in the state.....	0	Q - Qualified - Qualified or accredited reinsurer.....	0
		N - None of the above - Not allowed to write business in the state.....	56

**SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER  
MEMEBERS OF A HOLDING COMPANY GROUP  
PART 1 – ORGANIZATIONAL CHART**

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## SCHEDULE Y

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

1 Group Code	2 Group Name	3 NAIC Company Code	4 ID Number	5 Federal RSSD	6 CIK	7 Name of Securities Exchange if Publicly Traded (U.S. or International)	8 Names of Parent, Subsidiaries or Affiliates	9 Domiciliary Location	10 Relationship to Reporting Entity	11 Directly Controlled by (Name of Entity/Person)	12 Type of Control (Ownership Board, Management, Attorney-in-Fact, Influence, Other)	13 If Control is Ownership Provide Percentage	14 Ultimate Controlling Entity(ies)/Person(s)	15 Is an SCA Filing Required? (Y/N)	16 *
<b>Members</b>															
1294		96156	39-1535024				Dean Health Plan Inc.	WI	RE	Dean Health Insurance Inc.	Ownership	.100.000	SSM Health Care Corporation	N	
1294		60067	39-1830837				Dean Health Insurance Inc.	WI	UDP	Dean Health Systems Inc.	Ownership	.100.000	SSM Health Care Corporation	N	
		00000	04-3608530				Navitus Health Solutions	WI	NIA	Navitus Holdings, LLC	Ownership	.100.000	SSM Health Care Corporation	N	
		00000	80-0968174				Navitus Holdings	WI	NIA	Dean Health Systems Inc.	Ownership	.100.000	SSM Health Care Corporation	N	
		00000	39-1128616				Dean Health Systems Inc.	WI	UIP	FPP, Inc.	Ownership	.100.000	SSM Health Care Corporation	N	
		00000	43-1465174				FPP, Inc.	WI	UIP	SSM Health Care Corporation, Not-for-profit Corporation.	Ownership	.100.000	SSM Health Care Corporation	N	
		00000	46-6029223				SSM Health Care Corporation	MO	UIP	Other, Not-for-profit Corporation	Ownership	.100.000		N	
		00000	43-1333488				SSM Health Business	MO	NIA	SSM Health Care Corporation, Not-for-profit Corporation.	Ownership	.100.000	SSM Health Care Corporation	N	
1294		16474	83-1979548				SSM Health Plan	MO	IA	SSM Health Business	Ownership	.100.000	SSM Health Care Corporation	N	
1294		16592	83-4718249				SSM Health Insurance Company	MO	IA	SSM Health Business	Ownership	.100.000	SSM Health Care Corporation	N	
		00000	26-1594709				Dean Health Holdings, LLC	WI	NIA	Dean Health Systems, Inc.	Ownership	.100.000	SSM Health Care Corporation	N	
		00000	84-2933639				Dean Health Service Company, LLC	WI	NIA	Dean Health Holdings, LLC	Ownership	.100.000	SSM Health Care Corporation	N	

## 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

**Explanation:**

1.

**Bar Code:**



## Overflow Page for Write-Ins

**Additional Write-ins for Statement of Revenue:**

	Current Year To Date		Prior Year To Date	Prior Year Ended December 31
	1 Uncovered	2 Total	3 Total	4 Total
2904. Other Revenue.....	.....	.....	.....	.....1,073,777
2997. Summary of remaining write-ins for Line 29.....	.....0	.....0	.....0	.....1,073,777



**SCHEDULE A - VERIFICATION**

Real Estate

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	16,898,085	17,322,859
2. Cost of acquired:		
2.1 Actual cost at time of acquisition.....	326,543	393,660
2.2 Additional investment made after acquisition.....		
3. Current year change in encumbrances.....		
4. Total gain (loss) on disposals.....	(452,762)	(252,425)
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.....	418,975	566,009
9. Book/adjusted carrying value at end of current period (Lines 1+2+3+4-5+6-7-8).....	16,352,891	16,898,085
10. Deduct total nonadmitted amounts.....		
11. Statement value at end of current period (Line 9 minus Line 10).....	16,352,891	16,898,085

**SCHEDULE B - VERIFICATION**

Mortgage Loans

	1 Year to Date	2 Prior Year Ended December 31
1. Book value/recorded investment excluding accrued interest, December 31 of prior year.....	0	
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 and commitment fees.....		
9. Total foreign exchange change in book value/recorded investment excluding accrued interest.....		
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).....	0	0
12. Total valuation allowance.....		
13. Subtotal (Line 11 plus Line 12).....	0	0
14. Deduct total nonadmitted amounts.....		
15. Statement value at end of current period (Line 13 minus Line 14).....	0	0

NONE

**SCHEDULE BA - VERIFICATION**

Other Long-Term Invested Assets

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	0	
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).....	0	0
12. Deduct total nonadmitted amounts.....		
13. Statement value at end of current period (Line 11 minus Line 12).....	0	0

NONE

**SCHEDULE D - VERIFICATION**

Bonds and Stocks

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year.....	86,081,437	86,269,943
2. Cost of bonds and stocks acquired.....	21,917,472	18,300,745
3. Accrual of discount.....	59,604	53,745
4. Unrealized valuation increase (decrease).....	5,735,464	(3,467,012)
5. Total gain (loss) on disposals.....	638,668	(131,178)
6. Deduct consideration for bonds and stocks disposed of.....	20,316,236	14,653,723
7. Deduct amortization of premium.....	196,049	292,760
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.....	3,636	1,677
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10).....	93,923,996	86,081,437
12. Deduct total nonadmitted amounts.....		
13. Statement value at end of current period (Line 11 minus Line 12).....	93,923,996	86,081,437

### 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

NAIC Designation	1 Book/Adjusted Carrying Value Beginning of Current Quarter	2 Acquisitions During Current Quarter	3 Dispositions During Current Quarter	4 Non-Trading Activity During Current Quarter	5 Book/Adjusted Carrying Value End of First Quarter	6 Book/Adjusted Carrying Value End of Second Quarter	7 Book/Adjusted Carrying Value End of Third Quarter	8 Book/Adjusted Carrying Value December 31 Prior Year
<b>BONDS</b>								
1. NAIC 1 (a).....	43,488,069	5,498,170	3,097,421	(233,074)	43,420,354	43,488,069	45,655,744	42,688,448
2. NAIC 2 (a).....	10,369,613	1,063,627	2,064,668	196,906	10,147,514	10,369,613	9,565,478	9,887,184
3. NAIC 3 (a).....	141,248		42,387	(97)	92,198	141,248	98,764	92,227
4. NAIC 4 (a).....							0	
5. NAIC 5 (a).....							0	
6. NAIC 6 (a).....							0	
7. Total Bonds.....	53,998,930	6,561,797	5,204,476	(36,265)	53,660,066	53,998,930	55,319,986	52,667,859
<b>PREFERRED STOCK</b>								
8. NAIC 1.....	191,880			(191,880)		191,880	0	
9. NAIC 2.....	373,212			191,880	565,092	373,212	565,092	565,092
10. NAIC 3.....							0	
11. NAIC 4.....							0	
12. NAIC 5.....							0	
13. NAIC 6.....							0	
14. Total Preferred Stock.....	565,092	0	0	0	565,092	565,092	565,092	565,092
15. Total Bonds and Preferred Stock.....	54,564,022	6,561,797	5,204,476	(36,265)	54,225,158	54,564,022	55,885,078	53,232,951

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(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 \$.....1,655,428; NAIC 2 \$.....0; NAIC 3 \$.....0; NAIC 4 \$.....0; NAIC 5 \$.....0; NAIC 6 \$.....0.

## 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.....	1,655,428	XXX	1,637,731		427

## 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.....	543,564	1,188,405
2. Cost of short-term investments acquired.....	1,101,314	982,730
3. Accrual of discount.....	10,550	13,853
4. Unrealized valuation increase (decrease).....		
5. Total gain (loss) on disposals.....		(78)
6. Deduct consideration received on disposals.....		1,634,877
7. Deduct amortization of premium.....		6,469
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).....	1,655,428	543,564
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	1,655,428	543,564

**Sch. DB - Pt. A - Verification  
NONE**

**Sch. DB - Pt. B - Verification  
NONE**

**Sch. DB - Pt. C - Sn. 1  
NONE**

**Sch. DB - Pt. C - Sn. 2  
NONE**

**Sch. DB - Verification  
NONE**

## SCHEDULE E - PART 2 - VERIFICATION

### Cash Equivalents

	1 Year To Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	1,026,307	1,554,435
2. Cost of cash equivalents acquired.....	21,678,906	21,858,994
3. Accrual of discount.....	149	1,973
4. Unrealized valuation increase (decrease).....		
5. Total gain (loss) on disposals.....	(144)	
6. Deduct consideration received on disposals.....	22,604,608	22,388,986
7. Deduct amortization of premium.....		109
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).....	100,610	1,026,307
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	100,610	1,026,307

### SCHEDULE A - PART 2

Showing all Real Estate ACQUIRED AND ADDITIONS MADE During the Current Quarter

1 Description of Property	Location		4 Date Acquired	5 Name of Vendor	6 Actual Cost at Time of Acquisition	7 Amount of Encumbrances	8 Book/Adjusted Carrying Value Less Encumbrances	9 Additional Investment Made After Acquisition
	2 City	3 State						
<b>Acquired by Purchase</b>								
1255 Deming Way.....	Madison.....	WI.....	.....	Various.....	.....210,712	.....	.....210,712	.....
0199999. Totals.....					.....210,712	.....0	.....210,712	.....0
0399999. Totals.....					.....210,712	.....0	.....210,712	.....0

QE01

### SCHEDULE A - PART 3

Showing all Real Estate DISPOSED During the Quarter, Including Payments During the Final Year on "Sales Under Contract "

1 Description of Property	Location		4 Disposal Date	5 Name of Purchaser	6 Actual Cost	7 Expended for Additions, Permanent Improvements and Changes in Encumbrances	8 Change in Book/Adjusted Carrying Value Less Encumbrances					14 Book/Adjusted Carrying Value Less Encumbrances on Disposal	15 Amounts Received During Year	16 Foreign Exchange Gain (Loss) on Disposal	17 Realized Gain (Loss) on Disposal	18 Total Gain (Loss) on Disposal	19 Gross Income Earned Less Interest Incurred on Encumbrances	20 Taxes, Repairs, and Expenses Incurred
	2 City	3 State					9 Current Year's Depreciation	10 Current Year's Other-Than-Temporary Impairment Recognized	11 Current Year's Change in Encumbrances	12 Total Change in B./A.C.V. (11 - 9 - 10)	13 Total Foreign Exchange Change in B./A.C.V.							
<b>NONE</b>																		

**Sch. B - Pt. 2**  
**NONE**

**Sch. B - Pt. 3**  
**NONE**

**Sch. BA - Pt. 2**  
**NONE**

**Sch. BA - Pt. 3**  
**NONE**

## SCHEDULE D - PART 3

Showing all Long-Term Bonds and Stocks ACQUIRED During 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. Government</b>									
912828 5Z 9	UNITED STATES 2.5% TREAS NTS 01-31-2024.....		08/15/2019.....	BARCLAYS CAPITAL.....		657,107	632,500	440	1.....
912810 RK 6	UNITED STATES OF AMER TREAS BONDS DTD.....		09/30/2019.....	HSBC (GLBL MRKTS EQUITIES.....		1,055,999	1,023,100	8,608	1.....
912828 2R 0	UNITED STATES TREAS BDS.....		08/13/2019.....	MORGAN STANLEY AND CO., L.....		224,520	216,600	1,724	1.....
912828 W5 5	UNITED STATES TREAS NTS 1.875% DUE.....		08/02/2019.....	RBS SECURITIES INC.....		139,799	139,200	1,128	1.....
912828 6B 1	UNITED STATES TREAS NTS 2.625% DUE.....		09/19/2019.....	BARCLAYS CAPITAL.....		1,432,940	1,329,500	10,518	1.....
912828 N3 0	UNITED STATES TREAS NTS DTD 12/31/2015.....		09/04/2019.....	J. P. MORGAN SECURITIES L.....		205,071	200,000	785	1.....
912828 6F 2	UNITED STATES TREAS NTS T-NOTE.....		09/04/2019.....	MORGAN STANLEY AND CO., L.....		577,340	549,200	4,715	1.....
0599999	Total - Bonds - U.S. Government.....					4,292,776	4,090,100	27,918	XXX.....
<b>Bonds - U.S. States, Territories and Possessions</b>									
13063D MA 3	CALIFORNIA ST GO 2.65% 04-01-2026 BEO.....		07/18/2019.....	JEFFERIES LLC.....		315,276	310,000	2,465	1FE.....
1799999	Total - Bonds - U.S. States, Territories & Possessions.....					315,276	310,000	2,465	XXX.....
<b>Bonds - U.S. Special Revenue and Special Assessment</b>									
3130AH 5N 9	FEDERAL HOME LN BKS 2.0% 06-23-2021.....		09/23/2019.....	WELLS FARGO BANK, N.A.....		499,975	500,000	28	1.....
3199999	Total - Bonds - U.S. Special Revenue and Special Assessments.....					499,975	500,000	28	XXX.....
<b>Bonds - Industrial and Miscellaneous</b>									
136385 AT 8	CDN NAT RES LTD 3.8% DUE 04-15-2024.....	A.....	09/16/2019.....	MERRILL LYNCH PIECE FENNE.....		97,244	93,000	1,502	2FE.....
172967 LV 1	CITIGROUP INC 3.142% 01-24-2023.....		09/13/2019.....	DEUTSCHE BANK SECURITIES.....		66,982	66,000	305	1FE.....
172967 FT 3	CITIGROUP INC 4.5% DUE 01-14-2022.....		09/24/2019.....	DEUTSCHE BANK SECURITIES.....		151,517	144,000	1,296	1FE.....
191216 CM 0	COCA COLA CO FIXED 2.125% DUE 09-06-2029.....		09/04/2019.....	CITIGROUP GLOBAL MARKETS.....		120,956	121,000		1FE.....
302491 AU 9	FMC CORP 3.45% DUE 10-01-2029.....		09/18/2019.....	CITIGROUP GLOBAL MARKETS.....		107,165	107,000		2FE.....
42225U AG 9	HEALTHCARE TR AMER 3.1% DUE 02-15-2030.....		09/05/2019.....	WELLS FARGO BANK, N.A.....		192,411	193,000		2FE.....
436106 AA 6	HOLLYFRONTIER CORP 5.875% DUE 04-01-2026.....		09/24/2019.....	J. P. MORGAN SECURITIES L.....		39,325	35,000	1,000	2FE.....
44409M AC 0	HUDSON PACIFIC PROPERTIES LP 3.25% DUE.....		09/30/2019.....	MERRILL LYNCH PIECE FENNE.....		106,194	107,000		2FE.....
446150 AQ 7	HUNTINGTON 2.625% DUE 08-06-2024.....		09/13/2019.....	GOLDMAN, SACHS AND CO.....		118,286	118,000	353	2FE.....
55336V AK 6	MPLX LP FIXED 4.125% DUE 03-01-2027.....		09/16/2019.....	BARCLAYS CAPITAL.....		101,885	97,000	189	2FE.....
651290 AQ 1	NEWFIELD EXPL CO 5.625% DUE 07-01-2024.....		09/16/2019.....	BARCLAYS CAPITAL.....		105,614	96,000	1,155	2FE.....
745332 CH 7	PUGET SOUND ENERGY FIXED 4.223% DUE.....		08/29/2019.....	JEFFERIES LLC.....		50,687	42,000	384	1FE.....
785592 AM 8	SABINE PASS 5.625% DUE 03-01-2025.....		09/16/2019.....	MORGAN STANLEY AND CO., L.....		50,196	45,000	120	2FE.....
78572X AF 8	SABRA HLTH CARE 4.8% DUE 06-01-2024.....		09/25/2019.....	WELLS FARGO BANK, N.A.....		28,551	27,000	425	2FE.....
84861T AF 5	SPIRIT RLTY L P 3.4% DUE 01-15-2030.....		09/09/2019.....	WELLS FARGO BANK, N.A.....		116,757	117,000		2FE.....
3899999	Total - Bonds - Industrial and Miscellaneous.....					1,453,770	1,408,000	6,729	XXX.....
8399997	Total - Bonds - Part 3.....					6,561,797	6,308,100	37,140	XXX.....
8399999	Total - Bonds.....					6,561,797	6,308,100	37,140	XXX.....
<b>Common Stocks - Industrial and Miscellaneous</b>									
88579Y 10 1	3M CO COM.....		08/02/2019.....	Investment Technology Gro.....	8.000	1,365	XXX		L.....
316773 10 0	5TH 3RD BANCORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	22.000	612	XXX		L.....
002824 10 0	ABBOTT LAB COM.....		09/20/2019.....	Goldman, Sachs and Co.....	21.000	1,773	XXX		L.....
G1151C 10 1	ACCENTURE PLC SHS CL A NEW.....	C.....	09/20/2019.....	Investment Technology Gro.....	8.000	1,536	XXX		L.....
00650F 10 9	ADAPTIVE BIOTECHNOLOGIES CORP COM USD0.0.....		09/20/2019.....	Goldman, Sachs and Co.....	22.000	884	XXX		L.....
00724F 10 1	ADOBE SYS INC COM.....		09/20/2019.....	Investment Technology Gro.....	7.000	1,999	XXX		L.....
007903 10 7	ADVANCED MICRO DEVICES INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	20.000	601	XXX		L.....
001055 10 2	AFLAC INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	12.000	624	XXX		L.....
009158 10 6	AIR PROD & CHEM INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	3.000	665	XXX		L.....
G0176J 10 9	ALLEGION PLC COMMON STOCK.....	C.....	09/20/2019.....	Goldman, Sachs and Co.....	6.000	609	XXX		L.....

QE04



### SCHEDULE D - PART 3

Showing all Long-Term Bonds and Stocks ACQUIRED During 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)
02079K 10 7	ALPHABET INC CAP STK USD0.001 CL C.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	4,888	XXX		L.....
02079K 30 5	ALPHABET INC CAPITAL STOCK USD0.001 CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	4,889	XXX		L.....
023135 10 6	AMAZON COM INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	9,006	XXX		L.....
025816 10 9	AMERICAN EXPRESS CO.....		08/02/2019.....	Investment Technology Gro.....	7.000	864	XXX		L.....
02665T 30 6	AMERICAN HOMES 4 RENT COMMON STOCK.....		09/20/2019.....	Goldman, Sachs and Co.....	25.000	633	XXX		L.....
026874 78 4	AMERICAN INTERNATIONAL GROUP INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	11.000	632	XXX		L.....
03027X 10 0	AMERICAN TOWER CORP.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	902	XXX		L.....
030420 10 3	AMERICAN WTR WKS CO INC NEW COM.....		08/02/2019.....	Investment Technology Gro.....	8.000	943	XXX		L.....
032654 10 5	ANALOG DEVICES INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	577	XXX		L.....
036752 10 3	ANTHEM INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	1,008	XXX		L.....
03748R 75 4	APARTMENT INVESTMENT & MANAGEMENT COM US.....		09/20/2019.....	Goldman, Sachs and Co.....	12.000	613	XXX		L.....
037833 10 0	APPLE INC COM STK.....		08/02/2019.....	Investment Technology Gro.....	22.000	4,470	XXX		L.....
038336 10 3	APTARGROUP INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	590	XXX		L.....
03836W 10 3	AQUA AMER INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	14.000	622	XXX		L.....
03852U 10 6	ARAMARK COM.....		09/20/2019.....	Goldman, Sachs and Co.....	15.000	633	XXX		L.....
039483 10 2	ARCHER-DANIELS-MIDLAND CO COM.....		09/20/2019.....	Goldman, Sachs and Co.....	15.000	613	XXX		L.....
045327 10 3	ASPEN TECHNOLOGY INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	634	XXX		L.....
00206R 10 2	AT&T INC COM.....		09/20/2019.....	Investment Technology Gro.....	95.000	3,467	XXX		L.....
053015 10 3	AUTOMATIC DATA PROCESSING INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	796	XXX		L.....
05338G 10 6	AVALARA INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	8.000	633	XXX		L.....
053484 10 1	AVALONBAY CMNTYS REIT.....		08/02/2019.....	Investment Technology Gro.....	6.000	1,230	XXX		L.....
05352A 10 0	AVANTOR INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	305.000	4,694	XXX		L.....
05722G 10 0	BAKER HUGHES A GE CO USD0.0001 CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	161.000	3,798	XXX		L.....
060505 10 4	BANK OF AMERICA CORP.....		08/02/2019.....	Investment Technology Gro.....	55.000	1,598	XXX		L.....
071813 10 9	BAXTER INTL INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	612	XXX		L.....
054937 10 7	BB&T CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	12.000	629	XXX		L.....
075887 10 9	BECTON DICKINSON & CO COM.....		08/02/2019.....	Investment Technology Gro.....	5.000	1,239	XXX		L.....
086516 10 1	BEST BUY INC COM STK.....		09/20/2019.....	Goldman, Sachs and Co.....	9.000	601	XXX		L.....
08862E 10 9	BEYOND MEAT INC.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	776	XXX		L.....
09073M 10 4	BIO-TECHNE CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	3.000	601	XXX		L.....
09247X 10 1	BLACKROCK INC COM STK.....		08/02/2019.....	Investment Technology Gro.....	2.000	887	XXX		L.....
09857L 10 8	BOOKING HLDGS INC COM.....		08/02/2019.....	Investment Technology Gro.....	1.000	1,849	XXX		L.....
101137 10 7	BOSTON SCIENTIFIC CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	20.000	866	XXX		L.....
109194 10 0	BRIGHT HORIZONS FA COM USD0.001.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	620	XXX		L.....
11135F 10 1	BROADCOM INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	1,403	XXX		L.....
115236 10 1	BROWN & BROWN INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	17.000	616	XXX		L.....
101121 10 1	BSTN PPTY INC.....		08/02/2019.....	Investment Technology Gro.....	12.000	1,573	XXX		L.....
12685J 10 5	CABLE ONE INC COM.....		08/02/2019.....	Investment Technology Gro.....	2.000	2,384	XXX		L.....
127387 10 8	CADENCE DESIGN SYS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	9.000	594	XXX		L.....
134429 10 9	CAMPBELL SOUP CO COM.....		09/20/2019.....	Goldman, Sachs and Co.....	13.000	608	XXX		L.....
14040H 10 5	CAPITAL ONE FINL CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	649	XXX		L.....
143658 30 0	CARNIVAL CORP COM PAIRED.....		09/20/2019.....	Goldman, Sachs and Co.....	13.000	627	XXX		L.....
146869 10 2	CARVANA CO CL A CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	8.000	604	XXX		L.....
149123 10 1	CATERPILLAR INC COM.....		08/02/2019.....	Investment Technology Gro.....	10.000	1,244	XXX		L.....

QE04.1

### SCHEDULE D - PART 3

Showing all Long-Term Bonds and Stocks ACQUIRED During 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)
12508E 10 1	CDK GLOBAL INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	13.000	621	XXX		L.....
15189T 10 7	CENTERPOINT ENERGY INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	26.000	789	XXX		L.....
15677J 10 8	CERIDIAN HCM HLDG INC COM.....		09/09/2019.....	Merrill Lynch Intl Ltd.....	30.000	1,581	XXX		L.....
15912K 10 0	CHANGE HEALTHCARE INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	66.000	874	XXX		L.....
16119P 10 8	CHARTER COMMUNICATIONS INC NEW CL A CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	2.000	841	XXX		L.....
16359R 10 3	CHEMED CORP NEW COM.....		09/20/2019.....	Goldman, Sachs and Co.....	2.000	853	XXX		L.....
16411R 20 8	CHENIERE ENERGY INC COM NEW.....		09/20/2019.....	Goldman, Sachs and Co.....	9.000	601	XXX		L.....
166764 10 0	CHEVRON CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	23.000	2,785	XXX		L.....
H1467J 10 4	CHUBB LTD ORD CHF24.15.....	C.....	08/02/2019.....	Investment Technology Gro.....	6.000	906	XXX		L.....
171340 10 2	CHURCH & DWIGHT INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	9.000	655	XXX		L.....
125523 10 0	CIGNA CORP NEW COM.....		08/02/2019.....	Investment Technology Gro.....	8.000	1,316	XXX		L.....
17275R 10 2	CISCO SYSTEMS INC.....		08/02/2019.....	Investment Technology Gro.....	24.000	1,275	XXX		L.....
172967 42 4	CITIGROUP INC COM NEW COM NEW.....		08/02/2019.....	Investment Technology Gro.....	24.000	1,604	XXX		L.....
12572Q 10 5	CME GROUP INC COM STK.....		08/02/2019.....	Investment Technology Gro.....	5.000	1,019	XXX		L.....
191216 10 0	COCA COLA CO COM.....		09/20/2019.....	Goldman, Sachs and Co.....	53.000	2,829	XXX		L.....
192446 10 2	COGNIZANT TECH SOLUTIONS CORP CL A.....		08/02/2019.....	Investment Technology Gro.....	18.000	1,139	XXX		L.....
194014 10 6	COLFAX CORP COM US .01.....		09/20/2019.....	Goldman, Sachs and Co.....	21.000	598	XXX		L.....
194162 10 3	COLGATE-PALMOLIVE CO COM.....		09/20/2019.....	Goldman, Sachs and Co.....	10.000	709	XXX		L.....
20030N 10 1	COMCAST CORP NEW-CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	51.000	2,286	XXX		L.....
205887 10 2	CONAGRA BRANDS INC COM USD5.....		09/20/2019.....	Goldman, Sachs and Co.....	21.000	626	XXX		L.....
209115 10 4	CONS EDISON INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	647	XXX		L.....
21036P 10 8	CONSTELLATION BRANDS INC CL A CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	3.000	615	XXX		L.....
217204 10 6	COPART INC COM.....		08/02/2019.....	Investment Technology Gro.....	12.000	912	XXX		L.....
22160K 10 5	COSTCO WHOLESALE CORP NEW COM.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	1,673	XXX		L.....
22822V 10 1	CROWN CASTLE INTL CORP NEW COM.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	562	XXX		L.....
229663 10 9	CUBESMART.....		09/20/2019.....	Goldman, Sachs and Co.....	17.000	606	XXX		L.....
126650 10 0	CVS HEALTH CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	18.000	1,157	XXX		L.....
232806 10 9	CYPRESS SEMICONDUCTOR CORP COM.....		08/02/2019.....	Investment Technology Gro.....	41.000	937	XXX		L.....
237194 10 5	DARDEN RESTAURANTS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	599	XXX		L.....
244199 10 5	DEERE & CO COM.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	656	XXX		L.....
247361 70 2	DELTA AIR LINES INC DEL COM NEW COM NEW.....		08/02/2019.....	Investment Technology Gro.....	16.000	966	XXX		L.....
25278X 10 9	DIAMONDBACK ENERGY INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	581	XXX		L.....
25470M 10 9	DISH NETWORK CORP CL A COM STK.....		09/20/2019.....	Spin Off.....	30.410	1,078	XXX		L.....
256677 10 5	DOLLAR GEN CORP NEW COM.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	625	XXX		L.....
256746 10 8	DOLLAR TREE INC COM STK.....		08/02/2019.....	Investment Technology Gro.....	9.000	874	XXX		L.....
257651 10 9	DONALDSON INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	12.000	622	XXX		L.....
260003 10 8	DOVER CORP COM USD1.00.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	593	XXX		L.....
26614N 10 2	DUPONT DE NEMOURS INC COMMON STOCK.....		08/02/2019.....	Investment Technology Gro.....	18.000	1,237	XXX		L.....
268150 10 9	DYNATRACE INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	49.000	1,055	XXX		L.....
27579R 10 4	EAST WEST BANCORP INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	14.000	635	XXX		L.....
G29183 10 3	EATON CORP PLC COM USD0.50.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	585	XXX		L.....
278865 10 0	ECOLAB INC COM STK USD1.....		08/02/2019.....	Investment Technology Gro.....	5.000	1,003	XXX		L.....
28176E 10 8	EDWARDS LIFESCIENCES CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	3.000	659	XXX		L.....
28414H 10 3	ELANCO ANIMAL HEALTH INC COM.....		07/17/2019.....	Merrill Lynch Intl Ltd.....	10.000	332	XXX		L.....
N14506 10 4	ELASTIC N V COM USD0.01.....		09/20/2019.....	Goldman, Sachs and Co.....	11.000	1,037	XXX		L.....

QE04.2

### SCHEDULE D - PART 3

Showing all Long-Term Bonds and Stocks ACQUIRED During 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)
291011 10 4	EMERSON ELECTRIC CO COM.....		09/20/2019.....	Goldman, Sachs and Co.....	11.000	714	XXX		L.....
29261A 10 0	ENCOMPASS HEALTH CORP COM USD0.01.....		09/20/2019.....	Goldman, Sachs and Co.....	10.000	642	XXX		L.....
29272W 10 9	ENERGIZER HLDGS INC NEW COM.....		09/20/2019.....	Goldman, Sachs and Co.....	15.000	629	XXX		L.....
29364G 10 3	ENTERGY CORP NEW COM.....		09/20/2019.....	Goldman, Sachs and Co.....	13.000	1,498	XXX		L.....
26875P 10 1	EOG RESOURCES INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	8.000	648	XXX		L.....
26884U 10 9	EPR PPTYS COM SH BEN INT COM SH BEN INT.....		09/20/2019.....	Goldman, Sachs and Co.....	8.000	614	XXX		L.....
29472R 10 8	EQTY LIFESTYLE PPTYS INC REIT.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	671	XXX		L.....
29476L 10 7	EQTY RESDNTL EFF 5/15/02.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	596	XXX		L.....
294628 10 2	EQUITY COMMONWEALTH USD0.01(BNF INT).....		09/20/2019.....	Goldman, Sachs and Co.....	18.000	602	XXX		L.....
29530P 10 2	ERIE INDY CO CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	3.000	571	XXX		L.....
30040W 10 8	EVERSOURCE ENERGY COM.....		09/20/2019.....	Goldman, Sachs and Co.....	12.000	999	XXX		L.....
30161N 10 1	EXELON CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	13.000	630	XXX		L.....
30212P 30 3	EXPEDIA GROUP INC COM USD0.001.....		09/20/2019.....	Goldman, Sachs and Co.....	29.000	4,017	XXX		L.....
302130 10 9	EXPEDITORS INTL WASH INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	8.000	592	XXX		L.....
30231G 10 2	EXXON MOBIL CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	51.000	3,662	XXX		L.....
30303M 10 2	FACEBOOK INC.....		09/20/2019.....	Investment Technology Gro.....	31.000	5,883	XXX		L.....
311900 10 4	FASTENAL CO COM.....		09/20/2019.....	Goldman, Sachs and Co.....	19.000	605	XXX		L.....
313747 20 6	FEDERAL RLTY INVT TR SH BEN INT NEW SH.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	671	XXX		L.....
31428X 10 6	FEDEX CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	744	XXX		L.....
31620M 10 6	FIDELITY NATL INFORMATION SVCS INC COM.....		08/02/2019.....	MERGER.....	373.840	30,234	XXX		L.....
33616C 10 0	FIRST REP BK SAN FRANCISCO CALIF NEW COM.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	571	XXX		L.....
337738 10 8	FISERV INC COM.....		08/02/2019.....	Investment Technology Gro.....	230.490	24,098	XXX		L.....
339041 10 5	FLEETCOR TECHNOLOGIES INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	2.000	578	XXX		L.....
302445 10 1	FLIR SYS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	12.000	638	XXX		L.....
343498 10 1	FLOWERS FOODS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	27.000	617	XXX		L.....
345370 86 0	FORD MTR CO DEL COM PAR \$0.01 COM PAR.....		09/20/2019.....	Goldman, Sachs and Co.....	84.000	770	XXX		L.....
34959E 10 9	FORTINET INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	8.000	626	XXX		L.....
34959J 10 8	FORTIVE CORP COM MON STOCK.....		09/20/2019.....	Goldman, Sachs and Co.....	9.000	614	XXX		L.....
35671D 85 7	FREEMPORT-MCMORAN INC.....		09/20/2019.....	Goldman, Sachs and Co.....	60.000	628	XXX		L.....
36555P 10 7	GARDNER DENVER HLDGS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	20.000	590	XXX		L.....
37045V 10 0	GEN MTRS CO COM.....		09/20/2019.....	Goldman, Sachs and Co.....	23.000	859	XXX		L.....
G3922B 10 7	GENPACT LIMITED COM STK USD0.01.....		08/20/2019.....	Goldman, Sachs and Co.....	9.000	368	XXX		L.....
372460 10 5	GENUINE PARTS CO COM.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	585	XXX		L.....
37940X 10 2	GLOBAL PMTS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	188.650	31,012	XXX		L.....
388689 10 1	GRAPHIC PACKAGING HLDG CO COM STK.....		09/20/2019.....	Goldman, Sachs and Co.....	43.000	615	XXX		L.....
39874R 10 1	GROCERY OUTLET HLDG CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	26.000	990	XXX		L.....
40171V 10 0	GUIDEWIRE SOFTWARE INC COM USD0.0001.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	655	XXX		L.....
406216 10 1	HALLIBURTON CO COM.....		09/20/2019.....	Goldman, Sachs and Co.....	30.000	613	XXX		L.....
416515 10 4	HARTFORD FINL SVCS GROUP INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	10.000	604	XXX		L.....
40414L 10 9	HCP INC COM REIT.....		09/20/2019.....	Goldman, Sachs and Co.....	18.000	630	XXX		L.....
422806 20 8	HEICO CORP NEW CL A CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	599	XXX		L.....
437076 10 2	HOME DEPOT INC COM.....		09/20/2019.....	Investment Technology Gro.....	14.000	3,060	XXX		L.....
440452 10 0	HORMEL FOODS CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	14.000	601	XXX		L.....
44267D 10 7	HOWARD HUGHES CORP COM STOCK.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	651	XXX		L.....

QE04.3

### SCHEDULE D - PART 3

Showing all Long-Term Bonds and Stocks ACQUIRED During 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)
444859 10 2	HUMANA INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	3.000	832	XXX		L.....
445658 10 7	HUNT J B TRANS SVCS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	571	XXX		L.....
449253 10 3	IAA SPINCO INC.....		07/15/2019.....	LIQUIDATING DIVIDEND.....	173.000	6,709	XXX		L.....
45168D 10 4	IDEXX LABS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	2.000	548	XXX		L.....
G47567 10 5	IHS MARKIT LTD COM.....	C.....	09/20/2019.....	Goldman, Sachs and Co.....	10.000	674	XXX		L.....
452308 10 9	ILL TOOL WKS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	620	XXX		L.....
452327 10 9	ILLUMINA INC COM.....		08/02/2019.....	Investment Technology Gro.....	4.000	1,175	XXX		L.....
45784P 10 1	INSULET CORP COM STK.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	623	XXX		L.....
458140 10 0	INTEL CORP COM.....		08/02/2019.....	Investment Technology Gro.....	19.000	927	XXX		L.....
45866F 10 4	INTERCONTINENTAL EXCHANGE INC COM.....		08/02/2019.....	Investment Technology Gro.....	10.000	893	XXX		L.....
459200 10 1	INTERNATIONAL BUSINESS MACHS CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	12.000	1,727	XXX		L.....
461202 10 3	INTUIT COM.....		08/02/2019.....	Investment Technology Gro.....	3.000	822	XXX		L.....
46120E 60 2	INTUITIVE SURGICAL INC COM NEW STK.....		09/20/2019.....	Goldman, Sachs and Co.....	1.000	531	XXX		L.....
46187W 10 7	INVITATION HOMES INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	80.000	2,340	XXX		L.....
45073V 10 8	ITT INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	10.000	596	XXX		L.....
46590V 10 0	JBG SMITH PROPERTIES COM USD0.01 WI.....		09/20/2019.....	Goldman, Sachs and Co.....	16.000	632	XXX		L.....
47233W 10 9	JEFFERIES FINL GROUP INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	31.000	603	XXX		L.....
G51502 10 5	JOHNSON CTLS INTL PLC COM USD0.01.....		08/02/2019.....	Investment Technology Gro.....	22.000	929	XXX		L.....
48020Q 10 7	JONES LANG LASALLE INC COM STK.....		07/01/2019.....	Morgan Stanley and Co., L.....	7.000	988	XXX		L.....
46625H 10 0	JPMORGAN CHASE & CO COM.....		08/02/2019.....	Investment Technology Gro.....	11.000	1,229	XXX		L.....
493267 10 8	KEYCORP NEW COM.....		09/20/2019.....	Goldman, Sachs and Co.....	39.000	693	XXX		L.....
49338L 10 3	KEYSIGHT TECHNOLOGIES INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	593	XXX		L.....
49427F 10 8	KILROY RLTY CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	8.000	629	XXX		L.....
494368 10 3	KIMBERLY-CLARK CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	675	XXX		L.....
49456B 10 1	KINDER MORGAN INC DEL COM.....		09/20/2019.....	Goldman, Sachs and Co.....	30.000	628	XXX		L.....
482480 10 0	KLA CORPORATION COM USD0.001.....		08/02/2019.....	Investment Technology Gro.....	9.000	1,188	XXX		L.....
485170 30 2	KS CY SOUTHN.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	792	XXX		L.....
512816 10 9	LAMAR ADVERTISING CO NEW CL A CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	8.000	640	XXX		L.....
517834 10 7	LAS VEGAS SANDS CORP COM STK.....		09/20/2019.....	Goldman, Sachs and Co.....	11.000	620	XXX		L.....
524901 10 5	LEGG MASON INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	16.000	613	XXX		L.....
526057 10 4	LENNAR CORP CL A CL A.....		08/02/2019.....	Investment Technology Gro.....	30.000	1,428	XXX		L.....
531229 60 7	LIBERTY MEDIA CORP DEL COM SER C.....		09/20/2019.....	Goldman, Sachs and Co.....	15.000	627	XXX		L.....
531229 85 4	LIBERTY MEDIA CORPORATION COM USD0.01 SE.....		09/20/2019.....	Goldman, Sachs and Co.....	15.000	632	XXX		L.....
531172 10 4	LIBERTY PPTY TR SH BEN INT.....		09/10/2019.....	JP Morgan Securities.....	12.000	613	XXX		L.....
G5494J 10 3	LINDE PLC COM USD0.001.....	C.....	09/20/2019.....	Investment Technology Gro.....	8.000	1,518	XXX		L.....
538034 10 9	LIVE NATION ENTERTAINMENT INC.....		09/20/2019.....	Goldman, Sachs and Co.....	9.000	606	XXX		L.....
548661 10 7	LOWES COS INC COM.....		08/02/2019.....	Investment Technology Gro.....	14.000	1,392	XXX		L.....
554382 10 1	MACERICH CO REIT.....		09/20/2019.....	Goldman, Sachs and Co.....	19.000	616	XXX		L.....
565849 10 6	MARATHON OIL CORP COM.....		08/02/2019.....	Investment Technology Gro.....	82.000	1,065	XXX		L.....
56585A 10 2	MARATHON PETE CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	12.000	661	XXX		L.....
574599 10 6	MASCO CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	15.000	609	XXX		L.....
57636Q 10 4	MASTERCARD INC CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	11.000	2,967	XXX		L.....
57772K 10 1	MAXIM INTEGRATED PRODS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	11.000	626	XXX		L.....
580135 10 1	MC DONALDS CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	10.000	2,107	XXX		L.....
584021 10 9	MEDALLIA INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	22.000	663	XXX		L.....

QE04.4

### SCHEDULE D - PART 3

Showing all Long-Term Bonds and Stocks ACQUIRED During 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)
58463J 30 4	MEDICAL PPTYS TR INC COM REIT.....		07/18/2019.....	Merrill Lynch Intl Ltd.....	51.000	928	XXX		L.....
G5960L 10 3	MEDTRONIC PLC COMMON STOCK.....	C.....	09/20/2019.....	Investment Technology Gro.....	17.000	1,808	XXX		L.....
59156R 10 8	METLIFE INC COM STK USD0.01.....		08/02/2019.....	Investment Technology Gro.....	19.000	899	XXX		L.....
592688 10 5	METTLER-TOLEDO INTL INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	1.000	709	XXX		L.....
595017 10 4	MICROCHIP TECHNOLOGY INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	633	XXX		L.....
595112 10 3	MICRON TECH INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	12.000	590	XXX		L.....
594918 10 4	MICROSOFT CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	96.000	13,276	XXX		L.....
60770K 10 7	MODERNA INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	218.000	3,939	XXX		L.....
608190 10 4	MOHAWK INDS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	617	XXX		L.....
609207 10 5	MONDELEZ INTL INC COM.....		08/02/2019.....	Investment Technology Gro.....	17.000	910	XXX		L.....
60937P 10 6	MONGODB INC CL A CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	24.000	3,164	XXX		L.....
609839 10 5	MONOLITHIC PWR SYS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	617	XXX		L.....
617700 10 9	MORNINGSTAR INC COM STK.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	633	XXX		L.....
620076 30 7	MOTOROLA SOLUTIONS INC.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	665	XXX		L.....
637417 10 6	NATIONAL RETAIL PPTYS INC COM STK.....		09/20/2019.....	Goldman, Sachs and Co.....	11.000	613	XXX		L.....
62886E 10 8	NCR CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	18.000	586	XXX		L.....
64110L 10 6	NETFLIX INC COM STK.....		09/20/2019.....	Investment Technology Gro.....	7.000	2,062	XXX		L.....
64828T 20 1	NEW RESIDENTIAL INVT CORP COM NEW COM.....		09/20/2019.....	Goldman, Sachs and Co.....	41.000	624	XXX		L.....
651587 10 7	NEWMARKET CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	1.000	464	XXX		L.....
651639 10 6	NEWMONT GOLDCORP CORPORATION.....		09/20/2019.....	Goldman, Sachs and Co.....	16.000	637	XXX		L.....
65339F 10 1	NEXTERA ENERGY INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	903	XXX		L.....
654106 10 3	NIKE INC CL B.....		09/20/2019.....	Goldman, Sachs and Co.....	21.000	1,758	XXX		L.....
655044 10 5	NOBLE ENERGY INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	25.000	579	XXX		L.....
655664 10 0	NORDSTROM INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	19.000	611	XXX		L.....
665859 10 4	NORTHERN TR CORP COM.....		08/02/2019.....	Investment Technology Gro.....	14.000	1,297	XXX		L.....
670346 10 5	NUCOR CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	12.000	631	XXX		L.....
67066G 10 4	NVIDIA CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	1,036	XXX		L.....
674599 10 5	OCCIDENTAL PETROLEUM CORP.....		09/20/2019.....	Goldman, Sachs and Co.....	202.660	7,053	XXX		L.....
68268W 10 3	ONEMAIN HLDGS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	17.000	638	XXX		L.....
682680 10 3	ONEOK INC COM STK.....		08/02/2019.....	Investment Technology Gro.....	22.000	1,555	XXX		L.....
68389X 10 5	ORACLE CORP COM.....		08/02/2019.....	Investment Technology Gro.....	16.000	881	XXX		L.....
69007J 10 6	OUTFRONT MEDIA INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	23.000	645	XXX		L.....
697435 10 5	PALO ALTO NETWORKS INC COM USD0.0001.....		09/20/2019.....	Goldman, Sachs and Co.....	3.000	625	XXX		L.....
700517 10 5	PARK HOTELS & RESORTS INC COM.....		09/17/2019.....	Goldman, Sachs and Co.....	55.000	1,423	XXX		L.....
701094 10 4	PARKER-HANNIFIN CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	3.000	531	XXX		L.....
704326 10 7	PAYCHEX INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	578	XXX		L.....
70450Y 10 3	PAYPAL HLDGS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	18.000	1,894	XXX		L.....
70975L 10 7	PENUMBRA INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	592	XXX		L.....
713448 10 8	PEPSICO INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	18.000	2,375	XXX		L.....
723484 10 1	PINNACLE W. CAP CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	583	XXX		L.....
693475 10 5	PNC FINANCIAL SERVICES GROUP COM STK.....		08/02/2019.....	Investment Technology Gro.....	9.000	1,225	XXX		L.....
693506 10 7	PPG IND INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	596	XXX		L.....
69354M 10 8	PRA HEALTH SCIENCES INC COM.....		09/06/2019.....	Merrill Lynch Intl Ltd.....	4.000	413	XXX		L.....
74251V 10 2	PRINCIPAL FINL GROUP INC COM STK.....		09/20/2019.....	Goldman, Sachs and Co.....	11.000	622	XXX		L.....

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### SCHEDULE D - PART 3

Showing all Long-Term Bonds and Stocks ACQUIRED During 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)
743315 10 3	PROGRESSIVE CORP OH COM.....		08/02/2019.....	Investment Technology Gro.....	11.000	877	XXX		L.....
74340W 10 3	PROLOGIS INC COM.....		08/02/2019.....	Investment Technology Gro.....	16.000	1,287	XXX		L.....
744320 10 2	PRUDENTIAL FINL INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	624	XXX		L.....
744573 10 6	PUB SERVICE ENTERPRISE GROUP INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	10.000	618	XXX		L.....
747525 10 3	QUALCOMM INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	21.000	1,529	XXX		L.....
756109 10 4	REALTY INCOME CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	8.000	607	XXX		L.....
761152 10 7	RESMED INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	673	XXX		L.....
76680R 20 6	RINGCENTRAL INC CL A CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	668	XXX		L.....
77543R 10 2	ROKU INC COM CL A COM CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	540	XXX		L.....
776696 10 6	ROPER TECHNOLOGIES.....		08/02/2019.....	Investment Technology Gro.....	3.000	1,073	XXX		L.....
778296 10 3	ROSS STORES INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	628	XXX		L.....
V7780T 10 3	ROYAL CARIBBEAN CRUISES COM STK.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	670	XXX		L.....
78409V 10 4	S&P GLOBAL INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	3.000	758	XXX		L.....
79466L 30 2	SALESFORCE COM INC COM.....		08/15/2019.....	MERGER.....	118.990	18,190	XXX		L.....
78410G 10 4	SBA COMMUNICATIONS CORP.....		09/20/2019.....	Goldman, Sachs and Co.....	2.000	514	XXX		L.....
806857 10 8	SCHLUMBERGER LTD COM COM.....		09/20/2019.....	Goldman, Sachs and Co.....	16.000	597	XXX		L.....
812578 10 2	SEATTLE GENETICS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	14.000	1,036	XXX		L.....
816851 10 9	SEMPRA ENERGY INC COM STK.....		08/02/2019.....	Investment Technology Gro.....	7.000	956	XXX		L.....
81761R 10 9	SERVICEMASTER GLOBAL HLDGS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	11.000	619	XXX		L.....
81762P 10 2	SERVICENOW INC.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	1,627	XXX		L.....
824348 10 6	SHERWIN-WILLIAMS CO COM.....		09/20/2019.....	Goldman, Sachs and Co.....	1.000	551	XXX		L.....
828806 10 9	SIMON PROPERTY GROUP INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	620	XXX		L.....
84790A 10 5	SPECTRUM BRANDS HLDGS INC COM USD0.01.....		09/15/2019.....	Spin Off.....	8.750	460	XXX		L.....
L8681T 10 2	SPOTIFY TECHNOLOGY S A COM EUR0.025.....	C.....	09/20/2019.....	Goldman, Sachs and Co.....	5.000	603	XXX		L.....
85207U 10 5	SPRINT CORP COM SER 1 COM SER 1.....		09/20/2019.....	Goldman, Sachs and Co.....	92.000	605	XXX		L.....
852234 10 3	SQUARE INC CL A CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	15.000	868	XXX		L.....
857477 10 3	STATE STR CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	10.000	601	XXX		L.....
858912 10 8	STERICYCLE INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	12.000	604	XXX		L.....
G8473T 10 0	STERIS PLC ORD USD0.001.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	587	XXX		L.....
85917A 10 0	STERLING BANCORP DEL COM.....		08/02/2019.....	Investment Technology Gro.....	45.000	912	XXX		L.....
863667 10 1	STRYKER CORP.....		09/20/2019.....	Goldman, Sachs and Co.....	3.000	664	XXX		L.....
866674 10 4	SUN COMMUNITIES INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	1,049	XXX		L.....
87105L 10 4	SWITCH INC CL A CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	39.000	609	XXX		L.....
871829 10 7	SYSCO CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	8.000	626	XXX		L.....
74144T 10 8	T ROWE PRICE GROUP INC.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	572	XXX		L.....
87612G 10 1	TARGA RES CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	15.000	622	XXX		L.....
87612E 10 6	TARGET CORP COM STK.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	640	XXX		L.....
872307 10 3	TCF FINL CORP NEW COM.....		08/15/2019.....	Merrill Lynch Intl Ltd.....	195.230	8,211	XXX		L.....
87236Y 10 8	TD AMERITRADE HLDG CORP STK.....		09/20/2019.....	Goldman, Sachs and Co.....	13.000	640	XXX		L.....
879360 10 5	TELEDYNE TECHNOLOGIES INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	2.000	638	XXX		L.....
879369 10 6	TELEFLEX INC COM.....		08/02/2019.....	Investment Technology Gro.....	3.000	1,078	XXX		L.....
882508 10 4	TEXAS INSTRUMENTS INC COM.....		09/20/2019.....	Investment Technology Gro.....	12.000	1,487	XXX		L.....
88339J 10 5	THE TRADE DESK INC COM CL A COM CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	3.000	621	XXX		L.....
886547 10 8	TIFFANY & CO COM.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	639	XXX		L.....
872540 10 9	TJX COS INC COM NEW.....		09/20/2019.....	Goldman, Sachs and Co.....	16.000	877	XXX		L.....

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### SCHEDULE D - PART 3

Showing all Long-Term Bonds and Stocks ACQUIRED During 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)
89400J 10 7	TRANSUNION COM.....		09/20/2019.....	Goldman, Sachs and Co.....	8.000	648	XXX		L.....
89417E 10 9	TRAVELERS COS INC COM STK.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	585	XXX		L.....
89469A 10 4	TREEHOUSE FOODS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	11.000	621	XXX		L.....
90138F 10 2	TWILIO INC CL A CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	8.000	914	XXX		L.....
90184L 10 2	TWITTER INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	14.000	605	XXX		L.....
902653 10 4	UDR INC COM STK.....		09/20/2019.....	Goldman, Sachs and Co.....	13.000	623	XXX		L.....
902681 10 5	UGI CORP NEW COM.....		08/21/2019.....	Merrill Lynch Intl Ltd.....	48.000	2,356	XXX		L.....
907818 10 8	UNION PAC CORP COM.....		08/02/2019.....	Investment Technology Gro.....	7.000	1,214	XXX		L.....
911312 10 6	UNITED PARCEL SVC INC CL B.....		08/02/2019.....	Investment Technology Gro.....	9.000	1,057	XXX		L.....
91324P 10 2	UNITEDHEALTH GROUP INC COM.....		09/20/2019.....	Investment Technology Gro.....	13.000	3,132	XXX		L.....
902973 30 4	US BANCORP.....		08/02/2019.....	Investment Technology Gro.....	16.000	881	XXX		L.....
912008 10 9	US FOODS HLDG CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	15.000	642	XXX		L.....
918204 10 8	V F CORP COM.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	600	XXX		L.....
91913Y 10 0	VALERO ENERGY CORP COM STK NEW.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	580	XXX		L.....
922475 10 8	VEEVA SYS INC CL A COM CL A COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	748	XXX		L.....
92276F 10 0	VENTAS INC REIT.....		09/20/2019.....	Goldman, Sachs and Co.....	16.000	1,155	XXX		L.....
92339V 10 0	VEREIT INC COM USD0.001.....		09/26/2019.....	JP Morgan Securities.....	121.000	1,200	XXX		L.....
92343V 10 4	VERIZON COMMUNICATIONS COM.....		09/20/2019.....	Goldman, Sachs and Co.....	47.000	2,753	XXX		L.....
92532F 10 0	VERTEX PHARMACEUTICALS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	5.000	891	XXX		L.....
925652 10 9	VICI PPTYS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	29.000	665	XXX		L.....
928254 10 1	VIRTU FINL INC CL A CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	31.000	595	XXX		L.....
92826C 83 9	VISA INC COM CL A STK.....		09/20/2019.....	Goldman, Sachs and Co.....	22.000	3,833	XXX		L.....
929740 10 8	WABTEC CORP COM.....		08/12/2019.....	Merrill Lynch Intl Ltd.....	30.000	2,046	XXX		L.....
931142 10 3	WALMART INC COM.....		09/20/2019.....	Investment Technology Gro.....	16.000	1,808	XXX		L.....
254687 10 6	WALT DISNEY CO.....		09/20/2019.....	Investment Technology Gro.....	23.000	3,116	XXX		L.....
92939U 10 6	WEC ENERGY GROUP INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	656	XXX		L.....
94946T 10 6	WELLCARE HLTH PLANS INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	2.000	540	XXX		L.....
949746 10 1	WELLS FARGO & CO NEW COM STK.....		08/02/2019.....	Investment Technology Gro.....	19.000	886	XXX		L.....
95040Q 10 4	WELLTOWER INC COM REIT.....		09/20/2019.....	Goldman, Sachs and Co.....	7.000	622	XXX		L.....
962166 10 4	WEYERHAEUSER CO COM.....		09/20/2019.....	Goldman, Sachs and Co.....	22.000	608	XXX		L.....
98138H 10 1	WORKDAY INC CL A COM USD0.001.....		09/20/2019.....	Goldman, Sachs and Co.....	4.000	700	XXX		L.....
98212B 10 3	WPX ENERGY INC COM SHS.....		09/20/2019.....	Goldman, Sachs and Co.....	55.000	606	XXX		L.....
98389B 10 0	XCEL ENERGY INC COM.....		08/02/2019.....	Investment Technology Gro.....	15.000	905	XXX		L.....
98421M 10 6	XEROX HLDGS CORP COM.....		08/15/2019.....	MERGER.....	238.000	7,530	XXX		L.....
983919 10 1	XILINX INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	6.000	579	XXX		L.....
989207 10 5	ZEBRA TECHNOLOGIES CORP CL A.....		09/20/2019.....	Goldman, Sachs and Co.....	3.000	611	XXX		L.....
98936J 10 1	ZENDESK INC COM.....		09/20/2019.....	Goldman, Sachs and Co.....	8.000	620	XXX		L.....
98978V 10 3	ZOETIS INC COM USD0.01 CL &#39;A&#39;.....		08/02/2019.....	Investment Technology Gro.....	9.000	1,043	XXX		L.....
9099999	Total - Common Stocks - Industrial and Miscellaneous.....					468,567	XXX	0	XXX.....
<b>Common Stocks - Mutual Funds</b>									
52106N 88 9	Lazard Emerging Markets.....		08/15/2019.....	ReinvestDiv.....	132.270	2,163	XXX		L.....
92206C 65 6	MFO VANGUARD SCOTTSDALE FDS VANGUARD.....		09/15/2019.....	ReinvestDiv.....	90.340	29,970	XXX		L.....
9299999	Total - Common Stocks - Mutual Funds.....					32,133	XXX	0	XXX.....
9799997	Total - Common Stocks - Part 3.....					500,700	XXX	0	XXX.....

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### SCHEDULE D - PART 3

Showing all Long-Term Bonds and Stocks ACQUIRED During 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)
9799999	Total - Common Stocks.....					500,700	XXX	0	XXX
9899999	Total - Preferred and Common Stocks.....					500,700	XXX	0	XXX
9999999	Total - Bonds, Preferred and Common Stocks.....					7,062,497	XXX	37,140	XXX

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



### SCHEDULE D - PART 4

Showing all Long-Term Bonds and Stocks SOLD, REDEEMED or Otherwise DISPOSED OF During 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	For reig n	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 / Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Admini- strative Symbol/ Market Indicator (a)
<b>Bonds - U.S. Government</b>																					
912828	5Z 9		09/18/2019	MORGAN STANLEY AND CO., L...	143,366	139,000	142,344				(100)		(100)	142,180		1,186	1,186	1,313	01/31/2024	1	
912810	RK 6		08/29/2019	MORGAN STANLEY AND CO., L...	39,804	36,000	33,610	33,704			10		10	33,714		6,090	6,090	496	02/15/2045	1	
912828	6B 1		09/24/2019	RBC CAPITAL MARKETS, LLC.....	398,803	368,400	392,291				(326)		(326)	391,966		6,838	6,838	5,762	02/15/2029	1	
912828	K5 8		08/30/2019	NOMURA SECS INTL NEW YORK.....	398,405	400,000	395,798	398,579			178		178	398,758		(353)	(353)	1,562	04/30/2020	1	
912828	F3 9		08/15/2019	NOMURA SECS INTL NEW YORK.....	285,083	285,200	284,900	285,162			20		20	285,182		(100)	(100)	1,866	09/30/2019	1	
912828	3B 4		08/15/2019	NESBITT BURNS.....	176,572	176,600	176,643	176,623			(9)		(9)	176,614		(42)	(42)	1,228	10/31/2019	1	
912828	6F 2		09/24/2019	BARCLAYS CAPITAL.....	234,975	224,900	235,286				(201)		(201)	235,085		(110)	(110)	2,517	02/28/2026	1	
83165A	WE 0		08/02/2019	Redemption.....	97,356	92,678	100,527				(6,097)		(6,097)	94,379		2,977	2,977	1,671	11/25/2028	1	
0599999	Total - Bonds - U.S. Government.....				1,774,364	1,722,778	1,761,399	894,068	0		(6,525)		(6,525)	1,757,878		16,486	16,486	16,415	XXX	XXX	
<b>Bonds - Industrial and Miscellaneous</b>																					
025676	AM 9		09/04/2019	CANTOR FITZGERALD AND CO.....	117,130	110,000	114,151	113,506			(73)		(73)	113,433		3,697	3,697	1,238	06/15/2027	2FE	
025816	BR 9		08/02/2019	TORONTO DOMINION BANK, TH.....	127,199	124,000	120,336				55		55	120,623		6,576	6,576	992	10/30/2024	1FE	
02666T	AA 5		08/15/2019	WELLS FARGO BANK, N.A.....	49,612	47,000	46,738	46,758			3		3	46,761		2,851	2,851	1,615	02/15/2028	2FE	
02665W	AH 4		08/15/2019	REDEMPTION.....	100,000	100,000	99,516	99,948			52		52	100,000			0	1,125	08/15/2019	1FE	
04621X	AL 2		09/26/2019	Call.....	80,000	80,000	80,016	80,000			0		0	80,000			0	678	03/26/2021	2FE	
00206R	CQ 3		08/06/2019	WELLS FARGO BANK, N.A.....	55,684	52,000	47,337	47,397			8		8	47,405		8,279	8,279	569	05/15/2046	2FE	
00206R	GL 0		08/15/2019	MORGAN STANLEY AND CO., L.....	95,756	90,000	89,542				5		5	89,564		6,191	6,191	2,936	02/15/2028	2FE	
04686J	AA 9		08/09/2019	STIFEL NICOLAUS & CO,INCO.....	94,341	93,000	92,857	92,874			1		1	92,876		1,465	1,465	2,248	01/12/2028	2FE	
06051G	HD 4		08/02/2019	MERRILL LYNCH PIECE FENNE.....	65,196	63,000	60,821				19		19	60,897		4,298	4,298	275	12/20/2028	1FE	
15135U	AM 1		08/13/2019	RBC CAPITAL MARKETS, LLC.....	66,642	65,000	62,308	62,586			32		32	62,618		4,024	4,024	921	04/15/2027	2FE	
161175	AZ 7		08/15/2019	MORGAN STANLEY AND CO., L.....	48,590	41,000	42,427	42,393			(7)		(7)	42,387		6,204	6,204	763	10/23/2035	3FE	
172967	KB 6		09/24/2019	RBC CAPITAL MARKETS, LLC.....	150,912	150,000	151,088	150,497			(89)		(89)	150,408		504	504	1,656	10/26/2020	1FE	
172967	KY 6		08/02/2019	CITIGROUP GLOBAL MARKETS.....	188,434	184,000	176,600				85		85	177,022		11,413	11,413	1,717	10/21/2026	1FE	
20030N	CR 0		08/01/2019	MITSUBISHI UFJ SECURITIES.....	75,452	71,000	73,293				(46)		(46)	73,123		2,330	2,330	803	04/15/2024	1FE	
126650	CX 6		08/01/2019	BNP PARIBAS SECURITIES CO.....	66,305	62,000	62,049						0	62,047		4,258	4,258	963	03/25/2028	2FE	
421946	AK 0		08/02/2019	SUNTRUST CAPITAL MKTS NEW.....	80,062	78,000	75,766				22		22	75,842		4,219	4,219	1,579	01/15/2028	2FE	
42225U	AB 0		09/05/2019	WELLS FARGO BANK, N.A.....	191,888	185,000	191,190	189,250			(236)		(236)	189,014		2,874	2,874	2,738	04/15/2023	2FE	
404280	BJ 7		09/04/2019	MORGAN STANLEY AND CO., L.....	204,288	200,000	203,418	202,207			(144)		(144)	202,063		2,225	2,225	3,135	03/13/2023	1FE	
44409M	AA 4		08/02/2019	SUNTRUST CAPITAL MKTS NEW.....	122,563	118,000	118,056	118,045					0	118,045		4,518	4,518	1,230	11/01/2027	2FE	

QE05

### SCHEDULE D - PART 4

Showing all Long-Term Bonds and Stocks SOLD, REDEEMED or Otherwise DISPOSED OF During Current Quarter

QE05.1

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	F o r e i g n	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 / Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Administrative Symbol/Market Indicator (a)
445658 CF 2	HUNT J B TRANS 3.875% DUE 03-01-2026		08/02/2019	U.S. BANK.....		95,462	90,000	89,995					0		89,995		5,467	5,467	1,502	03/01/2026	2FE.....
459200 JZ 5	INTERNATIONAL BUSINESS MACHS CORP 3.3%		08/15/2019	J. P. MORGAN SECURITIES L.....		110,875	106,000	105,803			3		3		105,809		5,066	5,066	787	05/15/2026	1FE.....
46647P AX 4	JPMORGAN CHASE & FLTG RT 4.452% DUE		08/02/2019	J. P. MORGAN SECURITIES L.....		113,195	101,000	101,200	94,034		(2)		(2)		101,190		12,005	12,005	762	12/05/2029	1FE.....
512807 AU 2	LAM RESH CORP FIXED 4%.....		08/06/2019	WELLS FARGO BANK, N.A.....		141,063	130,000	131,048			(14)		(14)		131,026		10,037	10,037	2,211	03/15/2029	2FE.....
53227J AB 0	LIFE STORAGE LP FIXED 4% DUE 06-15-2029		08/02/2019	WELLS FARGO BANK, N.A.....		105,323	101,000	101,096			(2)		(2)		101,094		4,229	4,229	707	06/15/2029	2FE.....
548661 DS 3	LOWES COS INC FIXED 4.55% 04-05-2049		08/06/2019	CITIGROUP GLOBAL MARKETS.....		111,638	102,000	104,688			(7)		(7)		104,678		6,960	6,960	1,586	04/05/2049	2FE.....
61746B EG 7	MORGAN STANLEY 4.375% DUE 01-22-2047		08/01/2019	MORGAN STANLEY AND CO., L.....		107,648	95,000	100,641	100,469		(10)		(10)		100,459		7,189	7,189	2,228	01/22/2047	1FE.....
693475 AW 5	PNC FINL SVCS GROUP INC 3.45% DUE		08/06/2019	CITIGROUP GLOBAL MARKETS.....		55,190	52,000	53,590			(24)		(24)		53,559		1,631	1,631	522	04/23/2029	1FE.....
75886A AQ 1	REGENCY ENERGY 5% DUE 10-01-2022		08/02/2019	BARCLAYS CAPITAL.....		127,374	120,000	129,679	126,253		(212)		(212)		126,041		1,333	1,333	2,083	10/01/2022	2FE.....
785592 AM 8	SABINE PASS 5.625% DUE 03-01-2025...		08/02/2019	WELLS FARGO BANK, N.A.....		119,198	107,000	118,134	110,333		(150)		(150)		115,665		3,533	3,533	2,591	03/01/2025	2FE.....
806854 AH 8	SCHLUMBERGER INVT 3.65% DUE 12-01-2023	D	08/05/2019	MERRILL LYNCH PIECE FENNE.....		95,635	91,000	95,803	94,471		(82)		(82)		94,389		1,246	1,246	609	12/01/2023	1FE.....
84861T AC 2	SPIRIT RLTY L P 4.45% DUE 09-15-2026		09/09/2019	WELLS FARGO BANK, N.A.....		114,560	107,000	101,930	102,226		108		108		102,334		12,226	12,226	2,328	09/15/2026	2FE.....
92343V DS 0	VERIZON 5.012% DUE 04-15-2049.....		08/01/2019	BARCLAYS CAPITAL.....		112,430	95,000	109,007			(38)		(38)		108,957		3,473	3,473	1,455	04/15/2049	2FE.....
962166 BR 4	WEYERHAEUSER CO DEB 7.375 DUE.....		09/19/2019	STIFEL NICOLAUS & CO,INCO.....		90,127	65,000	90,137	88,025		(317)		(317)		87,708		2,419	2,419	2,503	03/15/2032	2FE.....
96949L AB 1	WILLIAMS PARTNERS 4% DUE 09-15-2025		08/01/2019	PERSHING LLC.....		123,691	117,000	119,716			(41)		(41)		119,566		4,125	4,125	1,820	09/15/2025	2FE.....
3899999	Total - Bonds - Industrial and Miscellaneous.....					3,603,463	3,392,000	3,459,976	1,961,272	0	(1,101)	0	(1,101)	0	3,446,598	0	156,865	156,865	50,875	XXX	XXX
8399997	Total - Bonds - Part 4.....					5,377,827	5,114,778	5,221,375	2,855,340	0	(7,626)	0	(7,626)	0	5,204,476	0	173,351	173,351	67,290	XXX	XXX
8399999	Total - Bonds.....					5,377,827	5,114,778	5,221,375	2,855,340	0	(7,626)	0	(7,626)	0	5,204,476	0	173,351	173,351	67,290	XXX	XXX
<b>Common Stocks - Industrial and Miscellaneous</b>																					
31946M 10 3	1ST CTZNS BANCSHARES INC N C CL A		09/20/2019	Goldman, Sachs and Co.....	1,000	474	XXX	415	450	(36)			(36)		415		60	60		XXX	L.....
02156K 10 3	ALTICE USA INC CL A CL A.....		09/20/2019	Goldman, Sachs and Co.....	21,000	616	XXX	511					0		511		105	105		XXX	L.....
G02602 10 3	AMDOCS ORD GBP0.01.....		09/20/2019	Goldman, Sachs and Co.....	9,000	592	XXX	569	559	11			11		569		23	23		XXX	L.....
030420 10 3	AMERICAN WTR WKS CO INC NEW COM		09/20/2019	Goldman, Sachs and Co.....	8,000	983	XXX	712	928	(216)			(216)		712		271	271	4	XXX	L.....
03076C 10 6	Ameriprise Financial Inc.....		09/20/2019	Goldman, Sachs and Co.....	4,000	583	XXX	347	581	(234)			(234)		347		237	237	4	XXX	L.....
032511 10 7	ANADARKO PETRO CORP COM.....		08/09/2019	BANK OF AMERICA CORPORATI.....	643,000	44,350	XXX	33,777	44,100	(11,593)			(11,593)		33,777		10,573	10,573		XXX	L.....
G0408V 10 2	AON PLC COM.....	C	09/20/2019	Goldman, Sachs and Co.....	5,000	965	XXX	704	965	(260)			(260)		704		261	261	2	XXX	L.....
037833 10 0	Apple Inc.....		09/20/2019	Goldman, Sachs and Co.....	70,000	15,242	XXX	4,976	13,854	(8,878)			(8,878)		4,976		10,265	10,265	54	XXX	L.....
042735 10 0	ARROW ELECTR INC COM.....		09/20/2019	Goldman, Sachs and Co.....	8,000	590	XXX	625	570	55			55		625		(35)	(35)		XXX	L.....
053484 10 1	AVALONBAY CMNTYS REIT.....		09/20/2019	Goldman, Sachs and Co.....	3,000	627	XXX	552	610	(57)			(57)		552		75	75		XXX	L.....
054561 10 5	AXA EQUITABLE HLDGS INC COM.....		09/20/2019	Goldman, Sachs and Co.....	28,000	633	XXX	607	585	22			22		607		26	26	4	XXX	L.....
060505 10 4	BANK OF AMERICA CORP.....		09/20/2019	Goldman, Sachs and Co.....	174,000	5,149	XXX	4,827	5,046	(219)			(219)		4,827		321	321	31	XXX	L.....
075887 10 9	BECTON DICKINSON & CO COM.....		09/20/2019	Goldman, Sachs and Co.....	2,000	507	XXX	447	504	(57)			(57)		447		60	60	2	XXX	L.....
09857L 10 8	BOOKING HLDGS INC.....		09/20/2019	Goldman, Sachs and Co.....	1,000	2,032	XXX	1,884	1,875	9			9		1,884		148	148		XXX	L.....
101121 10 1	Boston Pptys Inc Com.....		09/20/2019	Goldman, Sachs and Co.....	9,000	1,171	XXX	1,154	1,161	(7)			(7)		1,154		17	17		XXX	L.....

## SCHEDULE D - PART 4

Showing all Long-Term Bonds and Stocks SOLD, REDEEMED or Otherwise DISPOSED OF During 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	For rei gn	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 / Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Admini- strative Symbol/ Market Indicator (a)	
11282X 10 3	BROOKFIELD PPTY REIT INC COM.....		09/20/2019.	Goldman, Sachs and Co.....	31.000	617	XXX	1,819	586	1,233			1,233		1,819		(1,202)	(1,202)	10	XXX	L.....	
115637 10 0	BROWN FORMAN CORP CL A CL A.....		09/20/2019.	Goldman, Sachs and Co.....	10.000	616	XXX	555	550	5			5		555		61	61		XXX	L.....	
12685J 10 5	CABLE ONE INC COM.....		09/20/2019.	Goldman, Sachs and Co.....	1.000	1,243	XXX	704	1,171	(467)			(467)		704		539	539	2	XXX	L.....	
127097 10 3	CABOT OIL & GAS CORP COM.....		09/20/2019.	Goldman, Sachs and Co.....	34.000	614	XXX	974	781	194			194		974		(361)	(361)	3	XXX	L.....	
149123 10 1	CATERPILLAR INC COM.....		09/20/2019.	Goldman, Sachs and Co.....	15.000	1,922	XXX	2,070	2,044	25			25		2,070		(147)	(147)	15	XXX	L.....	
156782 10 4	CERNER CORP COM.....		09/20/2019.	Goldman, Sachs and Co.....	9.000	616	XXX	591	660	(69)			(69)		591		25	25		XXX	L.....	
125523 10 0	CIGNA CORP COM.....		09/20/2019.	Goldman, Sachs and Co.....	4.000	646	XXX	481	630	(150)			(150)		481		165	165		XXX	L.....	
17275R 10 2	Cisco Systems Inc.....		09/20/2019.	Goldman, Sachs and Co.....	120.000	5,952	XXX	3,469	6,568	(3,098)			(3,098)		3,469		2,483	2,483	42	XXX	L.....	
172967 42 4	Citigroup Inc.....		09/20/2019.	Goldman, Sachs and Co.....	61.000	4,231	XXX	2,414	4,272	(1,858)			(1,858)		2,414		1,816	1,816	31	XXX	L.....	
192446 10 2	COGNIZANT TECH SOLUTIONS CORP CL A		09/20/2019.	Goldman, Sachs and Co.....	24.000	1,483	XXX	1,795	1,521	274			274		1,795		(312)	(312)	5	XXX	L.....	
20825C 10 4	CONOCOPHILLIPS COM.....		09/20/2019.	Goldman, Sachs and Co.....	16.000	973	XXX	861	976	(115)			(115)		861		112	112	5	XXX	L.....	
217204 10 6	COPART INC COM.....		09/20/2019.	Goldman, Sachs and Co.....	7.000	578	XXX	253	523	(270)			(270)		253		325	325		XXX	L.....	
22160N 10 9	COSTAR GROUP INC COM.....		09/20/2019.	Goldman, Sachs and Co.....	1.000	595	XXX	299	554	(255)			(255)		299		296	296		XXX	L.....	
126408 10 3	CSX CORP COM.....		09/20/2019.	Goldman, Sachs and Co.....	9.000	618	XXX	459	696	(237)			(237)		459		158	158	2	XXX	L.....	
232806 10 9	CYPRESS SEMICONDUCTOR CORP COM		09/20/2019.	Goldman, Sachs and Co.....	26.000	604	XXX	429	578	(149)			(149)		429		175	175		XXX	L.....	
23283R 10 0	CYRUSONE INC COM.....		09/20/2019.	Goldman, Sachs and Co.....	8.000	621	XXX	499	462	37			37		499		122	122		XXX	L.....	
23918K 10 8	DAVITA INC COM.....		09/20/2019.	Goldman, Sachs and Co.....	10.000	600	XXX	595	563	32			32		595		5	5		XXX	L.....	
247361 70 2	Delta Airlines Inc.....		09/20/2019.	Goldman, Sachs and Co.....	10.000	586	XXX	370	568	(198)			(198)		370		216	216	4	XXX	L.....	
254709 10 8	Discover Financial Services.....		09/20/2019.	Goldman, Sachs and Co.....	7.000	581	XXX	391	543	(152)			(152)		391		189	189	3	XXX	L.....	
25470M 10 9	DISH NETWORK CORP CL A COM STK..		09/15/2019.	Sale of Fractions.....	0.410	14	XXX	21	16	5			5		21		(7)	(7)		XXX	L.....	
256746 10 8	DOLLAR TREE INC COM STK.....		09/20/2019.	Goldman, Sachs and Co.....	5.000	555	XXX	467	537	(70)			(70)		467		88	88		XXX	L.....	
26614N 10 2	DUPONT DE NEMOURS INC.....		09/20/2019.	Goldman, Sachs and Co.....	9.000	644	XXX	3,251		2,575			2,575		3,251		(2,607)	(2,607)	3	XXX	L.....	
23355L 10 6	DXC TECHNOLOGY CO COM.....		09/20/2019.	Goldman, Sachs and Co.....	19.000	605	XXX	1,534	1,048	486			486		1,534		(930)	(930)		XXX	L.....	
26969P 10 8	EAGLE MATLS INC COM.....		09/20/2019.	Goldman, Sachs and Co.....	7.000	635	XXX	724	649	75			75		724		(89)	(89)		XXX	L.....	
277432 10 0	Eastman Chem Co Com.....		09/20/2019.	Goldman, Sachs and Co.....	9.000	651	XXX	698	700	(3)			(3)		698		(47)	(47)		XXX	L.....	
278642 10 3	EBAY INC COM USD0.001.....		09/20/2019.	Goldman, Sachs and Co.....	26.000	1,049	XXX	974	1,027	(53)			(53)		974		75	75	4	XXX	L.....	
278768 10 6	ECHOSTAR CORPORATION.....		09/15/2019.	Liquidating Div.....		491	XXX	491	408	84			84		491			0			XXX	L.....
30034W 10 6	EVERGY INC COMPANY.....		09/20/2019.	Goldman, Sachs and Co.....	9.000	594	XXX	486	541	(55)			(55)		486		108	108	4	XXX	L.....	
31620M 10 6	FIDELITY NATL INFORMATION SVCS INC COM		08/15/2019.	SALE OF FRACTIONS.....	0.840	112	XXX	78	103	(25)			(25)		78		34	34		XXX	L.....	
32008D 10 6	FIRST DATA CORP NEW COM CL A COM CL A		07/29/2019.	MERGER.....	731.000	23,165	XXX	13,456	18,976	(6,332)			(6,332)		13,456		9,709	9,709		XXX	L.....	
337738 10 8	FISERV INC COM.....		08/15/2019.	SALE OF FRACTIONS.....	0.490	51	XXX	31	45	(14)			(14)		31		20	20		XXX	L.....	
339750 10 1	FLOOR & DECOR HLDGS INC CL A CL A		09/20/2019.	Goldman, Sachs and Co.....	13.000	638	XXX	544	545				0		544		93	93		XXX	L.....	
38141G 10 4	GOLDMAN SACHS GROUP INC COM.....		09/20/2019.	Goldman, Sachs and Co.....	3.000	641	XXX	732	614	118			118		732		(91)	(91)	4	XXX	L.....	
384802 10 4	GRAINGER W W INC COM.....		09/20/2019.	Goldman, Sachs and Co.....	2.000	584	XXX	408	536	(128)			(128)		408		176	176	3	XXX	L.....	
42824C 10 9	HEWLETT PACKARD ENTERPRISE CO COM		09/20/2019.	Goldman, Sachs and Co.....	42.000	606	XXX	570	628	(58)			(58)		570		36	36		XXX	L.....	
43283X 10 5	HILTON GRAND VACATIONS INC COM..		09/20/2019.	Goldman, Sachs and Co.....	18.000	603	XXX	736	573	163			163		736		(133)	(133)		XXX	L.....	

QE05.2

### SCHEDULE D - PART 4

Showing all Long-Term Bonds and Stocks SOLD, REDEEMED or Otherwise DISPOSED OF During Current Quarter

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										11	12	13	14	15							
CUSIP Identification	Description	For rei gn	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 / Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Admini- strative Symbol/ Market Indicator (a)
436106 10 8	HOLLYFRONTIER CORP COM.....		09/20/2019	Goldman, Sachs and Co.....	12.000	632	XXX	506	555	(49)			(49)		506		126	126	4	XXX	L.....
40434L 10 5	HP Inc Com.....		09/20/2019	Goldman, Sachs and Co.....	33.000	610	XXX	494	686	(192)			(192)		494		116	116		XXX	L.....
452327 10 9	ILLUMINA INC COM.....		09/20/2019	Goldman, Sachs and Co.....	2.000	619	XXX	419	736	(317)			(317)		419		200	200		XXX	L.....
457187 10 2	INGREDION INC COM.....		09/20/2019	Goldman, Sachs and Co.....	7.000	574	XXX	907	577	330			330		907		(333)	(333)		XXX	L.....
458140 10 0	Intel Corp.....		09/20/2019	Goldman, Sachs and Co.....	24.000	1,217	XXX	826	1,149	(323)			(323)		826		391	391	8	XXX	L.....
47233W 10 9	JEFFERIES FINL GROUP INC.....		09/15/2019	Liquidating Div.....		460	XXX	460	318	111			111		460			0		XXX	L.....
G51502 10 5	JOHNSON CTLS INTL PLC COM.....		09/20/2019	Goldman, Sachs and Co.....	135.000	5,928	XXX	5,560	5,577	(17)			(17)		5,560		368	368		XXX	L.....
46625H 10 0	JPMorgan Chase & Co.....		09/20/2019	Goldman, Sachs and Co.....	29.000	3,448	XXX	1,644	3,242	(1,598)			(1,598)		1,644		1,804	1,804	23	XXX	L.....
48238T 10 9	KAR AUCTION SVCS INC COM STK.....		07/15/2019	LIQUIDATING DIVIDEND.....		6,709	XXX	6,709	2,924	3,785			3,785		6,709			0		XXX	L.....
482480 10 0	Kla-Tencor Corp Com.....		09/20/2019	Goldman, Sachs and Co.....	8.000	1,244	XXX	724	946	(221)			(221)		724		520	520	6	XXX	L.....
512807 10 8	Lam Resh Corp Com.....		09/20/2019	Goldman, Sachs and Co.....	5.000	1,177	XXX	628	939	(311)			(311)		628		549	549		XXX	L.....
521865 20 4	Lear Corp.....		09/20/2019	Goldman, Sachs and Co.....	5.000	595	XXX	628	696	(68)			(68)		628		(34)	(34)	4	XXX	L.....
526057 10 4	LENNAR CORP CL A CL A.....		09/20/2019	Goldman, Sachs and Co.....	16.000	866	XXX	885	775	110			110		885		(20)	(20)	1	XXX	L.....
501889 20 8	LKQ CORP COM LKQ CORP.....		09/20/2019	Goldman, Sachs and Co.....	19.000	604	XXX	714	506	208			208		714		(110)	(110)		XXX	L.....
548661 10 7	Lowe&#39;s Companies Inc.....		09/20/2019	Goldman, Sachs and Co.....	19.000	2,108	XXX	1,316	1,917	(602)			(602)	1,316		793	793	10	XXX	L.....	
N53745 10 0	LyondellBasell Industries.....		09/20/2019	Goldman, Sachs and Co.....	31.000	2,737	XXX	2,617	2,670	(53)			(53)	2,617		120	120	33	XXX	L.....	
565849 10 6	MARATHON OIL CORP COM.....		09/20/2019	Goldman, Sachs and Co.....	95.000	1,252	XXX	1,537	1,350	188			188	1,537		(285)	(285)	5	XXX	L.....	
570535 10 4	MARKEL CORP HOLDING CO COM.....		09/20/2019	Goldman, Sachs and Co.....	1.000	1,185	XXX	1,084	1,090	(6)			(6)	1,084		102	102		XXX	L.....	
57665R 10 6	MATCH GROUP INC COM.....		09/20/2019	Goldman, Sachs and Co.....	8.000	629	XXX	208	538	(330)			(330)	208		421	421		XXX	L.....	
58155Q 10 3	MCKESSON CORP.....		09/20/2019	Goldman, Sachs and Co.....	6.000	881	XXX	812	806	5			5	812		69	69		XXX	L.....	
59156R 10 8	METLIFE INC COM STK.....		09/20/2019	Goldman, Sachs and Co.....	19.000	901	XXX	1,033	944	89			89	1,033		(132)	(132)	8	XXX	L.....	
552953 10 1	MGM RESORTS INTERNATIONAL COM.....		09/20/2019	Goldman, Sachs and Co.....	21.000	606	XXX	662	600	62			62	662		(57)	(57)	3	XXX	L.....	
G54050 10 2	MLP LAZARD LTD CL A.....		09/20/2019	Goldman, Sachs and Co.....	17.000	668	XXX	858	628	229			229	858		(190)	(190)		XXX	L.....	
617446 44 8	MORGAN STANLEY COM.....		09/20/2019	Goldman, Sachs and Co.....	14.000	611	XXX	703	613	89			89	703		(91)	(91)	5	XXX	L.....	
649445 10 3	NEW YORK CMNTY BANCORP INC COM.....		09/20/2019	Goldman, Sachs and Co.....	49.000	612	XXX	610	489	121			121	610		1	1	8	XXX	L.....	
665859 10 4	Northern Tr Corp Com.....		09/20/2019	Goldman, Sachs and Co.....	10.000	943	XXX	869	900	(31)			(31)	869		74	74		XXX	L.....	
67103H 10 7	O REILLY AUTOMOTIVE INC.....		09/20/2019	Goldman, Sachs and Co.....	2.000	798	XXX	420	739	(319)			(319)	420		378	378		XXX	L.....	
674599 10 5	Occidental Pete Corp Com.....		09/15/2019	Sale of Fractions.....	0.660	29	XXX	43	33	10			10	43		(14)	(14)		XXX	L.....	
682680 10 3	ONEOK INC COM STK.....		09/20/2019	Goldman, Sachs and Co.....	13.000	985	XXX	687	895	(207)			(207)	687		298	298	12	XXX	L.....	
68389X 10 5	ORACLE CORP COM.....		09/20/2019	Goldman, Sachs and Co.....	57.000	3,048	XXX	2,876	3,247	(371)			(371)	2,876		172	172	14	XXX	L.....	
693475 10 5	Pnc Finl Svcs Group Inc Com.....		09/20/2019	Goldman, Sachs and Co.....	10.000	1,409	XXX	1,271	1,373	(102)			(102)	1,271		138	138	12	XXX	L.....	
74340W 10 3	PROLOGIS INC COM.....		09/20/2019	Goldman, Sachs and Co.....	7.000	590	XXX	411	561	(150)			(150)	411		180	180	4	XXX	L.....	
74736K 10 1	QORVO INC COM.....		09/20/2019	Goldman, Sachs and Co.....	8.000	608	XXX	625	533	92			92	625		(17)	(17)		XXX	L.....	
74915M 10 0	QURATE RETAIL GROUP INC.....		09/20/2019	Goldman, Sachs and Co.....	56.000	592	XXX	1,259	694	566			566	1,259		(668)	(668)		XXX	L.....	
754730 10 9	RAYMOND JAMES FNCL INC COM STK.....		09/20/2019	Goldman, Sachs and Co.....	7.000	589	XXX	597	592	5			5	597		(7)	(7)		XXX	L.....	
756577 10 2	RED HAT INC COM.....		07/15/2019	MERGER.....	225.000	42,750	XXX	28,172	41,495	(14,074)			(14,074)	28,172		14,578	14,578		XXX	L.....	
7591EP 10 0	Regions Finl Corp New Com.....		09/20/2019	Goldman, Sachs and Co.....	38.000	607	XXX	574	568	6			6	574		32	32		XXX	L.....	
773903 10 9	ROCKWELL AUTOMATION.....		09/20/2019	Goldman, Sachs and Co.....	4.000	648	XXX	787	655	132			132	787		(139)	(139)	4	XXX	L.....	
776696 10 6	ROPER TECHNOLOGIES.....		09/20/2019	Goldman, Sachs and Co.....	2.000	719	XXX	517	733	(216)			(216)	517		202	202	1	XXX	L.....	
79466L 30 2	SALESFORCE COM INC COM STK.....		09/15/2019	Sale of Fractions.....	0.990	142	XXX	101	150	(49)			(49)	101		41	41		XXX	L.....	
808513 10 5	SCHWAB CHARLES CORP COM NEW.....		09/20/2019	Goldman, Sachs and Co.....	14.000	599	XXX	624	563	61			61	624		(25)	(25)	2	XXX	L.....	

QE05.3

### SCHEDULE D - PART 4

Showing all Long-Term Bonds and Stocks SOLD, REDEEMED or Otherwise DISPOSED OF During 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	For rei gn	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 / Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation and Admini- strative Symbol/ Market Indicator (a)
831865 20 9	SMITH A O CORP COM.....		09/20/2019	Goldman, Sachs and Co.....	13.000	617	XXX	777	613	163			163		777		(159)	(159)	3	XXX	L.....
84790A 10 5	SPECTRUM BRANDS HLDGS INC COM USD0.01		09/20/2019	Goldman, Sachs and Co.....	12.000	596	XXX	955	645	310			310		955		(359)	(359)	5	XXX	L.....
855244 10 9	STARBUCKS CORP COM.....		09/20/2019	Goldman, Sachs and Co.....	7.000	631	XXX	395	587	(191)			(191)		395		235	235	3	XXX	L.....
85917A 10 0	STERLING BANCORP DEL COM.....		09/20/2019	Goldman, Sachs and Co.....	49.000	994	XXX	1,188	1,043	146			146		1,188		(194)	(194)	3	XXX	L.....
871503 10 8	SYMANTEC CORP COM.....		09/20/2019	Goldman, Sachs and Co.....	26.000	621	XXX	757	566	192			192		757		(136)	(136)	2	XXX	L.....
87165B 10 3	Synchrony Finl.....		09/20/2019	Goldman, Sachs and Co.....	20.000	677	XXX	741	693	48			48		741		(64)	(64)	4	XXX	L.....
87161C 50 1	SYNOVUS FINL CORP COM NEW COM NEW		09/20/2019	Goldman, Sachs and Co.....	17.000	614	XXX	799	595	204			204		799		(185)	(185)		XXX	L.....
87336U 10 5	TABLEAU SOFTWARE INC CL A CL A.....		08/15/2019	MERGER.....	97.000	16,444	XXX	7,867	15,108	(8,237)			(8,237)		7,867		8,577	8,577		XXX	L.....
872307 10 3	TCF FINL CORP NEW COM.....		09/15/2019	Sale of Fractions.....	0.230	10	XXX	10		0			0		10			0		XXX	L.....
872275 10 2	TCF FNCL CORP COM.....		08/15/2019	MERGER.....	213.000	4,554	XXX	4,121	4,428	(307)			(307)		4,121		433	433		XXX	L.....
879369 10 6	TELEFLEX INC COM.....		09/20/2019	Goldman, Sachs and Co.....	2.000	688	XXX	515	662	(148)			(148)		515		173	173	1	XXX	L.....
880770 10 2	TERADYNE INC COM.....		09/20/2019	Goldman, Sachs and Co.....	11.000	640	XXX	476	527	(51)			(51)		476		165	165	1	XXX	L.....
891906 10 9	TOTAL SYS SVCS INC COM.....		09/15/2019	MERGER.....	223.000	29,719	XXX	16,405	28,604	(12,199)			(12,199)		16,405		13,314	13,314	29	XXX	L.....
893641 10 0	TRANSDIGM GROUP INC COM.....		09/20/2019	Goldman, Sachs and Co.....	1.000	527	XXX	283	484	(200)			(200)		283		244	244	30	XXX	L.....
896047 50 3	TRIBUNE MEDIA COMPANY CLASS A COMMON STO		09/15/2019	MERGER.....	112.000	5,229	XXX	4,506	5,177	(671)			(671)		4,506		723	723	28	XXX	L.....
910047 10 9	UNITED CONTL HLDGS INC COM STK.....		09/20/2019	Goldman, Sachs and Co.....	7.000	624	XXX	419	613	(194)			(194)		419		204	204		XXX	L.....
902973 30 4	US BANCORP.....		09/20/2019	Goldman, Sachs and Co.....	18.000	998	XXX	988	943	45			45		988		10	10		XXX	L.....
941848 10 3	WATERS CORP COM.....		09/20/2019	Goldman, Sachs and Co.....	3.000	686	XXX	588	646	(58)			(58)		588		98	98		XXX	L.....
949746 10 1	Wells Fargo & Co.....		09/20/2019	Goldman, Sachs and Co.....	68.000	3,307	XXX	3,721	3,218	503			503		3,721		(414)	(414)	35	XXX	L.....
959802 10 9	WESTERN UNION CO.....		09/20/2019	Goldman, Sachs and Co.....	27.000	608	XXX	527	537	(10)			(10)		527		81	81	5	XXX	L.....
96145D 10 5	Westrock Co Com.....		09/20/2019	Goldman, Sachs and Co.....	17.000	610	XXX	971	620	351			351		971		(360)	(360)	8	XXX	L.....
981558 10 9	WORLDPAY INC COM USD0.00001 CL A.....		08/01/2019	Goldman, Sachs and Co.....	395.000	33,676	XXX	31,979	45,589	(16,429)			(16,429)		31,979		1,697	1,697		XXX	L.....
984121 60 8	Xerox Corp Com New.....		08/15/2019	MERGER.....	238.000	7,530	XXX	7,672	8,428	(756)			(756)		7,672		(142)	(142)		XXX	L.....
9099999	Total - Common Stocks - Industrial and Miscellaneous.....					332,377	XXX	255,373	328,308	(80,806)			(80,806)		255,373		76,999	76,999	565	XXX	XXX
9799997	Total - Common Stocks - Part 4.....					332,377	XXX	255,373	328,308	(80,806)			(80,806)		255,373		76,999	76,999	565	XXX	XXX
9799999	Total - Common Stocks.....					332,377	XXX	255,373	328,308	(80,806)			(80,806)		255,373		76,999	76,999	565	XXX	XXX
9899999	Total - Preferred and Common Stocks.....					332,377	XXX	255,373	328,308	(80,806)			(80,806)		255,373		76,999	76,999	565	XXX	XXX
9999999	Total - Bonds, Preferred and Common Stocks.....					5,710,204	XXX	5,476,748	3,183,648	(80,806)			(88,432)		5,459,849		250,350	250,350	67,855	XXX	XXX

QE05.4

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

**Sch. DB - Pt. A - Sn. 1**  
**NONE**

**Sch. DB - Pt. B - Sn. 1**  
**NONE**

**Sch. DB - Pt. D - Sn. 1**  
**NONE**

**Sch. DB - Pt. D - Sn. 2**  
**NONE**

**Sch. DL - Pt. 1**  
**NONE**

**Sch. DL - Pt. 2**  
**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 First Month	7 Second Month	8 Third Month	
<b>Open Depositories</b>								
JP Morgan Chase Bank, N.A. - Dean TPA Trust..... Madison, WI.....		1.610	5,872		1,923,422	2,091,447	2,226,295	XXX
JP Morgan Chase Bank, N.A. - Money Market Demand..... Madison, WI.....		1.980	482,819		92,821,541	92,977,615	93,128,908	XXX
JP Morgan Chase Bank, N.A. - Operating..... Madison, WI.....		1.650	430,916		71,791,222	42,458,334	38,242,825	XXX
JP Morgan Chase Bank, N.A. - Operating Export..... Madison, WI.....		1.610	10,546		4,526,821	3,161,796	3,939,694	XXX
0199999. Total Open Depositories.....	XXX	XXX	930,153	0	171,063,006	140,689,192	137,537,722	XXX
0399999. Total Cash on Deposit.....	XXX	XXX	930,153	0	171,063,006	140,689,192	137,537,722	XXX
0499999. Cash in Company's Office.....	XXX	XXX	XXX	XXX	200	200	200	XXX
0599999. Total Cash.....	XXX	XXX	930,153	0	171,063,206	140,689,392	137,537,922	XXX

## 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 the SVO</b>								
665279 87 3	NORTHERN INST TREASURY PREMIER SHARES.....		09/30/2019.....	.....1.930		.....100,610	.....1,272	.....15,437
8599999. Total - Exempt Money Market Mutual Funds as Identified by the SVO.....						.....100,610	.....1,272	.....15,437
8899999. Total - Cash Equivalents.....						.....100,610	.....1,272	.....15,437

QE13