## December 31, 2021 - Annual Statement

Iowa Company Number: 0100

## West Side Mutual Insurance Association

Jamie Garringer 120 VINTON ST, PO BOX 200 PALO IA 52324

## **ASSETS**

|            |  |   | Current Year       |   | Prior Year             |
|------------|--|---|--------------------|---|------------------------|
|            |  | 1                                       | 2                  | 3                                       | 4                      |
|            |  | Assets                                  | Nonadmitted Assets | Net Admitted Assets<br>(Cols. 1 - 2)    | Net Admitted<br>Assets |
| 1.         | Bonds (Schedule D)   | 4,086,174                               |                    | 4,086,174                               | 4,194,461              |
| 2.         | Stocks (Schedule D):   |   |                    |   |                        |
|            | 2.1 Preferred stocks   |   |                    |   |                        |
|            | 2.2 Common stocks  | 3,309,229                               | <b></b>            | 3,309,229                               | 2,632,610              |
|            | Mortgage loans on real estate (Schedule B): 3.1 First liens  |   |                    |   |                        |
|            | 3.2 Other than first liens   |   |                    |   |                        |
| 4.         | Real estate (Schedule A):  |   |                    |   |                        |
|            | 4.1 Properties occupied by the company (less   |   |                    |   |                        |
|            | \$ encumbrances)   | 45,268                                  |                    | 45,268                                  | 46,685                 |
|            | 4.2 Properties held for the production of income   |   |                    |   |                        |
|            | (less \$encumbrances)  |   |                    |   |                        |
|            | 4.3 Properties held for sale (less   |   |                    |   |                        |
|            | \$encumbrances)  |   |                    |   |                        |
| 5.         | Cash (\$   |   |                    |   |                        |
|            | (\$591,976 , Schedule E-Part 2) and short-term   | 750 442                                 |                    | 750,113                                 | 649 113                |
|            | investments (\$, Schedule DA)  |   |                    | 1                                       | 040, 113               |
| I          | Contract loans (including \$premium notes)   |   |                    |   |                        |
| 7.         | Derivatives (Schedule DB)  Other invested assets (Schedule BA)   |   | 1                  |   |                        |
| 8.<br>9.   | Other invested assets (Schedule BA)  Receivables for securities  |   |                    | i I                                     |                        |
| 9.<br>10.  | Securities lending reinvested collateral assets (Schedule DL)  |   |                    |   |                        |
| 11.        | Aggregate write-ins for invested assets  |   | l .                |   |                        |
| 12.        | Subtotals, cash and invested assets (Lines 1 to 11)  | 8.190.783                               |                    | 8,190,783                               | 7,521,869              |
| 13.        | Title plants less \$charged off (for Title insurers  | ,                                       |                    |   |                        |
|            | only)  |   |                    |   |                        |
| 14.        | Investment income due and accrued  |   |                    | 32,917                                  | 32,959                 |
| 15.        | Premiums and considerations:   |   |                    |   |                        |
|            | 15.1 Uncollected premiums and agents' balances in the course of  |   |                    | [                                       |                        |
|            | collection   | 1,329                                   | (41)               | 1,370                                   | (176)                  |
|            | 15.2 Deferred premiums, agents' balances and installments booked but   |   |                    |   |                        |
| ļ          | deferred and not yet due (including \$earned   | *                                       |                    |   |                        |
| Ì          | but unbilled premiums)   |   | ļ                  |   |                        |
|            | 15.3 Accrued retrospective premiums (\$) and   |   |                    | ļ                                       |                        |
|            | contracts subject to redetermination (\$)  |   | <b>-</b>           |   |                        |
| 16.        | Reinsurance:   |   |                    | 400 005                                 | 004 400                |
|            | 16.1 Amounts recoverable from reinsurers   |   |                    | 136,065                                 | 224,499                |
| ļ          | 16.2 Funds held by or deposited with reinsured companies   |   |                    |   |                        |
|            | 16.3 Other amounts receivable under reinsurance contracts  |   |                    |   |                        |
| 17.        | Amounts receivable relating to uninsured plans   |   | 30,000             |   |                        |
|            | Current federal and foreign income tax recoverable and interest thereon  |   |                    |   |                        |
|            | Net deferred tax asset   |   |                    |   |                        |
| 19.<br>20. | Electronic data processing equipment and software  |   |                    | 9.085                                   |                        |
| 20.        | Furniture and equipment, including health care delivery assets   | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, |                    | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, |                        |
| 21.        | (\$)   | 807                                     |                    |   |                        |
| 22.        | Net adjustment in assets and liabilities due to foreign exchange rates   |   |                    |   |                        |
| 23.        | Receivables from parent, subsidiaries and affiliates   |   |                    |   |                        |
| 24.        | Health care (\$  |   |                    |   |                        |
| 25.        | Aggregate write-ins for other-than-invested assets   | 10,260                                  | 10,260             |   |                        |
| 26.        | Total assets excluding Separate Accounts, Segregated Accounts and  |   |                    |   |                        |
|            | Protected Cell Accounts (Lines 12 to 25)   | 8,411,247                               | 41,026             | 8,370,220                               | 7,779,151              |
| 27.        | From Separate Accounts, Segregated Accounts and Protected  |   |                    |   |                        |
|            | Cell Accounts  |   |                    |   |                        |
| 28.        | Total (Lines 26 and 27)  | 8,411,247                               | 41,026             | 8,370,220                               | 7,779,151              |
|            | S OF WRITE-INS   |   |                    |   |                        |
| 1101.      |  |   | <b>†</b>           | · † · · · · · · · · · · · · · · · · · · |                        |
| 1102.      |  |   | ·†····             | T                                       |                        |
| 1103.      | A LA DA LA CALL MARK TO THE COLUMN TO THE CO |   | <b>†</b>           | T                                       | •                      |
| 1198.      | Summary of remaining write-ins for Line 11 from overflow page  | ·····                                   | 1                  | T                                       |                        |
| 1199.      | Totals (Lines 1101 through 1103 plus 1198) (Line 11 above)   | 10,260                                  | 10,260             | · · · · · · · · · · · · · · · · · · ·   |                        |
| 2501.      | Automobiles  | 10,200                                  | 10,200             |   |                        |
| 2502.      |  |   | T                  |   |                        |
| 2503.      | Summary of remaining write-ins for Line 25 from overflow page  |   | İ                  |   |                        |
| 2598.      | Totals (Lines 2501 through 2503 plus 2598) (Line 25 above)   | 10,260                                  | 10,260             |   |                        |
| 2599.      | Totals (Lines 2001 tillough 2000 plus 2050) (Line 20 above)  | ,200                                    |                    |   |                        |

LIABILITIES, SURPLUS AND OTHER FUNDS

|  | 1<br>Current Year | 2<br>Prior Year                         |
|--|-------------------|---|
| 1. Losses (Part 2A, Line 35, Column 8)   |                   | 20,000                                  |
| Reinsurance payable on paid losses and loss adjustment expenses (Schedule F, Part 1, Column 6)             | 1                 |   |
| Loss adjustment expenses (Part 2A, Line 35, Column 9)  |                   | 3,385                                   |
| Commissions payable, contingent commissions and other similar charges                                      |                   | 25,027                                  |
| Other expenses (excluding taxes, licenses and fees)  |                   | 8,013                                   |
| Taxes, licenses and fees (excluding federal and foreign income taxes)                                      |                   | 6,846                                   |
| 7.1 Current federal and foreign income taxes (including \$   |                   |   |
| 7.2 Net deferred tax liability.  | 1                 |   |
| 8. Borrowed money \$ and interest thereon \$   | I I               |   |
| Unearned premiums (Part 1A, Line 38, Column 5) (after deducting unearned premiums for ceded reinsurance of |                   |   |
| \$ and including warranty reserves of \$ and accrued accident and  |                   |   |
| health experience rating refunds including \$  |                   |   |
| Service Act)   | 924,424           | 855 , 172                               |
| 10. Advance premium  | 60,205            | 49,644                                  |
| 11. Dividends declared and unpaid:   |                   |   |
| 11.1 Stockholders  |                   |   |
| 11.2 Policyholders   |                   |   |
| 12. Ceded reinsurance premiums payable (net of ceding commissions)   | 43,546            | 38,880                                  |
| 13. Funds held by company under reinsurance treaties (Schedule F, Part 3, Column 20)                       | 1                 |   |
| 14. Amounts withheld or retained by company for account of others  |                   | 14,41                                   |
| 15. Remittances and items not allocated.   | 1                 |   |
| 16. Provision for reinsurance (including \$  | I I               |   |
| Net adjustments in assets and liabilities due to foreign exchange rates                                    |                   |   |
|  | 1                 |   |
| 18. Drafts outstanding   | 1                 |   |
| 19. Payable to parent, subsidiaries and affiliates   | 1                 | *************************************** |
| 20. Derivatives  |                   |   |
| 21. Payable for securities   | -                 |   |
| 22. Payable for securities lending   | 1                 |   |
| 23. Liability for amounts held under uninsured plans   |                   |   |
| 24. Capital notes \$ and interest thereon \$   |                   |   |
| 25. Aggregate write-ins for liabilities  |                   |   |
| 26. Total liabilities excluding protected cell liabilities (Lines 1 through 25)                            | 1 ,470 ,509       | 1,021,38                                |
| 27. Protected cell liabilities   |                   |   |
| 28. Total liabilities (Lines 26 and 27)  | 1,470,509         | 1,021,38                                |
| 29. Aggregate write-ins for special surplus funds  |                   |   |
| 30. Common capital stock   |                   |   |
| 31. Preferred capital stock  |                   |   |
| 32. Aggregate write-ins for other-than-special surplus funds   |                   |   |
| 33. Surplus notes  | _                 |   |
| 34. Gross paid in and contributed surplus  |                   |   |
| 35. Unassigned funds (surplus)   | 6,899,711         | 6,757,770                               |
| 36. Less treasury stock, at cost:  |                   |   |
| 36.1   |                   | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, |
| 36.2shares preferred (value included in Line 31 \$   |                   |   |
| 37. Surplus as regards policyholders (Lines 29 to 35, less 36) (Page 4, Line 39)                           | 6,899,711         | 6,757,770                               |
|  | 8,370,220         | 7,779,15                                |
| 38. Totals (Page 2, Line 28, Col. 3)  ETAILS OF WRITE-INS  | 0,070,220         | 1,170,10                                |
|  | 1                 |   |
| 501,   |                   | ••••••                                  |
| 502.   | tt                |   |
| 503  |                   |   |
| 598. Summary of remaining write-ins for Line 25 from overflow page   |                   |   |
| 599. Totals (Lines 2501 through 2503 plus 2598) (Line 25 above)  |                   |   |
| 901  |                   |   |
| 902.   | +                 |   |
| 903.   |                   | *************************************** |
| 998. Summary of remaining write-ins for Line 29 from overflow page   |                   |   |
| 999. Totals (Lines 2901 through 2903 plus 2998) (Line 29 above)  |                   |   |
| 201.   |                   |   |
| 1202.  |                   |   |
| 1203.  |                   |   |
|  | 1                 |   |
| 3298. Summary of remaining write-ins for Line 32 from overflow page  |                   |   |

STATEMENT OF INCOME

| STATEMENT OF INCOME   | 1                                     | 2                                 |
|---|---------------------------------------|-----------------------------------|
| UNDERWRITING INCOME   | Current Year                          | Prior Year                        |
| Premiums earned (Part 1, Line 35, Column 4)     DEDUCTIONS:   | 1,719,326                             | 1,646,529                         |
| 2 Loses incurred (Part 2 Line 35 Column 7)  | 1,222,214                             | 1,482,014                         |
| 3 Loss adjustment expenses incurred (Part 3, Line 25, Column 1)   | 187,349                               | 195,872                           |
| 4. Other underwriting expenses incurred (Part 3, Line 25, Column 2)   | /96,542                               | 733,148                           |
| Aggregate write-ins for underwriting deductions   |                                       |                                   |
| Total underwriting deductions (Lines 2 through 5)   | 2,206,104                             | 2,411,034                         |
| 7. Net income of protected cells  | (400 770)                             | /764 FOE\                         |
| Net underwriting gain (loss) (Line 1 minus Line 6 plus Line 7)  | (400,770)                             | (764,303)                         |
| INVESTMENT INCOME   |                                       |                                   |
| 9. Net investment income earned (Exhibit of Net Investment Income, Line 17)   | 198,592                               | 163,186                           |
| 10. Net realized capital gains (losses) less capital gains tax of \$(Exhibit of Capital Gains (Losses))   | (113)                                 | 21,890                            |
| 11. Net investment gain (loss) (Lines 9 + 10)   | 198,479                               | 185,076                           |
| OTHER INCOME  |                                       |                                   |
| 12. Net gain (loss) from agents' or premium balances charged off (amount recovered \$ amount  |                                       |                                   |
| charged off \$  |                                       |                                   |
| Finance and service charges not included in premiums.      Aggregate write-ins for miscellaneous income   | 46,938                                | 62,203                            |
| 15. Total other income (Lines 12 through 14)  | 40.000                                | 62,203                            |
| 16. Net income before dividends to policyholders, after capital gains tax and before all other federal and foreign income taxes   |                                       |                                   |
| (Lines 8 + 11 + 15)   | ļ(241,361) ļ                          | (517,226)                         |
| <ul> <li>17. Dividends to policyholders</li> <li>18. Net income, after dividends to policyholders, after capital gains tax and before all other federal and foreign income taxes</li> </ul> | 1                                     |                                   |
| (Line 16 minus Line 17)   | (241,361)                             | (517 ,226)                        |
| 19. Federal and foreign income taxes incurred   |                                       |                                   |
| 20. Net income (Line 18 minus Line 19) (to Line 22)   | (241,361)                             | (517,226)                         |
| CAPITAL AND SURPLUS ACCOUNT   |                                       |                                   |
| 21. Surplus as regards policyholders, December 31 prior year (Page 4, Line 39, Column 2)  | 6,757,770                             | 7,299,926                         |
| 22. Net income (from Line 20)   | (241,361) [                           | (517,226)                         |
| 23. Net transfers (to) from Protected Cell accounts   | <b></b>                               |                                   |
| 24. Change in net unrealized capital gains or (losses) less capital gains tax of \$   | 376,618                               | (31,683)                          |
| 25. Change in net unrealized foreign exchange capital gain (loss)   | <del> </del>                          |                                   |
| Change in net deferred income tax     Change in nonadmitted assets (Exhibit of Nonadmitted Assets, Line 28, Col. 3)   |                                       | 6,753                             |
| Change in nonadmitted assets (Exhibit of Nonadmitted Assets, Line 26, Col. 3)      Change in provision for reinsurance (Page 3, Line 16, Column 2 minus Column 1)                           | 1                                     | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, |
| 29. Change in surplus notes   |                                       |                                   |
| 30. Surplus (contributed to) withdrawn from protected cells   | l l                                   |                                   |
| 31. Cumulative effect of changes in accounting principles   |                                       |                                   |
| 32. Capital changes:  |                                       |                                   |
| 32.1 Paid in  |                                       |                                   |
| 32.2 Transferred from surplus (Stock Dividend)  |                                       |                                   |
| 32.3 Transferred to surplus   | · · · · · · · · · · · · · · · · · · · |                                   |
| 33. Surplus adjustments: 33.1 Paid in   |                                       |                                   |
| 33.2 Transferred to capital (Stock Dividend)  |                                       |                                   |
| 33.3 Transferred from capital   |                                       |                                   |
| 34. Net remittances from or (to) Home Office  |                                       |                                   |
| 35. Dividends to stockholders   |                                       |                                   |
| 36. Change in treasury stock (Page 3, Lines 36.1 and 36.2, Column 2 minus Column 1)   | -                                     |                                   |
| 37. Aggregate write-ins for gains and losses in surplus   | 444 044                               | /540 450                          |
| 38. Change in surplus as regards policyholders for the year (Lines 22 through 37)   | 141,941                               | (542,156<br>6,757,770             |
| 39. Surplus as regards policyholders, December 31 current year (Line 21 plus Line 38) (Page 3, Line 37)  DETAILS OF WRITE-INS   | 6,899,711                             | 6,757,770                         |
| 0501.   |                                       |                                   |
| 0502.   |                                       |                                   |
| 0503.   | ļ                                     |                                   |
| 0598. Summary of remaining write-ins for Line 5 from overflow page  |                                       |                                   |
| 0599. Totals (Lines 0501 through 0503 plus 0598) (Line 5 above)  1401. Premiums Col·lected for Others.  | 46,938                                | 47 , 115                          |
| 1402. Miscellaneous Income.   |                                       | 15,088                            |
| 1403.   |                                       |                                   |
| 1498. Summary of remaining write-ins for Line 14 from overflow page   |                                       |                                   |
| 1499. Totals (Lines 1401 through 1403 plus 1498) (Line 14 above)  | 46,938                                | 62,203                            |
| 3701.   |                                       |                                   |
| 3702.   |                                       |                                   |
| 3703.   |                                       |                                   |
| 3798. Summary of remaining write-ins for Line 37 from overflow page   |                                       |                                   |
| 3799. Totals (Lines 3701 through 3703 plus 3798) (Line 37 above)  |                                       |                                   |

**CASH FLOW** 

|   | C                                       | 1<br>rrent Year | 2<br>Prior Year |
|---|---|-----------------|-----------------|
| Cook from Charations  | Cu                                      | rrent rear      | Phot Teal       |
| Cash from Operations  |   | 1.802.199       | 1,670,256       |
| Premiums collected net of reinsurance      Net investment income              |   |                 | 190,951         |
| Net investment income     Miscellaneous income                                |   | 46,938          | 62,203          |
|   |   | 2.058.066       | 1,923,411       |
| 4. Total (Lines 1 through 3)  |   |                 | 1.743.513       |
| Benefit and loss related payments   | II Asserta                              |                 |                 |
| 6. Net transfers to Separate Accounts, Segregated Accounts and Protected Co   | III Accounts                            | 970 994         | 947.936         |
| Commissions, expenses paid and aggregate write-ins for deductions             | *************************************** |                 |                 |
| 8. Dividends paid to policyholders  | towar equital gains (losses)            | ····            |                 |
| Federal and foreign income taxes paid (recovered) net of \$                   |   | 1,753,373       | 2,691,44        |
| 10. Total (Lines 5 through 9)   |   | 304.693         | (768,03         |
| 11. Net cash from operations (Line 4 minus Line 10)                           |   | 304,093         | 1,00,00         |
| Cash from Investments   |   |                 |                 |
| <ol><li>Proceeds from investments sold, matured or repaid:</li></ol>          |   | 550 000         | 4 007 40        |
| 12.1 Bonds  |   |                 | 1,097,10        |
| 12.2 Stocks   |   | 4,2/6           | 175,02          |
| 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 investr   | nents                                   |                 | •••••           |
| 12.7 Miscellaneous proceeds   |   |                 |                 |
| 12.8 Total investment proceeds (Lines 12.1 to 12.7)                           |   | 554,504         | 1,272,12        |
| 13. Cost of investments acquired (long-term only):                            |   |                 |                 |
| 13.1 Bonds  |   | 450,969         | 233,52          |
| 13.2 Stocks   |   | 304,238         | 389,33          |
| 13.3 Mortgage loans   |   |                 |                 |
| 13.4 Real estate  |   |                 | 6,79            |
| 13.5 Other invested assets  |   |                 |                 |
| 13.6 Miscellaneous applications   |   |                 |                 |
| 13.7 Total investments acquired (Lines 13.1 to 13.6)                          |   | 755,207         | 629,65          |
| 14. Net increase (decrease) in contract loans and premium notes               |   |                 |                 |
| 15. Net cash from investments (Line 12.8 minus Line 13.7 minus Line 14)       |   | (200,703)       | 642,47          |
| Cash from Financing and Miscellaneo   |   |                 |                 |
| 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  |   |                 |                 |
|   |   | (1.990)         | 13,48           |
| 16.6 Other cash provided (applied)  | in line 48 E plus line 48 C)            | (1,990)         | 13.48           |
| 17. Net cash from financing and miscellaneous sources (Lines 16.1 to 16.4 mir | OUGOT TERM INVESTMENTS                  | (1,050)         | 10,170          |
| RECONCILIATION OF CASH, CASH EQUIVALENTS AND                                  | STURI-TERM INVESTMENTS                  | 102 000         | (112,08         |
| 18. Net change in cash, cash equivalents and short-term investments (Line 11, | pius Lines 10 and 1/)                   | 102,000         |                 |
| 19. Cash, cash equivalents and short-term investments:                        |   | 648,113         | 760 , 19        |
| 19.1 Beginning of year  |   | 750,113         | 648,11          |
| 19.2 End of year (Line 18 plus Line 19.1)                                     |   | 100,110         | 0-10, ( )       |

# UNDERWRITING AND INVESTMENT EXHIBIT PART 1 - PREMIUMS EARNED

|          | PART 1 - PREMIUMS EARNED                                   |  |   |  |   |  |  |
|----------|--|--|---|--|---|--|--|
|          | Line of Business   | Net Premiums Written per Column 6, Part 1B | Unearned Premiums Dec. 31 Prior Year - per Col. 3, Last Year's Part 1 | 3<br>Uneamed Premiums<br>Dec. 31 Current<br>Year - per Col. 5<br>Part 1A | Premiums Earned During Year (Cols. 1 + 2 - 3) |  |  |
| 1.       | Fire   |  | 427,586   | 462,212  | 850 , 159                                     |  |  |
| ı.<br>2. | Allied lines   |  | 427,586   | 462,212  | 850 , 159                                     |  |  |
|          | Farmowners multiple peril                                  |  |   | ,                                  |   |  |  |
| 3.       |  |  |   |  |   |  |  |
| 4.       | Homeowners multiple perii                                  |  |   |  |   |  |  |
| 5.       | Commercial multiple peril                                  | į  |   |  |   |  |  |
| 6.       | Mortgage guaranty  |  |   |  |   |  |  |
| 8.       | Ocean marine   | i  |   |  | 10 000  |  |  |
| 9.       | Inland marine  |  |   |  | 19,003  |  |  |
| 10.      | Financial guaranty   | 1  |   |  |   |  |  |
| 11.1     | Medical professional liability-occurrence                  | i  |   |  |   |  |  |
| 11.2     | Medical professional liability-claims-made                 |  |   |  |   |  |  |
| 12.      | Earthquake   |  | -   |  |   |  |  |
| 13.      | Group accident and health                                  |  |   |  |   |  |  |
| 14.      | Credit accident and health (group and individual)          |  |   |  |   |  |  |
| 15.      | Other accident and health                                  |  |   |  |   |  |  |
| 16.      | Workers' compensation                                      |  |   |  |   |  |  |
| 17.1     | Other liability-occurrence                                 |  |   |  |   |  |  |
| 17.2     | Other liability-claims-made                                |  |   |  |   |  |  |
| 17.3     | Excess workers' compensation                               |  |   | 1  |   |  |  |
| 18.1     | Products liability-occurrence                              |  |   |  |   |  |  |
| 18.2     | Products liability-claims-made                             |  |   |  |   |  |  |
| 19.1,19  | .2 Private passenger auto liability                        |  |   |  |   |  |  |
|          | .4 Commercial auto liability                               | 1  |   |  |   |  |  |
| 21.      | Auto physical damage                                       | į.   |   |  |   |  |  |
| 22.      | Aircraft (all perils)                                      |  |   |  |   |  |  |
| 23.      | Fidelity   |  |   |  |   |  |  |
|          | ·  |  |   |  |   |  |  |
| 24.      | Surety   |  |   |  |   |  |  |
| 26.      | Burglary and theft   |  |   |  |   |  |  |
| 27.      | Boiler and machinery                                       |  |   |  |   |  |  |
| 28.      | Credit   |  |   | <u> </u>   |   |  |  |
| 29.      | International  |  |   |  |   |  |  |
| 30.      | Warranty   |  |   | -  |   |  |  |
| 31.      | Reinsurance-nonproportional assumed property               |  |   |  |   |  |  |
| 32.      | Reinsurance-nonproportional assumed liability              |  |   |  |   |  |  |
| 33.      | Reinsurance-nonproportional assumed financial lines        |  |   |  |   |  |  |
| 34.      | Aggregate write-ins for other lines of business            |  |   |  |   |  |  |
| 35.      | TOTALS   | 1,788,579                                  | 855, 172  | 924,424  | 1,719,326                                     |  |  |
| DETAILS  | OF WRITE-INS   |  |   |  |   |  |  |
| 3401.    |  |  |   |  |   |  |  |
| 3402.    |  |  |   |  |   |  |  |
| 3403.    |  |  |   | <u> </u>   |   |  |  |
| 3498.    | Sum. of remaining write-ins for Line 34 from overflow page |  |   |  |   |  |  |
| 3499.    | Totals (Lines 3401 through 3403 plus 3498) (Line 34 above) |  |   |  |   |  |  |

## **UNDERWRITING AND INVESTMENT EXHIBIT**

## PART 1A - RECAPITULATION OF ALL PREMIUMS

|         |   | 1<br>Amount Uneamed<br>(Running One Year or<br>Less from Date of<br>Policy) | Amount Unearned<br>(Running More Than<br>One Year from Date<br>of Policy) | Earned but       | Reserve for Rate<br>Credits and<br>Retrospective<br>Adjustments Based | 5 Total Reserve for Uneamed Premiums Cols. 1 + 2 + 3 + 4 |
|---------|---|---|---|------------------|---|--|
|         | Line of Business  | (a)   | (a)   | Unbilled Premium | on Experience   |  |
| 1.      | Fire  | 462,212   |   |                  |   | 462,212  |
| 2.      | Allied lines  | 462,212   |   |                  |   | 462,212  |
| 3.      | Farmowners multiple peril                                   |   |   |                  |   |  |
| 4.      | Homeowners multiple peril                                   |   |   |                  |   |  |
| 5.      | Commercial multiple peril                                   |   |   |                  |   |  |
| 6.      | Mortgage guaranty   |   |   |                  |   |  |
| 8.      | Ocean marine  |   |   |                  | <u> </u>  |  |
| 9.      | Inland marine   |   |   |                  |   |  |
| 10.     | Financial guaranty  |   |   |                  |   |  |
| 11.1    | Medical professional liability-occurrence                   |   |   |                  |   |  |
| 11.2    | Medical professional liability-claims-made                  |   |   |                  |   |  |
|         | Earthquake  | ř.  |   | ,                |   |  |
| 12.     | ·   | 1   |   |                  |   |  |
| 13.     | Group accident and health                                   | 1   |   |                  |   |  |
| 14.     | Credit accident and health (group and individual)           |   |   |                  |   |  |
| 15.     | Other accident and health                                   |   |   |                  |   |  |
| 16.     | Workers' compensation                                       | -   | <u> </u>  |                  |   |  |
| 17.1    | Other liability-occurrence                                  |   |   | <u> </u>         |   |  |
| 17.2    | Other liability-claims-made                                 |   |   | L                |   |  |
| 17.3    | Excess workers' compensation                                |   |   |                  |   |  |
| 18.1    | Products liability-occurrence                               |   |   |                  |   | ······   |
| 18.2    | Products liability-claims-made                              |   | ļ   |                  |   |  |
| 19.1,19 | .2 Private passenger auto liability                         |   |   |                  |   |  |
|         | .4 Commercial auto liability                                | 1   |   |                  |   |  |
| 21.     | Auto physical damage  | ł   | F .   |                  |   | <u></u>  |
| 22.     | Aircraft (all perils)                                       | 1   | 1   |                  |   |  |
| 23.     | Fidelity  | l.  |   |                  |   |  |
|         | Surety  |   |   |                  |   |  |
| 24.     |   |   |   |                  |   |  |
| 26.     | Burglary and theft  |   |   |                  |   |  |
| 27.     | Boiler and machinery  |   |   |                  |   |  |
| 28.     | Credit  |   |   |                  | <u> </u>  |  |
| 29.     | International   |   |   |                  |   |  |
| 30.     | Warranty  |   |   |                  |   |  |
| 31.     | Reinsurance-nonproportional assumed property                |   |   |                  |   |  |
| 32.     | Reinsurance-nonproportional assumed liability               |   |   | <u> </u>         |   |  |
| 33.     | Reinsurance-nonproportional assumed financial               |   |   |                  |   |  |
|         | lines   |   |   |                  |   |  |
| 34.     | Aggregate write-ins for other lines of business             |   |   |                  | <u> </u>  | 004.40   |
| 35.     | TOTALS  | 924,424   | <u> </u>  |                  |   | 924,42   |
| 36.     | Accrued retrospective premiums based on experi              | ence  |   |                  |   |  |
| 37.     | Earned but unbilled premiums                                |   |   |                  |   |  |
| 38.     | Balance (Sum of Lines 35 through 37)                        |   |   | T                | <del></del>   | 924,42   |
| DETAIL  | S OF WRITE-INS  |   | 1   |                  |   |  |
| 3401.   |   |   |   | <u> </u>         |   |  |
| 3402.   |   |   |   |                  |   |  |
| 3403.   |   |   |   |                  |   |  |
| 3498.   | Sum. of remaining write-ins for Line 34 from overflow page. |   |   |                  |   |  |
| 3499.   | Totals (Lines 3401 through 3403 plus 3498) (Line            |   | 1   | 1                |   | 1  |

(a) State here basis of computation used in each case. 40% Method

## **UNDERWRITING AND INVESTMENT EXHIBIT**

#### PART 1B - PREMIUMS WRITTEN

|         |   | 1 Reinsurance Assumed     |                         | Reinsura                    | 6                     |                           |  |
|---------|---|---------------------------|-------------------------|-----------------------------|-----------------------|---------------------------|--|
|         | Line of Business  | Direct<br>Business<br>(a) | 2<br>From<br>Affiliates | 3<br>From<br>Non-Affiliates | 4<br>To<br>Affiliates | 5<br>To<br>Non-Affiliates | Net Premiums<br>Written Cols.<br>1 + 2 + 3 - 4 - 5 |
|         |   | 1,143,249                 |                         |                             |                       | 258,464                   | 884,785  |
| 1.      |   |                           |                         |                             |                       | 258,464                   | 884,785  |
| 2.      | Allied lines  |                           |                         |                             |                       |                           | ,  |
| 3.      | , amount of the property  |                           | •••••                   |                             |                       |                           |  |
| 4.      | Homeowners multiple peril   |                           |                         |                             |                       |                           |  |
| 5.      | Commercial multiple peril   |                           | ,                       |                             |                       |                           |  |
| 6.      | Mortgage guaranty   |                           |                         |                             |                       |                           |  |
| 8.      | Ocean marine  |                           |                         |                             |                       |                           |  |
| 9.      | Inland marine   | 24,561                    |                         |                             |                       |                           | 19,009   |
| 10.     | Financial guaranty  |                           |                         |                             |                       |                           |  |
| 11.1    | Medical professional  |                           |                         |                             |                       |                           |  |
| 11.2    | Medical professional liability-claims-made                        |                           |                         |                             |                       |                           |  |
| 12.     | Earthquake  | ]                         |                         | •                           |                       |                           |  |
| 13.     | Group accident and health   |                           |                         |                             |                       |                           |  |
|         |   |                           |                         |                             | 1                     |                           |  |
| 14.     | Credit accident and health<br>(group and individual)              |                           |                         |                             |                       |                           |  |
| 15.     | Outer addition and mount  |                           |                         |                             |                       |                           |  |
| 16.     | Workers' compensation   |                           | ······                  |                             | <b>†</b>              |                           |  |
| 17.1    | Other liability-occurrence  |                           |                         |                             |                       |                           |  |
| 17.2    | Other liability-claims-made                                       |                           | •••••                   |                             |                       |                           |  |
| 17.3    | Excess workers' compensation                                      |                           |                         |                             |                       |                           |  |
| 18.1    | Products liability-occurrence                                     |                           |                         |                             |                       |                           |  |
| 18.2    | Products liability-claims-<br>made                                |                           |                         |                             |                       |                           |  |
| 19.1,19 | .2 Private passenger auto liability                               |                           |                         |                             |                       |                           |  |
| 19.3,19 | 4 Commercial auto liability                                       |                           |                         |                             |                       |                           |  |
| 21.     | Auto physical damage  |                           |                         |                             |                       |                           |  |
| 22.     | Aircraft (all perils)   |                           |                         |                             |                       |                           |  |
| 23.     | Fidelity  |                           |                         |                             |                       |                           |  |
| 24.     | Surety  |                           |                         |                             |                       |                           |  |
|         | ·   | i i                       |                         |                             |                       |                           |  |
| 26.     | Burglary and theft  | 1                         |                         |                             |                       |                           |  |
| 27.     |   |                           |                         |                             |                       |                           |  |
| 28.     | Credit  |                           |                         |                             |                       |                           | ***************************************            |
| 29.     | International   |                           |                         |                             |                       |                           |  |
| 30.     | Warranty  |                           |                         |                             |                       |                           |  |
| 31.     | Reinsurance-<br>nonproportional assumed<br>property               | xxx                       |                         |                             |                       |                           |  |
| 32.     | Reinsurance-<br>nonproportional assumed<br>liability              |                           |                         |                             |                       |                           |  |
| 33.     | Reinsurance-<br>nonproportional assumed                           |                           | ••••                    |                             |                       |                           |  |
| 34.     | financial lines   | xxx                       |                         |                             |                       |                           |  |
| 25      |   | 2,311,060                 |                         |                             |                       | 522,481                   | 1,788,579  |
| 35.     | TOTALS  | 2,011,000                 |                         |                             | 1                     |                           |  |
|         | S OF WRITE-INS  |                           |                         |                             |                       |                           |  |
| 3401.   |   |                           |                         |                             |                       |                           |  |
| 3402.   |   |                           | ,                       |                             | T                     |                           | 1  |
| 3403.   |   |                           |                         |                             |                       |                           |  |
| 3498.   | Sum. of remaining write-<br>ins for Line 34 from<br>overflow page |                           |                         |                             |                       |                           |  |
| 3499.   | Totals (Lines 3401 through<br>3403<br>plus 3498) (Line 34 above)  |                           |                         |                             |                       |                           |  |

| (a) Does the company's direct premiums written include premiums recorded on an insta- | minute people 1 too [ ] too [ ] ]            |
|---|--|
| If yes: 1. The amount of such installment premiums \$                                 |  |
| 2. Amount at which such installment premiums would have been reported had             | they been recorded on an annualized basis \$ |
| See Independent Accountant's Compilation Report                                       |  |

# UNDERWRITING AND INVESTMENT EXHIBIT PART 2 - LOSSES PAID AND INCURRED

|   |                                       |   | LOSSES PAID ANI<br>Less Salvage | INJUNICE                          | 5   | 6                                  | 6 7             |  |
|---|---------------------------------------|---|---------------------------------|-----------------------------------|---|------------------------------------|-----------------|--|
| Line of Business  | 1 Direct Business                     | 2  Reinsurance Assumed                  | 3  Reinsurance  Recovered       | 4  Net Payments (Cols. 1 + 2 - 3) | Net Losses<br>Unpaid<br>Current Year<br>(Part 2A, Col. 8) | Net Losses<br>Unpaid<br>Prior Year | Losses Incurred | Percentage of Losses<br>Incurred<br>(Col. 7, Part 2)<br>to Premiums Earned<br>(Col. 4, Part 1)<br>68.5 |
| 1. Fire   |                                       |   | 192,885                         | 489,648                           | 92,500  | 20.000                             | 640.065         | 75.3   |
| 2 Allied lines  | 5,553,321                             |   | 5,172,156                       | 381,165                           | 278,900   | 20,000                             |                 |  |
| Farmowners multiple peril                                     |                                       |   |                                 |                                   |   |                                    |                 |  |
| 4. Homeowners multiple peril                                  | ]                                     |   |                                 |                                   |   |                                    |                 |  |
| Commercial multiple peril                                     |                                       |   |                                 |                                   |   |                                    |                 |  |
| 6. Mortgage guaranty  |                                       |   |                                 |                                   |   |                                    |                 |  |
| 8. Ocean marine   |                                       |   |                                 |                                   |   |                                    |                 |  |
| 9. Inland marine  |                                       |   |                                 |                                   |   |                                    |                 |  |
| 10 Financial quaranty   | 1                                     |   |                                 |                                   |   |                                    |                 |  |
| 11.1 Medical professional liability-occurrence                |                                       | *************************************** |                                 |                                   |   |                                    |                 |  |
| 11.2 Medical professional liability-claims-made               | 1                                     |   |                                 |                                   |   |                                    | <b></b>         |  |
| 12. Earthquake  | <u> </u>                              | *************************************** |                                 |                                   |   |                                    |                 |  |
| 12 Group agrident and health                                  | 1                                     |   |                                 |                                   |   |                                    |                 |  |
| 14. Credit accident and health (group and individual)         | L                                     |   |                                 | .,                                |   |                                    |                 |  |
| 15. Other accident and health                                 | T                                     |   |                                 |                                   |   |                                    |                 |  |
| 16. Workers' compensation                                     | 1                                     |   |                                 |                                   |   |                                    |                 |  |
| 17.1 Other liability-occurrence                               |                                       |   |                                 |                                   |   |                                    |                 |  |
| 17.1 Other liability-occurrence                               |                                       |   |                                 |                                   |   |                                    |                 |  |
| 17.3 Excess workers' compensation                             |                                       |   |                                 |                                   |   |                                    |                 |  |
| 18.1 Products liability-occurrence                            |                                       | ••••                                    |                                 |                                   |   |                                    |                 | <b></b>  |
| 18.2 Products liability-claims-made                           |                                       |   |                                 |                                   |   |                                    |                 |  |
| 19.1,19.2 Private passenger auto liability                    |                                       | *************************************** |                                 |                                   |   |                                    |                 |  |
| 19.1,19.2 Private passenger auto liability                    | -                                     |   |                                 |                                   |   |                                    |                 |  |
|   |                                       | *************************************** |                                 |                                   |   |                                    |                 |  |
|   |                                       |   |                                 |                                   |   |                                    |                 |  |
| 22. Aircraft (all perils)                                     | · · · · · · · · · · · · · · · · · · · |   |                                 |                                   |   |                                    |                 |  |
| 23. Fidelity  | ···                                   | *************************************** |                                 |                                   |   |                                    |                 |  |
|   |                                       |   |                                 |                                   |   |                                    |                 |  |
| 26. Burglary and theft  |                                       |   |                                 |                                   |   |                                    |                 |  |
| 27. Boiler and machinery                                      |                                       |   |                                 |                                   |   |                                    |                 |  |
| 28. Credit  |                                       |   |                                 |                                   |   |                                    |                 |  |
| 29. International   |                                       |   |                                 |                                   | 1   |                                    |                 |  |
| 30. Warranty  | xxx                                   |   |                                 |                                   |   |                                    | <u> </u>        | 1  |
| 31. Reinsurance-nonproportional assumed property              |                                       |   |                                 |                                   |   |                                    | <u> </u>        |  |
| 32. Reinsurance-nonproportional assumed liability             | XXX XXX                               |   |                                 |                                   |   |                                    |                 | <b></b>  |
| 33. Reinsurance-nonproportional assumed financial lines       |                                       |   | ·                               |                                   | 1   |                                    | 1               |  |
| 34. Aggregate write-ins for other lines of business           | 0.000.000                             |   | 5,365,041                       | 870.814                           | 371,400   | 20,000                             | 1,222,214       | 71.  |
| 35. TOTALS  | 6,235,855                             |   | 5,303,041                       | 870,814                           | 571,400   | 20,000                             | 1,000           |  |
| ETAILS OF WRITE-INS   |                                       |   |                                 |                                   |   |                                    |                 |  |
| 3401.   |                                       |   | 1                               |                                   | 1   |                                    |                 |  |
| 402.  |                                       |   |                                 |                                   | 1   |                                    |                 |  |
| 403.  |                                       |   |                                 |                                   |   |                                    |                 |  |
| Sum, of remaining write-ins for Line 34 from overflow page    |                                       |   |                                 |                                   |   |                                    |                 |  |
| 3499. Totals (Lines 3401 through 3403 + 3498) (Line 34 above) |                                       |   |                                 |                                   |   | <del></del>                        | <u> </u>        |  |

# UNDERWRITING AND INVESTMENT EXHIBIT PART 2A - UNPAID LOSSES AND LOSS ADJUSTMENT EXPENSES

| Line of Business e   |  | Reinsurance<br>Assumed                              | Deduct Reinsurance Recoverable 159,6501,577,918  | 4  Net Losses Excl. Incurred But Not Reported (Cols. 1 + 2 - 3) 67,500 253,900   | 5  Direct  25,00025,000  | urred But Not Reporte 6 Reinsurance Assumed   | 7 Reinsurance Ceded   | Net Losses<br>Unpaid<br>(Cols. 4 +5 + 6 - 7)<br>92,500<br>278,900 | Net Unpaid Loss<br>Adjustment<br>Expenses<br>.3,385  |
|--|--|---|--|--|--|---|---|---|--|
| e ed lines mowners multiple peril mowners multiple peril mowners multiple peril mortigage guaranty sean marine and and guaranty sedical professional liability-occurrence sedical professional liability-claims-made rithquake oup accident and health   | 227,150<br>1,831,818   |   | Recoverable<br>159,650   | Not Reported<br>(Cols. 1 + 2 - 3)<br>67,500  | 25,000   |   |   | Unpaid<br>(Cols. 4 +5 + 6 - 7)<br>92,500                          | Adjustment<br>Expenses   |
| ied lines  | 1,831,818  |   |  |  |  |   |   |   |  |
| ied lines  |  |   | 1,577,918  | 253,900  | 25,000   |   |   | 270,000   |  |
| mowners multiple peril   |  |   |  |  |  |   |   |   |  |
| meowners multiple peril mmercial multiple peril nrtgage guaranty ean marine and marine and marine deical professional liability-occurrence dical professional liability-claims-made rithquake oup accident and health  |  |   |  |  |  |   |   |   |  |
| mmercial multiple peril ordrage guaranty sean marine and marine ancial guaranty dicial professional liability-occurrence sdical professional liability-claims-made rithquake oup accident and health   |  |   |  |  |  |   |   | [ ]   |  |
| ortgage guaranty ean marine and marine and marine and marine dical professional liability-occurrence dical professional liability-claims-made rithquake oup accident and health  |  |   |  |  |  |   |   |   |  |
| ean marine   |  |   |  |  |  |   | ,   |   |  |
| and marine   |  |   |  |  |  |   |   |   | ***************************************  |
| nancial guaranty dical professional liability-occurrence dical professional liability-claims-made rithquake oup accident and health  |  |   |  |  |  |   |   |   |  |
| edical professional liability-occurrence<br>dical professional liability-claims-made<br>rithquake<br>oup accident and health   |  |   |  |  |  |   |   |   |  |
| edical professional liability-claims-made  |  |   |  |  |  |   |   | t   |  |
| rthquake   |  |   | 1  |  |  |   |   | ł   |  |
| oup accident and health  |  |   |  |  |  |   |   | (-)   |  |
| oup accident and nearly  |  |   |  |  |  |   |   | .[(a)   |  |
| edit accident and health (group and individual)  |  |   |  |  |  |   |   |   | ······   |
| her accident and health  |  |   |  |  |  |   |   | (a)   | /  |
| -dest accident and nearth  |  |   | 1  |  |  |   |   | <b></b>   | ·  |
| briefs compensation  |  |   |  |  |  |   |   |   | f  |
|  |  |   |  |  |  |   |   |   | ·  |
| ner liability-claims-made  |  |   |  |  |  |   |   |   | i  |
| cess workers compensation  |  |   |  |  |  |   |   |   | ·····  |
| oducts liability-occurrence  |  |   |  |  |  |   |   | <b></b>   | t  |
| oducts liability-claims-made   |  |   |  |  |  |   |   |   | ł  |
| ivate passenger auto liability   |  |   |  |  |  |   |   |   | <b></b>  |
| ommercial auto liability   |  |   |  |  |  |   |   | .]  |  |
| ito physical damage  |  |   | ···  |  |  |   |   |   |  |
| rcraft (all perils)  |  |   |  |  |  |   |   |   |  |
| delity   |  |   | ·· f····   |  |  |   | <u> </u>  |   |  |
|  |  |   |  |  |  |   |   | 1   |  |
|  |  |   |  |  |  |   |   | 1   | L  |
|  |  |   |  |  | İ  |   |   |   | L  |
| edit   |  |   |  |  |  |   | Ī   |   | 1  |
| ternational  |  |   | ······································   | <b>†</b>   |  |   | T   |   | <u> </u>   |
| arranty  |  |   |  | t  | YYY  |   | Ī   |   | L  |
| einsurance-nonproportional assumed property  |  |   |  | ······   |  |   | 1   |   | 1  |
| einsurance-nonproportional assumed liability   | XXX  | <b></b>   |  |  |  |   | 1   | 1   | 1  |
| einsurance-nonproportional assumed financial lines   |  | ł   |  |  | t  |   | 1   | I   |  |
|  |  |   | 4 797 560  | 221 400  | 50.000   |   | 1   | 371,400   | 3,3  |
| OTALS  | 2,058,968  |   | 1,737,508  | 321,400  | 30,000   |   | <del>                                     </del>  | 1   |  |
|  |  |   |  |  | 1  |   |   |   | l  |
|  |  | <b></b>   |  | <del> </del>   | <b>†</b>   |   |   | 1   |  |
|  |  | <b></b>   |  | <b></b>  | <del> </del>   |   | <b>†</b>  | 1   |  |
|  |  | ļ   |  | <del> </del>   |  |   | †·····  | 1   | † · · · · · · · · · · · · · · · · · · ·  |
| um. of remaining write-ins for Line 34 from overflow page  |  | ļ   |  | <b></b>  | <b>+</b>   |   | 1   | 1   | ***************************************  |
| otals (Lines 3401 through 3403 + 3498) (Line 34 above)   | 1  | L   |  | 1  | 1  |   | 1   |   |  |
| the control and a least section of the control of t | ner liability-occurrence ner liability-occurrence cess workers' compensation oducts liability-claims-made oducts liability-claims-made vate passenger auto liability mmercial auto liability to physical damage craft (all perils) lefity rety inglary and theft iller and machinery edit ermational arranty insurance-nonproportional assumed property sinsurance-nonproportional assumed liability sinsurance-nonproportional assumed financial lines gregate write-ins for other lines of business  TALS  WRITE-INS | ininsurance-nonproportional assumed financial lines | ner liability-occurrence her liability-occurrence cess workers' compensation oducts liability-caims-made wate passenger auto liability mmercial auto liability mmercial auto liability to physical damage craft (all perils) lefity rety rety rety rety rety rety siler and machinery edit emational marranty sinsurance-nonproportional assumed property sinsurance-nonproportional assumed liability xxx sinsurance-nonproportional assumed | ner lability-occurrence cess workers' compensation ducts liability-claims-made cess workers' compensation ducts liability-caims-made vate passenger auto liability mmercial auto liability mmercial auto liability mmercial auto liability mmercial auto liability mmercial auto liability to physical damage craft (all perils) delity retly retly retly retly retly retly retly resider and machinery edit emational arranty sinsurance-nonproportional assumed property xxx sinsurance-nonproportional assumed liability xxx sinsurance-nonproportional assumed financial lines gregate write-ins for other lines of business TTALS  2.058.968  1,737,568 | ner lability-occurrence her liability-occurrence cess workers' compensation ducts lability-caims-made ducts liability-caims-made vate passenger auto liability mmercial auto liability mmercial auto liability mmercial auto liability mmercial auto liability mmercial auto liability mmercial auto liability mmercial auto liability mmercial auto liability mmercial auto liability mmercial auto liability mmercial auto liability mmercial auto liability mmercial auto liability leity rety rety rety rety rety rety rety re | ner liability-occurrence cess workers' compensation oducts liability-catims-made cess workers' compensation oducts liability-catims-made vate passenger auto liability mmercial auto liability mmercial auto liability mmercial auto liability mretial auto liability respective to physical damage craft (all perils) leifly respective to propose the propose to propose | ner liability-occurrence cess workers' compensation ducts liability-claims-made ducts liability-claims-made vate passenger auto liability mmercial auto liability to physical damage craft (all perils) lefity rely rely rely rely rely siler and machinery edit ernational ernativy minurance-nonproportional assumed property insurance-nonproportional assumed liability xxx xxx xxx xxx xxx xxx xxx xxx xxx x | ner liability-occurrence   resibility-occurrence                  | ner liability-occurrence lens workers' compensation oducts liability-caims-made cess workers' compensation oducts liability-caims-made vate passenger auto liability memercial auto liability to physical damage craft (all perils) lefity rety rety rety righary and theft lier and machinery edit sernational se |

## **UNDERWRITING AND INVESTMENT EXHIBIT**

PART 3 - EXPENSES

|                 | PARIS  | - EXPENSES                       |                                     |                             | 4           |
|-----------------|--|----------------------------------|-------------------------------------|-----------------------------|-------------|
|                 |  | 1<br>Loss Adjustment<br>Expenses | 2<br>Other Underwriting<br>Expenses | 3<br>Investment<br>Expenses | 4<br>Total  |
| 1. Cla          | aim adjustment services:   |                                  |                                     |                             | , , ,       |
| 1.1             | l Direct   | 164,863                          |                                     |                             | 164,863     |
| 1.2             | Reinsurance assumed  |                                  | <u></u>                             |                             |             |
| 1.3             | Reinsurance ceded  | 120,465                          |                                     |                             | 120,465     |
| 1.4             | Net claim adjustment services (1.1 + 1.2 - 1.3)                          | 44,398                           |                                     |                             | 44,398      |
|                 | ommission and brokerage:   |                                  |                                     | İ                           |             |
| 2.1             | 1 Direct, excluding contingent   |                                  | 373,050                             |                             | 373,050     |
|                 |  |                                  |                                     |                             |             |
|                 | 3 Reinsurance ceded, excluding contingent                                |                                  |                                     |                             |             |
|                 | 4 Contingent-direct  |                                  | 141                                 |                             | 141         |
|                 |  |                                  |                                     |                             |             |
|                 | 6 Contingent-reinsurance ceded   |                                  |                                     |                             |             |
|                 | 7 Policy and membership fees   |                                  |                                     |                             |             |
|                 | 8 Net commission and brokerage (2.1 + 2.2 - 2.3 + 2.4 + 2.5 - 2.6 + 2.7) |                                  | 373,191                             |                             | 373,191     |
|                 | lowances to manager and agents   | 1                                |                                     |                             |             |
|                 | dvertising   |                                  | 4,178                               |                             | 4,178       |
|                 | pards, bureaus and associations  |                                  |                                     |                             | 7,814       |
|                 | •  |                                  | 1                                   |                             | 13,691      |
|                 | udit of assureds' records  |                                  |                                     |                             |             |
|                 | alary and related items:   |                                  |                                     |                             |             |
|                 | 1 Salaries   | 77,578                           | 201,703                             | 31,031                      | 310,313     |
|                 |  | 5,744                            | 1                                   | 2,298                       | 22,976      |
|                 | mployee relations and welfare  |                                  |                                     | 10,860                      | 108,604     |
|                 | isurance   |                                  |                                     | 2,219                       | 22,192      |
|                 | irectors' fees   | 1,150                            |                                     | 460                         | 4,602       |
|                 | rectors tees   | ·                                | ,                                   | 586                         | 5,865       |
|                 | ent and rent items   | .,,,,,                           |                                     |                             |             |
|                 |  | I .                              | 4,885                               |                             | 7,515       |
|                 | quipment   | 1,070                            | 1,000                               |                             |             |
|                 | ost or depreciation of EDP equipment and software                        | 1                                | 25,015                              | 3,849                       |             |
| 16. Pr          | rinting and stationery   | 2 102                            | 8,300                               | 1,277                       | 12,769      |
|                 | ostage, telephone and telegraph, exchange and express                    | 5,681                            |                                     | 2,273                       | 22,725      |
|                 | egal and auditing  |                                  |                                     | 55,604                      | 581,728     |
|                 | otals (Lines 3 to 18)  | 139,011                          | 387,112                             |                             |             |
| 20. Ta          | axes, licenses and fees:   |                                  |                                     |                             |             |
| 20              | 0.1 State and local insurance taxes deducting guaranty association       |                                  |                                     |                             | 23,111      |
|                 | credits of \$  | 1                                | 23,111                              |                             | ,           |
|                 | 0.2 Insurance department licenses and fees                               | I .                              | 2,884                               |                             | 2,884       |
| 20              | 0.3 Gross guaranty association assessments                               |                                  |                                     |                             |             |
|                 | 0.4 All other (excluding federal and foreign income and real estate)     |                                  |                                     | <del> </del>                |             |
| 20              | 0.5 Total taxes, licenses and fees (20.1 + 20.2 + 20.3 + 20.4)           |                                  | 25,995                              |                             | 25,999      |
| 21. R           | Real estate expenses   |                                  |                                     | 283                         | 285         |
| 22. R           | Real estate taxes  | -                                |                                     | 3,713                       | 3,71        |
| 23. R           | Reimbursements by uninsured plans  | .                                |                                     |                             |             |
| 24. A           | Aggregate write-ins for miscellaneous expenses                           | 3,940                            | 10,243                              | 1,576                       | 15,75       |
| 25. T           | otal expenses incurred   | 187,349                          | 796,542                             | 61,177                      | (a)1,045,06 |
|                 | ess unpaid expenses-current year   |                                  | 37,130                              | 15,166                      | 55,68       |
|                 | Add unpaid expenses-prior year   | 3,38                             | 30,285                              | 12,370                      | 46,04       |
|                 | Amounts receivable relating to uninsured plans, prior year               |                                  |                                     | <b></b>                     |             |
|                 | Amounts receivable relating to uninsured plans, current year             |                                  | <u> </u>                            |                             |             |
|                 | TOTAL EXPENSES PAID (Lines 25 - 26 + 27 - 28 + 29)                       | 187,349                          | 789,697                             | 58,381                      | 1,035,42    |
|                 | OF WRITE-INS   |                                  |                                     |                             |             |
|                 | liscellaneous Expenses   | 3,94                             | 10,243                              | 1,576                       | 15,75       |
| 2401. m<br>2402 |  |                                  |                                     |                             |             |
| 2402            |  |                                  |                                     |                             |             |
|                 | Summary of remaining write-ins for Line 24 from overflow page            |                                  |                                     |                             |             |
| a-700. 3        | Totals (Lines 2401 through 2403 plus 2498) (Line 24 above)               | 3,94                             | 0 10,243                            | 1,576                       | 15,75       |

(a) Includes management fees of \$ ....

.....to non-affiliates.

**EXHIBIT OF NET INVESTMENT INCOME** 

|       |   | 1           | 2           |
|-------|---|-------------|-------------|
|       |   | Collected   | Eamed       |
|       |   | During Year | During Year |
| 1.    | U.S. Government bonds   | (a)1,427    | 1,427       |
| 1.1   |   | 109,934     | 110,164     |
| 1.2   | Other bonds (unaffiliated)                                    | (a)19,933   | 19,640      |
| 1.3   | Bonds of affiliates   | (a)         |             |
| 2.1   | Preferred stocks (unaffiliated)                               | (b)         |             |
| 2.11  | Preferred stocks of affiliates                                | (b)         |             |
| 2.2   | Common stocks (unaffiliated)                                  | 119,670     | 119,670     |
| 2.21  | Common stocks of affiliates                                   |             |             |
| 3.    | Mortgage loans  | (c)         |             |
| 4.    | Real estate   | (d)4,800    | 4,800       |
| 5.    |   |             |             |
| 6.    | Cash, cash equivalents and short-term investments             | (e)5,465    | 5,485       |
| 7.    | Derivative instruments  | . (f)       |             |
| 8.    | Other invested assets   |             |             |
| 9.    | Aggregate write-ins for investment income                     |             |             |
| 10.   | Total gross investment income                                 | 261,229     |             |
| 11.   | Investment expanse  |             | (g)         |
| 12.   | Investment expenses and fees, excluding federal income taxes  |             | (g)         |
| 13.   |   |             |             |
| 14.   | Depreciation on real estate and other invested assets         |             | .] (i)      |
| 15.   | Aggregate write-ins for deductions from investment income     |             |             |
| 16.   | Total deductions (Lines 11 through 15)                        |             |             |
| 17.   | Net investment income (Line 10 minus Line 16)                 |             | 198,592     |
|       | ILS OF WRITE-INS  |             |             |
|       | LS OF WRITE-INS   | İ           |             |
| 0901. |   |             |             |
| 0902. |   |             | 1           |
| 0903. | Summary of remaining write-ins for Line 9 from overflow page  |             |             |
| 0998. | Summary of remaining write-ins for Line 9 from overlow page   |             |             |
| 0999. | Totals (Lines 0901 through 0903 plus 0998) (Line 9 above)     | .L          |             |
| 1501. |   |             |             |
| 1502. |   |             |             |
| 1503. |   |             |             |
| 1598. | Summary of remaining write-ins for Line 15 from overflow page |             |             |
| 1599. | Totals (Lines 1501 through 1503 plus 1598) (Line 15 above)    |             |             |

| (b) Includes \$ accrual of discount less \$           | ,081 amortization of premium and less \$   |
|---|--|
| (d) includes \$for company's occupancy of its own but | milities, and declared a military of the second interest on purchases                |
| (e) Includes \$accrual of discount less \$            | amortization of premium and less \$paid for accrued interest on purchases.           |
| (f) Includes \$ accrual of discount less \$           | amortization of premium.   |
| (g) Includes \$investment expenses and \$             | investment taxes, licenses and fees, excluding federal income taxes, attributable to |
| segregated and Separate Accounts.                     |  |
| (h) Includes \$interest on surplus notes and \$       | interest on capital notes.   |
| (i) Includes \$                                       | depreciation on other invested assets.   |

**EXHIBIT OF CAPITAL GAINS (LOSSES)** 

|       |  | 1  | 2                                | 3  | 4  | 5   |
|-------|--|--|----------------------------------|--|--|---|
|       |  | Realized<br>Gain (Loss)<br>On Sales or<br>Maturity | Other<br>Realized<br>Adjustments | Total Realized Capital<br>Gain (Loss)<br>(Columns 1 + 2) | Change in<br>Unrealized Capital<br>Gain (Loss) | Change in<br>Unrealized Foreig<br>Exchange Capital<br>Gain (Loss) |
| 1.    | U.S. Government bonds  |  |                                  |  |  |   |
| 1.1   | Bonds exempt from U.S. tax                                   | (151)  |                                  | (151)  |  | <b></b>   |
| 1.2   | Other bonds (unaffiliated)                                   |  |                                  |  |  | <u></u>   |
| 1.3   | Bonds of affiliates  |  |                                  |  |  | <b></b>   |
| 2.1   | Preferred stocks (unaffiliated)                              |  |                                  |  |  |   |
| 2.11  | Preferred stocks of affiliates                               |  |                                  |  |  | ļ   |
| 2.2   | Common stocks (unaffiliated)                                 | 38   |                                  |  | 376,618  |   |
| 2.21  | Common stocks of affiliates                                  |  |                                  |  |  | <b>}</b>  |
| 3.    | Mortgage loans   |  |                                  |  |  | <del> </del>  |
| 4.    | Real estate  |  |                                  |  |  |   |
| 5.    | Contract loans   |  |                                  |  |  | <b>+</b>  |
| 6.    | Cash, cash equivalents and short-term investments            |  |                                  |  |  | <b></b>   |
| 7.    | Derivative instruments                                       |  |                                  |  |  |   |
| 8.    | Other invested assets  |  |                                  |  |  |   |
| 9.    | Aggregate write-ins for capital gains (losses)               |  |                                  |  | 070 040  |   |
| 10.   | Total capital gains (losses)                                 | (113)  |                                  | (113)  | 376,618  | <del>_</del>  |
| DÉTAI | LS OF WRITE-INS  |  |                                  |  |  |   |
| 0901. |  |  | î .                              |  |  | i   |
| 0902. |  |  | •••••                            |  |  |   |
| 0903. |  | ,  |                                  |  |  | <u> </u>  |
| 0998. | Summary of remaining write-ins for Line 9 from overflow page |  |                                  |  |  | <u> </u>  |
| 0999. | Totals (Lines 0901 through 0903 plus 0998) (Line 9           |  |                                  |  |  |   |

# **EXHIBIT OF NONADMITTED ASSETS**

|       |   | 1 Current Year Total Nonadmitted Assets | 2 Prior Year Total Nonadmitted Assets   | 3<br>Change in Total<br>Nonadmitted Assets<br>(Col. 2 - Col. 1) |
|-------|---|---|---|---|
| 1.    | Bonds (Schedule D)  |   |   |   |
|       | Stocks (Schedule D):  | İ                                       |   |   |
|       | 2.1 Preferred stocks  |   |   |   |
|       | 2.2 Common stocks   |   | *************************************** |   |
| 3.    | Mortgage loans on real estate (Schedule B):   |   |   |   |
|       | 3.1 First liens   |   |   |   |
|       | 3.2 Other than first liens  |   |   |   |
|       | Real estate (Schedule A):   |   |   | I   |
|       | 4.1 Properties occupied by the company  |   |   |   |
|       | 4.2 Properties held for the production of income  |   |   |   |
|       | 4.3 Properties held for sale  |   |   |   |
| 5.    | Cash (Schedule E-Part 1), cash equivalents (Schedule E-Part 2) and                            |   |   |   |
|       | short-term investments (Schedule DA)  |   |   |   |
| 6.    | Contract loans  |   |   |   |
| 7.    | Derivatives (Schedule DB)   |   |   |   |
| 8.    | Other invested assets (Schedule BA)   |   |   |   |
| 9.    | Receivables for securities  |   |   |   |
| 10.   | Securities lending reinvested collateral assets (Schedule DL)                                 |   |   |   |
| 11.   | Aggregate write-ins for invested assets   | 10,260                                  | 15,391                                  | 5,130   |
| 12.   | Subtotals, cash and invested assets (Lines 1 to 11)   | 10,260                                  | 15,391                                  | 5,130   |
|       | Title plants (for Title insurers only)  |   |   |   |
|       | Investment income due and accrued   |   |   |   |
| 15.   | Premiums and considerations:  |   |   |   |
|       | 15.1 Uncollected premiums and agents' balances in the course of collection                    | (41)                                    | (101)                                   | (60)  |
|       | 15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due |   |   |   |
|       | 15.3 Accrued retrospective premiums and contracts subject to redetermination                  |   |   |   |
| 16.   | Reinsurance:  |   |   |   |
|       | 16.1 Amounts recoverable from reinsurers  |   |   |   |
|       | 16.2 Funds held by or deposited with reinsured companies                                      |   |   |   |
|       | 16.3 Other amounts receivable under reinsurance contracts                                     |   |   |   |
| 17.   | Amounts receivable relating to uninsured plans  |   |   |   |
| 18.   | 1 Current federal and foreign income tax recoverable and interest thereon                     | 30,000                                  | 30,000                                  |   |
|       | 2 Net deferred tax asset  |   |   |   |
| 19.   | Guaranty funds receivable or on deposit   |   |   |   |
| 20.   | Electronic data processing equipment and software   |   |   |   |
| 21.   | Furniture and equipment, including health care delivery assets                                | 807                                     | 2,420                                   | 1,613   |
|       | Net adjustment in assets and liabilities due to foreign exchange rates                        |   |   |   |
| 23.   | Receivables from parent, subsidiaries and affiliates  |   |   |   |
| 24.   | Health care and other amounts receivable  |   |   |   |
| 25.   | Aggregate write-ins for other-than-invested assets  |   | ,                                       |   |
| 26.   | Total assets excluding Separate Accounts, Segregated Accounts and                             |   |   |   |
|       | . 10100100 00111 100001110 (2.1110 10 10 10 10 10 10 10 10 10 10 10 10                        | 41,026                                  | 47,710                                  | 6,684   |
| 27.   | From Separate Accounts, Segregated Accounts and Protected Cell Accounts                       |   |   |   |
|       | Total (Lines 26 and 27)   | 41,026                                  | 47,710                                  | 6,684   |
| DETA  | LS OF WRITE-INS   |   |   |   |
| 1101. | Automobiles   | 10,260                                  | 15,391                                  | 5,130   |
| 1102. |   |   |   | <b>.</b>  |
| 1103. |   |   |   |   |
| 1198. | Summary of remaining write-ins for Line 11 from overflow page                                 |   |   |   |
|       | Totals (Lines 1101 through 1103 plus 1198) (Line 11 above)                                    | 10,260                                  | 15,391                                  | 5,130   |
|       |   | ļ                                       | <u> </u>                                | <u> </u>  |
|       |   |   |   |   |
| 2503. |   |   |   |   |
|       | Summary of remaining write-ins for Line 25 from overflow page                                 | <u> </u>                                |   |   |
|       | Totals (Lines 2501 through 2503 plus 2598) (Line 25 above)                                    |   |   |   |

## NOTES TO FINANCIAL STATEMENTS

- 1. Summary of Significant Accounting Policies and Going Concern
  - a. The accompanying financial statements of the Association have been prepared in conformity with accounting practices prescribed or permitted by the National Association of Insurance Commissioners as modified by Iowa Administrative Code Section 0371B for insurance companies domiciled in the State of Iowa.
  - b. The preparation of the financial statements of the Association 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. Premiums are earned over the terms of the related insurance policies and reinsurance contracts. Unearned premium reserves are established to cover the unexpired portion of premiums written. Such reserves are computed by pro rata methods for direct business and are based on reports received from ceding companies for reinsurance.

Expenses incurred in connection with acquiring new insurance business, including such acquisition costs as sales commissions, are charged to operations as incurred. Expenses incurred are reduced for ceding allowances received or receivable.

Asset values are generally stated as follows: Short-term investments at amortized cost; bonds at amortized cost for investment grade, and the lower of amortized cost or fair value for below investment grade; stocks at fair value. The pro rata method was used in the amortization of bonds in this statement. This method provides for amortization of the premium or the discount in equal amounts over the life of the bond. The pro rata method is applied by dividing the premium or discount by the number of years, or interest periods, over the contract life of the security until maturity.

The Association uses the straight line method of depreciation for all of its real estate holdings with the lives varying depending on the type of building. The Association uses the straight line and certain accelerated methods of depreciation to depreciate its electronic data processing (EDP) equipment.

- d. Based on its evaluation of relevant conditions and events, management does not have substantial doubt about the Association's ability to continue as a going concern.
- 2. Accounting Changes and Corrections of Errors
  - a. The Association had no material changes in accounting principles or corrections of errors.
- 3. Business Combinations and Goodwill
  - a. The Association had no business combinations accounted for under the statutory purchase method.
  - b. The Association had no statutory mergers.
  - c. The Association had no impairment losses.
  - d. The Association had no admitted goodwill.
- 4. Discontinued Operations

The Association did not have any discontinued operations.

- 5. Investments
  - a. The Association has no mortgage loans.
  - b. The Association is not a creditor for any restructured debt.
  - c. The Association has no reverse mortgages.
  - d. The Association does not hold any loan backed securities.
  - e. The Association has no dollar repurchase agreements and/or securities lending transactions at year end.
  - f. The Association has no repurchase agreement transactions accounted for as secured borrowing.
  - g. The Association has no reverse repurchase agreement transactions accounted for as secured borrowing.
  - h. The Association has no repurchase transactions accounted for as a sale.
  - i. The Association has no reverse repurchase agreement transactions accounted for as a sale.
  - The Association has no investments in real estate.
  - k. The Association has no investments in low-income housing tax credits.
  - 1. The Association has no restricted assets.
  - m. The Association has no working capital finance investments.
  - n. The Association has no offsetting and netting of assets and liabilities.
  - o. The Association has no 5\* GI securities.
  - p. The Association has no short sales.
  - The Association has no prepayment penalty and acceleration fees.
  - r. Reporting Entity's Share of Cash Pool by Asset type

|     | Asset Type             | Percent Share |
|-----|------------------------|---------------|
| (1) | Cash                   | 21%           |
| (2) | Cash Equivalents       | <u>_ 79</u> % |
| (3) | Short-Term Investments | 0%            |
| (4) | Total                  | <u>100</u> %  |

- 6. Joint Ventures, Partnerships and Limited Liability Companies
  - The Association has no investments in Joint Ventures, Partnerships or Limited Liability Companies that exceed 10% of its admitted assets.
  - b. The Association has no investments in impaired Joint Ventures, Partnerships or Limited Liability Companies.

## NOTES TO FINANCIAL STATEMENTS

- 7. Investment Income
  - The Association does not exclude (non-admit) any interest income due and accrued.
  - b. N/A
- 8. Derivative Instruments

The Association has no derivative instruments.

9. Income Taxes

e.

- The Association is not required to record deferred taxes.
- b. The Association is not required to record deferred taxes.
- c. Federal income tax incurred for 2021 and 2020 was \$0 and \$0, respectively. The Association is not subject to recording of deferred income taxes.
- d. The variation in the relationship between income tax expense and the amount computed by applying the statutory rates for Federal income taxes results principally from tax-exempt investment income and statutory adjustments as required by the Internal Revenue Code.
  - 1. At December 31, 2021, the Association had \$1,015,485 of operating loss carryforward.
    - The following are federal income taxes incurred in the current and prior years that will be available for recoupment in the event of future net losses:

2021 (current year)

\$0

2020 (current year-1)

- The Association does not have any deposits admitted under Section 6603 of the Internal Revenue Service Code.
- f. The Association's Federal Income Tax return is not consolidated with any other entity.
- g. The Association does not have any federal or foreign tax loss contingencies.
- h. The Association does not have repatriation transition tax (RTT).
- i. The Association does not have any alternative minimum tax (AMT) credits.
- 10. Information Concerning Parent, Subsidiaries and Affiliates and other related parties.
  - a. The Association has no parent, subsidiary or affiliated entities.
  - b. The Association has no parent, subsidiary or affiliated entities.
  - c. The Association has no parent, subsidiary or affiliated entities.
  - d. The Association has no parent, subsidiary or affiliated entities.
  - The Association has no parent, subsidiary or affiliated entities.
  - f. The Association has no parent, subsidiary or affiliated entities.
     g. The Association has no parent, subsidiary or affiliated entities.
  - g. The Association has no parent, subsidiary or affiliated entities.
     h. The Association has no parent, subsidiary or affiliated entities.
  - i. The Association has no parent, subsidiary or affiliated entities.
  - j. The Association has no parent, subsidiary or affiliated entities.
  - k. The Association has no parent, subsidiary or affiliated entities.
  - 1. The Association has no parent, subsidiary or affiliated entities.
  - m. The Association has no parent, subsidiary or affiliated entities.
  - n. The Association has no parent, subsidiary or affiliated entities.
  - The Association has no parent, subsidiary or affiliated entities.

#### 11. Debt

The Association has no debt obligations.

- 12. Retirement Plans, Deferred Compensation, Post employment Benefits and Compensated Absences and Other Postretirement Benefit Plans
  - a. The Association does maintain a defined benefit pension plan.
  - b. The Association does maintain a defined benefit pension plan.
  - c. The Association does maintain a defined benefit pension plan.
  - d. The Association does maintain a defined benefit pension plan.
  - e. Insurance company employees are covered by a deferred contribution plan sponsored by the insurance company.

The Association has a SEP retirement plan. Contributions of 20% of the employee's salary are made each year. The Company's contribution for the plan was \$59,890 and \$56,599 for 2021 and 2020, respectively.

- f. The Association does not have a multiemployer plan.
- g. The Association does not have consolidated/holding company plans.
- h. The Association does not have postemployment benefits and compensated absences.
- i. The Association did not have an impact of the Medicare Modernization Act on Postretirement Benefits.
- 13. Capital and Surplus, Dividend Restrictions and Quasi-Reorganization
  - a. The Association has no capital stock.
  - b. The Association has no preferred stock outstanding.
  - c. As a Mutual Association, shareholder dividend restrictions criteria to not apply.
  - d. No dividends were paid by the Association.
  - e. There are no restrictions placed on the portion of Association profits that may be paid as ordinary dividends to
  - f. There were no restrictions placed on the Association's unassigned surplus, including for whom surplus is being
  - g. The Association does not have any advanced to surplus not repaid.
  - h. The Association has no stock held for special purposes.
  - i. The Association has no special surplus funds from the prior period.

## NOTES TO FINANCIAL STATEMENTS

- j. The portion of unassigned funds (surplus) represented or reduced by cumulative unrealized gains (losses) is \$376.618
- k. No surplus notes or similar obligations exist.
- 1. The Association has not participated in quasi-reorganization.
  - The Association has not participated in quasi-reorganization.

#### 14. Liabilities, Contingencies and Assessments

- a. The Association has committed no reserves to cover any contingent liabilities.
- b. The Association does not have any assessments that could have a material financial effect.
- c. The Association has no gain contingencies.
- d. The Association has no claims related to extra contractual obligations or bad faith losses stemming from lawsuits.
- e. The Association has no product warranties.
- f. The Association has no joint and several liability arrangements.
- g. The Association has no other contingencies or impairment of assets.

#### 15. Leases

m.

- The Association does not have any material lease obligations at this time.
- b. The Association does not have any material lease obligations representing a significant part of their business activities at this time.

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

The Association does not have financial instruments with off-balance-sheet risk or with concentrations of credit risk.

- 17. Sale, Transfer and Servicing of Financial Assets and Extinguishment of Liabilities
  - a. The Association has no transfers or receivables reported as sales.
  - b. The Association has no transfer and servicing of financial assets.
  - c. The Association has no wash sales.
- 18. Gain or Loss to the Reporting Entity from Uninsured Plans and the Uninsured Portion of Partially Insured Plans
  - a. The Association has no ASO plans.
  - b. The Association has no ASC plans.
  - c. The Association has no Medicare or similarly structured cost based reimbursement contracts.
- 19. Direct Premium Written/Produced by Managing General Agents/Third Party Administrators

The Association has no premiums written/produced by Managing General Agents or Third Party Administrators.

#### 20. Fair Value Measurement

- A. A framework for measuring fair value has been established which provides a fair value hierarchy that priorities the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1) and the lowest priority to unobservable inputs (level 3). The three levels of the fair value hierarchy are described below:
- Level 1: Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Association has the ability to access.
- Level 2: Inputs to the valuation methodology include: Quoted prices for similar assets or liabilities in active markets; quoted prices for identical or similar assets or liabilities in inactive markets; inputs other than quoted prices that are observable for the asset or liability; inputs that are derived principally from or corroborated by observable market data by correlation or other means. If the asset or liability has a specified (contractual) term, the Level 2 input must be observable for substantially the full term of the asset or liability.
- Level 3: Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at December 31, 2021 and 2020.

Debt and Equity Securities: Equity securities are valued at current fair value based on unadjusted quoted prices in the active investment market at the Statement of Assets, Liabilities and Policyholders' Surplus - Statutory date. Debt securities below investment grade are valued at the lower of amortized cost or fair value at the Statement of Assets, Liabilities, and Policyholders' Surplus - Statutory date. These totaled \$3,309,229 and \$2,632,610 at December 31, 2021 and 2020, respectively.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Association believes its valuation methods are appropriate and consistent with market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

(1) The following tables set forth by level, within the fair value hierarchy, the Association's assets at fair value as of:

# NOTES TO FINANCIAL STATEMENTS

#### December 31, 2021

|   | Level 1 Level 2                   |    | Level 3          |    | <u>Net Asset</u><br><u>Value ( NAV)</u> |    | Total       |                                   |
|---|-----------------------------------|----|------------------|----|---|----|-------------|-----------------------------------|
| Corporate Bonds<br>Mutual Funds<br>Common Stock | \$<br>0<br>1,403,016<br>1,874,914 | \$ | 0<br>0<br>31,299 | \$ | 0<br>0<br>0                             | \$ | 0<br>0<br>0 | \$<br>0<br>1,403,016<br>1,906,213 |
| Total Assets at Fair Value                      | \$<br>3,277,930                   | \$ | 31,299           | \$ | 0                                       | \$ | 0           | \$<br>3,309,229                   |

#### December 31, 2020

|   | Level 1                           | L  | evel 2           | Leve | el 3        | <u>Net A</u><br>Value ( |             | Total                             |
|---|-----------------------------------|----|------------------|------|-------------|-------------------------|-------------|-----------------------------------|
| Corporate Bonds<br>Mutual Funds<br>Common Stock | \$<br>0<br>1,033,605<br>1,570,680 | \$ | 0<br>0<br>28,325 | \$   | 0<br>0<br>0 | \$                      | 0<br>0<br>0 | \$<br>0<br>1,033,605<br>1,599,005 |
| Total Assets at Fair Value                      | \$<br>2,604,285                   | \$ | 28,325           | \$   | 0           | <u> </u>                | 0           | \$<br>2,632,610                   |

- (2) The Association does not have any fair value measurements in level 3 of the fair value hierarchy.
- B. The Association does not have any other accounting pronouncements.
- C. Fair Value of all Financial Instruments

| Type of Financial               | Aggregate<br>Fair Value | Admitted<br>Assets | (I11)                           | (I12)                     | (I aval 2)                | Net Asset <u>Value</u> (NAV) | Not Practicable (Carrying Value) |
|---------------------------------|-------------------------|--------------------|---------------------------------|---------------------------|---------------------------|------------------------------|----------------------------------|
| Instrument Corporate Securities | \$ 152,581              | \$ 134,832         | ( <u>Level 1)</u><br>\$ 152,581 | ( <u>Level 2)</u><br>\$ 0 | ( <u>Level 3)</u><br>\$ 0 | \$ 0                         | \$ 0                             |
| Municipal Securities -          | \$ 138,522              | \$ 127,219         | \$ 0                            | \$ 138,522                | \$ 0                      | \$ 0                         | \$ 0                             |
| Taxable Municipal Securites -   | \$ 3,720,221            | \$ 3,574,123       | \$ 0                            | \$ 3,720,221              | \$ 0                      | \$ 0                         | \$ 0                             |
| Exempt Certificate of Deposits  | \$ 250,000              | \$ 250,000         | \$ 250,000                      | \$ 0                      | \$ 0                      | \$ 0                         | \$ 0                             |
| Çommon Stock                    | \$ 1,906,213            | \$ 1,906,213       | \$ 1,874,914                    | \$ 31,229                 | \$ 0                      | \$ 0                         | \$ 0                             |
| Mutual Funds                    | \$ 1,403,016            | \$ 1,403,016       | \$ 1,403,016                    | \$ 0                      | \$ 0                      | \$ 0                         | \$ 0                             |

- D. Not applicable.
- E. Not applicable.

#### 21. Other Items

- a. The Association has no extraordinary items to report.
- b. The Association did not have any troubled debt restructuring.
- c. The Association has no other disclosures and unusual items.
- d. The Association did not receive any business interruption insurance recoveries.
- e. The Association has no state transferable and non-transferable tax credits.
- f. The Association has no subprime-mortgage-related risk exposure.
- g. The Association has no insurance-linked securities (ILS) contracts.
- h. The Association has no amounts that could be realized on life insurance.

#### 22. Events Subsequent

 Management has evaluated subsequent events through January 25, 2022, the date which the financial statements were available for issue.

#### 23. Reinsurance

- a. The Association has unsecured aggregate recoverables for losses, paid or unpaid, including IBNR, loss adjustment expenses, and unearned premium that exceeds more than 3% of policyholder surplus in the amount of \$1,873,633.
- b. The Association has no reinsurance recoverable in dispute.
- c. The Association has no commission amounts due and payable to reinsurers if either party were to cancel
- d. The Association has no uncollectible reinsurance that was written off during the year for Losses Incurred, Loss Adjustment Expenses Incurred or Premiums Earned.
- e. The Association has no commutation of Ceded Reinsurance during the year for Losses Incurred, Loss Adjustment Expenses Incurred or Premiums Earned.
- f. The Association has no retroactive reinsurance contracts.
- g. The Association has no reinsurance accounted for as a deposit.

## **NOTES TO FINANCIAL STATEMENTS**

- h. The Association has no transfer or property or casualty run-off agreements.
- The Association does not have any contracts with Certified Reinsurers whose rating was downgraded or whose status is subject to revocation.
- j. The Association has no reinsurance agreements qualifying for reinsurer aggregation.
- The Association has no reinsurance credits covering health business.

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

The Association has no retrospectively rated contracts or contracts subject to redetermination.

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

- a. Reserves as of December 31, 2020 were \$23,385. As of December 31, 2021, \$55,097 has been paid for incurred losses and loss adjustment expenses attributed to insured events of prior years. Reserves remaining for prior years are now \$0 as a result of re-estimation of unpaid claims and claim adjustment expenses principally on Fire, Allied Lines and Commercial lines of insurance. Therefore, there has been a \$31,711 unfavorable (favorable) prior-year development since December 31, 2020. The increase (decrease) is generally the result of ongoing analysis of recent loss development trends. Original estimates are increased or decreased, as additional information becomes known regarding individual claims. Included in this increase (decrease), the Company experienced \$0 of unfavorable (favorable) prior year loss development on retrospectively rated policies. However, the business to which it relates is subject to premium adjustments.
- b. The Association had no significant changes in methodologies and assumptions used in calculating the liability for unpaid losses and loss adjustment expenses.

#### 26. Intercompany Pooling Arrangements

The Association has no intercompany pooling arrangements.

#### 27. Structured Settlements

- a. The Association has not purchased any annuities for which a claimant is listed as payee.
- b. N/A

#### 28. Health Care Receivables

The Association has no health care receivables.

29. Participating Policies

The Association has no participating policies.

#### 30. Premium Deficiency Reserves

The Association has no premium deficiency reserves.

#### 31. High Deductibles

The Association has no reserve credit that has been recorded for high deductibles on unpaid claims.

## 32. Discounting of Liabilities for Unpaid Losses of Unpaid Loss Adjustment Expenses

The Association does not discount its Unpaid Losses or Unpaid Loss Adjustment Expenses.

#### 33. Asbestos/Environmental Reserves

The Association has no potential for liability due to asbestos or environmental losses.

#### 34. Subscriber Savings Accounts

The Association is not a reciprocal insurance Association.

#### 35. Multiple Peril Crop Insurance

The Association has no multiple peril crop insurance.

## 36. Financial Guaranty Insurance

The Association has no financial guaranty insurance policies.

## **GENERAL INTERROGATORIES**

## PART 1 - COMMON INTERROGATORIES

#### **GENERAL**

| 1.1 | Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more which is an insurer?  | of          | Yes [  |   | ) N  | o [ X   | ]   |
|-----|---|-------------|--------|---|------|---------|-----|
|     | If yes, complete Schedule Y, Parts 1, 1A, 2 and 3.  |             |        |   |      |         |     |
| 1.2 | If yes, did the reporting entity register and file with its domiciliary State Insurance Commissioner, Director or Superintendent or with such regulatory official of the state of domicile of the principal insurer in the Holding Company System, a registration statement providing disclosure substantially similar to the standards adopted by the National Association of Insurance Commissioners (NAIC) in its Model Insurance Holding Company System Regulatory Act and model regulations pertaining thereto, or is the reporting entity subject to standards and disclosure requirements substantially similar to those required by such Act and regulations? | res [       | ] No [ | i | } N/ | A [ X   | ]   |
| 1.3 | State Regulating? N/A   |             |        |   |      |         |     |
| 1.4 | Is the reporting entity publicly traded or a member of a publicly traded group?   |             | Yes [  | ı | ] N  | 0 [ X   | ]   |
| 1.5 | If the response to 1.4 is yes, provide the CIK (Central Index Key) code issued by the SEC for the entity/group.   |             |        |   |      |         |     |
| 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 reporting entity?   | the         | Yes    | í | ] N  | ko [X   | ]   |
| 2.2 | If yes, date of change:   | ,,,,,,      |        |   |      | 04 1000 |     |
| 3.1 | State as of what date the latest financial examination of the reporting entity was made or is being made.   |             |        |   | 12/  | 31/202  | .0  |
| 3.2 | State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. T date should be the date of the examined balance sheet and not the date the report was completed or released.  | ******      |        |   | _12/ | 31/201  | 6   |
| 3.3 | State as of what date the latest financial examination report became available to other states or the public from either the state of domicile the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sh date).   | eel         |        |   | .09/ | 08/201  | 7   |
| 3.4 | By what department or departments? Iowa Insurance Division  |             |        |   |      |         |     |
| 3.5 | Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments?  | -           | X ] No | - | -    |         | 1   |
| 3.6 | Have all of the recommendations within the latest financial examination report been complied with?  | Yes [       | X ] No | ĺ | } N/ | A [     | }   |
| 4.1 | During the period covered by this statement, did any agent, broker, sales representative, non-affiliated sales/service organization or a combination thereof under common control (other than salaried employees of the reporting entity) receive credit or commissions for control a substantial part (more than 20 percent of any major line of business measured on direct.  4.11 sales of new business?   | any<br>· or | Yes    | ı | 1    | No { X  | : 1 |
|     | promoting of  |             |        | • | •    | No [X   |     |
| 4.2 | 4.12 renewals?  During the period covered by this statement, did any sales/service organization owned in whole or in part by the reporting entity or affiliate, receive credit or commissions for or control a substantial part (more than 20 percent of any major line of business measured  | an<br>on    | 700    |   | , '  |         | ,   |
|     | direct premiums) of:  |             | V      |   |      | No ſX   | , , |
|     | 4.21 sales of new business?   |             | Yes    | • | •    | •       | •   |
|     | 4.22 renewals?  |             | Yes    | • | •    | No (X   |     |
| 5.1 | Has the reporting entity been a party to a merger or consolidation during the period covered by this statement?   |             | Yes    | ι | 1    | No [X   | . 1 |
| 5.2 | If yes, complete and file the merger history data file with the NAIC.  If yes, provide the name of the entity, NAIC company code, and state of domicile (use two letter state abbreviation) for any entity that ceased to exist as a result of the merger or consolidation.   | has         |        |   |      |         |     |
|     | 1 2 3   | 7           |        |   |      |         |     |
|     | 1 Name of Entity NAIC Company Code State of Domicile  |             |        |   |      |         |     |
|     |   | ]           |        |   |      |         |     |
|     |   |             |        |   |      |         |     |
|     |   | 1           |        |   |      |         |     |
|     |   | 1           |        |   |      |         |     |
|     |   | J           |        |   |      |         |     |
| 6.1 | Has the reporting entity had any Certificates of Authority, licenses or registrations (Including corporate registration, if applicable) susper or revoked by any governmental entity during the reporting period?   | nded        | Yes    | 1 | J    | No [ 2  | X ] |
| 6.2 | If yes, give full information   |             |        |   |      |         |     |
| 7.1 | Does any foreign (non-United States) person or entity directly or indirectly control 10% or more of the reporting entity?   |             | Yes    | [ | ]    | No [    | X ] |
| 7.2 | If yes, 7.21 State the percentage of foreign control  |             |        |   |      |         | 9   |
|     | 7.21 State the percentage of integral culture.  7.22 State the nationality(s) of the foreign person(s) or entity(s); or if the entity is a mutual or reciprocal, the nationality of manager or attorney-in-fact and identify the type of entity(s) (e.g., individual, corporation, government, manager or atto  | of its      |        |   |      |         |     |
|     | in-fact).   | $\neg$      |        |   |      |         |     |
|     | 1 2 Nationality Type of Entity  |             |        |   |      |         |     |
|     |   |             |        |   |      |         |     |
|     |   |             |        |   |      |         |     |
|     |   |             |        |   |      |         |     |
|     |   |             |        |   |      |         |     |
|     |   |             |        |   |      |         |     |
|     |   |             |        |   |      |         |     |
|     |   |             |        |   |      |         |     |
|     |   |             |        |   |      |         |     |

Yes [ ] No [ X ]

## ANNUAL STATEMENT FOR THE YEAR 2021 OF THE West Side Mutual Insurance Association

## **GENERAL INTERROGATORIES**

| .1       | is the company a subsidiary of a depository institution hold<br>If response to 8.1 is yes, please identify the name of the Di   | ing company (DIHC) or a DIHC itself, regu<br>HC.  | lated by the F                     | ederal Reserv                   | e Board?                   | Yes [    | ] N    | o [ X ] |
|----------|---|---|------------------------------------|---------------------------------|----------------------------|----------|--------|---------|
| .3<br>.4 | Is the company affiliated with one or more banks, thrifts or<br>if response to 6.3 is yes, please provide the names and lor<br>financial regulatory services agency [i.e. the Federal Resei<br>Federal Deposit Insurance Corporation (FDIC) and the Ser<br>regulator. | securities firms?<br>actions (city and state of the main office) o                      | oller of the Cu                    | rrency (OCC).                   | u ie                       | Yes [    | ] N    | o [ X ] |
|          | 1   | 2   | 3                                  | 4                               | 5                          | 6        | 1      |         |
|          | •   | Location  | FRB                                | осс                             | FDIC                       | SEC      |        |         |
|          | Affiliate Name  | (City, State)   | FRB                                | OCC                             | FDIC                       | 320      | 1      |         |
|          | Is the reporting entity a depository institution holding comp<br>of Federal Reserve System or a subsidiary of the reporting   | entity?   |                                    |                                 | overnors                   | Yes [    | ] No   | [ X ]   |
|          | If response to 8.5 is no, is the reporting entity a company of<br>to the Federal Reserve Board's capital rule?<br>What is the name and address of the independent certified   |   |                                    |                                 | Yes {                      | ] No [ ] | K ] N/ | [ ] A   |
|          | An annual audit is not required   |   | miga to condu                      |                                 |                            |          |        |         |
| 0.1      | Has the insurer been granted any exemptions to the prohi-<br>requirements as allowed in Section 7H of the Annual Final<br>law or regulation?  If the response to 10.1 is yes, provide information related   | bited non-audit services provided by the c<br>ncial Reporting Model Regulation (Model A | ertified indepe<br>Audit Rule), or | ndent public a<br>substantially | ccountant<br>similar state | Yes [    | ] No   | [ X ]   |
|          | Has the insurer been granted any exemptions related to  | the other requirements of the Annual F  | inancial Repo                      | orting Model F                  | Regulation as              |          |        |         |
|          | allowed for in Section 18A of the Model Regulation, or sub<br>If the response to 10.3 is yes, provide information related   |   | Yes [                              | j No                            | ( X )                      |          |        |         |
|          |   |   |                                    |                                 |                            |          |        |         |
|          | Has the reporting entity established an Audit Committee in If the response to 10.5 is no or n/a, please explain  An audit is not required   | n compliance with the domiciliary state ins   | urance laws?                       |                                 | Yes [                      | ] No [   | ] N/   | A [ X ] |
| 11.      | What is the name, address and affiliation (officer/emp consulting firm) of the individual providing the statement of  | loyee of the reporting entity or actuary, factuarial opinion/certification?             | consultant as                      | sociated with                   | an actuarial               |          |        |         |
|          | Not applicable  |   |                                    |                                 |                            | Voc 1    | 1 /    | No [X]  |
| 2.1      | Does the reporting entity own any securities of a real esta   | te holding company or otherwise hold real<br>12.11 Name of re                           |                                    |                                 |                            | 169 [    | -      |         |
|          |   | 12.12 Number of   |                                    |                                 |                            |          |        |         |
|          |   | 12.13 Total book  | •                                  |                                 | \$                         |          |        |         |
| 2.2      | If yes, provide explanation   |   |                                    | •                               |                            |          |        |         |
| 13.      | FOR UNITED STATES BRANCHES OF ALIEN REPORT  | ING ENTITIES ONLY:  |                                    |                                 |                            |          |        |         |
| 3.1      | What changes have been made during the year in the Un   | ited States manager or the United States  | trustees of the                    | reporting enti                  | ly?                        |          |        |         |
| 3.2      | Does this statement contain all business transacted for th  | e reporting entity through its United States  | Branch on ris                      | ks wherever l                   | ocated?                    | Yes [    | ,      | No [ ]  |
|          | Have there been any changes made to any of the trust inc  |   |                                    |                                 |                            | Yes [    | ] [    |         |
|          | If answer to (13.3) is yes, has the domiciliary or entry state  |   |                                    |                                 | Yes [                      | ] No [   | ] N/   | A [ ]   |
| 4.1      | Are the senior officers (principal executive officer, principal similar functions) of the reporting entity subject to a code  | of ethics, which includes the following sta   | ndards?                            |                                 |                            | Yes [    | х ј -  | No [ ]  |
|          | <ul> <li>a. Honest and ethical conduct, including the ethical han<br/>relationships;</li> </ul>   |   |                                    |                                 | professional               |          |        |         |
|          | <ul><li>b. Full, fair, accurate, timely and understandable disclosu</li><li>c. Compliance with applicable governmental laws, rules a</li></ul>  | nd regulations;   |                                    | rung entity;                    |                            |          |        |         |
|          | d. The prompt internal reporting of violations to an approp   | riate person or persons identified in the co  | ode; and                           |                                 |                            |          |        |         |
|          | e. Accountability for adherence to the code.  |   |                                    |                                 |                            |          |        |         |
| 4.11     | If the response to 14.1 is no, please explain:  |   |                                    |                                 |                            |          |        |         |
|          | Has the code of ethics for senior managers been amende  |   |                                    |                                 |                            | Yes [    | ]      | No [X]  |
| 4.21     | If the response to 14.2 is yes, provide information related   | to amendment(s).  |                                    |                                 |                            |          |        |         |

14.3 Have any provisions of the code of ethics been waived for any of the specified officers?

14.31 If the response to 14.3 is yes, provide the nature of any waiver(s).

## **GENERAL INTERROGATORIES**

|     | bank ( | of the Letter of Cre                        | dit and describe the                           | circumstances in which the Lette  | r of Credit is triggered                              |   |                   |     | _    |     |
|-----|--------|---|--|---|---|---|-------------------|-----|------|-----|
|     |        |   | 1  | 2   |   | 3   | 4                 |     |      |     |
|     |        | Bar<br>Asso<br>(ABA)                        | rican<br>ikers<br>ciation<br>Routing           | Issuing or Confirming   | Si  | That Cap Tringer the Letter of Credit   | Amount            |     |      |     |
|     |        | Nu  | nber   | Bank Name   | Circumstances   | That Can Trigger the Letter of Credit   | Anount            |     | 1    |     |
|     |        |   |  |   |   |   |                   |     | ]    |     |
|     |        |   |  |   |   |   |                   |     |      |     |
|     |        |   |  |   |   |   |                   |     | لـ   |     |
|     |        |   |  |   | F DIRECTORS   |   |                   |     |      |     |
|     | Is the |   | of all investments                             | of the reporting entity passed up                                       | on either by the boar                                 | d of directors or a subordinate committee   | ee<br>Yes [       | X ] | No   |     |
|     |        | the reporting enti                          | ty keep a complete                             | permanent record of the proceed   | edings of its board of                                | directors and all subordinate committee   | es<br>Yes [       | Χј  | No   |     |
| 3.  | Has t  | he recepting entity                         | an established pro-<br>ficers, directors, trus | cedure for disclosure to its board<br>stees or responsible employees to | l of directors or truste<br>that is in conflict or is | es of any material interest or affiliation of a likely to conflict with the official duties | on<br>of<br>Yes [ | X ] | No   |     |
|     |        |   |  | FINANCIA  | AL  |   |                   |     |      |     |
| 9.  | Has 1  | this statement beer<br>unting Principles)?  | prepared using a b                             | asis of accounting other than Sta                                       | tutory Accounting Prin                                | nciples (e.g., Generally Accepted   | Yes [             | 1   | No ! | ,   |
| ).1 | Total  | amount loaned du                            | ring the year (inclus                          | ive of Separate Accounts, exclusi                                       | ive of policy loans):                                 | 20.11 To directors or other officers  | \$                |     |      |     |
|     |        |   |  |   |   | 20.12 To stockholders not officers 20.13 Trustees, supreme or grand (Fraternal only)        | \$<br>\$          |     |      |     |
| ).2 |        |   | utstanding at the en                           | d of year (inclusive of Separate A                                      | accounts, exclusive of                                | 20.21 To directors or other officers  | \$                |     |      |     |
|     | polic  | y loans):                                   |  |   |   | 20.22 To stockholders not officers  | \$                |     |      |     |
|     |        |   |  |   |   | 20.23 Trustees, supreme or grand (Fraternal only)   | \$                |     |      |     |
| 1.1 | Were   | any assets report<br>ation being reporte    | ed in this statement<br>d in the statement?    | subject to a contractual obligation                                     | n to transfer to anothe                               | r party without the liability for such  | Yes [             |     |      |     |
| 1.2 | If yes | s, state the amount                         | thereof at December                            | er 31 of the current year:  | 21.21 Rented fr                                       |   | \$<br>\$          |     |      |     |
|     |        |   |  |   | 21.22 Borrowed<br>21.23 Leased fr                     |   | \$                |     |      |     |
|     |        |   |  |   | 21.24 Other   | ON OURS   | \$                |     |      |     |
| 2.1 | Does   | s this statement inc<br>anty association as | lude payments for a<br>sessments?              | ssessments as described in the A  |   | tructions other than guaranty fund or   | Yes [             |     |      |     |
| 2.2 | lf an  | swer is yes:                                |  |   |   | paid as losses or risk adjustment   | \$                |     |      |     |
|     |        |   |  |   |   | paid as expenses  | \$                |     |      |     |
|     |        |   |  |   | 22.23 Other an  |   | \$Yes             |     |      |     |
|     |        |   |  | ts due from parent, subsidiaries o                                      |   | or this statement?  | \$                |     | 110  |     |
|     | Doe    |   |  | n parent included in the Page 2 a<br>agent commissions in which the a   |   | the third parties are not settled in  | Yes               | . ] | No   | [ . |
| 4.2 |        | •   | is yes, identify the th                        | nird-party that pays the agents an                                      | d whether they are a                                  | related party.  |                   | -   |      |     |
|     |        | ſ   |  | 1   | le the Third I  | 2<br>Party Agent a Related Party (Yes/No)   | ]                 |     |      |     |
|     |        |   | N  | ame of Third-Party  | is the inira-i  | raity Agont a Related Farty (168/NO)  | -                 |     |      |     |

25.01 Were all the stocks, bonds and other securities owned December 31 of current year, over which the reporting entity has exclusive control, in the actual possession of the reporting entity on said date? (other than securities lending programs addressed in 25.03)

Yes [ ] No [ X ]

## **GENERAL INTERROGATORIES**

| 25.02   |  | lete information, relating there   | ito  |  |  |  |          |  |   |  |
|---|--|--|--|--|--|--|----------|--|---|--|
| 25.02.1                                       | Third Party Custodian  | rograma provida a descripti  | on of the program  | m including v  | value for collateral and amount of   | f loaned securities, ar  | <br>id   |  |   |  |
| 25.03 1                                       | whether collateral is can  | ried on or off-balance sheet. (  | an alternative is t  | to reference l   | Note 17 where this information is a  | also provided)   |          |  |   |  |
| 25.04   | For the reporting entity's   | s securities lending program,  | report amount of   | f collateral fo  | r conforming programs as outlined  | d in the Risk-Based<br>\$  |          |  |   |  |
|   |  | s securities lending program, I  | eport amount of  | collateral for   | other programs.  | \$   |          |  |   |  |
| 25.06   | Does your securities le<br>outset of the contract?   | ending program require 102%  | (domestic secu   | rities) and 1  | 05% (foreign securities) from the  | counterparty at the  | es [     | ] No [   | ] NA  | [ X ]                                    |
| 25.07   | Does the reporting entity  | y non-admit when the collater  | al received from   | the counterpa  | arty falls below 100%?   | ١  | es [     | ] No [   | ] NA  | [X]                                      |
| 25.08   | Does the reporting entit<br>conduct securities lendi   | y or the reporting entity's secu   | rities lending age   | ent utilize the  | Master Securities Lending Agree  | ment (MSLA) to   | es [     | ] No [   | ] NA  | ( X )                                    |
| 25.09   | For the reporting entity's   | s securities lending program,  | state the amount   | of the followi   | ng as of December 31 of the curre  | ent year:  |          |  |   |  |
|   |  | fair value of reinvested collate   |  |  |  |  | \$       |  |   | •••••                                    |
|   | 25.092 Total   | book adjusted/carrying value   | of reinvested col  | lateral assets   | reported on Schedule DL, Parts   | 1 and 2  | \$       |  |   |  |
|   |  | payable for securities lending   |  |  |  |  | •        |  |   |  |
| 26.1  | control of the reporting   | s, bonds or other assets of t<br>entity or has the reporting en<br>bject to Interrogatory 24.1 and   | tity sold or transf  | ty owned at<br>erred any ass   | December 31 of the current year sets subject to a put option contract  | not exclusively under<br>to that is currently in fo  | the      | Yes [  | ] -   | No[X]                                    |
| 20.2  | •  | t thereof at December 31 of th   |  |  |  |  |          | •  | -   |  |
| 20.2  | if yes, state the amount   |  | Subject to repu  | rchase agree   | ments  |  | \$       |  |   |  |
|   |  |  | Subject to reve  |  |  |  | \$       |  |   |  |
|   |  |  | Subject to dolla   |  |  |  | \$       |  |   |  |
|   |  |  | -  |  | ourchase agreements  |  | \$       |  |   |  |
|   |  |  | Placed under o   |  |  |  | \$       | ******   |   |  |
|   |  |  |  |  | stricted as to sale – excluding FHL  | B Capital Stock  | \$       |  |   |  |
|   |  |  | FHLB Capital S   |  |  |  | \$       |  |   |  |
|   |  |  | On deposit with  |  |  |  | \$       |  |   |  |
|   |  |  | On deposit with  |  | atory bodies   |  | \$       |  |   |  |
|   |  |  | •  | -  | uding collateral pledged to an FHL   | .В   | \$       |  |   |  |
|   |  |  | •  |  | B - including assets backing fund  |  | \$       |  |   |  |
|   |  |  | Other  |  | •  |  | •        |  |   |  |
|   |  |  |  |  |  |  | Ψ        |  |   |  |
| 26.3  | For category (26,26) pr  | rovide the following:  |  |  |  |  | <b>J</b> |  |   |  |
| 26.3  | For category (26.26) pr  | rovide the following:  |  |  | 2  | - Lucerry  | <b></b>  |  |   | ì  |
| 26.3  | For category (26.26) pr  | rovide the following:  1  Nature of Restriction  |  |  | 2<br>Description   |  | <b>J</b> | 3<br>Amount  |   |  |
|   |  | 1<br>Nature of Restriction   | one reported on  | Schedule DR  | Description  |  | <b>J</b> | 3<br>Amount  | 1 N   | )<br> <br>  (                            |
| 27.1  | Does the reporting enti  | 1<br>Nature of Restriction<br>ity have any hedging transacti   |  |  | Description ?  |  | Yes [    | 3  | ] N   | [ X ]<br>A [ ]                           |
| 27.1  | Does the reporting enti  | 1 Nature of Restriction  ity have any hedging transactionsive description of the hedgi   |  |  | Description ?  |  |          | 3<br>Amount  | -   |  |
| 27.1<br>27.2<br>LINES                         | Does the reporting enti<br>If yes, has a comprehe<br>If no, attach a descripti<br>27.3 through 27.5: FOF<br>Does the reporting enti  | 1 Nature of Restriction  ity have any hedging transacti naive description of the hedgi on with this statement.  R LIFE/FRATERNAL REPOR?  | ng program beer<br>FING ENTITIES (   | n made availa  | Description ?  |  |          | 3<br>Amount  | ] N/  |  |
| 27.1<br>27.2<br>LINES<br>27.3                 | Does the reporting entill yes, has a comprehe If no, attach a description 27.3 through 27.5: FOF Does the reporting entill rate sensitivity?   | 1 Nature of Restriction  ity have any hedging transacti naive description of the hedgi on with this statement.  R LIFE/FRATERNAL REPOR?  | ng program beer<br>FING ENTITIES (<br>variable annuity   | n made availa  | Pescription ? the to the domiciliary state?  |  |          | 3<br>Amount<br>Yes [<br>] No [                     | ] N/  | A [ ]                                    |
| 27.1<br>27.2<br>LINES<br>27.3                 | Does the reporting entill yes, has a comprehe If no, attach a description 27.3 through 27.5: FOF Does the reporting entill rate sensitivity?   | 1 Nature of Restriction  ity have any hedging transactionsive description of the hedging on with this statement.  R LIFE/FRATERNAL REPOR'  Ity utilize derivatives to hedge is YES, does the reporting er  | ng program beer<br>TING ENTITIES (<br>variable annuity<br>htty utilize:  | n made availa<br>ONLY:<br>guarantees s   | Pescription ? the to the domiciliary state?  |  |          | 3<br>Amount<br>Yes [<br>] No [                     | ] N/  | A [ ] No [ No [                          |
| 27.1<br>27.2<br>LINES<br>27.3                 | Does the reporting entill yes, has a comprehe If no, attach a description 27.3 through 27.5: FOF Does the reporting entill rate sensitivity?   | 1 Nature of Restriction  ity have any hedging transactionsive description of the hedging on with this statement.  R LIFE/FRATERNAL REPOR's try utilize derivatives to hedge is YES, does the reporting er 27.4*  | ng program beer<br>TING ENTITIES (<br>variable annuity<br>htty utilize:  | n made availa<br>ONLY:<br>guarantees s   | Description ? tible to the domiciliary state? subject to fluctuations as a result o  |  |          | 3<br>Amount<br>Yes [<br>] No [                     | ] N/  | A [ ]                                    |
| 27.1<br>27.2<br>LINES<br>27.3<br>27.4         | Does the reporting entil if yes, has a comprehe if no, attach a descripti 27.3 through 27.5: FOF Does the reporting entirate sensitivity? If the response to 27.3  | 1 Nature of Restriction  ity have any hedging transactions we description of the hedging transaction with this statement.  R LIFE/FRATERNAL REPORIty utilize derivatives to hedge is YES, does the reporting er 27.4.  27.4:   | ring program beer ring ENTITIES ( variable annuity tity utilize: I Special account Permitted account Other account   | n made availa  ONLY: guarantees s  nting provisio bunting practi ing guidance  | Description  Puble to the domiciliary state?  Subject to fluctuations as a result of SSAP No. 108  | f interest   |          | 3<br>Amount  Yes [ ] No [  Yes  Yes                | ) N/ [ ] [ ] [ ] [ ]                            | A [ ] No [ No [                          |
| 27.1<br>27.2<br>LINES<br>27.3<br>27.4         | Does the reporting entil if yes, has a comprehe if no, attach a descripti 27.3 through 27.5: FOF Does the reporting entirate sensitivity? If the response to 27.3  | 1 Nature of Restriction  ity have any hedging transactions we description of the hedging transaction with this statement.  R LIFE/FRATERNAL REPORIty utilize derivatives to hedge is YES, does the reporting er 27.4.  27.4:   | ring program beer ring ENTITIES ( variable annuity tity utilize: I Special account Permitted account Other account   | n made availa  ONLY: guarantees s  nting provisio bunting practi ing guidance  | Description ? tible to the domiciliary state? subject to fluctuations as a result o  | f interest   |          | 3<br>Amount  Yes [ ] No [  Yes  Yes  Yes  Yes      | ] N/  | A [ ] No [ No [ No [                     |
| 27.1<br>27.2<br>LINES<br>27.3<br>27.4         | Does the reporting entil If yes, has a comprehe If no, attach a description 27.3 through 27.5: FOF Does the reporting entirate sensitivity? If the response to 27.3  By responding YES to the following:  • The reporting entire the response to 27.3  | ity have any hedging transactive description of the hedging transactive description of the hedging transactive description of the hedging transactive description of the hedging transactive to the control of the contr | ng program beer TING ENTITIES ( variable annuity titly utilize:  Special account Permitted acco 3 Other accounting approval from the   | n made availa<br>DNLY:<br>guarantees s<br>nting provisio<br>ounting practi<br>ing guidance<br>g provisions on<br>the domiciliary   | Description  Problem to the domiciliary state?  Subject to fluctuations as a result of state of SSAP No. 108  Subject to fluctuations as a result of state o | if interest  |          | 3<br>Amount  Yes [ ] No [  Yes  Yes  Yes  Yes  Yes | ] N/  | No [ No [ No [ No [                      |
| 27.1<br>27.2<br>LINES<br>27.3<br>27.4         | Does the reporting entil If yes, has a comprehe If no, attach a description 27.3 through 27.5: FOF Does the reporting entirate sensitivity? If the response to 27.3  By responding YES to the following:  The reporting Hedging st   | ity have any hedging transactions we description of the hedging transactions we description of the hedging to with this statement.  R LIFE/FRATERNAL REPOR' in the properties of the decision of the hedging the service of the properties of the prop | ng program beer TING ENTITIES ( variable annuity titly utilize:  Special account Permitted accc  Other accounting eapproval from the   | n made availa<br>DNLY:<br>guarantees so<br>ounting provision<br>ounting practic<br>ing guidance<br>g provisions of<br>the domiciliary<br>ions is consis  | Description  Problem to the domiciliary state?  Subject to fluctuations as a result of the state of SSAP No. 108  Subject to fluctuations as a result of the state of SSAP No. 108, the reporting entitle state.   | if interest tity attests to  | Yes [    | 3<br>Amount  Yes [ ] No [  Yes  Yes  Yes  Yes  Yes | ] N/  | No [ No [ No [ No [                      |
| 27.1<br>27.2<br>LINES<br>27.3<br>27.4         | Does the reporting entil if yes, has a comprehe if no, attach a descripti 27.3 through 27.5: FOF Does the reporting entirate sensitivity? If the response to 27.3  By responding YES to the following:  The reporti Hedging st Actuarial c 21 reserve  | Nature of Restriction  ity have any hedging transactions we description of the hedging transaction with this statement.  RLIFE/FRATERNAL REPORITy utilize derivatives to hedge is YES, does the reporting er 27.4.  27.4.  27.4.1 regarding utilizing the stained explicit rategy subject to the special a certification has been obtained and provides the impact of the services and provides the impact of  | ring Entitles ( variable annuity titly utilize:  Special account Permitted account pecial accounting approval from the accounting provis I which indicates he hedging strate   | n made availation made availation made availation.  DNLY: guarantees substituting provision practiting guidance g provisions of the domiciliary ideas is consist that the hedgy within the   | Description  Proble to the domiciliary state?  Subject to fluctuations as a result of state of SSAP No. 108  To SSAP No. 108, the reporting en state.  State of the state of t | if interest tity attests to 21. in the establishment of all Expectation Amour  | Yes [    | 3<br>Amount  Yes [ ] No [  Yes  Yes  Yes  Yes  Yes | ] N/  | No [ No [ No [ No [                      |
| 27.1<br>27.2<br>LINES<br>27.3<br>27.4         | Does the reporting entil If yes, has a comprehe If no, attach a description 27.3 through 27.5: FOF Does the reporting entirate sensitivity? If the response to 27.3  By responding YES to the following:  The reporting the Hedging stock and the Actuarial of 21 reservers.  Actuarial of Hedging stock and the Hed | ity have any hedging transactive description of the hedging transactive description of the hedging transactive description of the hedging transactive description of the hedging transactive to hedge is YES, does the reporting er 27.4:  | ng program beer TING ENTITIES ( variable annuity titly utilize:  Special account Permitted account pecial accounting approval from the accounting provis which indicates the hedging strate bottained which in the Clearly Defi  | n made availation made availation.  SNLY: guarantees so thing provision to the praction of the praction of the praction of the practical provisions of the domicillary ions is consistent that the hed aggrey within the violentes that it will provise that the provisions of the provisi | Description  Proble to the domiciliary state?  Subject to fluctuations as a result of state of SSAP No. 108  Second of SSAP No. 108, the reporting en state.  State with the requirements of VM-   | if interest tity attests to  21. in the establishment of all Expectation Amour   | Yes [    | 3<br>Amount  Yes [ ] No [  Yes  Yes  Yes  Yes  Yes | ] N/  | No [ No [ No [ No [                      |
| 27.1<br>27.2<br>LINES<br>27.3<br>27.4         | Does the reporting entil if yes, has a comprehe if no, attach a descripti 27.3 through 27.5: FOF Does the reporting entirate sensitivity? If the response to 27.3  By responding YES to the following:  The reporti Hedging st Actuarial c 21 reserve Financial C Hedging S in its actual Were any preferred sts   | Nature of Restriction  ity have any hedging transactions we description of the hedging transaction with this statement.  R LIFE/FRATERNAL REPORI ity utilize derivatives to hedge is YES, does the reporting er 27.4. 27.4. 27.4.1 regarding utilizing the staining entity has obtained explicit rategy subject to the special exertification has been obtained and provides the impact of tofficer Certification has been obtained trategy within VM-21 and that if day-to-day risk mitigation effects or bonds owned as of Decoks or bonds owned as  | ng program beer TING ENTITIES ( variable annuity stity utilize:  Special account Permitted account pecial accounting approval from th accounting provis which indicates the hedging strate obtained which in the Clearly Defi orts.  | n made available.  DNLY: guarantees s  nting provision bunting practi ing guidance g provisions of the domiciliary ions is consist that the hed egy within the dicates that in ned Hedging   | Description  Proble to the domiciliary state?  Subject to fluctuations as a result of state of SSAP No. 108  The state of SSAP No. 108, the reporting entitle of stat | if interest tity attests to 21. in the establishment of all Expectation Amour sfinition of a Clearly Debeing used by the con   | Yes [    | 3 Amount  Yes [ ] No [  Yes Yes Yes Yes Yes        | \\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\          | No [ No [ No [ No [                      |
| 27.1<br>27.2<br>LINES<br>27.3<br>27.4<br>27.5 | Does the reporting entil If yes, has a comprehe If no, attach a description of the temperature of the temper | Nature of Restriction  ity have any hedging transactive description of the hedging transactive description of the hedging transactive description of the hedging transactive description of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting entity has obtained explicit in the special as the provides the impact of the hedge is YES, and that it day-to-day risk mitigation effocks or bonds owned as of Deinto equity?  | ING ENTITIES ( variable annuity titly utilize:  Special account Permitted acco Other accounting approval from the accounting provis which indicates the hedging strate betained which in the Clearly Defi orts.  Incember 31 of the the current year.  | n made availation made availation made availation.  DNLY: guarantees s  nating provision bunting practic ing guidance g provisions of the domiciliary ions is consist that the hed ggy within the dicate that in ned Hedging e current year  | Description  Proble to the domiciliary state?  Subject to fluctuations as a result of state of SSAP No. 108  The state of SSAP No. 108, the reporting ending strate of state o | tity attests to  21.  in the establishment of all Expectation Amour shirition of a Clearly Debeing used by the conty, or, at the option of   | Yes [    | 3 Amount  Yes [ ] No [  Yes Yes Yes Yes Yes        | \\\\<br>\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\       | No [ No [ No [ No [ No [ No [            |
| 27.1<br>27.2<br>LINES<br>27.3<br>27.4<br>27.5 | Does the reporting entil f yes, has a comprehe If no, attach a description, attach a description of the reporting entire sensitivity? If the response to 27.3  By responding YES to the following:  The reporting the response to 21 reserve Financial Control of the reporting the report | ity have any hedging transactions we description of the hedging transactions we description of the hedging transactions we description of the hedging transactions with this statement.  R LIFE/FRATERNAL REPOR' ity utilized enrivatives to hedge is YES, does the reporting error 27.4:  | ING ENTITIES ( variable annuity titty utilize:  Special account Pecial account pecial accounting approval from the approval from the approv | n made available.  DNLY: guarantees s  nting provision bunting practi ing guidance g provisions of the domicillary ions is consist that the hed guy within the dicates that in ned Hedging e current year te, mortgage and other ser   | Description  Proble to the domiciliary state?  Subject to fluctuations as a result of the state of SSAP No. 108  The state of SSAP No. 108, the reporting en state of the stat | tity attests to  21.  in the establishment of all Expectation Amour shriftion of a Clearly Debeing used by the comby, or, at the option of cally in the reporting ment year held in Examination  | Yes [    | 3 Amount  Yes [ ] No [  Yes Yes Yes Yes Yes Yes    | \\\<br>\\\<br>\\\\<br>\\\\\\\\\\\\\\\\\\\\\\\\\ | No [ No [ No [ No [ No [ No [            |
| 27.1<br>27.2<br>LINES<br>27.3<br>27.4<br>27.5 | Does the reporting entil If yes, has a comprehe If no, attach a descripti 27.3 through 27.5: FOF Does the reporting entirate sensitivity? If the response to 27.3 By responding YES to the following:  The reporting entire in the following:  Actuarial of 21 reserve:  Financial Chedging Sin its actual Were any preferred stothe issuer, convertible If yes, state the amour Excluding items in Schemitty's offices, vaults pursuant to a custodia Considerations, F. Our Handbook.  | ity have any hedging transactive description of the hedging transactive was a construction of the hedging transactive with this statement.  R LIFE/FRATERNAL REPORITY with this statement.  R LIFE/FRATERNAL REPORITY with the statement of the decided of the statement of the statem | ng program beer ING ENTITIES ( variable annuity titly utilize:  Special account Permitted account pecial accounting approval from the accounting provis si which indicates the hedging strate bottained which in the Clearly Defi orts. accember 31 of the the current year. sposits, real estal all stocks, bonds ank or trust comp. Custodial or Sa  | n made availation made availation.  DNLY: guarantees s  Inting provision bunting practifing guidance g provisions of the domiciliary tions is consist that the hed guy within the dicates that ince the Hedging the current year  te, mortgage and other se bany in accor fekeeping ag   | Description  Proble to the domiciliary state?  Subject to fluctuations as a result of a constant of SSAP No. 108  To SSAP No. 108, the reporting en state.  Stent with the requirements of VM-lighing strategy is incorporated with Actuarial Guideline Conditional To the hedging strategy light of the hedging strategy is the hedging strategy in remandatorily convertible into equilibround in the constant of the constant of the constant of the NAIC Financial Constant o | tity attests to  21. in the establishment of all Expectation Amour offinition of a Clearly Debeing used by the control of the  | Yes [    | 3 Amount  Yes [ ] No [  Yes Yes Yes Yes Yes Yes    | \\\<br>\\\<br>\\\\<br>\\\\\\\\\\\\\\\\\\\\\\\\\ | A [ ] No [ No [ No [ No [ No [ No [ No [ |
| 27.1<br>27.2<br>LINES<br>27.3<br>27.4<br>27.5 | Does the reporting entil If yes, has a comprehe If no, attach a descripti 27.3 through 27.5: FOF Does the reporting entirate sensitivity? If the response to 27.3 By responding YES to the following:  The reporting entire in the following:  Actuarial of 21 reserve:  Financial Chedging Sin its actual Were any preferred stothe issuer, convertible If yes, state the amour Excluding items in Schemitty's offices, vaults pursuant to a custodia Considerations, F. Our Handbook.  | Nature of Restriction  Ity have any hedging transactions of escription of the hedging transactions was description of the hedging on with this statement.  R LIFE/FRATERNAL REPORITY in the statement of the state | ING ENTITIES ( variable annuity tity utilize:  Special account Permitted account Counting provis which indicates the hedging strate bottained which in the Clearly Defi orts. coember 31 of the the current year. sposits, real estal all stocks, bonds ank or trust corn, Custodial or Sa of the NAIC Finan   | n made availation made availation made availation.  DNLY: guarantees s  Inting provision  Dounting practice  and guidance  g provisions of  the domicillary  ions is consist  that the hed  aggy within the  dicates that ined Hedging  a current year  te, mortgage  and other sepany in accor  fekeeping ag  Incial Condition  | Description  Proble to the domiciliary state?  Subject to fluctuations as a result of the control of SSAP No. 108  Sof SSAP No. 108, the reporting end of SS | tity attests to  21.  in the establishment of all Expectation Amour offinition of a Clearly Debeing used by the complete of th | Yes [    | 3 Amount  Yes [ ] No [  Yes Yes Yes Yes Yes Yes    | \\\<br>\\\<br>\\\\<br>\\\\\\\\\\\\\\\\\\\\\\\\\ | A [ ] No [ No [ No [ No [ No [ No [ No [ |
| 27.1<br>27.2<br>LINES<br>27.3<br>27.4<br>27.5 | Does the reporting entil If yes, has a comprehe If no, attach a descripti 27.3 through 27.5: FOF Does the reporting entirate sensitivity? If the response to 27.3 By responding YES to the following:  The reporting entire in the following:  Actuarial of 21 reserve:  Financial Chedging Sin its actual Were any preferred stothe issuer, convertible If yes, state the amour Excluding items in Schemitty's offices, vaults pursuant to a custodia Considerations, F. Our Handbook.  | Nature of Restriction  ity have any hedging transactions of the hedging transactions of the hedging transactions of the hedging transactions of the hedging transactions of the hedging transaction of the hedging transaction of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting entity has obtained explicit rategy within has been obtained so the hedge in the hedge in the hedge is the hedge in the hed | ING ENTITIES ( variable annuity tity utilize:  Special account Pecial account pecial accounting approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th becounting provis the clearly Defi orts.  apposits, real estal all stocks, bonds ank or trust com ank or trust com ank or trust com ank or trust com and a tru | n made available  DNLY: guarantees s  nting provision bunting practi ing guidance g provisions of the domicillary tions is consist that the hed gay within the addicates that ned Hedging te, mortgage and other se any in accor fekeeping ag  ncial Conditio  | Description  Proble to the domiciliary state?  Subject to fluctuations as a result of the control of SSAP No. 108  The problem of SSAP No. 108, the reporting en state.  State with the requirements of VM-ging strategy is incorporated with Actuarial Guideline Conditional Take hedging strategy is the hedging strategy in the hedging strategy is the hedging strategy in the mandatorily convertible into equitations, owned throughout the curities, owned throughout the curities, owned throughout the curities, owned throughout the curities, owned throughout the curities, owned throughout the curities, owned throughout the curities, owned throughout the curities, owned throughout the curities, owned throughout the curities, owned throughout the curities, owned throughout the curities, owned throughout the curities, owned throughout the curities, owned throughout the curities.  | tity attests to  21.  in the establishment of all Expectation Amour offinition of a Clearly Debeing used by the combet, or, at the option of cally in the reporting ment year held in Examination condition Examiners the following:   | Yes [    | 3 Amount  Yes [ ] No [  Yes Yes Yes Yes Yes Yes    | \\\<br>\\\<br>\\\\<br>\\\\\\\\\\\\\\\\\\\\\\\\\ | A [ ] No [ No [ No [ No [ No [ No [ No [ |
| 27.1<br>27.2<br>LINES<br>27.3<br>27.4<br>27.5 | Does the reporting entil If yes, has a comprehe If no, attach a descripti 27.3 through 27.5: FOF Does the reporting entirate sensitivity? If the response to 27.3 By responding YES to the following:  The reporting entire in the following:  Actuarial of 21 reserve:  Financial Chedging Sin its actual Were any preferred stothe issuer, convertible If yes, state the amour Excluding items in Schemitty's offices, vaults pursuant to a custodia Considerations, F. Our Handbook.  | Nature of Restriction  ity have any hedging transactions of the hedging transactions of the hedging transactions of the hedging transactions of the hedging transactions of the hedging transaction of the hedging transaction of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting error of the hedge is YES, does the reporting entity has obtained explicit rategy within has been obtained so the hedge in the hedge in the hedge is the hedge in the hed | ING ENTITIES ( variable annuity tity utilize:  Special account Pecial account pecial accounting approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th approval from th becounting provis the clearly Defi orts.  apposits, real estal all stocks, bonds ank or trust com ank or trust com ank or trust com ank or trust com and a tru | n made available  DNLY: guarantees s  nting provision bunting practi ing guidance g provisions of the domicillary tions is consist that the hed gay within the addicates that ned Hedging te, mortgage and other se any in accor fekeeping ag  ncial Conditio  | Description  Proble to the domiciliary state?  Subject to fluctuations as a result of the control of SSAP No. 108  Sof SSAP No. 108, the reporting end of SS | tity attests to  21.  in the establishment of all Expectation Amour offinition of a Clearly Debeing used by the combet, or, at the option of cally in the reporting ment year held in Examination condition Examiners the following:   | Yes [    | 3 Amount  Yes [ ] No [  Yes Yes Yes Yes Yes Yes    | \\\<br>\\\<br>\\\\<br>\\\\\\\\\\\\\\\\\\\\\\\\\ | A [ ] No [ No [ No [ No [ No [ No [ No [ |

## **GENERAL INTERROGATORIES**

| 29.02 | For all agreements that do not comply with the requirements of the NAIÇ <i>Financial Condition Examiners Handbook</i> , provide the name, |
|-------|---|
|       | ocation and a complete explanation:   |

| 1                                       | 2           | 3                       |
|---|-------------|-------------------------|
| Name(s)                                 | Location(s) | Complete Explanation(s) |
| ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, |             |                         |

29.03 Have there been any changes, including name changes, in the custodian(s) identified in 29.01 during the current year? 29.04 If yes, give full and complete information relating thereto:

Yes [ ] No [ X ]

| 1             | 2             | 3                 | 4      |
|---------------|---------------|-------------------|--------|
| Old Custodian | New Custodian | Date of<br>Change | Reason |
| Old Oddiodian |               |                   |        |

29.05 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<br>Name of Firm or Individual | 2<br>Affiliation |
|---------------------------------|------------------|
| Chad Reimers                    | <u>u</u>         |
| David Lorbiecki                 | U                |
| David Fleener                   |                  |
|                                 |                  |

29.0597 For those firms/individuals listed in the table for Question 29.05, do any firms/individuals unaffiliated with the reporting entity (i.e., designated with a "U") manage more than 10% of the reporting entity's invested assets?

Yes [ X ] No [ ]

29.0598 For firms/individuals unaffiliated with the reporting entity (i.e., designated with a "U") listed in the table for Question 29.05, does the total assets under management aggregate to more than 50% of the reporting entity's invested assets?

Yes [ X ] No [ ]

29.06 For those firms or individuals listed in the table for 29.05 with an affiliation code of "A" (affiliated) or "U" (unaffiliated), provide the information for the table below.

| 1<br>Central Registration<br>Depository Number | 2<br>Name of Firm or<br>Individual | 3<br>Legal Entity<br>Identifier (LE!) | 4<br>Registered With | 5<br>Investment Management<br>Agreement (IMA) Filed |
|--|------------------------------------|---------------------------------------|----------------------|---|
| 2357042  | David Lorbiecki                    |                                       | SEC                  | NO  |
| 4377512  | Chad Reimers                       |                                       | SEC                  | NO  |
| 10, 10 (2,                                     |                                    |                                       |                      | i   |

- 30.1 Does the reporting entity have any diversified mutual funds reported in Schedule D Part 2 (diversified according to the Securities and Exchange Commission (SEC) in the Investment Company Act of 1940 [Section 5 (b) (1)])?
   30.2 If yes, complete the following schedule:

Yes [ ] No [ X ]

| 4      | 2                   | 3                            |
|--------|---------------------|------------------------------|
| CUSIP# | Name of Mutual Fund | Book/Adjusted Carrying Value |
|        |                     |                              |
|        |                     |                              |
| ,      |                     |                              |
| Γ''    |                     |                              |

30.2999 TOTAL

30.3 For each mutual fund listed in the table above, complete the following schedule:

| 1<br>Name of Mutual Fund<br>(from above table) | 2<br>Name of Significant Holding<br>of the Mutual Fund | 3<br>Amount of Mutual Fund's<br>Book/Adjusted Carrying Value<br>Attributable to the Holding | 4 Date of Valuation |
|--|--|---|---------------------|
|  |  |   |                     |
|  |  |   |                     |
|  |  |   |                     |
|  |  |   |                     |

### **GENERAL INTERROGATORIES**

31. Provide the following information for all short-term and long-term bonds and all preferred stocks. Do not substitute amortized value or

| statement value for fair value. | 1 Statement (Admitted) Value | 2<br>Fair Value | 3 Excess of Statement over Fair Value (-), or Fair Value over Statement (+) |
|---------------------------------|------------------------------|-----------------|---|
| 31.1 Bonds                      | 4,678,150                    | 4,853,299       | 175,149   |
| 31.2 Preferred Stocks           |                              |                 |   |
| 31.3 Totals                     | 4,678,150                    | 4,853,299       | 175,149   |

31.4 Describe the sources or methods utilized in determining the fair values:

Third Party Custodian...

- 32.1 Was the rate used to calculate fair value determined by a broker or custodian for any of the securities in Schedule D?
- 32.2 If the answer to 32.1 is yes, does the reporting entity have a copy of the broker's or custodian's pricing policy (hard copy or electronic copy) for all brokers or custodians used as a pricing source?
- 32.3 If the answer to 32.2 is no, describe the reporting entity's process for determining a reliable pricing source for purposes of disclosure of fair value for Schedule D:
- 33.1 Have all the filing requirements of the Purposes and Procedures Manual of the NAIC Investment Analysis Office been followed?
- 33.2 If no, list exceptions:
- 34. By self-designating 5GI securities, the reporting entity is certifying the following elements of 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 ]

Yes [ X ] No [ ]

Yes [X ] No [ ]

Yes [ X ] No [ ]

- 35. By self-designating PLGI securities, the reporting entity is certifying the following elements of 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 an 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 ]

Yes [ ] No [ X ]

- By assigning FE to a Schedule BA non-registered private fund, the reporting entity is certifying the following elements of each selfdesignated FE fund:

  - a. The shares were purchased prior to January 1, 2019.
    b. The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.
    c. The security had a public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO prior to January 1, 2019.
    d. The fund only or predominantly holds bonds in its portfolio.
    e. The current reported NAIC Designation was derived from the public credit rating(s) with annual surveillance assigned by an NAIC CRP in its legal capacity as an NRSRO.
    f. The public credit rating(s) with annual surveillance assigned by an NAIC CRP has not lapsed.
    Has the reporting entity assigned FE to Schedule BA non-registered private funds that compiled with the above criteria?

  - By rolling/renewing short-term or cash equivalent investments with continued reporting on Schedule DA, Part 1 or Schedule E Part 2 (Identified through a code (%) in those investment schedules), the reporting entity is certifying to the following:

    a. The investment is a liquid asset that can be terminated by the reporting entity on the current maturity date.

    b. If the investment is with a nonrelated party or nonaffiliated then it reflects an arms-length transaction with renewal completed at the discretion of all involved parties.

    c. If the investment is with a related party or affiliate, then the reporting entity has completed robust re-underwriting of the transaction for which documentation is available for regulator review.

    d. Short-term and cash equivalent investments that have been renewed/rolled from the prior period that do not meet the criteria in 37.a -37.c are reported as long-term investments.

    Has the reporting entity rolled/renewed short-term or cash equivalent investments in accordance with these criteria?

Yes [ X ] No [ ] NA [ ]

2

## ANNUAL STATEMENT FOR THE YEAR 2021 OF THE West Side Mutual Insurance Association

## **GENERAL INTERROGATORIES**

| 38.1 | Amount of payments to                            | trade associations, service organizations and statistical or rating bureaus, if any?   | \$                      |                  |
|------|--|--|-------------------------|------------------|
| 38.2 | List the name of the                             | organization and the amount paid if any such payment represented 25% or more of th<br>rganizations, and statistical or rating bureaus during the period covered by this statement. | e total payments to tra | de               |
|      |  | 1<br>Name  | 2<br>Amount Paid        | ]                |
|      |  | NAMIC  | \$5,734                 |                  |
|      |  | MIAI   | .\$1,980                |                  |
|      |  |  |                         | 1                |
| 39.1 | Amount of payments f                             | or legal expenses, if any?   |                         | <b>\$</b> 10,960 |
| 39.2 | List the name of the fi<br>the period covered by | rm and the amount paid if any such payment represented 25% or more of the total payments this statement.   | s for legal expenses du | ing              |
|      |  | 1  | 2                       | ]                |
|      |  | Name   | Amount Paid             | 4                |
|      |  | Lederer Weston Crain PLC   | \$10,960                | 1                |

40.1 Amount of payments for expenditures in connection with matters before legislative bodies, officers, or departments of government, if any? \$ ...

40.2 List the name of the firm and the amount paid if any such payment represented 25% or more of the total payment expenditures in connection with matters before legislative bodies, officers, or departments of government during the period covered by this statement.

| 1    | 2           |
|------|-------------|
| Name | Amount Paid |
|      |             |
|      |             |

# GENERAL INTERROGATORIES PART 2 - PROPERTY & CASUALTY INTERROGATORIES

|            | Does the reporting entity have any direct Medicare Supplement Insurance in force   | 2  |                          | Yes                                     | [ ]  | No          | [ X ] |
|------------|--|--|--------------------------|---|------|-------------|-------|
| 1.1        | Does the reporting entity have any direct medicare Supplement insurance in loce If yes, indicate premium earned on U. S. business only.    |  | S.                       |   |      |             |       |
| 1.2        | If yes, indicate premium earned on U. S. business only.  What portion of Item (1.2) is not reported on the Medicare Supplement Insurance i | Experience Exhibit?                      | \$.                      |   |      |             |       |
| 1.3        | What portion of Item (1.2) is not reported on the medicare Supplement insurance in 1.31 Reason for excluding                               | Experience Exhibit:                      | ***                      |   |      |             |       |
|            | 1.31 Reason for excluding  |  |                          |   |      |             |       |
| 1.4        | Indicate amount of earned premium attributable to Canadian and/or Other Alien no   | ot included in Item (1.2) above          | <b>S</b> .               |   |      |             | ••••• |
| 1.5        | Indicate total incurred claims on all Medicare Supplement insurance.   |  | <b>\$</b> .              |   |      |             |       |
|            | Individual policies:   |  |                          |   |      |             |       |
|            |  | Most current three years:                |                          |   |      |             |       |
|            |  | 1.61 Total premium earned                | \$.                      |   |      |             |       |
|            |  | 1.62 Total incurred claims               | \$.                      |   |      |             |       |
|            |  | 1.63 Number of covered lives             |                          |   |      |             |       |
|            |  | All years prior to most current three ye | ears:                    |   |      |             |       |
|            |  | 1.64 Total premium earned                | \$                       |   |      |             |       |
|            |  | 1.65 Total incurred claims               | \$                       |   |      |             |       |
|            |  | 1.66 Number of covered lives             |                          |   |      |             |       |
| 1.7        | Group policies:  |  |                          |   |      |             |       |
|            |  | Most current three years:                |                          |   |      |             |       |
|            |  | 1.71 Total premium earned                |                          |   |      |             |       |
|            |  | 1,72 Total incurred claims               |                          |   |      |             |       |
|            |  | 1.73 Number of covered lives             |                          |   |      |             |       |
|            |  | All years prior to most current three ye |                          |   |      |             |       |
|            |  | 1.74 Total premium earned                |                          |   |      |             |       |
|            |  | 1.75 Total incurred claims               |                          |   |      |             |       |
|            |  | 1.76 Number of covered lives             |                          |   |      |             |       |
|            | Harlet Tark  |  |                          |   |      |             |       |
| 2.         | Health Test:   |  | _                        |   |      |             |       |
|            |  | 1<br>Current Year                        | 2<br>Prior Year          |   |      |             |       |
|            | 2.1 Premium Numerator  | =  | \$:                      |   |      |             |       |
|            | 2.2 Premium Denominator  | <b>s</b> 1,719,326                       | <b>s</b> 1,64            | 8,529                                   |      |             |       |
|            | 2.3 Premium Ratio (2.1/2.2   | ·  | ************************ |   |      |             |       |
|            | 2.4 Reserve Numerator  | •  | \$                       |   |      |             |       |
|            | 2.5 Reserve Denominator  | \$1,299,209                              | <b>s</b> 87              | 8,557                                   |      |             |       |
|            | 2.6 Reserve Ratio (2.4/2.5   |  |                          |   |      |             |       |
|            |  |  |                          |   |      |             |       |
| 3.1        | Did the reporting entity issue participating policies during the calendar year?  |  |                          | Yes                                     | Į.   | ) No        | [ X ] |
| 3.2        | If yes, provide the amount of premium written for participating and/or no-participa  | ting policies during the calendar year:  |                          |   |      |             |       |
|            |  | 3.21 Participating policies              | 5                        |   |      |             |       |
|            |  | 3.22 Non-participating policies          | <b>J</b> .               | *************************************** |      | *********** |       |
| 4.         | For Mutual reporting entities and Reciprocal Exchanges only:   |  |                          |   |      |             |       |
| 4.1        | Does the reporting entity issue assessable policies?   |  |                          |   |      |             | [X]   |
| 4.2        | Does the reporting entity issue non-assessable policies?   |  |                          | Yes                                     |      |             | [ ]   |
| 4.3        | If assessable policies are issued, what is the extent of the contingent liability of the   | ne policyholders?                        | •                        |   |      |             | %     |
| 4.4        | Total amount of assessments paid or ordered to be paid during the year on depo   | isit notes or contingent premiums        | Ψ                        |   |      |             |       |
| 5.         | For Reciprocal Exchanges Only:   |  |                          |   |      |             |       |
| 5.1        | Does the exchange appoint local agents?  |  |                          | Yes                                     | [    | ) No        | [ ]   |
| 5.2        |  |  |                          |   | N- I | 1 11/       | 4 (V) |
|            |  | 5.21 Out of Attorney's-in-fact compe     |                          | Yes [ ]<br>Yes [ ]                      |      |             |       |
| <i>-</i> ^ | What expenses of the Exchange are not paid out of the compensation of the Atto   | 5.22 As a direct expense of the exch     | ango                     | ,00 []                                  | [    | 1 1111      | fw1   |
| 5.3        | N/A  |  | ,,                       |   |      |             |       |
| 5.4        | Has any Attorney-in-fact compensation, contingent on fulfillment of certain condit   | tions, been deferred?                    |                          | Yes                                     | [    | ) No        | ( X ) |
| 5.5        | If yes, give full information  |  |                          |   |      |             |       |
|            |  |  |                          |   |      |             |       |

# GENERAL INTERROGATORIES PART 2 - PROPERTY & CASUALTY INTERROGATORIES

| 6.1        | What provision has this reporting entity made to project itself intil all excessive loss in the event of a catalogue without limit of loss:  |       |     |      |     |     |     |
|------------|--|-------|-----|------|-----|-----|-----|
| 6.2        | N/A.  Describe the method used to estimate this reporting entity's probable maximum insurance loss, and identify the type of insured exposures comprising that probable maximum loss, the locations of concentrations of those exposures and the external resources (such as consulting firms or computer software models), if any, used in the estimation process:  |       |     |      |     |     |     |
|            | The association has obtained reinsurance from Grinnell Mutual Reinsurance Company  |       |     |      |     |     |     |
| 6.3        | What provision has this reporting entity made (such as a catastrophic reinsurance program) to protect itself from an excessive loss arising from the types and concentrations of insured exposures comprising its probable maximum property insurance loss?  |       |     |      |     |     |     |
| 6.4        | Does the reporting entity carry catastrophe reinsurance protection for at least one reinstatement, in an amount sufficient to cover its estimated probable maximum loss attributable to a single loss event or occurrence?   | Yes   | [ X | 1    | No  | [   | ]   |
| 6.5        | if no, describe any arrangements or mechanisms employed by the reporting entity to supplement its catastrophe reinsurance program or to hedge its exposure to unreinsured catastrophic loss  |       |     |      |     |     |     |
| 7.1        | Has the reporting entity reinsured any risk with any other entity under a quota share reinsurance contract that includes a provision that would limit the reinsurer's losses below the stated quota share percentage (e.g., a deductible, a loss ratio corridor, a loss cap, an aggregate limit or any similar provisions)?  | Yes   | [   | j    | No  | [ X | . ] |
| 7.2<br>7.3 |  |       |     |      |     |     |     |
| 8.1        | provision(s)?  | Yes   | •   |      |     |     |     |
| 8.2        | loss that may occur on this risk, or portion thereof, reinsured?   | Yes   | Į   | ]    | No  | ĮX  | , ] |
| 9.1        | Has the reporting entity ceded any risk under any reinsurance contract (or under multiple contracts with the same reinsurer or its affiliates) for which during the period covered by the statement: (i) it recorded a positive or negative underwriting result greater than 5% of prior year-end surplus as regards policyholders or it reported calendar year written premium ceded or year-end loss and loss expense reserves ceded greater than 5% of prior year-end surplus as regards policyholders; (ii) it accounted for that contract as reinsurance and not as a deposit; and (iii) the contract(s) contain one or more of the following features or other features that would have similar results:   |       |     |      |     |     |     |
|            | <ul><li>(a) A contract term longer than two years and the contract is noncancellable by the reporting entity during the contract term;</li><li>(b) A limited or conditional cancellation provision under which cancellation triggers an obligation by the reporting entity, or an affiliate of the reporting entity, to enter into a new reinsurance contract with the reinsurer, or an affiliate of the reinsurer;</li></ul>  |       |     |      |     |     |     |
|            | (c) Aggregate stop loss reinsurance coverage; (d) A unilateral right by either party (or both parties) to commute the reinsurance contract, whether conditional or not, except for such provisions which are only triggered by a decline in the credit status of the other party;  |       |     |      |     |     |     |
|            | <ul><li>(e) A provision permitting reporting of losses, or payment of losses, less frequently than on a quarterly basis (unless there is no activity<br/>during the period); or</li></ul>  |       |     |      |     |     |     |
|            | (f) Payment schedule, accumulating retentions from multiple years or any features inherently designed to delay timing of the reimbursement to the ceding entity  | Yes   | l   | ]    | No  | ()  | C)  |
| 9.2        | Has the reporting entity during the period covered by the statement ceded any risk under any reinsurance contract (or under multiple contracts with the same reinsurer or its affiliates), for which, during the period covered by the statement, it recorded a positive or negative underwriting result greater than 5% of prior year-end surplus as regards policyholders or it reported calendar year written premium ceded or year-end loss and loss expense reserves ceded greater than 5% of prior year-end surplus as regards policyholders; excluding cessions to approved pooling arrangements or to captive insurance companies that are directly or indirectly controlling, controlled by, or under common control with (i) one or more unaffiliated policyholders of the reporting entity, or (ii) an association of which one or more unaffiliated policyholders of the reporting entity is a member where: |       |     |      |     |     |     |
|            | (a) The written premium ceded to the reinsurer by the reporting entity or its affiliates represents fifty percent (50%) or more of the entire direct and assumed premium written by the reinsurer based on its most recently available financial statement; or   |       |     |      |     |     |     |
|            | (b) Twenty-five percent (25%) or more of the written premium ceded to the reinsurer has been retroceded back to the reporting entity or<br>its affiliates in a separate reinsurance contract.  | Yes   | [   | ]    | No  | ( ] | X ] |
| 9.3        | If yes to 9.1 or 9.2, please provide the following information in the Reinsurance Summary Supplemental Filing for General Interrogatory 9:  (a) The aggregate financial statement impact gross of all such ceded reinsurance contracts on the balance sheet and statement of   |       |     |      |     |     |     |
|            | income; (b) A summary of the reinsurance contract terms and indicate whether it applies to the contracts meeting the criteria in 9.1 or 9.2; and   |       |     |      |     |     |     |
|            | (c) A brief discussion of management's principle objectives in entering into the reinsurance contract including the economic purpose to<br>be achieved.  |       |     |      |     |     |     |
| 9.4        | Except for transactions meeting the requirements of paragraph 36 of SSAP No. 62R - Property and Casualty Reinsurance, has the reporting entity ceded any risk under any reinsurance contract (or multiple contracts with the same reinsurer or its affiliates) during the period covered by the financial statement, and either:   |       |     |      |     |     |     |
|            | (a) Accounted for that contract as reinsurance (either prospective or retroactive) under statutory accounting principles ("SAP") and as a deposit under generally accepted accounting principles ("GAAP"); or  |       |     |      |     |     | v 1 |
| 9.5        | (b) Accounted for that contract as reinsurance under GAAP and as a deposit under SAP?  If yes to 9.4, explain in the Reinsurance Summary Supplemental Filing for General Interrogatory 9 (Section D) why the contract(s) is treated differently for GAAP and SAP.  | Yes   | į   | J    | N   | יןכ | ΧJ  |
| 9.6        | The reporting entity is exempt from the Reinsurance Attestation Supplement under one or more of the following criteria:  | Yes   | r   | 1    | ķi. | 1 0 | y 1 |
|            | (a) The entity does not utilize reinsurance; or, (b) The entity only engages in a 100% quota share contract with an affiliate and the affiliated or lead company has filed an attestation  |       |     |      |     | ] 0 | ^ J |
|            | supplement; or  (c) The entity has no external cessions and only participates in an intercompany pool and the affiliated or lead company has filed an  | Yes   | ٠   | 1    |     | •   | A ] |
|            | attestation supplement.  | Yes   | ľ   | ]    | N   | 0 [ | X ] |
| 10.        | If the reporting entity has assumed risks from another entity, there should be charged on account of such reinsurances a reserve equal to  | Yes [ | 11  | lo f | 1   | N/A | [X] |

# GENERAL INTERROGATORIES PART 2 - PROPERTY & CASUALTY INTERROGATORIES

| 11.1  | Has the reporting entity guaranteed po  | olicies issued by any other                                | entity and now in force:                |   | ·····                                   | Yes      | ĺ     | 1    | No   | [ X    | Ì   |
|-------|---|--|---|---|---|----------|-------|------|------|--------|-----|
| 11.2  | f yes, give full information  |  |   |   |   |          |       |      |      |        |     |
| 12.1  | If the reporting entity recorded accrue-<br>the amount of corresponding liabilities   | d retrospective premiums on<br>recorded for:               | n insurance contracts on                | Line 15.3 of the asset sche                                 | dule, Page 2, state                     |          |       |      |      |        |     |
|       | 40.40 1114  |  | inatment evapaces                       |   |   |          |       |      |      |        |     |
|       | Of the amount on Line 15.3, Page 2, s<br>If the reporting entity underwrites com<br>accepted from its insureds covering u   | state the amount that is sec                               | cured by letters of credit, c           | ollateral and other funds?                                  | nromisson, notes                        |          |       |      |      | ****** |     |
| 12.4  |   |  |   |   |   |          |       |      |      |        |     |
| 12.4  | 40 44 Emm   |  |   |   |   |          |       |      |      |        | %   |
|       | 12.42 To  |  |   |   |   |          |       |      |      |        | %   |
|       | Are letters of credit or collateral and o<br>promissory notes taken by a reporting<br>losses under loss deductible features | ther funds received from in<br>entity, or to secure any of | sureds being utilized by the            | e reporting entity to secure<br>ted direct unpaid loss rese | rves, including unpaid                  | Yes      |       |      |      |        |     |
| 126   | the contract of the second shapes of the  | combor 24 of ourrent year                                  |   |   |   |          | •     |      |      |        |     |
| 12.0  | 12.61 Latters of Credit   |  |   |   | \$                                      |          |       |      |      |        | ••  |
|       | 12.62 Collateral and other fi   | unds   | *************************************** |   | <b>\$</b>                               |          |       |      |      |        |     |
|       |   |  |   |   |   |          |       |      |      |        |     |
| 13.1  | Largest net aggregate amount insure   | d in any one risk (excluding                               | workers' compensation):                 |   | \$                                      |          |       | •••• | .150 | ,000   | ,   |
| 400   | Dana and releasing and read consis  | tomed in the calculation of th                             | nie amount include an and               | reaste limit at recovery witi                               | nout also including a                   | Yes      | r     | 1    | No   | . v    |     |
|       | reinstatement provision?  |  |   | to a to all all a fe authorities as                         | automatia                               | 162      | l     | J    | NO   | 1 ^    |     |
| 13.3  | State the number of reinsurance cont<br>facilities or facultative obligatory contr  | racts (excluding individual i                              | racultative risk certificates,          | but including facultative pr                                | ograms, automatic                       |          |       |      |      | 1      | ł   |
|       | facilities or facultative obligatory conti  | racts) considered in the call                              | culation of the amount                  |   |   |          |       | ,,,  |      |        |     |
| 14.1  |   |  |   |   |   | Yes      |       | 1    | No   | ſΥ     |     |
| 14.1  | Is the reporting entity a cedant in a m   | ultiple cedant reinsurance                                 | contract?                               |   | *************************************** | 162      | ι     | J    | 110  | ſv     |     |
| 14.2  | If yes, please describe the method of   | allocating and recording re                                | einsurance among the ced                | anis:   |   |          |       |      |      |        |     |
|       |   |  |   |   |   |          |       |      |      |        |     |
| 14.3  | If the answer to 14.1 is yes, are the m   | nethods described in item 1                                | 4.2 entirely contained in the           | ne respective multiple ceda                                 | nt reinsurance                          | Yes      | 1     | 1    | No   | ſ      |     |
|       | contracts?  |  |   |   |   |          |       | 1    |      |        |     |
| 14.4  | If the answer to 14.3 is no, are all the  | methods described in 14.2                                  | entirely contained in writt             | en agreements?  |   | Yes      | l     | 1    | No   | ı      |     |
| 14.5  | If the answer to 14.4 is no, please ex  | plain:   |   |   |   |          |       |      |      |        |     |
|       |   |  |   |   |   |          |       |      |      |        |     |
| 15.1  |   |  |   |   |   | Yes      | ſ     | 1    | No   | ſX     | ı   |
|       | Has the reporting entity guaranteed a   | any financed premium acco                                  | unts /                                  |   | *************************************** | 100      | ı     | 1    |      | 1 "    |     |
| 15.2  | If yes, give full information   |  |   |   |   |          |       |      |      |        |     |
|       |   |  |   |   |   |          |       |      |      |        |     |
| 16 1  | Does the reporting entity write any wa  | arranty husiness?  |   |   |   | Yes      | [     | ]    | No   | [ X    |     |
| 10.1  |   |  |   |   |   |          |       |      |      |        |     |
|       | If yes, disclose the following informat   | ion for each of the following                              | types of warranty covera                | ge.   |   |          |       |      |      |        |     |
|       |   | 1  | 2                                       | 3   | 4                                       |          |       | 5    |      |        |     |
|       |   | Direct Losses  | Direct Losses                           | Direct Written  | Direct Premium                          | Di       | irect | Pre  | miu  | m      |     |
|       |   | Incurred   | Unpaid                                  | Premium   | Unearned                                |          |       | arne |      |        |     |
| 16.11 | Home  | s 9  |   | \$  | \$                                      | \$       |       |      |      |        |     |
| 16 12 | Products  |  |   | \$  | \$                                      | \$       |       |      |      |        |     |
| 10.12 | Automobile  |  |   | ¢   | s                                       | <b>s</b> |       |      |      |        |     |
| 10.13 | Other*  | ·  | •                                       | e   | e                                       | \$       |       |      |      |        |     |
| 16.14 | Other*  | <b></b>  | ·                                       | <b>a</b>  | Ψ                                       |          |       |      |      |        | ••• |

<sup>\*</sup> Disclose type of coverage:

## GENERAL INTERROGATORIES

PART 2 - PROPERTY & CASUALTY INTERROGATORIES

| 17.1  | Does the reporting entity include amounts recoverable on unauthorized reinsurance?  |  | Yes [  | ]     | No    | [ X ] |       |
|---|---|--|--------|-------|-------|-------|-------|
|   | Incurred but not reported losses on contracts in force prior to Ju-<br>provision for unauthorized reinsurance. Provide the following info | uly 1, 1984, and not subsequently renewed are exempt from the statuto<br>rmation for this exemption:                             | ry     |       |       |       |       |
|   | 17.11 e   | Gross amount of unauthorized reinsurance in Schedule F – Part 3 exempt from the statutory provision for unauthorized reinsurance |        |       |       |       |       |
| 18.1 D. 18.2 If 18.3 D 18.4 If 19. Is 19.1 If | 17.12 L   | Infunded portion of Interrogatory 17.11  | \$     |       |       |       |       |
|   |   | Paid losses and loss adjustment expenses portion of Interrogatory 17.11  |        |       |       |       |       |
|   | 17.14   | Case reserves portion of Interrogatory 17.11   | \$     |       |       |       |       |
|   | 17.15 li  | ncurred but not reported portion of Interrogatory 17.11  | \$     |       |       |       |       |
|   | 17.16 U   | Jnearned premium portion of Interrogatory 17.11  | \$     |       |       |       |       |
|   | 17.17   | Contingent commission portion of Interrogatory 17.11   | \$     |       | ••••• |       |       |
| 18.1  | Do you act as a custodian for health savings accounts?  |  |        | Yes [ | . ]   | No    | [X]   |
| 18.2  | If yes, please provide the amount of custodial funds held as of the   | reporting date.  | \$     |       |       |       | •     |
| 18.3  | Do you act as an administrator for health savings accounts?   |  | ***    | Yes [ | ]     | No    | [X]   |
|   |   | <b>\$</b>  |        |       |       |       |       |
| 19.   | Is the reporting entity licensed or chartered, registered, qualified,   | •••  | Yes [  | . 1   | No    | [ X ] |       |
|   | If no, does the reporting entity assume reinsurance business that the reporting entity?   | covers risks residing in at least one state other than the state of domicile   | of<br> | Yes [ | ]     | No    | [ X ] |

31

## ANNUAL STATEMENT FOR THE YEAR 2021 OF THE West Side Mutual Insurance Association

## **FIVE-YEAR HISTORICAL DATA**

Show amounts in whole dollars only, no cents; show percentages to one decimal place, i.e., 17.6. 2020 2018 2017 2021 Gross Premiums Written (Page 8, Part 1B, Cols. 1, 2 & 3) 1. Liability lines (Lines 11.1, 11.2, 16, 17.1, 17.2, 17.3, 18.1, 18.2, 19.1, 19.2 & 19.3, 19.4) 2.115.895 .2,137,929 1,979,420 2. Property lines (Lines 1, 2, 9, 12, 21 & 26)
3. Property and liability combined lines (Lines 3, 4, 5, 2,311,060 2.075.713 All other lines (Lines 6, 10, 13, 14, 15, 23, 24, 28, 5. Nonproportional reinsurance lines (Lines 31, 32 & 1.979.420 2.115.895 2,137,929 2,075,713 2,311,060 6. Total (Line 35) . Net Premiums Written (Page 8, Part 1B, Col. 6) 7. Liability lines (Lines 11.1, 11.2, 16, 17.1, 17.2, 17.3, 18.1, 18.2, 19.1, 19.2 & 19.3, 19.4) .1,715,335 1.563.807 8. Property lines (Lines 1, 2, 9, 12, 21 & 26) 1,788,579 .1,671,416 1,635,697 Property and liability combined lines (Lines 3, 4, 5, 8, 22 & 27) 10. All other lines (Lines 6, 10, 13, 14, 15, 23, 24, 28, 29, 30 & 34) Nonproportional reinsurance lines (Lines 31, 32 & 33) 1,715,335 1,563,807 1.635.697 1,788,579 1,671,416 12. Total (Line 35) ... atement of Income (Page 4) 120,340 (484,205) (662,857) (764 .505) 13. Net underwriting gain (loss) (Line 8) (486,778) 326,623 418,984 185,076 216,788 Net investment gain (loss) (Line 11) 198.479 .62,203 49,674 30,403 37.537 15. Total other income (Line 15). Dividends to policyholders (Line 17) ... Federal and foreign income taxes incurred (6,701) (81,127 (Line 19) .. .(517,226) .(46,053) (206,336) 18. Net income (Line 20) .. (241.361) 393,503 lance Sheet Lines (Pages 2 and 3) Total admitted assets excluding protected cell business (Page 2, Line 26, Col. 3) ..7,797,157 .8,123,574 8.354.946 .7.779.151 8.370.220 Premiums and considerations (Page 2, Col. 3) 714 1.370 20.1 In course of collection (Line 15.1). 20.2 Deferred and not yet due (Line 15.2) . 20.3 Accrued retrospective premiums (Line 15.3) Total liabilities excluding protected cell business (Page 3, Line 26) 1,150,147 1,111,699 1,470.509 1.055.020 1.021.381 20,000 .57,000 229,833 .211,210 Losses (Page 3, Line 1) .. ..371.400 3,700 ..3,700 .3.743 ..3,385 Loss adjustment expenses (Page 3, Line 3) 24. Unearned premiums (Page 3, Line 9) ... 924,424 .855,172 830,285 .791,632 754,424 Capital paid up (Page 3, Lines 30 & 31). 6,647,009 .7,011,875 6,899,711 .6,757,770 7,299,926 26. Surplus as regards policyholders (Page 3, Line 37). ash Flow (Page 5) (244,045) (768,039) .336,601 (155,904).304,693 27. Net cash from operations (Line 11). isk-Based Capital Analysis .6,757,770 6.647.009 7.299.926 6,899,711 28. Total adjusted capital ..335,387 29. Authorized control level risk-based capital 362.064 .312.313 .302.387 ercentage Distribution of Cash, Cash Equivalents and invested Assets (Page 2, Col. 3)(Item divided by Page 2, Line 12, Col. 3) x 100.0.55.8 49.9 30. Bonds (Line 1) .35.0 29.3 22.0 27.6 40.4 31. Stocks (Lines 2.1 & 2.2) ... Mortgage loans on real estate (Lines 3.1 and 3.2) .0.6 0.5 0.6 0.6 0.6 9.2 3.8 9.2 8.6 (Line 5) . Contract loans (Line 6) . 36. Derivatives (Line 7)... 37. Other invested assets (Line 8) Receivables for securities (Line 9). 39. Securities lending reinvested collateral assets (Line 40. Aggregate write-ins for invested assets (Line 11) 41. Cash, cash equivalents and invested assets (Line .100.0. 100.0. 100.0 .100.0. 100.0. 12). restments in Parent, Subsidiaries and Affiliates 42. Affiliated bonds, (Sch. D, Summary, Line 12, Col. 1) Affiliated preferred stocks (Sch. D, Summary, Line 18, Col. 1) Affiliated common stocks (Sch. D, Summary, Line 24, Col. 1). Affiliated short-term investments (subtotals included in Schedule DA Verification, Col. 5, Line 10) ..... Affiliated mortgage loans on real estate 47. All other affiliated . 48. Total of above Lines 42 to 47. Total Investment in parent included in Lines 42 to 47 49. above. Percentage of investments in parent, subsidiaries and affiliates to surplus as regards policyholders (Line 48 above divided by Page 3, Col. 1, Line 37 x

## **FIVE-YEAR HISTORICAL DATA**

|             |  |           | tinued)    |           |           |           |
|-------------|--|-----------|------------|-----------|-----------|-----------|
|             |  | 1<br>2021 | 2 2020     | 3<br>2019 | 4<br>2018 | 5<br>2017 |
| •           | and Surplus Accounts (Page 4)  |           |            |           |           |           |
| 51.         | Net unrealized capital gains (losses) (Line 24)  | 376,618   | (31,683)   | 268,534   | (296,765) |           |
| 52.         | Dividends to stockholders (Line 35)  |           |            |           |           |           |
| 53.         | Change in surplus as regards policyholders for the year (Line 38)  | 141,941   | (542,156)  | 652,917   | (364,866) |           |
| oss         | Losses Paid (Page 9, Part 2, Cols. 1 & 2)  |           |            |           |           |           |
|             | Liability lines (Lines 11.1, 11.2, 16, 17.1, 17.2, 17.3, 18.1, 18.2, 19.1, 19.2 & 19.3, 19.4)  |           |            |           | 4 044 740 |           |
|             | Property lines (Lines 1, 2, 9, 12, 21 & 26)  | 6,235,855 | 17,241,974 | 798,109   | 1,044,746 |           |
| 56.         | Property and liability combined lines<br>(Lines 3, 4, 5, 8, 22 & 27)   |           |            |           |           |           |
| 57.         | All other lines<br>(Lines 6, 10, 13, 14, 15, 23, 24, 28, 29, 30 & 34)  | i         | ì          |           |           |           |
| £0          | (Lines 6, 10, 13, 14, 15, 23, 24, 28, 29, 30 & 34)   |           |            |           |           |           |
|             | (Lines 31 32 & 33)   |           |            |           |           |           |
| 59.         | Total (Line 35)  | 6,235,855 | 17,241,974 | 798 , 109 | 1,044,746 |           |
| et Lo       | sses Paid (Page 9, Part 2, Col. 4)   |           |            |           |           |           |
|             | Liability lines (Lines 11.1, 11.2, 16, 17.1, 17.2, 17.3, 18.1, 18.2, 19.1, 19.2 & 19.3, 19.4)  |           |            |           |           |           |
| 61.         | Property lines (Lines 1, 2, 9, 12, 21 & 26)  | 870,814   | 1,519,014  | 764,951   | 1,113,420 |           |
| 62.         | Property and liability combined lines (Lines 3, 4, 5, 8, 22 & 27)  | l l       |            | l l       |           |           |
| 63.         | All other lines<br>(Lines 6, 10, 13, 14, 15, 23, 24, 28, 29, 30 & 34)  |           |            |           |           |           |
| 64.         | Nonproportional reinsurance lines  |           | 1          |           |           |           |
| 85          | (Lines 31, 32 & 33)  | 870 814   | 1.519.014  | 764.951   | 1,113,420 |           |
|             | ting Percentages (Page 4)<br>ivided by Page 4, Line 1) x 100.0   |           |            |           |           |           |
| 66.         | Premiums earned (Line 1)   | 100.0     | 100.0      | 100.0     | 100.0     | 100.0     |
| 67          | Losses incurred (Line 2)   | 71.1 L    | 90.0 L     | 37 .1 L   | 74.2      |           |
| 68.         | Loss expenses incurred (Line 3)  | 10.9      | 11.9       | 11.4      | 11.4      |           |
| 69.         | Other underwriting expenses incurred (Line 4)  | 45.3      | (46.4)     | 7.5       | (31.7)    |           |
| 70.         | Net underwriting gain (loss) (Line 8)  | (20.3)    | (40.4)     |           | (01.77)   |           |
| ther        | Percentages  |           |            |           |           |           |
| 71.         | Other underwriting expenses to net premiums written (Page 4, Lines 4 + 5 - 15 divided by Page 8, Part 1B, Col. 6, Line 35 x 100.0)   | 41.9      | 40.1       | 39.9      | 43.2      |           |
| 72.         | Losses and loss expenses incurred to premiums earned (Page 4, Lines 2 + 3 divided by Page 4, Line 1 x 100.0)   |           |            |           | 85.5      |           |
| 73.         | Net premiums written to policyholders' surplus   |           |            |           |           |           |
|             | (Page 8, Part 1B, Col. 6, Line 35 divided by Page 3, Line 37, Col. 1 x 100.0)  | 25.9      | 24.7       | 22.4      | 23.5      |           |
| ne Y        | ear Loss Development (\$000 omitted)   |           |            |           |           |           |
| 74.         | Development in estimated losses and loss expenses incurred prior to current year (Schedule P, Part 2-Summary, Line 12, Col. 11)  |           |            |           |           |           |
| 75.         | Percent of development of losses and loss expenses incurred to policyholders' surplus of prior year end (Line 74 above divided by Page 4, Line 21, Col. 1 x 100.0)                 |           |            |           |           |           |
| wo Y        | ear Loss Development (\$000 omitted)   |           |            |           |           |           |
| 76.         | Development in estimated losses and loss expenses incurred 2 years before the current year and prior year (Schedule P, Part 2 - Summary, Line 12, Col. 12)                         |           |            |           |           |           |
| <b>7</b> 7. | Percent of development of losses and loss expenses incurred to reported policyholders' surplus of second prior year end (Line 76 above divided by Page 4, Line 21, Col. 2 x 100.0) |           |            |           |           |           |

NOTE: If a party to a merger, have the two most recent years of this exhibit been restated due to a merger in compliance with the disclosure requirements of SSAP No. 3 - Accounting Changes and Correction of Errors?

If no, please explain

Schedule F - Part 1
NONE

Schedule F - Part 2
NONE

## **SCHEDULE F - PART 3**

|               |                |   |                    |              |          | Reinsuran      | ce as of De | cember 31, C |          |             |             |          |            |           | 16           | Reinsuran | e Pavable  | 19         | 20          |
|---------------|----------------|---|--------------------|--------------|----------|----------------|-------------|--------------|----------|-------------|-------------|----------|------------|-----------|--------------|-----------|------------|------------|-------------|
| 1             | 2              | 3   | 4                  | 5            | 6        |                |             |              |          | ance Recove |             | 1 32     |            |           | ן סו         |           |            | -i '"      | 20          |
| ' '           | *              | _   |                    |              | l F      | <del>-</del> 7 | 8           | 9            | 10       | 11          | 12          | 13       | 14         | 15        | 1            | 17        | 18         | ls         |             |
| ł             |                |   | 1                  |              |          |                |             | 1            | 1        | 1           | Į.          | ļ        | 1          |           |              |           |            | Net Amount |             |
| 1             |                |   | 1                  |              | 1 1      |                | 1           | 1            |          | 1           | 1           |          | ļ.         |           |              |           |            | Recover-   | Funds Held  |
| 1             |                |   | 1                  |              | Reinsur- |                | i           | Known        | i        | 1           | į           | ì        |            |           | Amount in    |           | Other      |            | By Company  |
|               |                |   | 1 1                |              |          |                |             | Case         | Known    |             | 1           |          | Contingent | Cols.     | Dispute      | Ceded     | Amounts    | Reinsurers | Under       |
| l .           | NAIC           |   | 1                  |              | ance     | 0-14           |             |              |          | IBNR Loss   | IDNDIAE     | Impamped | Commis-    | 7 through | Included in  | Balances  | Due to     | Cols. 15 - | Reinsurance |
| l ID          | Company        |   | Domiciliary        | Special      | Premiums | Paid           | Paid        | Loss         |          |             |             | Premiums | sions      | 14 Totale | Column 15    | Pavable   | Reinsurers |            | Treaties    |
| Number        | Code           | Name of Reinsurer                                       | Jurisdiction       | Code         | Ceded    | Losses         | LAE         | Reserves     | Reserves | Reserves    | Reserves    | Premiums | 1 SIOIIS   | 14 100013 | 1 COMMINT TO | 1 4,400.0 |            | 1 1        |             |
| Authorized -  | Affiliates     | U.S. Intercompany Pooling                               |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Authorized -  | Affiliates     | - U.S. Non-Pool - Captive                               |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Authorized -  | Affiliates     | - U.S. Non-Pool - Other                                 |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Authorized -  | Affiliates     | - Other (Non-U.S.) - Captive                            |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
|               |                | - Other (Non-U.S.) - Other                              |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
|               |                | Unaffiliated Insurers                                   |                    |              |          |                |             |              |          |             |             |          |            |           | ,            |           |            | 1,830      |             |
| 42-0245000    | 1/1/17         | GRINNELL MUT REINS CO                                   | I IA               |              | 522 1    | 136            |             | 1,738        |          |             |             | 1        | <u> </u>   | 1,874     |              | 44        |            | 1.830      |             |
|               |                | zed - Other U.S. Unaffiliated Insurers                  |                    |              | 522      | 136            |             | 1,738        |          |             |             |          |            | 1,874     | L            | 44        | l          | 1,830      |             |
| Authorized -  |                |   |                    |              | 1        |                |             |              |          | •           |             |          |            |           |              |           |            |            |             |
| Authorized -  | Pools - Man    | uatory Pools  |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Authorized -  | POOIS - VOI    | untary Poors  |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Authorized -  |                |   |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Authorized -  | Protected C    | elis concern concern                                    | 4000000 4400000    | 42000001     | 522      | 136            |             | 1.738        | 1        | 1           |             | 1        | T          | 1,874     |              | 44        |            | 1,830      |             |
| 1499999 - 1   | Total Author   | ized Excluding Protected Cells (Sum of 0899999, 0999999 | , 1099999, 1199999 | ano 1299999) | 322      | 130            |             | 1,730        |          |             | <u> </u>    |          | <u> </u>   |           |              |           |            |            |             |
| Unauthor ized | - Affiliate    | s - U.S. Intercompany Pooling                           |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Unauthorized  | - Affiliate    | s - U.S. Non-Pool - Captive                             |                    |              |          |                |             |              |          |             |             | _        |            |           |              |           |            |            |             |
| Unauthor ized | - Affiliate    | s - U.S. NonPool - Other                                |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Unauthor ized | - Affiliate    | s - Other (Non-U.S.) - Captive                          |                    |              |          |                |             |              |          |             |             |          |            |           | _            |           |            |            |             |
| Unauthorized  | - Affiliate    | s - Other (Non-U.S.) - Other                            |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Unauthor ized | - Other U.S    | . Unaffiliated Insurers                                 |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Unauthor ized | - Pools - N    | andatory Pools  |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
|               |                | oluntary Pools  |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
|               |                | -U.S. Insurers  |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Unauthor ized |                |   |                    |              |          |                |             |              |          | -           |             |          |            |           |              |           |            |            |             |
|               |                | U.S. Intercompany Pooling                               |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Certified -   | Allillates -   | U.S. Non-Pool - Captive                                 |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
|               |                |   |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Certified -   | Affiliales -   | U.S. Non-Pool - Other                                   |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Certified -   | Affiliates -   | Other (Non-U.S) - Captive                               |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Certified -   | Affiliates -   | Other (Non-U.S.) - Other                                |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Certified -   | Other U.S. U   | haffiliated Insurers                                    |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Certified -   | Pools - Mand   | latory Pools  |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Certified -   |                |   |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Certified -   |                |   |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Certified -   | Protected Ce   | ills  |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Reciprocal J  | urisdiction    | - Affiliates - U.S. Intercompany Pooling                |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Reciprocal    | urisdiction    | - Affiliates - U.S. Non-Pool - Captive                  |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Reciprocal    | urisdiction    | - Affiliates - U.S. Non-Pool - Other                    |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Reciprocal J  | urisdiction    | - Affiliates - Other (Non-U.S.) - Captive               |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Peciprocal    | urisdiction    | - Affiliates - Other (Non-U.S.) - Other                 |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Paciprocal    | hur isdiction  | - Other U.S. Unaffiliated Insurers                      |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Posiprocal    | lur indiction  | - Pools - Mandatory Pools                               |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Reciprocal J  | lur indiction  | - Pools - Voluntary Pools                               |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
|               |                |   |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Reciprocal J  | JUT ISCICT ION | - Other Non-U.S. Insurers                               |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |
| Reciprocal    | Jurisdiction   | - Protected Cells                                       | 16 1 2 5 5         | -1-10-11-    |          |                | 1           |              |          | 1           | <del></del> |          | 1          | T         | 1            | T         | T          |            |             |
| 5799999 -     | Total Author   | ized, Unauthorized, Reciprocal Jurisdiction and Certifi | ea Excluding Prote | CIED CELIS   | 500      | 400            | 1           | 1.738        | . 1      | 1           | 1           | 1        | 1          | 1.874     | . I          | 44        | . [        | 1,830      | 1           |
|               | (Sum of 14     | 99999, 2899999, 4299999 and 5699999)                    |                    |              | 522      | 136            |             |              |          | +           | +           | +        | +          | 1,874     |              | 44        |            | 1.830      |             |
| 9999999       | Totals         |   |                    |              | 522      | 136            |             | 1,738        | <u> </u> | 1           | 1           |          |            | 1,8/4     | 1            | 1 44      |            | 1,000      |             |
| 000000        |                |   |                    |              |          |                |             |              |          |             |             |          |            |           |              |           |            |            |             |

# SCHEDULE F - PART 3 (Continued) Ceded Reinsurance as of December 31, Current Year (\$000 Omitted)

| Ceded Reinsurance as of December 31, Current Year (\$000 Omitted)  (Credit Risk) |   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|--|---|-------------------------|------------|--------------------------|-------------------------|---|------------------------|-------------------------|-----------------------------|---------------------------|-------------------------|----------------------------|-------------|----------------|------------|------------------------------|----------------------------------|
| r  |   |                         | Colla      | ateral                   |                         | 25                                      | 26                     | 27                      |                             |                           |                         | Ceded                      | Reinsurance | Credit Risk    |            |                              |                                  |
|  |   | 21                      | 22         | 23                       | 24                      | 20                                      | 20                     | -                       | 28                          | 29                        | 30                      | 31                         | 32          | 33             | 34         |                              | 36<br>Credit Risk on             |
|  |   | ·                       |            |                          |                         |   | i .                    |                         |                             |                           | Reinsurance             |                            |             |                |            | Recoverables                 | Uncollateralized<br>Recoverables |
|  |   |                         |            |                          | Single                  |   |                        |                         | Total Amount<br>Recoverable |                           | Payable &<br>Funds Held |                            | Total       | Stressed Net   |            | (Col. 32 *<br>Factor         | (Col. 33 *<br>Factor             |
| ID   |   |                         |            | Issuing or<br>Confirming | Beneficiary<br>Trusts & | Total Funds                             | Net<br>Recoverable     | Applicable              | From<br>Reinsurers          | Stressed                  | (Cols.<br>17+18+20;     | Stressed Net               |             |                |            | Applicable to<br>Reinsurer   | Reinsurer                        |
| Number<br>From   | Name of Reinsurer   | Multiple<br>Beneficiary | Letters of | Bank<br>Reference        | Other<br>Allowable      | Held,<br>Payables &                     | Net of Funds<br>Held & | Sch. F<br>Penalty (Col. | Less Penalty<br>(Cols. 15 - | Recoverable<br>(Col. 28 * | excess of               | Recoverable<br>(Cols. 29 – | in Excess   | Offsets (Cols. |            | Designation<br>Equivalent in | Equivalent in                    |
| Col. 1   | From Col. 3  (filiates - U.S. Intercompany Pooling  | Trusts                  | Credit     | Number                   | Collateral              | Collateral                              | Collateral             | 78)                     | 27)                         | 120%)                     | Col. 29)                | 30)                        | of Col. 31) | 31 - 32)       | Equivalent | Col. 34)                     | Col. 34)                         |
|  | Iffiliates - U.S. Non-Pool - Captive  |                         |            | 1                        |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
| Authorized - A   | iffiliates - U.S. Non-Pool - Other  |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | Iffiliates - Other (Non-U.S.) - Captive   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | Affiliates - Other (Non-U.S.) - Other Other U.S. Unaffiliated Insurers                              |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | GRINNELL MUT REINS CO.  |                         |            | 1                        |                         | T44                                     | 1,830                  |                         | 1,874                       | 2,248                     |                         |                            |             | 2,205          |            |                              |                                  |
|  | tal Authorized - Other U.S. Unaffiliated Insurers   |                         |            | XXX                      |                         | 44                                      | 1,830                  |                         | 1,874                       | 2,248                     | 44                      | 2,205                      | <u> </u>    | 2,205          | XXX        | <u> </u>                     | 1                                |
|  | Pools - Mandatory Pools   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | Pools - Voluntary Pools   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | Other Non-U.S. Insurers   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | Protected Cells   |                         |            |                          | ,                       | ,                                       |                        |                         |                             | r                         | ,                       |                            | 1           | T              | 1          | T                            |                                  |
|  | tal Authorized Excluding Protected Cells (Sum of<br>0899999, 0999999, 1099999, 1199999 and 1299999) |                         |            | XXX                      |                         | 44                                      | 1,830                  |                         | 1,874                       | 2,248                     | 44                      | 2,205                      |             | 2,205          | XXX        | <u></u>                      |                                  |
|  | - Affiliates - U.S. Intercompany Pooling  |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | - Affiliates - U.S. Non-Pool - Captive  |                         |            |                          |                         |   |                        |                         |                             |                           | -                       |                            |             |                |            |                              |                                  |
| Unauthorized   | - Affiliates - U.S. NonPool - Other<br>- Affiliates - Other (Non-U.S.) - Captive                    |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
| Unauthor ized  | - Affiliates - Other (Non-U.S.) - Other   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
| Unauthorized   | - Other U.S. Unaffiliated Insurers<br>- Pools - Mandatory Pools                                     |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | - Pools - Wandatory Pools<br>- Pools - Voluntary Pools  |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | - Other non-U.S. Insurers   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | - Protected Cells   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | ffiliates - U.S. Intercompany Pooling   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
| Certified - A  | ffiliates - U.S. Non-Poot - Captive   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
| Certified - A  | ffiliates - U.S. Non-Pool - Other   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | ffiliates - Other (Non-U.S) - Captive   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | ffiliates - Other (Non-U.S.) - Other  |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | ther U.S. Unaffiliated Insurers   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | oots - Mandatory Pools  |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | oots - Voluntary Poots<br>ther Non-U.S. Insurers  |                         |            |                          |                         | • |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | rotected Cells  |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | risdiction - Affiliates - U.S. Intercompany Pooling   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             | <u> </u>       |            |                              |                                  |
| Reciprocal Ju  | risdiction - Affiliates - U.S. Non-Pool - Captive   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | risdiction - Affiliates - U.S. Non-Pool - Other   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
| Reciprocal Ju  | risdiction - Affiliates - Other (Non-U.S.) - Captive  |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
| Reciprocal Ju  | risdiction - Affiliates - Other (Non-U.S.) - Other  |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | risdiction - Other U.S. Unaffiliated Insurers   |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | risdiction - Pools - Mandatory Pools<br>risdiction - Pools - Voluntary Pools                        |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | risdiction - Poors - Voluntary Poors  |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
|  | risdiction - Protected Cells  |                         |            |                          |                         |   |                        |                         |                             |                           |                         |                            |             |                |            |                              |                                  |
| 5799999 - To   | otal Authorized, Unauthorized, Reciprocal Jurisdiction  | 1                       | 1          | 1                        | 1                       | T                                       |                        |                         | 1                           |                           |                         |                            | 1           |                | 1          | 1                            | 1                                |
| 0.0000   | and Certified Excluding Protected Cells (Sum of 1499999, 2899999, 4299999 and 5699999)              |                         | 1          | XXX                      |                         | 44                                      | 1,830                  |                         | 1,874                       |                           |                         | 21000                      |             | 2,205          |            |                              | <b>_</b>                         |
| 9999999 T  |   | T                       |            | XXX                      | 1                       | 44                                      | 1,830                  |                         | 1,874                       | 2,248                     | 44                      | 2,205                      | L           | 2,205          | XXX        |                              |                                  |

# SCHEDULE F - PART 3 (Continued) Coded Reinsurance as of December 31, Current Year (\$000 Omitted)

|                | Ceded Reinsurance as of December 31, Current Year (\$000 Omitted)  [Aging of Ceded Reinsurance)  [Aging of Ceded Reinsurance] |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|----------------|---|---------|--------------|---------------|---------------------------------------|--------------|--------------|---------------|-------------|-------------|-------------|-------------|-------------|--------------|--------------|------------|--------------|-------------|
|                |   |         |              |               |                                       |              |              |               |             | 1 45        | 1 40        | 47          | 40          | 10           | 50           | 51         | 52           | 53          |
|                |   |         | surance Reco | verable on Pa |                                       | Paid Loss Ad | ustment Expe |               | 44          | 45          | 46          | 4′          | ***         | 75           | ~            | ٠,         |              | 1           |
| 1              |   | 37      |              |               | Overdue                               |              |              | 43            |             |             |             | l           | l .         | 1            |              |            |              |             |
| 1 1            |   |         | 38           | 39            | 40                                    | 41           | 42           | l             | 1           | Recoverable |             | Recoverable | 1           | 1            | <u> </u>     |            |              | }           |
| 1 1            |   |         |              |               |                                       | Į.           |              | i             |             | on Paid     | į           | on Paid     | l           | 1            | 1            |            |              |             |
| 1              |   |         |              |               | 1                                     | İ            | Į            |               | Total       | Losses &    | Total       | Losses &    | ł           | 1            | Percentage   |            |              | 1           |
|                | 1   |         |              |               |                                       | !            |              |               | Recoverable |             | Recoverable |             |             | 1            | of Amounts   |            |              |             |
| 1              |   |         |              |               |                                       |              |              |               | on Paid     | Days Past   | on Paid     | Days Past   | ļ           | l            | More Than    |            |              | Amounts in  |
| 1              |   |         |              |               |                                       | i            | l .          |               | Losses &    | Due         | Losses &    | Due         | i           | 1            | 90 Days      | Percentage |              | Col. 47 for |
|                |   |         |              |               |                                       | 1            | 1            | Total Due     | LAE         | Amounts     | LAE         | Amounts     | 1           | ł            | Overdue Not  | More Than  | is the       | Reinsurers  |
| l a            |   |         |              |               |                                       |              | Total        | Cols. 37 + 42 | Amounts in  | in Dispute  | Amounts Not | Not in      | Amounts     | Percentage   |              | 120 Days   | Amount in    | with Values |
| Number         |   |         |              | i             |                                       | l            | Overdue      | (In total     | Dispute     | Included    | in Dispute  | Dispute     | Received    | Overdue      | (Col. 47/    | Overdue    | Col. 50 Less |             |
|                | Name of Reinsurer   |         | 1 – 29       | 30 – 90       | 91 – 120                              | Over 120     |              | should equal  |             | in Cols.    | (Cols. 43 - | (Cols. 40 + | Prior 90    | Col. 42/Col. | [Cols. 46 +  | (Col. 41/  | Than 20%     | 20% in Col. |
| From<br>Col. 1 | From Col. 3   | Current | Days         | Days          | Days                                  | Days         |              | Cols. 7 + 8)  |             | 40 & 41     | 44)         | 41 – 45)    | Days        | 43           | 48])         | Col. 43)   | (Yes or No)  | 50          |
|                | Affiliates - U.S. Intercompany Pooling  | Current | Days         | Days          | Days                                  | Dayo         | 1 10 11      | 00.0.         |             |             |             |             |             |              |              |            |              |             |
| Authorized -   | Affiliates - U.S. Non-Pool - Captive  |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | Affiliates - U.S. Non-Pool - Other  |         |              |               |                                       |              |              |               |             |             |             |             |             |              | -            |            |              |             |
|                | Affiliates - 0.5. Mon-Pool - Other  |         |              | <del></del>   |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | Affiliates - Other (Non-U.S.) - Captive   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | Other U.S. Unaffiliated Insurers  |         |              |               |                                       | -            |              |               | -           |             |             |             |             |              |              |            |              | ,           |
| AUTHOF 1280 -  | GRINNELL MUT REINS CO.  | 136     |              |               | · · · · · · · · · · · · · · · · · · · | Ι            |              | 136           | L           | I           | 136         |             | I           | I            |              |            | YES          |             |
|                | otal Authorized - Other U.S. Unaffiliated Insurers  | 136     |              |               |                                       |              |              | 136           |             | 1           | 136         |             |             |              |              |            | XXX          |             |
|                |   | 130     |              |               |                                       | <u> </u>     |              |               | <u> </u>    |             |             |             |             |              |              |            |              |             |
|                | Pools - Mandatory Pools<br>Pools - Voluntary Pools  |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | Other Non-U.S. Insurers   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | Protected Cells   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | otal Authorized Excluding Protected Cells (Sum of   |         |              |               |                                       |              |              | 1             |             |             | T           | T           |             |              |              |            |              | 1           |
|                | 0899999, 0999999, 1099999, 1199999 and 1299999)   | 136     |              |               |                                       |              | İ            | 136           | Į.          |             | 136         | 1           |             |              | <u> </u>     |            | XXX          |             |
|                | - Affiliates - U.S. Intercompany Pooling  | 150     |              |               |                                       | 1            |              |               | 1           |             |             |             |             |              |              |            |              |             |
|                | - Affiliates - U.S. Non-Pool - Captive  |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | - Affiliates - U.S. NonPool - Other   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | - Affiliates - Other (Non-U.S.) - Captive   |         |              |               |                                       |              | -            |               |             |             |             |             |             |              |              |            |              |             |
|                | - Affiliates - Other (Non-U.S.) - Other   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | - Other U.S. Unaffiliated Insurers  |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | - Pools - Mandatory Pools   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | - Pools - Voluntary Pools   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | - Other non-U.S. Insurers   | -       |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
| Unauthorized   | - Protected Cells   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
| Certified - A  | ffiliates - U.S. Intercompany Pooling   |         |              |               | ****                                  |              |              |               |             |             |             |             |             |              |              |            |              |             |
| Certified - A  | ffiliates - U.S. Non-Pool - Captive   |         | ****         |               |                                       |              |              | - "           |             |             |             |             |             |              |              |            |              |             |
|                | ffiliates - U.S. Non-Pool - Other   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | ffiliates - Other (Non-U.S) - Captive   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              | <u> </u>   |              |             |
|                | ffiliates - Other (Non-U.S.) - Other  |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | ther U.S. Unaffiliated Insurers   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | ools - Mandatory Pools  |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | ools - Voluntary Pools  |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | ther Non-U.S. Insurers  |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | rotected Cellis   |         |              | ****          |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
| Reciprocal Ju  | risdiction - Affiliates - U.S. Intercompany Pooling   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
| Reciprocal Ju  | risdiction - Affiliates - U.S. Non-Pool - Captive   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
| Reciprocal Ju  | risdiction - Affiliates - U.S. Non-Pool - Other   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
| Reciprocal Ju  | risdiction - Affiliates - Other (Non-U.S.) - Captive  |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
| Reciprocal Ju  | risdiction - Affiliates - Other (Non-U.S.) - Other  |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | risdiction - Other U.S. Unaffiliated Insurers   |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
| Reciprocal Ju  | risdiction - Pools - Mandatory Pools  |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
| Reciprocal Ju  | risdiction - Pools - Voluntary Pools  |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
|                | risdiction - Other Non-U.S. Insurers  |         |              |               |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |
| Reciprocal Ju  | risdiction - Protected Cells  |         |              |               |                                       |              |              |               |             |             | .,          |             | <del></del> |              | <del>,</del> |            | T            | T           |
|                | otal Authorized, Unauthorized, Reciprocal   |         |              | 1             |                                       |              | 1            | 1             | 1           | 1           | 1           | 1           | 1           |              | 1            | 1          | 1            | 1           |
| 1              | Jurisdiction and Certified Excluding Protected  | 1       | 1            |               | 1                                     | 1            | 1            | 1             | 1           | i           | 1           | 1           | 1           | 1            | 1            |            | 1            | 1           |
| 1              | Cells (Sum of 1499999, 2899999, 4299999 and   |         | 1            |               | 1                                     | L            | 1            |               | .1          | 1           | 136         | .           | 1           |              | 1            | 1          | XXX          | 1           |
| L              | 5699999)  | 136     |              | L             | <u> </u>                              | ļ            | <b>↓</b>     | 136           |             | <b></b>     |             |             | +           | +            | +            | +          | XXX          |             |
| 9999999 T      | otals   | 136     | 1            |               | 1                                     |              | <u> </u>     | 136           | J           |             | 136         | 1           |             |              | 1            | 1          |              |             |
|                |   |         |              | -             |                                       |              |              |               |             |             |             |             |             |              |              |            |              |             |

# SCHEDULE F - PART 3 (Continued) Ceded Reinsurance as of December 31, Current Year (\$000 Omitted)

|        |                   |         |              |               |               |              | (Aging of Ce   | ded Reinsura  | ance)       |             |             |             |          |              |             |            |              |             |
|--------|-------------------|---------|--------------|---------------|---------------|--------------|----------------|---------------|-------------|-------------|-------------|-------------|----------|--------------|-------------|------------|--------------|-------------|
| Т      |                   | Reins   | urance Recov | verable on Pa | id Losses and | Paid Loss Ad | ljustment Expe | nses          | 44          | 45          | 46          | 47          | 48       | 49           | 50          | 51         | 52           | 53          |
| 1 1    |                   | 37      |              |               | Overdue       |              |                | 43            |             |             |             |             |          | i            |             |            | Ì            |             |
| 1 .    |                   |         | 38           | 39            | 40            | 41           | 42             | 1             |             | Recoverable |             | Recoverable |          |              | İ           | }          | 1            | i           |
| 1 1    |                   | *       |              |               |               |              |                |               |             | on Paid     |             | on Paid     |          |              | İ           | İ          |              | 1           |
| 1 1    |                   |         |              |               |               |              |                | ł             | Total       | Losses &    | Total       | Losses &    |          |              | Percentage  |            |              | 1           |
| 1 1    |                   | 1 1     |              |               | i             |              |                | 1             | Recoverable | LAE Over 90 | Recoverable | LAE Over 90 |          |              | of Amounts  |            |              | المسا       |
| 1 1    |                   | 1       |              |               | 1             |              |                |               | on Paid     | Days Past   | on Paid     | Days Past   |          | l            | More Than   |            |              | Amounts in  |
| 1 1    |                   | 1 1     |              |               |               |              |                |               | Losses &    | Due         | Losses &    | Due         |          | 1            | 90 Days     | Percentage |              | Col. 47 for |
| 1 1    |                   | 1       |              |               |               | ĺ            | 1              | Total Due     | LAE         | Amounts     | LAE         | Amounts     |          |              | Overdue Not |            |              | Reinsurers  |
| I I    |                   |         |              |               |               |              | Total          | Cols. 37 + 42 | Amounts in  | in Dispute  | Amounts Not | Not in      | Amounts  | Percentage   | in Dispute  | 120 Days   | Amount in    | with Values |
| Number |                   |         |              |               |               | l            | Overdue        | (In total     | Dispute     | Included    | in Dispute  | Dispute     | Received | Overdue      | (Col. 47/   |            | Col. 50 Less |             |
| From   | Name of Reinsurer |         | 1 – 29       | 30 – 90       | 91 – 120      | Over 120     | Cols. 38 + 39  |               |             | in Cols.    | (Cols. 43 - | (Cols. 40 + | Prior 90 | Col. 42/Col. | [Cols. 46 + | (Col. 41/  | Than 20%     | 20% in Col. |
| Col. 1 | From Col. 3       | Current | Davs         | Days          | Davs          | Davs         |                | Cols. 7 + 8)  |             | 40 & 41     | 44)         | 41 – 45)    | Days     | 43           | 48])        | Col. 43)   | (Yes or No)  | 50          |

## SCHEDULE F - PART 3 (Continued) Ceded Reinsurance as of December 31, Current Year (\$000 Omitted)

|                |  |                |                |              |             | urance as of D  |             |              |                  | d)              |                                       |                |             |              |                  |           |              |
|----------------|--|----------------|----------------|--------------|-------------|-----------------|-------------|--------------|------------------|-----------------|---------------------------------------|----------------|-------------|--------------|------------------|-----------|--------------|
|                |  |                |                |              | (Pro        | vision for Rein | surance for |              | ovision for Cer  | tified Reinsura | nce                                   |                |             |              |                  |           |              |
| ]              |  | 54             | 55             | 56           | 57          | 58              | 59          | 60           | 61               | 62              | 63                                    | 64             | 65          | Complete it  | f Col. 52 = "No" | Otherwise | 69           |
| ł              |  | 54             | 25             | 30           | 51          | 30              | 39          | ~            | l ,,             | 1 02            | "                                     | ٠,             | 1           |              | Enter 0          |           | l            |
| 1              |  | i              |                | 1            |             |                 |             | Percent of   | Percent          |                 | 1                                     |                | Į.          | 66           | 67               | 68        | Provision fo |
|                |  |                | ł              |              |             | 1               |             | Collateral   | Credit           |                 | 1                                     |                | 20% of      | "            | "                |           | Overdue      |
| l              |  |                |                |              |             | 1 1             |             | Provided for |                  | 20% of          |                                       |                | Recoverable |              | 4                |           | Reinsurance  |
| ŀ              |  |                | ŀ              | 1            | 1           | 1               |             | Net          | Net              | Recoverable     | 1                                     | Provision for  | on Paid     | 1            | į į              |           | Ceded to     |
| l              |  |                | 1              |              |             | Net             |             |              | Recoverables     |                 |                                       | Reinsurance    | Losses &    | Total        |                  |           | Certified    |
|                |  |                |                | l            |             | Recoverables    |             | Subject to   | Subject to       | Losses &        | Amount of                             | with Certified | LAE Over 90 |              | Net              |           | Reinsurers   |
|                |  |                | l              | Percent      | 1           | Subject to      | Dollar      | Collateral   | Collateral       | LAE Over        | Credit                                | Reinsurers     | Days Past   | Provided     | Unsecured        |           | (Greater of  |
| 1              |  |                |                | Collateral   | Catastrophe |                 | Amount of   |              | Requirements     |                 | Allowed for                           | Due to         | Due Amounts |              |                  |           | [Col. 62 +   |
| ID             |  | Certified      | Effective Date | Required for |             | Requirements    | Collateral  |              | . (Col. 60 / Col |                 | Net                                   | Collateral     | Not in      | 21+Col.22+   | for Which        |           | Col. 65] or  |
| Number         |  | Reinsurer      | of Certified   |              |             | for Full Credit |             | 21+Col.      | 56, not to       |                 | Recoverables                          | Deficiency     | Dispute     | Col. 24; not | Credit is        | 20% of    | Col. 68; na  |
|                | Name of Reinsurer  | Rating         | Reinsurer      | (0% through  |             | (Col. 19 -      | (Col. 56 *  | 22+Col.      | exceed           |                 | (Col. 57+[Col.                        |                | (Col. 47 *  | to Exceed    | Allowed (Col.    | Amount in | to Exceed    |
| From<br>Col. 1 | From Col. 3  | (1 through 6)  |                | 100%)        | Deferral    | Col. 57)        | Col. 58)    | 24VCol. 58)  |                  |                 | 58 * Col. 61])                        |                | 20%)        | Col. 63)     | 63-Col. 66)      | Col. 67   | Col. 63)     |
|                | Affiliates - U.S. Intercompany Pooling   | (\1 allough o) | Rabing         | 100707       | , Doiona.   |                 | 0000,       | 1 - 17       |                  |                 |                                       |                |             |              |                  |           |              |
|                | Affiliates - U.S. Non-Pool - Captive   |                |                | •            |             |                 |             | •            |                  |                 |                                       |                |             |              |                  |           |              |
|                | Affiliates - U.S. Non-Pool - Other   |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | Affiliates - Other (Non-U.S.) - Captive  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | Affiliates - Other (Non-U.S.) - Other  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
| Authorized - ( | Other U.S. Unaffiliated Insurers   |                |                |              |             |                 |             |              | - Vanu           | 1 000           | T 000                                 | - VVV          | 1 000       | · vvv        | I XXX            | XXX       | XXX          |
| 42-0245990     | GRINNELL MUT REINS CO.   | ]XXX           | XXX            | XXX          | XXX         | XXX             | XXX         | XXX          | XXX              | XXX             | XXX                                   | XXX            | XXX         | XXX          | XXX              | XXX       | XXX          |
| 0999999 - To   | otal Authorized - Other U.S. Unaffiliated Insurers                                 | XXX            | XXX            | XXX          | XXX         | XXX             | XXX         | XXX          | XXX              | XXX             | XXX                                   | XXX            | XXX         | ] , ,,,,     |                  | ***       | 1 ^^^        |
|                | Pools - Mandatory Pools  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | Pools - Voluntary Pools  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | Other Non-U.S. Insurers  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | Protected Cells  | <del>,</del>   | ,              |              |             | T               |             | т            |                  |                 |                                       |                | 1           | 1            | 1                |           | 1            |
|                | otal Authorized Excluding Protected Cells (Sum of 0899999,                         | XXX            | l xxx          | XXX          | l xxx       | XXX             | XXX         | l xxx        | XXX              | XXX             | XXX                                   | xxx            | XXX         | l xxx        | XXX              | XXX       | XXX          |
|                | 099999, 1099999, 1199999 and 1299999)  | 1 444          |                | 1 444        |             |                 | ^^^         | J AAA        | J                | 1 1/10          | , , , , , , , , , , , , , , , , , , , |                | 1           |              |                  |           |              |
|                | - Affiliates - U.S. Intercompany Pooling<br>- Affiliates - U.S. Non-Pool - Captive |                |                |              |             |                 |             | •            |                  |                 |                                       |                |             |              |                  |           |              |
|                | - Affiliates - U.S. NonPool - Other  |                |                |              | <del></del> |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
| Unauthor i zed | - Affiliates - Other (Non-U.S.) - Captive  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | - Affiliates - Other (Non-U.S.) - Other  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | - Other U.S. Unaffiliated Insurers   |                |                |              | -           |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | - Pools - Mandatory Pools  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | - Pools - Voluntary Pools  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
| Unauthor ized  | - Other non-U.S. Insurers  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
| Unauthor ized  | - Protected Cells  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | ffiliates - U.S. Intercompany Pooling  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | ffiliates - U.S. Non-Pool - Captive  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | ffiliates - U.S. Non-Pool - Other  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | ffiliates - Other (Non-U.S) - Captive  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           | -            |
|                | ffiliates - Other (Non-U.S.) - Other   |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | ther U.S. Unaffiliated Insurers  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | ools - Mandatory Pools<br>ools - Voluntary Pools                                   |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | ther Non-U.S. Insurers   |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | rotected Cells   |                |                |              | **********  |                 | -           |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | risdiction - Affiliates - U.S. Intercompany Pooling                                |                |                |              |             |                 |             |              |                  |                 | · · · · · · · · · · · · · · · · · · · |                |             |              |                  |           |              |
| Reciprocal in  | risdiction - Affiliates - U.S. Non-Pool - Captive                                  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
| Reciprocal Ju  | risdiction - Affiliates - U.S. Non-Pool - Other                                    |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
| Reciprocal Ju  | risdiction - Affiliates - Other (Non-U.S.) - Captive                               |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | risdiction - Affiliates - Other (Non-U.S.) - Other                                 |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | risdiction - Other U.S. Unaffiliated Insurers                                      |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
| Reciprocal Ju  | risdiction - Pools - Mandatory Pools   |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | risdiction - Pools - Voluntary Pools   |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | risdiction - Other Non-U.S. Insurers   |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |
|                | risdiction - Protected Cells   |                |                |              | .,          |                 |             | 1            | T                |                 |                                       |                | т           | <del></del>  |                  | 1         | 1            |
| 9999999 T      | otals  | XXX            | XXX            | XXX          | 1           | <u></u>         | l           | XXX          | XXX              |                 |                                       | <u> </u>       | <u> </u>    | <u> </u>     |                  | l         |              |
|                |  |                |                |              |             |                 |             |              |                  |                 |                                       |                |             |              |                  |           |              |

## SCHEDULE F - PART 3 (Continued) Coded Reinsurance as of December 31, Current Year (\$000 Omitted)

|                 |  | C                                      |                       | of December 31, Curr  |                       | a)                                       |                       |                       |                       |                      |
|-----------------|--|--|-----------------------|-----------------------|-----------------------|--|-----------------------|-----------------------|-----------------------|----------------------|
|                 |  |  |                       | Provision for Reinsu  |                       | <del> </del>                             |                       | Total Provision f     | or Poincurance        |                      |
|                 |  | 70                                     | Provision for Unauth  | orized Reinsurance    |                       | due Authorized and<br>iction Reinsurance |                       | TOTAL PROVISION I     | or remadiance         |                      |
|                 |  |  | 71                    | 72                    | 73                    | 74                                       | 75                    | 76                    | 77                    | 78                   |
|                 |  |  | "                     | '2                    | ,,,                   | Complete if                              |                       |                       |                       |                      |
| 1 1             |  |  |                       |                       |                       | Col. 52 = "No":                          |                       |                       |                       |                      |
| 1 1             |  |  |                       |                       | Complete if           | Otherwise Enter 0                        |                       |                       |                       |                      |
| 1 1             |  |  | -                     |                       | Col. 52 = "Yes":      | Otherwise Lines o                        |                       |                       |                       |                      |
|                 | İ  |  |                       |                       | Otherwise Enter 0     | Greater of 20% of Net                    |                       |                       | i                     | i                    |
| 1 1             |  |  |                       |                       | Ou let wise Et itel 0 | Recoverable Net of                       |                       | l l                   |                       |                      |
| 1 1             |  |  |                       |                       | 20% of Recoverable    | Funds Held &                             |                       |                       |                       | l l                  |
| 1 1             |  |  |                       | Provision for Overdue |                       | Collateral, or 20% of                    |                       |                       |                       | 1                    |
|                 |  | 000/ -6 Dbla                           | Provision for         | Reinsurance from      | Over 90 Days Past     | Recoverable on Paid                      | Provision for Amounts | Provision for Amounts |                       |                      |
|                 |  | 20% of Recoverable<br>on Paid Losses & | Reinsurance with      | Unauthorized          | Due Amounts Not in    | Losses & LAE Over                        | Ceded to Authorized   | Ceded to              |                       | l .                  |
|                 |  | LAE Over 90 Davs                       | Unauthorized          | Reinsurers and        | Dispute + 20% of      | 90 Days Past Due                         | and Reciprocal        |                       | Provision for Amounts | l l                  |
| ID I            |  | Past Due Amounts                       | Reinsurers Due to     | Amounts in Dispute    | Amounts in Dispute    | (Greater of Col. 26 *                    | Jurisdiction          | Reinsurers            | Ceded to Certified    | Total Provision for  |
| Number          | Name of Reinsurer  | Not in Dispute                         | Collateral Deficiency | (Col. 70 + 20% of the | ([Col. 47 * 20%] +    | 20% or [Col. 40 + 41]                    |                       | (Cols. 71 + 72 Not in | Reinsurers            | Reinsurance          |
| From<br>Col. 1  | From Col. 3  | (Col. 47 * 20%)                        | (Col. 26)             | Amount in Col. 16)    | [Col. 45 * 20%])      | * 20%)                                   | (Cols. 73 + 74)       | Excess of Col. 15)    | (Col. 64 + 69)        | (Cols. 75 + 76 + 77) |
|                 | Affiliates - U.S. Intercompany Pooling   | (001. 47 _2070)                        | 1001. 20)             | Tuniount in Con 10)   | 1 199                 |  |                       |                       |                       |                      |
| Authorized -    | Affiliates - U.S. Non-Pool - Captive   |  |                       |                       |                       |  |                       |                       |                       |                      |
|                 | Affiliates - U.S. Non-Pool - Other   |  |                       |                       |                       |  |                       |                       | ·                     |                      |
|                 | Affiliates - Other (Non-U.S.) - Captive  |  |                       |                       |                       |  |                       |                       |                       |                      |
|                 | Affiliates - Other (Non-U.S.) - Other  |  |                       |                       |                       |  |                       |                       |                       |                      |
| Authorized -    | Other U.S. Unaffiliated Insurers   |  | T 999                 |                       | 1                     | 1  |                       | XXX                   | XXX                   |                      |
|                 | GRINNELL NUT REINS CO.   |  | XXX                   | XXX                   |                       |  |                       | XXX                   | XXX                   |                      |
|                 | otal Authorized - Other U.S. Unaffiliated Insurers   |  |                       |                       |                       |  |                       |                       |                       |                      |
|                 | Pools - Mandatory Pools<br>Pools - Voluntary Pools   |  |                       |                       |                       |  |                       |                       |                       |                      |
| Authorized -    | Other Non-U.S. Insurers  |  |                       |                       |                       |  |                       |                       |                       |                      |
|                 | Protected Cells  |  |                       |                       |                       |  |                       |                       |                       |                      |
| 1499999 - To    | otal Authorized Excluding Protected Cells (Sum of 0899999, 0999999, 1099999,                         |  |                       |                       |                       |  |                       | XXX                   | XXX                   |                      |
| i               | 1199999 and 1299999)   |  | XXX                   | XXX                   | L                     |  | L                     |                       |                       |                      |
|                 | - Affiliates - U.S. Intercompany Pooling   |  |                       |                       |                       |  |                       |                       |                       |                      |
| Unauthorized    | - Affiliates - U.S. Non-Pool - Captive   |  |                       |                       |                       |  |                       |                       |                       |                      |
| Unauthorized    | - Affiliates - U.S. NonPool - Other<br>- Affiliates - Other (Non-U.S.) - Captive                     |  |                       |                       |                       |  |                       |                       |                       |                      |
|                 | - Affiliates - Other (Non-U.S.) - Other  |  |                       |                       |                       |  |                       |                       |                       |                      |
| linguithor ized | - Other U.S. Unaffiliated insurers   |  |                       |                       |                       |  |                       |                       |                       |                      |
| Unauthorized    | - Pools - Mandatory Pools  |  |                       |                       |                       |  |                       |                       |                       |                      |
| Unauthorized    | - Pools - Voluntary Pools  |  |                       |                       |                       |  |                       |                       |                       |                      |
| Unauthor ized   | - Other non-U.S. Insurers  |  |                       |                       |                       |  |                       |                       |                       |                      |
| Unauthor ized   | - Protected Cells  |  |                       |                       |                       |  |                       |                       |                       |                      |
| Certified - A   | ffiliates - U.S. Intercompany Pooling  |  |                       |                       |                       |  |                       |                       |                       |                      |
| Certified - A   | ffiliates - U.S. Non-Pool - Captive  |  |                       |                       |                       |  |                       |                       |                       |                      |
|                 | ffiliates - U.S. Non-Pool - Other<br>ffiliates - Other (Non-U.S) - Captive                           |  |                       |                       |                       |  |                       |                       |                       |                      |
| Certified - A   | ffiliates - Other (Non-U.S.) - Other   |  |                       |                       |                       |  |                       |                       |                       |                      |
| Certified - C   | ther U.S. Unaffiliated insurers  | ,"                                     |                       |                       |                       |  |                       |                       |                       |                      |
|                 | ools - Mandatory Pools   |  |                       |                       |                       |  |                       |                       |                       |                      |
| Certified - F   | bools - Voluntary Pools  |  |                       |                       |                       |  |                       |                       |                       |                      |
| Certified - C   | ther Non-U.S. Insurers   |  |                       |                       |                       |  |                       |                       |                       |                      |
|                 | rotected Cells   |  |                       |                       |                       |  | -                     |                       |                       |                      |
|                 | risdiction - Affiliates - U.S. Intercompany Pooling  |  |                       | <del></del>           |                       |  |                       |                       |                       |                      |
| Reciprocal Ju   | risdiction - Affiliates - U.S. Non-Pool - Captive<br>risdiction - Affiliates - U.S. Non-Pool - Other |  |                       |                       |                       |  |                       |                       |                       |                      |
| Reciprocal Ju   | risdiction - Affiliates - Other (Non-U.S.) - Captive   |  |                       |                       |                       |  |                       |                       |                       |                      |
| Reciprocal Ju   | risdiction - Affiliates - Other (Non-U.S.) - Other   |  |                       |                       |                       |  |                       |                       |                       |                      |
| Reciprocal Ju   | risdiction - Other U.S. Unaffiliated Insurers  |  |                       |                       |                       |  |                       |                       |                       |                      |
| Reciprocal Ju   | risdiction - Pools - Mandatory Pools   |  |                       | _,                    |                       |  |                       |                       |                       |                      |
| Reciprocal Ju   | risdiction - Pools - Voluntary Pools   |  |                       |                       | <del></del>           |  |                       |                       |                       |                      |
| Reciprocal Ju   | risdiction - Other Non-U.S. Insurers   |  |                       |                       |                       |  |                       |                       |                       |                      |

# SCHEDULE F - PART 3 (Continued) Ceded Reinsurance as of December 31, Current Year (\$000 Omkted)

|   |  | ~                                       |                      | of December 31, Curi<br>Provision for Reinsu |   | -,                    |  |                       |                       |                      |  |  |  |
|---|--|---|----------------------|--|---|-----------------------|--|-----------------------|-----------------------|----------------------|--|--|--|
|   |  | 70                                      | Provision for Unauth |  | Provision for Overc                     |                       | Total Provision for Reinsurance                  |                       |                       |                      |  |  |  |
| 1                                       |  |   |                      |  | Reciprocal Jurisdi                      | ction Reinsurance     |  |                       |                       |                      |  |  |  |
| 1 1                                     |  |   | 71                   | 72   | 73                                      | 74                    | 75   | 76                    | 77                    | 78                   |  |  |  |
| 1                                       | i  |   |                      |  |   | Complete if           | ł  |                       |                       |                      |  |  |  |
| 1 1                                     |  |   |                      |  |   | Col. 52 = "No";       |  | 1                     |                       |                      |  |  |  |
| 1 1                                     |  |   |                      |  | Complete if                             | Otherwise Enter 0     |  | Į.                    |                       |                      |  |  |  |
|   |  |   |                      |  | Col. 52 = "Yes";                        | 00.00.000             |  |                       | 1                     |                      |  |  |  |
|   |  |   |                      | *  | Otherwise Enter 0                       | Greater of 20% of Net |  |                       |                       |                      |  |  |  |
|   |  |   |                      |  | Otherwise Linter C                      | Recoverable Net of    | 1  |                       |                       |                      |  |  |  |
| i l                                     |  |   |                      |  | 20% of Recoverable                      | Funds Held &          | 1  | 1                     |                       |                      |  |  |  |
|   |  |   |                      | Provision for Overdue                        | as Daid Lagrage 8 LAE                   |                       | İ  | J i                   |                       |                      |  |  |  |
| 1                                       |  |   |                      |  | Over 90 Days Past                       | Becommende on Boid    | Provision for Amounts                            | Provision for Amounts |                       |                      |  |  |  |
| 1                                       |  | 20% of Recoverable                      | Provision for        | Reinsurance from                             |   | Losses & LAE Over     | Ceded to Authorized                              | Ceded to              |                       |                      |  |  |  |
| 1                                       |  | on Paid Losses &                        | Reinsurance with     | Unauthorized                                 | Dispute + 20% of                        | 90 Days Past Due      | and Reciprocal                                   |                       | Provision for Amounts |                      |  |  |  |
| ID                                      |  | LAE Over 90 Days                        | Unauthorized         | Reinsurers and                               |   | (Greater of Col. 26 * | Jurisdiction                                     | Reinsurers            | Ceded to Certified    | Total Provision for  |  |  |  |
| Number                                  |  | Past Due Amounts                        | Reinsurers Due to    | Amounts in Dispute                           |   |                       |  | (Cols. 71 + 72 Not in |                       | Reinsurance          |  |  |  |
| From                                    | Name of Reinsurer  | Not in Dispute                          |                      | (Col. 70 + 20% of the                        | ([Col. 47 * 20%] +                      | 20% or [Col. 40 + 41] | (Cols. 73 + 74)                                  | Excess of Col. 15)    | (Col. 64 + 69)        | (Cols. 75 + 76 + 77) |  |  |  |
| Col. 1                                  | From Col. 3  | (Col. 47 * 20%)                         | (Col. 26)            | Amount in Col. 16)                           | [Col. 45 * 20%])                        | * 20%)                | (Cois. 73 + 74)                                  | EXCESS OF COL. 13)    | (001, 04 : 05)        | (00.0.70 70 11)      |  |  |  |
| Reciprocal Ju                           | risdiction - Protected Cells   |   |                      |  |   |                       |  |                       |                       |                      |  |  |  |
| 5799999 - To                            | ital Authorized, Unauthorized, Reciprocal Jurisdiction and Certified Excluding |   |                      |  |   |                       | j  |                       |                       |                      |  |  |  |
|   | Protected Cells (Sum of 1499999, 2899999, 4299999 and 5699999)                 |   |                      |  |   |                       | <del>                                     </del> |                       |                       |                      |  |  |  |
|   |  |   |                      |  |   |                       | ·  | †                     |                       |                      |  |  |  |
|   |  |   |                      |  |   |                       | <b>†</b>   | •                     |                       |                      |  |  |  |
|   |  |   |                      |  | *************************************** |                       |  |                       |                       |                      |  |  |  |
|   | ***************************************  |   |                      |  |   |                       |  |                       |                       |                      |  |  |  |
|   |  | *************************************** |                      | ·····  |   |                       |  | I                     |                       |                      |  |  |  |
|   |  |   |                      |  |   |                       | I  |                       |                       |                      |  |  |  |
|   |  |   |                      |  | I                                       |                       |  | <b>1</b>              |                       |                      |  |  |  |
| *************************************** |  |   |                      |  | I                                       |                       | <u> </u>   |                       |                       |                      |  |  |  |
|   |  |   |                      |  |   | <b></b>               |  | <b> </b>              |                       |                      |  |  |  |
|   |  |   |                      |  | <b></b>                                 |                       |  | <b></b>               |                       |                      |  |  |  |
|   |  |   |                      |  | <b></b>                                 | ļ                     | . <del> </del>                                   | <del> </del>          |                       |                      |  |  |  |
|   |  |   |                      |  | <b></b>                                 | <b></b>               | ł  | <del> </del>          |                       |                      |  |  |  |
|   |  |   |                      | <b></b>                                      | <b></b>                                 | ł                     | <del> </del>                                     | <b></b>               | t                     |                      |  |  |  |
|   | ***************************************  |   |                      |  | <b></b>                                 |                       | +  | †·····                | †                     |                      |  |  |  |
|   | ***************************************  |   |                      | ł  | <b>†</b>                                |                       | †  | 1                     |                       |                      |  |  |  |
|   |  |   | ·····                | <b></b>                                      | <del> </del>                            | <b>†</b>              |  | 1                     | l                     |                      |  |  |  |
|   |  |   |                      | <del> </del>                                 | t                                       | t                     | 1  | 1                     |                       |                      |  |  |  |
|   |  |   |                      | ·····  | t                                       | t                     |  |                       | I                     |                      |  |  |  |
|   |  |   |                      | <b>†</b>                                     | <b>†</b>                                | <b>†</b>              | T  | T                     |                       |                      |  |  |  |
|   |  |   |                      | t  | 1                                       | •                     | I  |                       |                       |                      |  |  |  |
|   |  |   |                      |  | *************************************** |                       |  |                       |                       |                      |  |  |  |
| 9999999 T                               | otals  |   | L                    | <u> </u>                                     | I                                       | 1                     | 1  |                       |                       |                      |  |  |  |

SCHEDULE F - PART 4
Issuing or Confirming Banks for Letters of Credit from Schedule F, Part 3 (\$000 Omitted)

| Issuing or<br>Confirming<br>Bank | Letters of | American Bankers  |                                 |                          |
|----------------------------------|------------|-------------------|---------------------------------|--------------------------|
| Reference                        | Credit     | Association (ABA) | Issuing or Confirming Bank Name | Letters of Credit Amount |
| Number                           | Code       | Routing Number    | issuing of Commining Bank Name  |                          |
|                                  |            |                   |                                 |                          |
|                                  | f          |                   |                                 |                          |
|                                  |            |                   |                                 |                          |
| Total                            |            |                   |                                 |                          |

# SCHEDULE F - PART 5 Interrogatories for Schedule F, Part 3 (000 Omitted)

| Λ  | Report the five largest provisional commission rates included in the cedant's reinsurance treaties. The commission rate to be reported is by contract with ceded pre | emium in excess of \$50                 | ,000:                                   |   |                |
|----|--|---|---|---|----------------|
| Α. | 1  | 2                                       | 3                                       |   |                |
|    | Name of Reinsurer  | Commission Rate                         | Ceded Premium                           |   |                |
| 1. |  |   |   |   |                |
| 3. |  |   |   | -   |                |
| 4. |  |   |   | m .   |                |
| 5. |  |   |   | TA.   |                |
|    | Report the five largest reinsurance recoverables reported in Schedule F, Part 3.Column 15, due from any one reinsurer (based on-the total recoverables), Schedule    | le F, Part 3, Line 999999               | 99, Column 15, the amou                 | ount of ceded premium, and indicate whether the recoverable | s are due from |
| В. | an affiliated insurer.   | 2                                       | 3                                       | 4   |                |
|    | Name of Reinsurer  | Total Recoverables                      | Ceded Premiums                          | Affiliated Yes [ ] No [ X ]                                 |                |
| 6. | Grinnell Mutual Reinsurance Company  | 1,874                                   |   | Yes [ ] No [ 1]<br>Yes [ ] No [ ]                           |                |
| 7. |  | *************************************** | *************************************** | Yes [ ] No [ ]  |                |
| 8. |  |   |   | Yes [ ] No [ ]  |                |
| 9. |  | *************************************** |   | Yes   |                |
| 10 | J  | *************************************** |   |   |                |

NOTE: Disclosure of the five largest provisional commission rates should exclude mandatory pools and joint underwriting associations.

#### **SCHEDULE F - PART 6**

Restatement of Balance Sheet to Identify Net Credit for Reinsurance 2 Restatement Restated (Gross of Ceded) Adjustments ASSETS (Page 2, Col. 3) ..8, 190, 783 1. Cash and invested assets (Line 12) .... 1.370 2. Premiums and considerations (Line 15) ..... 3. Reinsurance recoverable on loss and loss adjustment expense payments (Line 16.1)...... 4 Funds held by or deposited with reinsured companies (Line 16.2).... 42,002 .1,830,087 .1,830,087 6. Net amount recoverable from reinsurers 7. Protected cell assets (Line 27) ..... ..8,370,220 .1,694,022 .10.064.243 8. Totals (Line 28) ... LIABILITIES (Page 3) .1,737,568 ..2,112,354 9. Losses and loss adjustment expenses (Lines 1 through 3) ........ ..52,782 10. Taxes, expenses, and other obligations (Lines 4 through 8) ..... .924,424 11. Unearned premiums (Line 9) ..60,205 .60,205 12. Advance premiums (Line 10) 13. Dividends declared and unpaid (Line 11.1 and 11.2) ........ 14. Ceded reinsurance premiums payable (net of ceding commissions) (Line 12) .(43,546) 15. Funds held by company under reinsurance treaties (Line 13) ... ..14,767 .14.767 16. Amounts withheld or retained by company for account of others (Line 14) ...... 17. Provision for reinsurance (Line 16) ..... 18. Other liabilities 1,694,022 3,164,532 19. Total liabilities excluding protected cell business (Line 26) ........ 20. Protected cell liabilities (Line 27) ..... 6,899,711 XXX 6,899,711 21. Surplus as regards policyholders (Line 37) ........ 10,064,243 22. Totals (Line 38)

NOTE: Is the restatement of this exhibit the result of grossing up balances ceded to affiliates under 100 percent reinsurance or pooling arrangements? Yes [ ] No [ X ] If yes, give full explanation:

SUMMARY INVESTMENT SCHEDULE

|      |   | Gross Inves                             |                        |   | Admitted Assets<br>in the Annual S                     | as κеропес<br>Statement                 |                           |
|------|---|---|------------------------|---|--|---|---------------------------|
|      |   | 1                                       | Percentage of Column 1 | 3                                       | 4<br>Securities<br>Lending<br>Reinvested<br>Collateral | 5<br>Total<br>(Col. 3+4)                | Percentag<br>of<br>Column |
|      | Investment Categories   | Amount                                  | Line 13                | Amount                                  | Amount   | Amount                                  | Line 13                   |
| 1. L | ong-Term Bonds (Schedule D, Part 1):  |   |                        | 1                                       |  |   |                           |
|      | .01 U.S. governments  |   |                        |   |  |   | ····                      |
|      | .02 All other governments   |   | ļ                      |   |  |   | }                         |
| 1    | .03 U.S. states, territories and possessions, etc. guaranteed                       |   |                        | h                                       | ••••   |   |                           |
|      | .04 U.S. political subdivisions of states, territories, and possessions, guaranteed | 3,122,604                               | 38 . 123               | 3,122,604                               |  | 3,122,604                               | 38 . 1:                   |
| 1    | .05 U.S. special revenue and special assessment obligations, etc. non-guaranteed    | 578,738                                 | 7.066                  | 578,738                                 |  | 578,738                                 | 7.0                       |
| 1    | .06 Industrial and miscellaneous  | 384,832                                 | 4 . 698                | 384,832                                 | ••••••   | 384,832                                 | 4.6                       |
|      | I.07 Hybrid securities  |   |                        |   |  |   | . <b></b>                 |
|      | .08 Parent, subsidiaries and affiliates   |   |                        |   |  |   |                           |
|      | 1.09 SVO identified funds   |   |                        |   |  |   |                           |
|      | 1.10 Unaffiliated bank loans  |   |                        |   |  |   | .}                        |
| 1    | I.11 Total long-term bonds  | 4,086,174                               | 49.887                 | 4,086,174                               |  | 4,086,174                               | 49.8                      |
|      | Preferred stocks (Schedule D, Part 2, Section 1):                                   |   |                        |   |  | 1                                       |                           |
|      | •   |   |                        |   |  |   |                           |
|      | 2.02 Parent, subsidiaries and affiliates  |   |                        |   |  |   |                           |
|      | 2.03 Total preferred stocks   |   | Ī                      |   |  |   |                           |
|      | Common stocks (Schedule D, Part 2, Section 2):                                      |   |                        |   |  |   | 1                         |
| 3. ( | 3.01 Industrial and miscellaneous Publicly traded (Unaffiliated)                    | 1 874 914                               | 22.891                 | 1,874,914                               |  | 1,874,914                               | 22.8                      |
| ٠    | 3.02 Industrial and miscellaneous Publicly traded (Orlainialed)                     | 31 299                                  | 0.382                  | 31,299                                  |  | 31,299                                  | 0.3                       |
|      | 3.03 Parent, subsidiaries and affiliates Publicly traded                            |   |                        | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, |  |   |                           |
|      |   | *************************************** | ·                      |   |  |   |                           |
|      | 3.04 Parent, subsidiaries and affiliates Other                                      | 1 402 016                               | 17.129                 | 1,403,016                               |  | 1,403,016                               | .17.1                     |
|      | 3.05 Mutual funds   |   | 17.125                 |   |  | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, |                           |
|      | 3.06 Unit investment trusts   |   |                        |   |  |   |                           |
|      | 3.07 Closed-end funds   | 2 202 222                               | 40.402                 | 3,309,229                               |  | 3,309,229                               | 40.4                      |
|      | 3.08 Total common stocks  | 3,309,229                               | 40.402                 | 3,309,229                               |  |   | 40.                       |
|      | Mortgage loans (Schedule B):  |   |                        |   |  |   |                           |
|      | 4.01 Farm mortgages   |   |                        |   |  |   |                           |
|      | 4.02 Residential mortgages  |   |                        |   |  |   |                           |
| 4    | 4.03 Commercial mortgages   |   |                        |   |  |   |                           |
|      | 4.04 Mezzanine real estate loans  |   |                        |   |  |   |                           |
|      | 4.05 Total valuation allowance  |   |                        |   |  |   |                           |
|      | 4.06 Total mortgage loans   |   |                        |   |  |   |                           |
|      | Real estate (Schedule A):   |   |                        |   |  |   |                           |
| :    | 5.01 Properties occupied by company   | 45,268                                  | 0.553                  | 45,268                                  |  | 45,268                                  | 0.:                       |
|      | 5.02 Properties held for production of income                                       |   |                        |   |  |   |                           |
| :    | 5.03 Properties held for sale   |   |                        |   |  |   |                           |
|      | 5.04 Total real estate  | 45,268                                  | 0.553                  | 45,268                                  |  |   | 0.                        |
| 6.   | Cash, cash equivalents and short-term investments:                                  | 1                                       |                        | 1                                       |  | 1                                       |                           |
|      | 6.01 Cash (Schedule E, Part 1)  | 158,137                                 | 1.931                  | ,                                       | ļ  | 158,137                                 |                           |
|      | 6.02 Cash equivalents (Schedule E, Part 2)  | 591,976                                 | 7 .227                 | 591,976                                 | <b></b>  | 591,976                                 | 7                         |
|      | 6.03 Short-term investments (Schedule DA)   |   |                        | .                                       | <b></b>  |   |                           |
|      | 6.04 Total cash, cash equivalents and short-term investments                        | 750,113                                 | 9.158                  | 750,113                                 |  |   | 9.                        |
|      | Contract loans  | ļ                                       |                        |   |  |   |                           |
|      | Derivatives (Schedule DB)   | <u> </u>                                |                        |   |  |   |                           |
|      | Other invested assets (Schedule BA)   | <u> </u>                                |                        | .                                       |  |   |                           |
|      | Receivables for securities  |   |                        |   |  |   |                           |
|      | Securities Lending (Schedule DL, Part 1)  |   |                        |   | XXX  | xxx                                     | xxx                       |
|      | Other invested assets (Page 2, Line 11)   |   |                        |   |  |   | l                         |
| 12.  | Total invested assets   | 8,190,783                               | 100.000                | 8,190,783                               | 1  | 8,190,783                               | 100.                      |

## SCHEDULE A - VERIFICATION BETWEEN YEARS

Real Estate

|     | ·  |
|-----|--|
| 1.  | Book/adjusted carrying value, December 31 of prior year  |
| 2   | Cost of acquired:  |
|     | 2.1 Actual cost at time of acquisition (Part 2, Column 6)  |
|     | 2.1 Actual cost at time of acquisition (Part 2, Column 6)  |
| 3.  | Current year change in encumbrances:   |
|     | 3.1 Totals, Part 1, Column 13  |
|     | 3.1 Totals, Part 3, Column 11  |
| 4.  |  |
| 5.  | Deduct amounts received on disposals, Part 3, Column 15  |
| 6.  | Total foreign exchange change in book/adjusted carrying value:   |
|     | 6.1 Totals, Part 1, Column 15.   |
|     | 6.2 Totals, Part 3, Column 13  |
| 7.  | Deduct current year's other-than-temporary impairment recognized:  |
|     | 7.1 Totals, Part 3, Column 12.   |
|     | 7.2 Totals, Part 3, Column 10  |
| 8.  | Deduct current year's depreciation:  |
|     | Deduct current year's depreciation.  1,417  8.1 Totals, Part 1, Column 11.  2,417  8.2 Totals, Part 3, Column 9.  45 968 |
|     | 8.2 Totals, Part 3, Column 9   |
| 9.  | Rock/adjusted carrying value at the end of current period (Lines 1+2+3+4-5+6-7-8)  |
| 10. | Particular and additional properties   |
| 11. | Dequic total nonatornitied armounds Statement value at end of current period (Line 9 minus Line 10). 45,268              |
|     |  |

See Independent Accountant's Compilation Report

## SCHEDULE B - VERIFICATION BETWEEN YEARS

Mortgage Loans

| 1.        | Book value/recorded investment excluding accrued interest, December 31 of prior year   |
|-----------|--|
| 2.        | Cost of acquired:  |
|           | 2.1 Actual cost at time of acquisition (Part 2, Column 7) 2.2 Additional investment made after acquisition (Part 2, Column 8)  |
|           | 2.2 Additional investment made after acquisition (Part 2, Column 8)  |
| 3.        | Capitalized deferred interest and other:   |
|           | 3.1 Totals, Part 1, Column 12  |
|           | 3.2 Totals, Part 3, Column 11  |
|           | Accrual of discount.   |
| 5.        | Unrealized valuation increase (decrease):  |
|           | 5.1 Totals, Part 1, Column 9   |
|           | 5.2 Totals, Part 3, Column 8   |
| 6.        | Unrealized valuation increase (decrease): 5.1 Totals, Part 1, Column 9 5.2 Totals, Part 3, Column 8 Total gain (loss) on disposals, Part 3, Column 18 Deduct amounts received on disposals, Part 3, Column 15  |
| 7.        | Deduct amounts received on disposals, Part 3, Column 15  |
| 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:  |
|           | 9.1 Totals, Part 1, Column 13  |
|           | 9.2 Totals, Part 3, Column 13  |
| 10.       | Deduct current year's other-than-temporary impairment recognized:  |
|           | 10.1 Totals, Part 3, Column 10   |
|           | 10.2 lotals, rat 5, Column 1.2 Source 1.2 So |
| 11.       | Book value/recorded investment excluding accrued interest at end of current period (Enes 1.2.0.4.0.0.0.0.0.0.0.0.0.0.0.0.0.0.0.0.0   |
|           | Total valuation allowance. Subtotal (ine 11 plus Line 12).   |
|           | Subtotal (Line 1) plus Line 1 (zine 1) plus Line 1  |
| 14.<br>15 | Deduct total nondermitted almost and of current period (Line 13 minus Line 14).  |
| ıo.       | Statement value of monthages owner at our or consist below femo to united and 141  |

## SCHEDULE BA - VERIFICATION BETWEEN YEARS

Other Long-Term Invested Assets

|     | The state of the s |
|-----|--|
|     | Book/adjusted carrying value, December 31 of prior year.   |
| 2.  | Cost of acquired:  |
|     | 2.1 Actual cost at time of acquisition (Part 2, Column 8)  |
|     | 2.2 Additional investment made after acquisition (Part 2, Column 9)  |
| 3.  | Capitalized deferred interest and other:   |
|     | 3.1 Totals, Part 1, Column 16  |
|     | 3.2 Totals, Part 3, Column 12  |
| 4.  | Accrual of discount.   |
| 5.  | Unrealized valuation increase (decrease):  |
|     | 5.1 Totals, Part 1, Column 13  |
|     | 5.2 Totals, Part 3, Column 9   |
| 6.  | Total gain (loss) on disposals, Part 3, Column 19  |
| 7.  | Deduct amounts received on disposals, Part 3, Column 16  |
| 8   | Deduct amortization of premium and depreciation.   |
| ă.  | Total foreign exchange change in book/adjusted carrying value:   |
| ٥.  | 9.1 Totals, Part 1, Column 17.   |
|     | 9.2 Totals, Part 3. Column 14.   |
| 10. | Deduct current year's other-than-temporary impairment recognized:  |
| 10. | 10.1 Totals, Part 1, Column 15   |
|     | 10.1 Totals, Part 3, Column 11   |
|     | 10.2 Totals, Part 5, Column 11.  Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5+8-7-8+8-10).   |
| 11. | BOOKBOJUSIEG CATIVING VAIUE AL EIG OF CULTETIN PERIOD (LINES 172757475707-707-707)   |
| 12. | Deduct total nonadmitted amounts.  |
| 13. | Statement value at end of current period (Line 11 minus Line 12)   |

#### SCHEDULE D - VERIFICATION BETWEEN YEARS

Bonds and Stocks

| 1.  | Book/adjusted carrying value, December 31 of prior year  | 6,827,071 |
|-----|--|-----------|
| 2.  |  | 755,207   |
| 3.  | Accrual of discount.   | 2,204     |
|     | Accident discontinuity and the control of the contr | ·         |
| ٠.  |  |           |
|     | 4.1 Part 1, Column 12  |           |
|     | 4.3 Part 2 Section 2 Column 13 3/2,380   |           |
|     |  | 376,618   |
| 5   | The state of the s | (1133)    |
| 6.  | Total gain (loss) on disposals, Par 4, Column 19.  Deduction consideration for bonds and stocks disposed of, Part 4, Column 7.  Deduct amortization of premium   | 554 , 504 |
| 7.  | Deduct amortization of premium.  | 11,081    |
| 8.  | Total foreign exchange change in book/adjusted carrying value:   |           |
|     | 8.1 Part 1, Column 15.   |           |
|     | 8.2 Part 2, Section 1, Column 19.  |           |
|     |  |           |
|     | 8.4 Part 4, Column 15  |           |
| 9.  | Deduct current year's other-than-temporary impairment recognized:  |           |
|     | 9.1 Part 1, Column 14  |           |
|     | 9.2 Part 2, Section 1, Column 17.  |           |
|     | O O O-4 O O-4 in O Onlyman 44  |           |
|     | 9.4 Part 4, Column 13  |           |
| 10. | Total investment income recognized as a result of prepayment penalties and/or acceleration fees. Note 50, Line (2)   |           |
| 11. |  |           |
| 12. | Daduct total panadmitted amounts   |           |
| 13. | Statement value at end of current period (Line 11 minus Line 12).  |           |

SCHEDULE D - SUMMARY BY COUNTRY

Long-Term Bonds and Stocks OWNED December 31 of Current Year

|  |     |                        | 1              | 2          | 3           | 4                  |
|--|-----|------------------------|----------------|------------|-------------|--------------------|
|  |     |                        | Book/Adjusted  |            |             | D-1/-1             |
| Description  |     |                        | Carrying Value | Fair Value | Actual Cost | Par Value of Bonds |
| BONDS  | 1.  | United States          |                |            |             |                    |
| Governments (including all obligations             | 2.  | Canada                 |                |            |             |                    |
| guaranteed by governments)                         | 3.  | Other Countries        |                |            |             |                    |
|  | 4.  | Totals                 |                |            |             |                    |
| U.S. States, Territories and Possessions           |     |                        |                |            |             |                    |
| (direct and guaranteed)                            | 5.  | Totals                 |                |            |             |                    |
| U.S. Political Subdivisions of States, Territories |     |                        |                |            |             |                    |
| and Possessions (direct and guaranteed)            | 6.  | Totals                 | 3,122,604      | 3,229,786  | 3,171,611   | 3,110,000          |
| U.S. Special Revenue and Special Assessment        | ,   |                        |                |            |             |                    |
| Obligations and all Non-Guaranteed                 |     |                        |                |            |             |                    |
| Obligations of Agencies and Authorities of         |     |                        |                |            |             |                    |
| Governments and their Political Subdivisions       | 7.  | Totals                 | 578,738        | 628,957    | 581,298     | 565,000            |
| Industrial and Miscellaneous, SVO Identified       | 8.  | United States          | 384,832        | 402,581    | 384,627     | 385,000            |
| Funds, Unaffiliated Bank Loans and Hybrid          | 9.  |                        |                |            |             |                    |
| Securities (unaffiliated)                          | 10. | Other Countries        |                |            |             |                    |
| Coolings (Silaminator)                             | 11. | Totals                 | 384,832        | 402,581    | 384,627     | 385,000            |
| Parent, Subsidiaries and Affiliates                | 12. | Totals                 |                |            |             |                    |
|  | 13. | Total Bonds            | 4,086,174      | 4,261,323  | 4,137,536   | 4,060,000          |
| PREFERRED STOCKS                                   | 14. |                        |                |            |             |                    |
| Industrial and Miscellaneous (unaffiliated)        | 15. | Canada                 |                | .,,        |             |                    |
| modelica dia impositatione (silatinate)            | 16. | Other Countries        |                |            |             | ļ                  |
|  | 17. | Totals                 |                |            |             |                    |
| Parent, Subsidiaries and Affiliates                | 18. | Totals                 |                |            |             |                    |
|  | 19. | Total Preferred Stocks |                |            |             | ]                  |
| COMMON STOCKS                                      | 20. | United States          | 3,309,229      | 3,309,229  | 2,489,255   | 1                  |
| Industrial and Miscellaneous (unaffiliated)        | 21. |                        |                |            |             |                    |
| industrial and misconaricods (disaminates)         | 22. |                        |                |            |             |                    |
|  | 23. | Totals                 | 3,309,229      | 3,309,229  | 2,489,255   | 1                  |
| Parent, Subsidiaries and Affiliates                | 24. | Totals                 |                |            |             | ]                  |
| 1 droiti, depoision and Anniated                   | 25. | Total Common Stocks    | 3,309,229      | 3,309,229  | 2,489,255   | 1                  |
|  | 26. | Total Stocks           | 3,309,229      | 3,309,229  | 2,489,255   | 1                  |
|  | 27. |                        | 7,395,403      | 7.570.552  | 6,626,792   | 1                  |

SCHEDULE D - PART 1A - SECTION 1

Quality and Maturity Distribution of All Bonds Owned December 31, at Book/Adjusted Carrying Values by Major Types of Issues and NAIC Designations

|                                | 1                    | 2<br>Over 1 Year Through | 3<br>Over 5 Years | 4<br>Over 10 Years | 5                                      | 6<br>No Maturity   | 7<br>Total   | 8<br>Col. 7 as a                       | Total from Col. 7                                | % From Col. 8 | Total Publicly                          | Total Privately Placed |
|--------------------------------|----------------------|--------------------------|-------------------|--------------------|--|--|--------------|--|--|---------------|---|------------------------|
| NAIC Designation               | 1 Year or Less       | 5 Years                  | Through 10 Years  | Through 20 Years   | Over 20 Years                          | Date   | Current Year | % of Line 11.7                         | Prior Year                                       | Prior Year    | Traded                                  | (a)                    |
| 1. U.S. Governments            | 1 1001 01 0000       |                          |                   |                    |  |  |              |  | l  |               |   |                        |
| 1.1 NAIC 1                     |                      |                          |                   |                    |  | XXX  |              |  | 38,573   | 0.8           |   |                        |
| 1.2 NAIC 2                     |                      |                          |                   |                    |  | XXX  |              |  |  |               |   |                        |
| 1.3 NAIC 3                     |                      |                          |                   |                    |  | XXX  | .,           |  |  |               |   |                        |
| 1.4 NAIC 4                     |                      |                          |                   |                    |  | XXX  |              |  |  |               |   |                        |
| 1.5 NAIC 5                     |                      |                          |                   |                    |  | XXX  |              |  |  |               |   |                        |
| 1.6 NAIC 6                     |                      |                          |                   |                    |  | XXX  |              |  |  |               |   | <del></del>            |
| 1.7 Totals                     |                      |                          |                   |                    |  | XXX  |              |  | 38,573   | 0.8           |   | <del> </del>           |
| 2. All Other Governments       |                      |                          |                   |                    |  |  | 1            |  | 1  |               |   | 1                      |
| 2.1 NAIC 1                     |                      |                          |                   |                    |  | XXX  |              |  |  | ····          |   |                        |
| 2.2 NAIC 2                     |                      |                          |                   |                    |  | XXX  |              |  |  |               |   |                        |
| 2.3 NAIC 3                     |                      |                          |                   |                    |  | XXX  |              |  |  |               |   |                        |
| 2.4 NAIC 4                     |                      | <b></b>                  |                   |                    |  | XXX  |              |  |  |               |   | ****                   |
| 2.5 NAIC 5                     |                      |                          |                   |                    |  | XXX  |              |  |  |               |   |                        |
| 2.6 NAIC 6                     |                      |                          |                   |                    |  | XXX  |              |  |  |               |   |                        |
| 2.7 Totals                     |                      |                          |                   |                    |  | XXX  |              |  | <del>                                     </del> |               |   |                        |
| 3. U.S. States, Territories an | d Possessions, etc., | Guaranteed               |                   |                    |  |  |              |  |  |               |   |                        |
| 3.1 NAIC 1                     |                      |                          |                   |                    |  | XXX  |              |  |  | <b></b>       |   |                        |
| 3.2 NAIC 2                     |                      |                          |                   |                    |  | XXX  |              |  |  |               |   |                        |
| 3.3 NAIC 3                     |                      |                          |                   |                    |  | XXX  |              |  | <del></del>                                      |               |   |                        |
| 3.4 NAIC 4                     |                      |                          |                   |                    | ······································ | XXX  |              |  |  |               |   |                        |
| 3.5 NAIC 5                     |                      |                          |                   |                    |  | XXX  |              |  | <del></del>                                      |               | ·····                                   |                        |
| 3.6 NAIC 6                     |                      | <u> </u>                 |                   |                    |  | XXX  |              |  |  |               |   |                        |
| 3.7 Totals                     |                      |                          |                   |                    |  | XXX  |              |  | <del> </del>                                     |               |   |                        |
| 4. U.S. Political Subdivisions |                      |                          |                   |                    |  |  |              | 1                                      | 0.040.040  | 62.8          |   | 3.022.486              |
| 4.1 NAIC 1                     | 328,365              | 1 ,487 ,705              | 538,071           | 496,123            | 172,223                                | XXX  | 3,022,486    | 64.6                                   | 2,940,840<br>50,826                              |               |   | 50,118                 |
| 4.2 NAIC 2                     | 50,118               |                          |                   |                    | ••••                                   | XXX  | 50,118       |  |  |               |   | 50.000                 |
| 4.3 NAIC 3                     | 50,000               |                          |                   |                    |  | XXX  | 50,000       | 1.1                                    |  | ļ1:1          |   |                        |
| 4.4 NAIC 4                     |                      |                          |                   |                    |  | XXX  |              |  |  |               | <b></b>                                 |                        |
| 4.5 NAIC 5                     |                      |                          |                   |                    |  | XXX  |              |  |  |               |   |                        |
| 4.6 NAIC 6                     |                      |                          |                   |                    |  | XXX  | 0.400.004    | 66.7                                   | 3.041.666  | 65.0          | <del> </del>                            | 3,122,604              |
| 4.7 Totals                     | 428,483              |                          |                   | 496,123            | 172,223                                | XXX  | 3,122,604    | 00.7                                   | 3,041,000  | 65.0          |   |                        |
| 5. U.S. Special Revenue & S    | Special Assessment C | Obligations, etc., Non-G | Guaranteed        |                    |  | NAME OF THE PERSON OF THE PERS | 570 720      | 12.4                                   | 579,399  | 12.4          |   | 578.738                |
| 5.1 NAIC 1                     |                      | 65,187                   |                   | 513,552            |  | XXX  | 578,738      | 12.4                                   |  | 12.4          |   |                        |
| 5.2 NAIC 2                     |                      |                          | <b></b>           | ļ                  |  | XXX  |              |  | -  |               | †····                                   |                        |
| 5.3 NAIC 3                     |                      |                          | <b></b>           |                    |  | XXX  |              | <del>}</del>                           | †  | <b>†</b>      | <u> </u>                                |                        |
| 5.4 NAIC 4                     |                      |                          | ļ                 |                    |  | XXX  |              | <b></b>                                | 1  | <b>†</b>      |   |                        |
| 5.5 NAIC 5                     |                      |                          |                   |                    |  | XXX  | +            | ······································ | <u> </u>   | <del></del>   | *************************************** |                        |
| 5.6 NAIC 6                     |                      |                          |                   |                    |  | XXX  | E70 700      | 12.4                                   | 579.399  | 12.4          |   | 578.73                 |
| 5.7 Totals                     | I                    | 65.187                   | 1                 | 513,552            | l                                      | XXX  | 578,738      | 12.4                                   | 219,399  | 12.4          | .L                                      | 370,70                 |

# SCHEDULE D - PART 1A - SECTION 1 (Continued) Quality and Maturity Distribution of All Bonds Owned December 31, at Book/Adjusted Carrying Values by Major Types of Issues and NAIC Designations

| NAIC Designation              | 1<br>1 Year or Less                     | 2<br>Over 1 Year Through<br>5 Years   | 3<br>Over 5 Years<br>Through 10 Years | 4<br>Over 10 Years<br>Through 20 Years | 5<br>Over 20 Years | 6<br>No Maturity<br>Date | 7<br>Total<br>Çurrent Year              | 8<br>Col. 7 as a<br>% of Line 11.7 | 9<br>Total from Col. 7<br>Prior Year | 10<br>% From Col. 8<br>Prior Year | 11<br>Total Publicly<br>Traded | 12<br>Total Privately Place<br>(a) |
|-------------------------------|---|---------------------------------------|---------------------------------------|--|--------------------|--------------------------|---|------------------------------------|--------------------------------------|-----------------------------------|--------------------------------|------------------------------------|
| 6. Industrial and Miscellaneo |   | 0.10010                               | 11110ag 10 10a.a                      |  |                    |                          |   |                                    |                                      | 04.4                              | 200 000                        | 591,976                            |
| 6.1 NAIC 1                    | 150.000                                 | 200,000                               |                                       |  | 591,976            | XXX                      | 941,976                                 | 20.1                               | 986,682                              | 21.1                              | 350,000                        |                                    |
| 6.2 NAIC 2                    |   |                                       |                                       | 34,832                                 |                    | XXX                      | 34,832                                  | 0.7                                | 34,822                               | 0.7                               | 34,832                         |                                    |
| 6.3 NAIC 3                    | *************************************** |                                       |                                       |  |                    | XXX                      |   | ,                                  | ļ                                    |                                   |                                |                                    |
| 6.4 NAIC 4                    |   |                                       |                                       |  |                    | XXX                      |   |                                    |                                      |                                   |                                |                                    |
| 6.5 NAIC 5                    |   |                                       |                                       |  |                    | XXX                      |   |                                    |                                      |                                   |                                | <del> </del>                       |
| 6.6 NAIC 6                    |   |                                       |                                       |  |                    | XXX                      |   |                                    |                                      |                                   | 204 022                        | 591,976                            |
| 6.7 Totals                    | 150.000                                 | 200.000                               |                                       | 34,832                                 | 591,976            | XXX                      | 976,807                                 | 20.9                               | 1,021,504                            | 21.8                              | 384,832                        | 391,970                            |
| 7. Hybrid Securities          |   |                                       |                                       |  |                    |                          |   |                                    |                                      |                                   |                                |                                    |
|                               |   |                                       |                                       |  |                    | ХХХ                      |   |                                    |                                      |                                   |                                |                                    |
|                               |   |                                       |                                       |  |                    | XXX                      |   |                                    | <b></b>                              |                                   |                                | ·                                  |
| 7.3 NAIC 3                    |   |                                       |                                       |  |                    | XXX                      |   |                                    | <b></b>                              |                                   |                                |                                    |
| 7.4 NAIC 4                    |   |                                       |                                       |  |                    | XXX                      | ,,                                      |                                    |                                      |                                   |                                |                                    |
| 7.5 NAIC 5                    |   |                                       |                                       |  |                    | XXX                      |   |                                    |                                      |                                   |                                |                                    |
| 7.6 NAIC 6                    |   |                                       |                                       |  |                    | XXX                      |   |                                    | ļ                                    |                                   |                                | <u> </u>                           |
| 7.7 Totals                    |   | · · · · · · · · · · · · · · · · · · · |                                       |  |                    | XXX                      |   |                                    |                                      |                                   |                                |                                    |
| 8. Parent, Subsidiaries an    | d Affiliates                            |                                       |                                       |  |                    |                          |   |                                    |                                      |                                   |                                |                                    |
| 8.1 NAIC 1                    |   |                                       |                                       |  |                    | XXX                      |   |                                    |                                      |                                   |                                |                                    |
| 8.2 NAIC 2                    |   |                                       |                                       |  |                    | XXX                      |   |                                    | <b></b>                              |                                   |                                |                                    |
| 8.3 NAIC 3                    |   |                                       |                                       |  |                    | XXX                      |   |                                    |                                      |                                   |                                |                                    |
| 8.4 NAIC 4                    |   |                                       |                                       |  |                    | XXX                      |   |                                    |                                      |                                   | <del> </del>                   |                                    |
| 8.5 NAIC 5                    |   |                                       |                                       |  |                    | XXX                      |   |                                    |                                      |                                   |                                |                                    |
| 8.6 NAIC 6                    |   |                                       |                                       |  |                    | XXX                      |   |                                    |                                      |                                   |                                |                                    |
| 8.7 Totals                    |   |                                       |                                       |  |                    | XXX                      |   |                                    |                                      |                                   |                                |                                    |
| 9. SVO Identified Funds       |   |                                       |                                       |  |                    |                          |   | ]                                  |                                      |                                   | 1                              |                                    |
| 9.1 NAIC 1                    | XXX                                     | XXX                                   | XXX                                   | XXX                                    | XXX                |                          |   |                                    | <u></u>                              |                                   |                                |                                    |
| 9.2 NAIC 2                    | XXX                                     | XXX                                   | XXX                                   | ххх                                    | XXX                |                          |   | ļ                                  |                                      |                                   | <del> </del>                   |                                    |
| 9.3 NAIC 3                    | XXX                                     | XXX                                   | XXX                                   | ХХХ                                    | XXX                | ****                     |   |                                    |                                      |                                   |                                |                                    |
| 9.4 NAIC 4                    | XXX                                     | ХХХ                                   | ХХХ                                   | ХХХ                                    | XXX                |                          |   |                                    |                                      |                                   | ••                             |                                    |
| 9.5 NAIC 5                    | XXX                                     | XXX                                   | XXX                                   | XXX                                    | XXX                |                          | *************************************** |                                    |                                      |                                   |                                |                                    |
| 9.6 NAIC 6                    | XXX                                     | XXX                                   | XXX                                   | XXX                                    | XXX                |                          |   |                                    |                                      |                                   |                                | <del> </del>                       |
| 9.7 Totals                    | XXX                                     | XXX                                   | XXX                                   | XXX                                    | XXX                |                          |   |                                    |                                      |                                   | ļ. ———                         | <del></del>                        |
| 10. Unaffiliated Bank Loans   |   |                                       |                                       |  |                    |                          |   | ]                                  |                                      |                                   |                                |                                    |
| 10.1 NAIC 1                   |   |                                       |                                       | ,,                                     |                    | XXX                      |   |                                    |                                      |                                   | ·                              |                                    |
| 10.2 NAIC 2                   |   |                                       |                                       | <u> </u>                               |                    | XXX                      |   | ļ                                  |                                      | ļ                                 |                                |                                    |
| 10.3 NAIC 3                   |   |                                       |                                       |  |                    | XXX                      |   | ļ                                  |                                      | ļ                                 |                                |                                    |
| 10.4 NAIC 4                   |   |                                       |                                       |  |                    | XXX                      |   |                                    |                                      | <b></b>                           |                                |                                    |
| 10.5 NAIC 5                   | ······                                  |                                       |                                       |  |                    | XXX                      | ļ                                       |                                    |                                      | <b>_</b>                          | <u> </u>                       |                                    |
| 10.6 NAIC 6                   |   | 1                                     |                                       |  |                    | XXX                      |   |                                    |                                      |                                   |                                |                                    |
| 10.0 NAIC 6                   |   |                                       | <del> </del>                          |  |                    | XXX                      |   |                                    |                                      |                                   | 1                              | I                                  |

#### **SCHEDULE D - PART 1A - SECTION 1 (Continued)**

|                                 |                        | Quality and         | Maturity Distribution of | of All Bonds Owned De |               | fjusted Carrying Value                  | es by Major Types of Is | sues and NAIC Design          | ations 9          | 10            | 11                                      | 12                                      |
|---------------------------------|------------------------|---------------------|--------------------------|-----------------------|---------------|---|-------------------------|-------------------------------|-------------------|---------------|---|---|
|                                 | 1                      | 2                   | 3                        | 4                     | 5             | 6                                       | 7                       | 6-17                          | Total from Col. 7 | % From Col. 8 | Total Publicly                          | Total Privately Placed                  |
|                                 |                        | Over 1 Year Through |                          | Over 10 Years         |               | No Maturity                             | Total                   | Col. 7 as a<br>% of Line 11.7 | Prior Year        | Prior Year    | Traded                                  | (a)                                     |
| NAIC Designation                | 1 Year or Less         | 5 Years             | Through 10 Years         | Through 20 Years      | Over 20 Years | Date                                    | Current Year            | % of Line 11.7                | Prior Year        | FIOI Year     | 110000                                  |   |
| 11. Total Bonds Current Year    |                        |                     |                          |                       | 704 400       |   | 4,543,200               | 97.1                          | XXX               | xxx           | 350,000                                 | 4,193,200                               |
| 11.1 NAIC 1                     | <sup>(d)</sup> 478,365 | 1,752,891           | 538,071                  | 1,009,674             | 764,198       |   |                         | 1.8                           | XXX               | XXX           | 34.832                                  | 50,118                                  |
| 11.2 NAIC 2                     | (d)50,118              |                     |                          | 34,832                |               |   | 84,950                  | 1.0                           | XXX               | XXX           |   | 50,000                                  |
| 11.3 NAIC 3                     | (d)(50,000             |                     |                          |                       |               |   | 50,000                  | I.I                           | XXX               | xxx           |   |   |
| 11.4 NAIC 4                     | (d)                    |                     |                          |                       |               |   | (c)                     | ••••••                        | XXX               | xxx           |   | *************************************** |
| 11.5 NAIC 5                     | (d)                    |                     |                          |                       |               |   |                         |                               | XXX               | xxx           |   |   |
| 11.6 NAIC 6                     | (d)                    |                     |                          |                       |               |   | (0)                     | 400.0                         |                   | xxx           | 384.832                                 | 4,293,318                               |
| 11.7 Totals                     | 578,483                |                     | 538,071                  | 1,044,506             |               |   | (b)4,678,150            | 100.0                         | XXX               | XXX           | 8.2                                     | 91.8                                    |
| 11.8 Line 11.7 as a % of Col. 7 | 12.4                   | 37.5                | 11.5                     | 22.3                  | 16.3          |   | 100.0                   | XXX                           | AXX               |               | 0.2                                     | 31.0                                    |
| 12. Total Bonds Prior Year      |                        |                     |                          |                       |               |   |                         |                               |                   |               | .500,000                                | 4,045,494                               |
| 12.1 NAIC 1                     | 324,264                | 1,975,321           | 693,992                  | 843,101               | 708,815       |   | XXX                     | XXX                           | 4,545,494         | 97.1          | 34.822                                  | 50,826                                  |
| 12.2 NAIC 2                     |                        | 50,826              |                          | 34,822                |               |   | XXX                     | XXX                           | 85,649            | ].8           |   | 50,020                                  |
| 12.3 NAIC 3                     |                        | 50,000              |                          |                       |               |   | XXX                     | XXX                           | 50,000            | ļ1.1          |   |   |
| 12.4 NAIC 4                     |                        |                     |                          |                       |               | ,                                       | XXX                     | XXX                           | 4-2               |               | *************************************** |   |
| 12.5 NAIC 5                     |                        |                     |                          | ļ                     |               |   | XXX                     | XXX                           | (c)               |               |   |   |
| 12.6 NAIC 6                     |                        |                     |                          |                       |               |   | XXX                     | XXX                           | (c)               | 400.0         | 534,822                                 | 4.146.320                               |
| 12.7 Totals                     | 324.264                | 2,076,147           | 693,992                  | 877,924               | 708,815       |   | XXX                     | XXX                           | (b)4,681,143      | 100.0         | 534,622<br>11.4                         | 88.6                                    |
| 12.8 Line 12.7 as a % of Col. 9 | 6.9                    | 44.4.               | 14.8                     | 18.8                  | 15.1          |   | XXX                     | XXX                           | 100.0             | XXX           | 11,4                                    | 00.0                                    |
| 13. Total Publicly Traded Bonds |                        |                     |                          |                       |               |   |                         | 1                             |                   |               | 252 202                                 |   |
| 13.1 NAIC 1                     | 150,000                | 200,000             |                          |                       |               | .,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, |                         | 7.5                           | 500,000           | 10.7          | 350,000                                 | XXX                                     |
| 13.2 NAIC 2                     |                        |                     |                          | 34.832                |               |   |                         | 0.7                           | 34,822            | 0.7           | 34,832                                  | XXX                                     |
| 13.3 NAIC 3                     |                        |                     |                          |                       |               |   |                         |                               |                   |               |   |   |
| 13.4 NAIC 4                     |                        |                     |                          |                       |               |   |                         |                               |                   |               |   | XXX                                     |
| 13.5 NAIC 5                     |                        |                     |                          |                       |               |   |                         |                               | <b></b>           |               |   | XXX                                     |
| 13.6 NAIC 6                     |                        |                     |                          |                       |               |   |                         |                               |                   |               | 004,000                                 |   |
| 13.7 Totals                     | 150,000                | 200,000             |                          | 34,832                |               |   | 384,832                 | 8.2                           | 534,822           | 11.4          | 384,832                                 | XXX                                     |
| 13.8 Line 13.7 as a % of Col. 7 | 39.0                   |                     |                          | 9.1                   |               |   | 100.0                   | XXX                           | XXX               | XXX           | 100.0                                   | J                                       |
| 13.9 Line 13.7 as a % of Line   |                        |                     |                          |                       |               |   |                         |                               |                   | VVV           | 8.2                                     | XXX                                     |
| 11.7, Col. 7, Section 11        | 3.2                    | 4.3                 |                          | 0.7                   |               |   | 8.2                     | XXX                           | XXX               | XXX           | 8.2                                     | ^^^                                     |
| 14. Total Privately Placed      | ***                    | 1                   |                          |                       |               |   |                         |                               | 1                 |               |   |   |
| Bonds                           |                        | i                   |                          | 1                     |               |   |                         | 1                             | 1 245 404         | 00.4          | vvv                                     | 4,193,200                               |
| 14.1 NAIC 1                     | 328,365                | 1,552,891           | 538,071                  | 1,009,674             | 764,198       |   | 4,193,200               | 89.6                          | 4,045,494         | 86.4          | XXX                                     | 50,118                                  |
| 14.2 NAIC 2                     | 50,118                 |                     | <u> </u>                 | ļ                     |               |   | 50,118                  | ļ1·1                          | 50,826            | 1:1           | XXX                                     | 50,000                                  |
| 14.3 NAIC 3                     | 50,000                 |                     | <u> </u>                 | ļ                     |               |   | 50,000                  | <u> </u>                      | 50,000            | 1.1           | XXX                                     |   |
| 14.4 NAIC 4                     |                        |                     | <u> </u>                 | ļ                     |               |   |                         | ļ                             | ļ                 | <del> </del>  | XXX                                     | †                                       |
| 14.5 NAIC 5                     |                        |                     | ļ                        |                       |               | ļ                                       |                         |                               | <b></b>           | <del> </del>  | XXX                                     | †                                       |
| 14.6 NAIC 6                     |                        |                     |                          |                       |               |   |                         | L                             | 1 110 000         | 1 00.0        | XXX                                     | 4,293,318                               |
| 14.7 Totals                     | 428,483                | 1,552,891           | 538,071                  | 1,009,674             | 764,198       |   | 4,293,318               | 91.8                          | 4,146,320         | 88.6          | XXX                                     | 4,293,318                               |
| 14.8 Line 14.7 as a % of Col. 7 | 10.0                   |                     |                          | 23.5                  | 17.8          |   | 100.0                   | XXX                           | XXX               | XXX           | J                                       | 100.0                                   |
| 14.9 Line 14.7 as a % of Line   | 1                      |                     |                          |                       | 1             | 1                                       | 1                       |                               | 1                 | VVV           | VVV                                     | 91.8                                    |
| 11.7 Col 7 Section 11           | 9.2                    | 33.2                | 11.5                     | 21.6                  | 16.3          | ŀ                                       | 91.8                    | XXX                           | XXX               | XXX           | XXX                                     | 91.8                                    |

... freely tradable under SEC Rule 144 or qualified for resale under SEC Rule 144A. (a) Includes \$

(d) Includes the following amount of short-term and cash equivalent bonds by NAIC designation: NAIC 1\$ \_\_\_\_\_\_591,976; NAIC 2\$ \_\_\_\_\_

(b) Includes \$

(c) includes \$

### **SCHEDULE D - PART 1A - SECTION 2**

|  |                              |                  | A All Doordo Comed                               | December 21 At P                        | nak/Adjusted Carry | ing Velues by Main | Type and Subtype | of issues       |                        |                                       |   |                       |
|--|------------------------------|------------------|--|---|--------------------|--------------------|------------------|-----------------|------------------------|---------------------------------------|---|-----------------------|
| Distribution by Type   | 1 Ma                         | 2<br>Over 1 Year | 3<br>Over 5 Years                                | 4<br>Over 10 Years                      | 5                  | 6<br>No Maturity   | Total            | Col. 7 as a     | 9<br>Total from Col. 7 | 10<br>% From Col. 8                   | 11<br>Total Publicly                    | 12<br>Total Privately |
|  | 1 Year or Less               | Through 5 Years  | Through 10 Years                                 | Through 20 Years                        | Over 20 Years      | Date               | Current Year     | % of Line 11.08 | Prior Year             | Prior Year                            | Traded                                  | Placed                |
| 1, U.S. Governments  |                              |                  |  |   |                    | XXX                |                  |                 | 38.573                 | 0.8                                   |   |                       |
| 1.01 Issuer Obligations  |                              |                  |  | *************************************** |                    | XXX                |                  |                 |                        |                                       |   |                       |
| 1.02 Residential Mortgage-Backed Securities  |                              |                  |  |   |                    | XXX                |                  |                 |                        |                                       |   |                       |
| 1.03 Commercial Mortgage-Backed Securities   |                              |                  |  |   |                    | XXX                |                  |                 |                        | 1                                     |   |                       |
| 1.04 Other Loan-Backed and Structured Securities   |                              |                  |  |   |                    | XXX                |                  |                 | 38,573                 | 0.8                                   |   |                       |
| 1.05 Totals  |                              | ·                |  |   |                    |                    |                  |                 |                        |                                       |   |                       |
| All Other Governments     2.01 Issuer Obligations  |                              |                  |  |   |                    | XXX                | ļ                | ļ               |                        | ····                                  |   |                       |
| 2.02 Residential Mortgage-Backed Securities  |                              |                  |  |   |                    | XXX                |                  |                 |                        |                                       | *************************************** |                       |
| 2.03 Commercial Mortgage-Backed Securities   |                              | <b></b>          |  |   |                    | XXX                |                  |                 |                        |                                       |   |                       |
| 2.04 Other Loan-Backed and Structured Securities   |                              |                  |  |   |                    | XXX                |                  |                 |                        |                                       |   |                       |
| 2.05 Totals  |                              |                  |  |   |                    | XXX                |                  |                 |                        |                                       |   |                       |
| U.S. States, Territories and Possessions, Guaranteed     3.01 Issuer Obligations           |                              |                  |  |   |                    | xxx                |                  |                 |                        |                                       |   |                       |
| 3.02 Residential Mortgage-Backed Securities  |                              |                  |  |   |                    | XXX                |                  |                 |                        | ·                                     |   |                       |
| 3.03 Commercial Mortgage-Backed Securities   |                              |                  |  |   |                    | XXX                |                  |                 |                        |                                       |   |                       |
| 3.04 Other Loan-Backed and Structured Securities   |                              |                  |  |   |                    | XXX                |                  |                 |                        |                                       |   |                       |
| 0.05 T-4-1-  |                              |                  |  |   |                    | XXX                |                  |                 |                        |                                       |   |                       |
| U.S. Political Subdivisions of States, Territories and Possess     4.01 Issuer Obligations | ions, Guaranteed<br>428, 483 | 1,487,705        | 538,071  | 496,123                                 | 172,223            | xxx                | 3,122,604        | 66.7            | 3,041,666              | 65.0                                  |   | 3,122,604             |
| 4.02 Residential Mortgage-Backed Securities  |                              |                  |  |   |                    | XXX                |                  |                 |                        | ļ                                     |   |                       |
| 4.03 Commercial Mortgage-Backed Securities   |                              |                  |  |   |                    | XXX                |                  |                 |                        |                                       |   |                       |
| 4.04 Other Loan-Backed and Structured Securities   |                              |                  |  |   |                    | XXX                |                  | 66.7            | 3,041,666              | 65.0                                  |   | 3,122,604             |
| 4.05 Totals  | 428,483                      | 1,487,705        | 538,071  | 496,123                                 | 172,223            | XXX                | 3,122,604        | 00.7            | 3,041,000              | 00.0                                  |   | 0,122,00              |
| U.S. Special Revenue & Special Assessment Obligations, etc.     5.01 Issuer Obligations    | Non-Guaranteed               | 65,187           |  | 513,552                                 |                    | XXX                | 578,738          | 12.4            | 579,399                | 12.4                                  |   | 578,738               |
| 5.02 Residential Mortgage-Backed Securities  |                              |                  |  |   |                    | XXX                |                  |                 |                        | · · · · · · · · · · · · · · · · · · · |   |                       |
| 5.03 Commercial Mortgage-Backed Securities   |                              |                  |  |   |                    | XXX                | +                | ·}              |                        |                                       |   |                       |
| 5.04 Other Loan-Backed and Structured Securities   |                              |                  |  |   |                    | XXX                | 578,738          | 12.4            | 579,399                | 12.4                                  |   | 578.738               |
| 5.05 Totals  |                              | 65,187           |  | 513,552                                 |                    | XXX                | 3/0,/30          | - 12.7          | 373,000                | 1                                     |   | 1                     |
| 6. Industrial and Miscellaneous<br>6.01 Issuer Obligations                                 | 150,000                      | 200,000          |  | 34,832                                  | 591,976            | xxx                | 976,807          | 20.9            | 1,021,504              | 21.8                                  | 384,832                                 | 591,976               |
| 6.02 Residential Mortgage-Backed Securities  |                              | <u> </u>         | <b></b>  |   |                    | XXX                |                  |                 |                        |                                       |   |                       |
| 6.03 Commercial Mortgage-Backed Securities   |                              |                  |  |   |                    | XXX                |                  |                 |                        | 1                                     |   |                       |
| 6.04 Other Loan-Backed and Structured Securities   |                              |                  |  | 0.1 000                                 | F04 070            |                    | 976.807          | 20.9            | 1,021,504              | 21.8                                  | 384,832                                 | 591,976               |
| 6.05 Totals  | 150,000                      | 200,000          |  | 34,832                                  | 591,976            |                    | 910,001          | 20.5            | 1,021,001              | +                                     | 557,555                                 |                       |
| 7. Hybrid Securities   |                              |                  | 1  |   | !                  | xxx                | 1                | 1               |                        | ļ                                     |   |                       |
| 7.01 Issuer Obligations  |                              |                  |  |   |                    | XXX                | 1                |                 | I                      |                                       |   |                       |
| 7.02 Residential Mortgage-Backed Securities  |                              |                  |  | ·                                       |                    | XXX                | 1                | [               |                        |                                       |   |                       |
| 7.03 Commercial Mortgage-Backed Securities   |                              | -                | 1  |   |                    | XXX                | 1                | 1               |                        |                                       |   |                       |
| 7.04 Other Loan-Backed and Structured Securities 7.05 Totals                               |                              | <del> </del>     | <del>                                     </del> | ·                                       |                    | XXX                |                  |                 |                        |                                       | L                                       | ļ                     |
| 8. Parent. Subsidiaries and Affiliates   |                              | 1                | 1  |   |                    | WWW                | 1                | 1               |                        | 1                                     |   | 1                     |
| 8.01 Issuer Obligations  |                              |                  |  | ļ                                       |                    | XXX                |                  | +               |                        | ·· ····                               |   |                       |
| 8.02 Residential Mortgage-Backed Securities  |                              |                  |  |   |                    | XXX                |                  |                 |                        |                                       | <b></b>                                 |                       |
| 8.03 Commercial Mortgage-Backed Securities   |                              |                  |  |   | ļ                  | XXX                |                  |                 |                        |                                       |   |                       |
| 8.04 Other Loan-Backed and Structured Securities   |                              |                  |  |   |                    | XXX                |                  | -               |                        | 1                                     |   |                       |
| 8.05 Affiliated Bank Loans - Issued  |                              |                  |  | ·}                                      | -                  | XXX                |                  | ·               | 1                      |                                       |   |                       |
| 8.06 Affiliated Bank Loans - Acquired  |                              |                  | <u> </u>   |   |                    | T XXX              |                  | 1               | <del> </del>           | <del></del>                           |   | 1                     |
| 8.07 Totals  |                              |                  | <u> </u>   |   | <u> </u>           | 1 444              |                  |                 |                        |                                       |   |                       |

**SCHEDULE D - PART 1A - SECTION 2 (Continued)** 

|   |  | Maturity Distribution | of All Bonds Owne                       | d December 31, at E                     | look/Adjusted Carry                    | ing Values by Majo       | r Type and Subtype | of issues                           |                                      | 1 1                               |   | 12                     |
|---|--|-----------------------|---|---|--|--------------------------|--------------------|-------------------------------------|--------------------------------------|-----------------------------------|---|------------------------|
|   | 1                                      | 2<br>Over 1 Year      | 3<br>Over 5 Years                       | 4<br>Over 10 Years<br>Through 20 Years  | 5<br>Over 20 Years                     | 6<br>No Maturity<br>Date | Total              | 8<br>Col. 7 as a<br>% of Line 11.08 | 9<br>Total from Col. 7<br>Prior Year | 10<br>% From Col. 8<br>Prior Year | 11<br>Total Publicly<br>Traded          | Total Privately Placed |
| Distribution by Type                                      | 1 Year or Less                         | Through 5 Years       | Through 10 Years                        | Inrough 20 Years                        | Over 20 Tears                          | Date                     | Content roa        | 70 O. Land 11100                    |                                      |                                   |   |                        |
| ). SVO Identified Funds                                   |  | NAMA.                 | XXX                                     | XXX.                                    | XXX                                    |                          | 1                  |                                     |                                      |                                   |   |                        |
| 9.01 Exchange Traded Funds Identified by the SVO          | XXX                                    | XXX                   | ^^^                                     |   |  |                          |                    |                                     |                                      |                                   |   |                        |
| ). Unaffiliated Bank Loans                                |  |                       |   |   |  | XXX                      |                    |                                     |                                      |                                   |   |                        |
| 10.01 Bank Loans - Issued                                 |  |                       |   |   |  | XXX                      |                    |                                     |                                      |                                   |   |                        |
| 10.02 Bank Loans - Acquired                               |  |                       |   |   |  | XXX                      |                    |                                     |                                      | 1                                 |   |                        |
| 10.03 Totals  |  |                       | ·                                       |   |  |                          |                    |                                     |                                      |                                   |   | 4,293,31               |
| 1. Total Bonds Current Year                               | 578,483                                | 1,752,891             | 538.071                                 | 1.044.506                               | 764,198                                | XXX                      | 4,678,150          | 100.0                               | XXX                                  | XXX                               | 384 ,832                                | 4,293,31               |
| 11.01 Issuer Obligations                                  |  | 1,732,031             |   | 1,044,000                               |  | XXX                      | <u> </u>           |                                     | XXX                                  | XXX                               |   |                        |
| 11.02 Residential Mortgage-Backed Securities              | ······································ |                       |   |   |  | XXX                      |                    |                                     | XXX                                  | XXX                               |   |                        |
| 11.03 Commercial Mortgage-Backed Securities               |  |                       |   |   |  | XXX                      | <u> </u>           |                                     | XXX                                  | XXX                               |   |                        |
| 11.04 Other Loan-Backed and Structured Securities         | XXX                                    | YYX                   | XXX                                     | XXX                                     | XXX                                    |                          |                    |                                     | XXX                                  | XXX                               |   |                        |
| 11.05 SVO Identified Funds                                | ·                                      |                       |   |   |  | XXX                      | <u> </u>           |                                     | XXX                                  | XXX                               |   |                        |
| 11.06 Affiliated Bank Loans                               |  |                       | *************************************** |   |  | XXX                      |                    |                                     | XXX                                  | XXX                               |   |                        |
| 11.07 Unaffiliated Bank Loans                             | 578,483                                | 1,752,891             | 538,071                                 | 1,044,506                               | 764, 198                               |                          | 4.678,150          | 100.0                               | XXX                                  | XXX                               |   | 4,293,3                |
| 11.08 Totals  |  | 37.5                  |   | 22.3                                    | 16.3                                   |                          | 100.0              | XXX                                 | XXX                                  | XXX                               | 8.2                                     | 91                     |
| 11.09 Lines 11.08 as a % Col. 7                           | 12.4                                   | 31.3                  | 11.0                                    | 22.0                                    |  |                          | 1                  |                                     |                                      |                                   |   |                        |
| 2. Total Bonds Prior Year                                 | 904.004                                | 2.076,147             | 693.992                                 | 877,924                                 | 708,815                                | XXX                      | XXX                | XXX                                 | 4,681,143                            | 100.0                             | 534,822                                 | 4 , 146 , 33           |
| 12.01 Issuer Obligations                                  | 324,264                                | 2,0/0, 14/            | 993,332                                 |   |  | XXX                      | XXX                | XXX                                 |                                      |                                   |   |                        |
| 12.02 Residential Mortgage-Backed Securities              |  |                       | <b>†</b>                                |   |  | XXX                      | xxx                | XXX                                 |                                      |                                   |   |                        |
| 12.03 Commercial Mortgage-Backed Securities               |  |                       | <del> </del>                            | <b>†</b>                                |  | XXX                      | XXX                | XXX                                 |                                      |                                   |   |                        |
| 12.04 Other Loan-Backed and Structured Securities         |  | XXX                   | XXX                                     | XXX                                     | XXX                                    |                          | ххх                | xxx                                 |                                      |                                   |   |                        |
| 12.05 SVO Identified Funds                                | XXX                                    | ł                     | - <del> </del>                          | ·                                       | ······································ | XXX                      | XXX                | XXX                                 |                                      |                                   |   |                        |
| 12.06 Affiliated Bank Loans                               |  | <b></b>               | <b>†</b>                                | t                                       |  | XXX                      | XXX                | XXX                                 |                                      | l                                 |   |                        |
| 12.07 Unaffiliated Bank Loans                             |  |                       | 693,992                                 | 877.924                                 | 708,815                                |                          | XXX                | XXX                                 | 4.681.143                            | 100.0                             | 534,822                                 | 4,146,3                |
| 12.08 Totals  | 324,264                                | 2,076,147             |   | 18.8                                    | 15.1                                   |                          | XXX                | XXX                                 | 100.0                                | XXX                               | 11.4                                    | 88                     |
| 12.09 Line 12.08 as a % of Col. 9                         | 6.9                                    | 44.4                  | 14.8                                    | 10.0                                    | 13.1                                   |                          | - Ann              | 7                                   |                                      |                                   |   |                        |
| 13. Total Publicly Traded Bonds                           |  | 200,000               | l                                       | 34.832                                  |  | XXX                      | 384.832            | 8.2                                 | 534,822                              | 11.4                              | 384,832                                 | XXX                    |
| 13.01 Issuer Obligations                                  | 150,000                                | 200,000               |   |   |  | XXX                      |                    |                                     |                                      |                                   |   | XXX                    |
| 13.02 Residential Mortgage-Backed Securities              |  |                       | ·                                       |   |  | XXX                      |                    |                                     | I                                    |                                   |   | XXX                    |
| 13.03 Commercial Mortgage-Backed Securities               |  | <b></b>               | ÷                                       | *************************************** |  | XXX                      |                    |                                     | I                                    |                                   | *************************************** | XXX                    |
| 13.04 Other Loan-Backed and Structured Securities         |  |                       | XXX                                     | XXX                                     | XXX                                    |                          | 1                  |                                     |                                      |                                   |   | XXX                    |
| 13.05 SVO Identified Funds                                | XXX                                    | xxx                   | XXX                                     | ·                                       |  | XXX                      |                    |                                     |                                      |                                   |   | XXX                    |
| 13.06 Affiliated Bank Loans                               | .                                      | <b></b>               |   | <del></del>                             |  | XXX                      |                    | 1                                   |                                      |                                   |   | XXX                    |
| 13.07 Unaffiliated Bank Loans                             |  |                       |   | 24 922                                  | <del></del>                            | - 400                    | 384,832            | 8.2                                 | 534.822                              | 211.4                             | 384,832                                 |                        |
| 13.08 Totals  | 150,000                                | 200,000               |   | 34,832                                  |  | ····                     | 100.0              |                                     | XXX                                  | XXX                               | 100.0                                   |                        |
| 13.09 Line 13.08 as a % of Col. 7                         |  |                       |   | 9.1                                     |  |                          | 8,2                |                                     | XXX                                  | XXX                               | 8.2                                     | XXX                    |
| 13.10 Line 13.08 as a % of Line 11.08, Col. 7, Section 11 | 3.2                                    | 4.3                   | <del></del>                             | 0.7                                     | ļ                                      |                          | 1                  | - Ann                               |                                      |                                   |   |                        |
| 14. Total Privately Placed Bonds                          |  |                       |   | 1,009,674                               | 764,198                                | XXX                      | 4.293.318          | 91.8                                | 4.146.320                            | 88.6                              | xxx                                     | 4,293,3                |
| 14.01 Issuer Obligations                                  | 428,483                                | 1,552,891             | 538,071                                 | 1,009,674                               |  | XXX                      | 1                  |                                     | .,                                   |                                   | ХХХ                                     |                        |
| 14.02 Residential Mortgage-Backed Securities              |  | <b></b>               |   | +                                       | †····                                  | XXX                      | ··†                | 1                                   | 1                                    | T                                 | XXX                                     |                        |
| 14.03 Commercial Mortgage-Backed Securities               |  | <b></b>               |   |   | t                                      | XXX                      | 1                  | 1                                   | 1                                    |                                   | XXX                                     | ļ                      |
| 14.04 Other Loan-Backed and Structured Securities         |  |                       |   | XXX                                     | XXX                                    | ············             | 1                  | 1                                   | I                                    |                                   | XXX                                     | ļ                      |
| 14.05 SVO Identified Funds                                | XXX                                    | xxx                   | xxx                                     | · <del>}</del>                          | ··············                         | XXX                      |                    | 1                                   |                                      |                                   | xxx                                     | 1                      |
| 14.06 Affiliated Bank Loans                               |  |                       |   | +                                       |  | XXX                      |                    | 1                                   | T                                    |                                   | XXX                                     |                        |
| 14.07 Unaffiliated Bank Loans                             |  |                       |   | 4 000 074                               | 764.198                                |                          | 4,293,318          | 91.8                                | 4,146,32                             | 0 88.6                            | XXX                                     | 4,293,                 |
| 14.08 Totals  |  | 1,552,891             | 538,071                                 | 1,009,674                               |  | }                        | 100.0              |                                     | XXX                                  | XXX                               | ХХХ                                     | 10                     |
| 14.09 Line 14.08 as a % of Col. 7                         | 10.0                                   |                       |   |   |  |                          | 91.8               |                                     | XXX                                  | XXX                               | XXX                                     | . 9                    |
| 14.10 Line 14.08 as a % of Line 11.08, Col. 7, Section 11 | 9.2                                    | 33.2                  | 11.5                                    | 21.6                                    | 10.3                                   |                          | 31.0               | 1                                   | <del></del>                          |                                   |   |                        |

14.10 Line 14.08 as a % of Cio. 7

14.10 Line 14.08 as a % of Line 11.08, Col. 7, Section 11

See Independent Accountant's Compilation Report

Schedule DB - Part A - Verification NONE

Schedule DB - Part B - Verification NONE

Schedule DB - Part C - Section 1

NONE

Schedule DB - Part C - Section 2

NONE

Schedule DB - Verification NONE

SCHEDULE E - PART 2 - VERIFICATION BETWEEN YEARS

| (Cash Equivalents)  | 1       | 2       | 3                            | 4         |
|---|---------|---------|------------------------------|-----------|
|   | Total   | Bonds   | Money Market<br>Mutual Funds | Other (a) |
| Book/adjusted carrying value, December 31 of prior year                             | 486,682 |         | 486,682                      |           |
| 2. Cost of cash equivalents acquired  |         |         |                              |           |
| 3. Accrual of discount  |         |         |                              |           |
| Unrealized valuation increase (decrease)  |         |         |                              |           |
| 5. Total gain (loss) on disposals   |         |         |                              |           |
| Deduct consideration received on disposals  | 662,571 |         |                              |           |
| 7. Deduct amortization of premium   |         |         |                              |           |
| Total foreign exchange change in book/adjusted carrying value                       |         |         |                              |           |
| 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) | 591,976 | <u></u> | 591,976                      |           |
| 11. Deduct total nonadmitted amounts  |         |         |                              |           |
| 12. Statement value at end of current period (Line 10 minus Line 11)                | 591,976 |         | 591,976                      |           |

<sup>(</sup>a) Indicate the category of such investments, for example, joint ventures, transportation equipment

#### **SCHEDULE A - PART 1**

| Showing All Real Estate OWNED December 31 of Current Year  1   | 15  Total Foreign Exchange Change in    | Incurred on                            | Taxes,<br>Repairs and<br>Expenses       |
|--|---|--|---|
| 3 4  Date of Date of Last Actual Amount of Date Last Actual Amount of Less Current Year's Current Year's Total Change in BJAC.V.  Current Year's Current Year's Total Change in BJAC.V.  Change in BJAC.V.  Change in Ch | Total Foreign<br>Exchange<br>Change in  | Earned Less<br>Interest<br>Incurred on | Repairs and                             |
| Date of Date of Date of Date of Date of Date of Date of Date Last Actual Amount of Less Less Current Year's Impairment Change in B./A.C.V.   | Total Foreign Exchange Change in        | Earned Less<br>Interest<br>Incurred on | Repairs and                             |
| Description of Property Code City State Acquired Appraisa Cost Encumbratices Encumbratices & Encumbrations & E |   | ncumbrances                            |   |
| Properties occupied by the reporting entity - Health Care Delivery   |   |  |   |
| Properties occupied by the reporting entity - Administrative (1,417)  Office Building Palo   A   11/01/1978   174,551   45,268   1,417   (4,47)  |   | 4,800                                  | 3,996                                   |
| Office Building  |   | 4,800                                  | 3,996                                   |
| 0299999 - Properties occupied by the reporting entity - Administrative (1.447)   |   | 4,800                                  | 3,996                                   |
| 0399999 - Total Properties occupied by the reporting entity  |   |  |   |
| Properties held for the production of income   |   |  |   |
| Properties held for sale   |   |  | <b></b>                                 |
|  |   |  | <b></b>                                 |
|  | ļ                                       |  | <b>+</b>                                |
|  |   |  | <b>†</b>                                |
|  |   |  |   |
|  |   |  | <b>+</b>                                |
|  | <b></b>                                 |  | +                                       |
|  |   |  |   |
|  |   |  |   |
|  |   |  | 1                                       |
|  | ł                                       |  | *************************************** |
|  | <del> </del>                            |  | 1                                       |
|  | <del> </del>                            |  | 1                                       |
|  | †                                       |  | 1                                       |
|  | *************************************** |  | T                                       |
|  |   |  | I                                       |
|  | 1                                       |  | I                                       |
|  |   |  | 1                                       |
|  |   |  |   |
|  |   |  |   |
|  | <u> </u>                                |  |   |
|  |   |  |   |
|  | 1                                       |  |   |
|  |   |  |   |
|  |   |  | +                                       |
|  |   |  | +                                       |
|  |   |  | +                                       |
|  | . <del> </del>                          |  | -                                       |
|  | 4                                       |  | +                                       |
|  |   |  | -+                                      |
|  |   |  |   |
|  |   |  | <del></del>                             |
| 0699999 Totals 174,551 45,268 1,417 (1,417   | ) (                                     | 4,800                                  | 3,99                                    |

Schedule A - Part 2

**NONE** 

Schedule A - Part 3

NONE

Schedule B - Part 1

**NONE** 

Schedule B - Part 2

**NONE** 

Schedule B - Part 3

NONE

Schedule BA - Part 1

NONE

Schedule BA - Part 2

**NONE** 

Schedule BA - Part 3

**NONE** 

#### **SCHEDULE D - PART 1**

|                                  |   |                             |                           |                   |                        |                      | Showing All L     | ong-Term BOI      | NDS Owned Dece          | ember 31 of Current    | Year                    |                     |                |           | Interes   |                  |                |                            | ites                     |
|----------------------------------|---|-----------------------------|---------------------------|-------------------|------------------------|----------------------|-------------------|-------------------|-------------------------|------------------------|-------------------------|---------------------|----------------|-----------|-----------|------------------|----------------|----------------------------|--------------------------|
|                                  | 2   | Codes                       | 6                         | 7                 | Fair \                 | /alue                | 10                | 11                |                         | hange in Book / Adjust |                         |                     | - 40           | 47        | Interes   | 19               | 20             | 21                         | 22                       |
| 1                                | _   | 3 4 5<br>F                  | NAIC<br>Designatio        |                   | 8                      | 9                    |                   |                   | 12                      | 13                     | 14<br>Current<br>Year's | 15<br>Total         | 16             | 17        | 18        | 19               | 20             | 21                         |                          |
|                                  |   | l º                         | , NAIC<br>Designatio      | ,                 | 1 1                    | ļ                    |                   |                   | 1                       |                        | Other                   | Foreign<br>Exchange |                |           | 1 1       | Admitted         | Amount         |                            | Stated                   |
| i l                              |   | e                           | Modifier                  | 1                 | Rate Used<br>to Obtain |                      |                   | Book/<br>Adjusted | Unrealized<br>Valuation | Current Year's         | Than<br>Temporary       | Change              | Ì              | Effective |           | Amount           | Rec.           |                            | Contractual<br>Maturity  |
| CUSIP                            |   | g Bo                        | and SVO<br>and Administra |                   | Fair                   | Fair                 | Par               | Carrying          | Increase/               | (Amortization)/        | Impairment              | In<br>B./A.C.V.     | Rate           | Rate      | When      | Due &<br>Accrued | During<br>Year | Acquired                   | Date                     |
| Identification                   |   | Code n CH                   | AR ive Symbo              | Cost              | Value                  | Value                | Value             | Value             | (Decrease)              | Accretion              | Recognized              | B.A.C.V.            | UI UI          | UI        | 1 1 440 ) | Accided          | 100.           |                            |                          |
| Bonds - U.S.                     | Governments - Issuer Obligation<br>Governments - Residential Mort | Ons<br>Lagger Backed Soci   | rities                    |                   |                        |                      |                   |                   |                         |                        |                         |                     |                |           |           |                  |                |                            |                          |
| Roads - U.S.                     | Governments - Commercial Morto                                    | page-Backed Secur           | ities                     |                   |                        |                      |                   |                   |                         |                        |                         |                     |                |           |           |                  |                |                            |                          |
| Ronds - U.S.                     | Governments - Other Loan-Backs                                    | ed and Structured           | Securities                |                   |                        |                      |                   |                   |                         |                        |                         |                     |                |           |           |                  |                |                            |                          |
| Bonds - All                      | Other Governments - Issuer Obl<br>Other Governments - Residentia  | igations<br>Mortoage-Racker | Securities                |                   |                        |                      |                   |                   |                         |                        |                         |                     |                |           |           |                  |                |                            |                          |
| Ronds - All                      | Other Governments - Commercial                                    | Mortgage-Backed             | Securities                |                   |                        |                      |                   |                   |                         |                        |                         |                     |                |           |           |                  |                |                            |                          |
| Bonds - All                      | Other Governments - Other Loan                                    | -Backed and Stru            | tured Securitie           | S Incure Obligat  | ione                   |                      |                   |                   |                         |                        |                         |                     |                |           |           |                  |                |                            |                          |
| Daniela 11 C                     | States, Territories and Posse<br>States, Territories and Posse    | ecione (Direct a            | viGuaranteed) -           | Kesidentiai Mo    | rroade-Backed 3        | Securities           |                   |                   |                         |                        |                         |                     |                |           |           |                  |                |                            |                          |
| Danda II C                       | Ctaton Torritoriae and Docean                                     | ecione (Niracta             | nd Guaranteed) -          | - Commercial Mort | gage-backed Ser        | curities             |                   |                   |                         |                        |                         |                     |                |           |           |                  |                |                            |                          |
| Danda II C                       | States, Territories and Posse<br>Political Subdivisions of Sta    | reinne (Diract a            | vdGuaranteed) -           | Other Loan-Back   | ed and Structu         | rea securities       |                   |                   |                         |                        |                         |                     |                |           | T 16      | 460              | 4 042          | 01/19/2016                 | 1 06/01/2024             |
| 030843-FN-1                      | Ames IA Elect Rev Ser   | les, lerritories            | 21.A                      | 90,000            | 1102.4090              | 92, 100              | 90,000            | 90,000            |                         | (181)                  |                         | · <del> </del>      | 2.125<br>4.000 | 2.125     | JD        | 159              | 1,600          | 12/15/2016                 | 06/15/2029               |
| 030850-FF-3                      | Ames IA Hosp Rev  |                             | 21.A                      | 41,934<br>35,148  | 112.7710<br>119.3290   | 45,108<br>35,799     | 40,000<br>30,000  | 40,886<br>32,568  |                         | (532)                  | L                       | 1                   | 5.000          | 2.936     | LJ0       | 67               | 1,500          | 12/23/2016                 | 06/15/2026<br>06/15/2027 |
| 1030850-FC-0                     | Ames, Mary Greeley Med Center.<br>Ames, Mary Greeley Med Center.  | t                           | 1.A<br>21.A               | 11,618            | 118.4870               | 11,849               | 10,000            | 10.809            |                         | (167)                  | }                       | +                   | 5.000<br>4.000 | 3.045     | JD<br>FA  |                  | 500            | 12/23/2016<br>05/12/2014   | 08/15/2044               |
| 041806 - BN - 9.                 | Artington TX-Higher Ed Ser  |                             | 21.A                      | 40,417            |                        | 43,762<br>50.000     | 40,000<br>50.000  | 40,156<br>49,726  |                         | (56)                   | <u> </u>                | 1                   | I5.000         | 5.044     | LJJ       | 1,250            | 2,500          | 07/30/2013                 | 01/01/2042               |
| 04780N-SS-9.                     | Atlanta GA Arpt Rev<br>Bettendorf IA Ser C                        |                             | 21.A<br>21.A              | 49,522            | 106.7720               | 53,386               | 50,000            | 49,714            |                         |                        |                         |                     | 3.000          | 3.099     | JD        | 125<br>125       | 1,500          | D1/05/2017_<br>D5/08/2013_ | 06/01/2029               |
| 1087671-T3-7_                    | _Bettendorf, !A Gen Oblig   |                             | 21.A                      | 50,246            |                        | 51,179<br>103,289    | 50,000<br>100,000 | 50,048            |                         | (33)                   | <u> </u>                |                     | 3.250          | 3.250     | JD        | 271              | 3,250          | 06/18/2015                 | 06/01/2028               |
| 150528-UL-9                      | Cedar Rapids IA Ser A   | <del>     </del>            | 21.A                      | 100,000           |                        |                      |                   | ,                 | i .                     |                        |                         |                     | 2.000          | 2.165     | J.D.      | 167              | 878            | 07/01/2021                 | 06/01/2040               |
| 150573-KC-6.                     | 6/1/40  | ļ                           | 21.F FE                   | 97 ,450           | 97.2670                | 97 , 267             | 100,000           | 97 ,503           |                         | 53                     |                         | <b>†</b>            |                |           |           |                  |                |                            | I                        |
| 150591-LV-5.                     | Cedar Rapids IA Wtr Rev 2.0%                                      |                             | 2 1.F FE                  | 49,500            | 99.0590                | 49,530               | 50,000            | 49,511            |                         | 11                     | ļ                       |                     | 2.000          | 2.061     | JD        | 83               | 439            | 05/27/2021                 | 06/01/2041               |
| 1                                | Chicago IL O'Hare Inti  | 1 1                         | . [                       |                   |                        |                      | 40.000            | .40,306           |                         | (95                    | ا                       |                     | 4.000          | 3.728     | JJ        | 800              |                | 11/10/2015                 | 01/01/2032               |
| 167593-SS-2                      | Airport<br>Clinton IA Cap Ln NTS Ser                              | <del>   </del>              | 21.A<br>21.A              |                   |                        | 43 , 101<br>51 , 421 | 50,000            | 50,000            |                         | 1                      | 1                       |                     | 3.250          | 3.250     | JD        | 135              | 1,625          | 01/12/2016<br>12/01/2017   | 06/01/2031<br>06/01/2033 |
| 194234-VS-6                      | College 1A Comm School Dist                                       |                             | 21.A                      | 50,000            | 100.6930               | 50.347               | 50,000            | 50,000<br>50,000  |                         | +                      | +                       | ·                   | 3.250          | 3.250     | MN        | 396              | 2.375          | 05/29/2012                 | 05/01/2032               |
| 218075-51-4                      | Coralville IA Annual Urban  |                             | 23.A<br>21.A              |                   | 100.1780               | 50,089<br>51,930     | 50,000            | 49,916            |                         | 9                      |                         |                     | 3.375          | 3.399     | lJD       | 141<br>253       | 1,688          | 12/30/2015.<br>02/04/2016. | 12/01/2029               |
| 245844 - AG-0.                   | Dayton OH Arpt Rev<br>Delaware Cnty IA Mem Hsp                    |                             | 21.A                      | 80,303            | 102.3300               | 76,748               | 75,000            | 75,858            |                         | (913                   | 9                       |                     | 4.050          |           |           |                  | 1,500          | 11/14/2017                 | 12/15/2032               |
| 259291-NY-4                      | Douglas Cnty NE Sch Dist  |                             | 2 1.A                     | 50,000<br>75,326  |                        | 54,519<br>78,594     | 50,000<br>75,000  | 50,000<br>75,169  |                         | (34                    | }                       |                     | 2.750          | 2.698     | } [MS,    | 688              |                | 09/08/2016                 | 09/01/2032               |
| 259137 - JD-0,<br>264037 - A.I-1 | Douglas Co KS Uni Sch   |                             | 1.A                       | 70.000            | 106.0160               | 74,211               | 70,000            | 70,000            |                         | <u> </u>               |                         |                     | 3.125          | 3.125     | JD        | 182<br>521       | 1.563          | 03/11/2015                 | 03/01/2028               |
| 344461 a.IC - 3                  | Fond Du Lac Wi Reg  |                             | 21.A<br>2 1.A             |                   |                        | 53,584<br>50,628     | 50,000<br>50,000  | 50,000            |                         | (37                    | it                      |                     | 3.250          | 3.174     | JD        | 135              | 1,625          | 10/31/2012                 |                          |
| 411837-FS-1.                     | Hardin County IA Urban Ren<br>IA France Auth Rev State            | t                           | 21.A                      |                   | 1                      |                      |                   | 1                 | 1                       | 1                      |                         | i                   | 5.000          | 3.750     | FA        | 625              | 1,500          | 08/09/2013.                | 08/01/2028               |
| 46246K-X7-2                      | Rylying   |                             | 21.4                      | 33,353            | 107.5340               | 32,260               | 30,000            | 30,570            | ' <b></b>               | (344                   | 1                       |                     | T              |           | 1         |                  |                |                            |                          |
| 462460-6C-5                      | IA Higher Ed Ln Auth Priv   | 1                           | 1.4                       | 98,94             | 103.4150               | 87,903               | 85,000            | 87,156            | i                       | (2,839                 |                         |                     | 5.000          | 1.581     |           | 1,063            | 4,250<br>2,344 | 10/16/2017.                |                          |
| 45032T-BA-0                      | L IA State Univ Bioscience Bldg                                   | 1                           | 21.Å                      | 72.543            | 106.5160               | 79,887<br>50,313     | 75,000<br>50,000  | 72,878<br>50,118  |                         |                        |                         | 1                   | 3.125<br>5.000 | 3.537     | 7MS       | 833              | 2,500          | 04/12/2012                 | 03/01/2032               |
| 452152-LN-9                      | Johnson 14 County Sch Dist  | +                           | 22.A<br>21.A              | 53,948            | 101.3570               | 40,543               | 40,000            | 40,052            | 2                       | (125                   | 5)[                     |                     | 3.500          | 3, 177    | 7 LJD     | 117              | 1,400          | 12/09/2015<br>07/08/2015   |                          |
| 479381-BD-6                      | Johnston IA Canty Sch   |                             | 2 1.A                     | 26,093            | 101.3780               | 25,345<br>51,398     | 25,000<br>50,000  | 25,099<br>50,568  | }                       | (194                   | 3}                      |                     | 3.000          | 2.18      | 1JD       | 469<br>125       | 1,500          | 09/22/2016                 | 06/01/2029               |
| 479370-ZE-1                      | Johnston IA Ser A   |                             | 2 1.A                     |                   | 102.7950               | 51,398               | 50,000            | 50,000            | ) [                     | 1351                   | <u> </u>                |                     | 3.000          |           |           | 125              | 51,500         | 09/01/2015.                |                          |
| 1                                | Kirkwood County Cilg IA New                                       | 1-1-1-                      |                           |                   |                        |                      | 1                 | 1                 |                         |                        |                         |                     | 2.000          | 1.80      | o L Jo    | 1,211            | l              | 05/27/2021                 |                          |
| 497595-P7-7                      | Jobs Training   |                             | 21.F FE                   | 101,483           | 3101.2140<br>100.1080  | 101,214              | 100,000           |                   | Ś                       | 101                    | '                       |                     | 3.250          | 2.75      | 5 LIKS    | 287              | 975            | 12/31/2014                 |                          |
| 503877-RH-4                      | La Vista NE FACS Corp<br>LaPorte City IA Elec Util                |                             | 2 1.4                     |                   | 100.0000               | 25,000               | 25,000            | 25,000            | ) <u> </u>              |                        |                         |                     | 3.500          |           |           |                  | 813            | 12/27/2016.                | 06/01/2029               |
| 503877 -BG -6                    | LaPorte City IA Elec Util   |                             | 21.A                      |                   |                        | 25,000<br>30,729     | 25,000            |                   |                         | 10                     | ot                      |                     | 3.500          | 3.54      | 7 LAO     | 263              | 31,050         | 12/17/2014                 | 10/01/2031               |
| 604366-CS-1                      | ME University   | +                           | 2 1.A.<br>2 1.A           | 50,00             | 0110.3670              | 55, 184              | 50,000            | 50,000            | )                       |                        |                         |                     | 3.000          |           | O MAN     | 192              | 1,500          | 09/22/2016.<br>05/27/2021  |                          |
| 686084-QY-3                      | Oregon Wi Go Corp 2.0%  |                             | 21.F FE                   |                   | 0102.3540              | 51,177<br>52,436     | 50,000            |                   |                         | (73                    | 3)                      |                     | 3.250          |           |           | 27               | 11,625         | 08/26/2015                 |                          |
| 68825R-DX-5                      | 5 Oshkosh Wi Storm Wtr  | .1                          | .21.4.                    |                   | 0 1104.8/10            | j32,430              | 130,000           | 1,                | , <u> </u>              |                        | 1 1                     |                     |                |           |           |                  |                |                            |                          |

### SCHEDULE D - PART 1

|                             |  |                              |                |   |                  |                             |                      |                  | ong-Term BON                  | IDS Owned Dece                    | mber 31 of Current                 | ear  |  |                |                   | Interes    | t                                      |                                  | Dat                      | es  |
|-----------------------------|--|------------------------------|----------------|---|------------------|-----------------------------|----------------------|------------------|-------------------------------|-----------------------------------|------------------------------------|--|--|----------------|-------------------|------------|--|----------------------------------|--------------------------|---|
| 1                           | 2  | Cox                          | des            | 6   | 7                |                             | Value                | 10               | 11                            |                                   | nange in Book / Adjuste            | ed Carrying Value                              | 15   | 16             | 17                | 18         | 19                                     | 20                               | 21                       | 22  |
| CUSIP                       | -  | 3 4<br>F<br>O<br>r<br>e<br>i | 5<br>Bond      | NAIC Designation , NAIC Designation Modifier and SV0 Administrat- | Actual           | 8  Rate Used to Obtain Fair | 9 Fair               | Par              | Book/<br>Adjusted<br>Carrying | 12 Unrealized Valuation Increase/ | 13  Current Year's (Amortization)/ | Current Year's Other Than Temporary Impairment | Total<br>Foreign<br>Exchange<br>Change<br>In | Rate           | Effective<br>Rate | When       | Admitted<br>Amount<br>Due &<br>Accrued | Amount<br>Rec.<br>During<br>Year | Acquired                 | Stated<br>Contractual<br>Maturity<br>Date |
| Identification              | Description  | Code n                       |                | ive Symbol  | Cost             | Value                       | Value                | Value            | Value                         | (Decrease)                        | Accretion                          | Recognized                                     | B./A.C.V.                                    | of 2 000       | of<br>3.000       | Paid<br>JJ | Accrued                                | 1.650                            | 11/28/2016               | 01/01/2029                                |
| 713176-8F-5                 | Peoria IL Ser C G/O  |                              | 2              | 1.A   | 55,000           | 105 . 1830                  | 57,851               | 55,000           | 55,000<br>50,000              |                                   |                                    |  |  | 3.000<br>5.000 | 4.489             | JD         | 111                                    | 2,500                            | 02/13/2012               | 12/15/2041                                |
| 712855-HX-6_                | Peoria, III Gen Oblig Bond   |                              | ļ              | 1.4   | 54,650<br>50,675 | 100.3870<br>100.1840        | 50,194<br>50,092     | 50,000<br>50,000 | 50,000                        |                                   | (35)                               |  |  | 3.700          | 3.595             | JD         | 154                                    | 1,850                            | 11/05/2015               | 06/01/2032                                |
| 751265-RA-9                 | Raiston NE Vehicle Off St  |                              | ļ <del>-</del> | 1.A<br>1.A  | 50,675           | 100.1840                    | 51,596               | 50,000           | 49.924                        |                                   | 25                                 |  |  | 2.500          | 2.554             | JD         | 104                                    | 1,250<br>600                     | 11/03/2017<br>02/04/2016 | 12/01/2024<br>12/01/2028                  |
| 772487-S2-1                 | Rock Island IL Ser A<br>Springfield IL 60 Bnds   |                              | 2              | 1.4   | 20,000           | 108.3800                    | 21,676               | 20,000           | 20,000                        |                                   |                                    |  |  | 3.000          | 3.000             | JD         | 50                                     | 813                              | 12/29/2014               | 10/01/2030                                |
| 845040-JW-5                 | Sthwest High Ed Auth   |                              | 2              | 1.A   | 25,000           | 103.5740                    | 25,894               | 25,000           | 25,000                        |                                   | 10                                 |  | <b>†</b>                                     | 3.250<br>3.375 | 3.421             | MS.        |  | 1,688                            | 03/08/2016               | 03/01/2046                                |
| 876443-NX-6                 | Tarrant Regional Water, TX   | ļ                            | 2              | 1.4   | 49,487           | 105.2250<br>104.1450        | 52,613<br>104,145    | 50,000           | 49,619<br>100,182             |                                   | (116)                              |  | 1  | 4.000          | 3.874             | [JJ]       | 2,000                                  | 4.000                            | 02/07/2014               | 07/01/2034                                |
| 857536-HL-3.                | U of IA Rev Bond   | ···                          | ······2        | 1.A   | 53,746           | 109.5110                    | 54,756               |                  | 51,716                        |                                   | (359)                              |  |  | 3.000          | 2.195             | ii         | 750<br>750                             | 1,500                            | 03/24/2016<br>03/24/2016 | 07/01/2026<br>07/01/2024                  |
|                             | UNI Rev Dorm   | tt                           |                | 1.8   | 55.040           | 106.0520                    | 53,026               | 50,000           | 51,579                        |                                   | (613)                              |  | <b></b>                                      | 3.000          | 1.704             | JJ         | 750                                    | 1.500                            | 03/24/2016               | 07/01/2027                                |
| 91474P-DV-9                 | UN! Rev Dorm   |                              | 2              | 1.A   | 53,093           | 108.6570                    | 54,329               | 50,000           | 51,421<br>51,626              |                                   | (296)                              |  | t  | 3.000          | 2.033             | JJ         | 750                                    | 1,500                            | 03/24/2016               | 07/01/2025                                |
|                             | UNI Rev Dorm.  | ļ                            | ł              | 1.A   | 54,130<br>50,000 | 107.9310<br>105.9380        | 53,966<br>52,969     | 50,000<br>50,000 |                               |                                   | (444)                              |  | 1  | 5.000          | 4.998             | AO         | 625                                    | 2,500                            | 11/26/2013               | 04/01/2038                                |
|                             | Univ WI Hosp & Clinics   | <b></b>                      | 2              | 1.4   |                  | 100.8970                    | 50,449               | 50,000           | 51,404                        |                                   | (91)                               |  |  | 2.000          | 1.641             | JD         | 83                                     | 583                              | 05/27/2021               | 06/01/2036                                |
| 914364-XN-9.                | Univ of IA Facs Corp Rev 2.0%  |                              | 12             | 1.F FE  | 51,495           |                             | 50,449               | 50,000           | 50,978                        |                                   | (63)                               |  |  | 2.000          | 1.749             | JD         | 83                                     | 583                              | 05/27/2021               | 06/01/2037                                |
| 914364-XP-4.                | University Northern Iowa Univ  |                              | 2              | 1.F FE  | 51,041           | 100.9210                    | 101.466              | 100,000          | 98.889                        |                                   |                                    |  |  | 2.375          | 2.450             | JJ         | 1,188                                  | 2,375                            | 02/06/2020               | 07/01/2040                                |
|                             | Utility 2  |                              | 2              | 1.A   | 98,803           | 101 .4660                   |                      | 50,000           |                               |                                   | 47                                 |  |  | 2.100          | 2.100             | JD         | 88                                     | 505                              | 05/27/2021               | 12/01/2038                                |
| 94216P-GY-7.                | Rev  | <del>  </del>                | 2              | 1.F FE  | 50,000           | 100.3760<br>102.6090        | 50,188<br>51,305     | 50,000           | 50,000                        |                                   |                                    |  |  | 3.000          | 3.000             | JD         | 125                                    | 1,500                            | 11/19/2015               | 06/01/2029                                |
| 942830-SV-3                 | Waukee IA Cap Ln NTS   | <del>  </del>                | 2              | 1.4   | 24,611           | 103.0560                    | 25,764               | 25,000           | 24,794                        |                                   | 28                                 |  |  | 3.250          | 3.394             | JD         | 68                                     |                                  | 07/08/2015<br>04/01/2014 | 06/01/2028<br>06/01/2026                  |
| 94283N-UN-U.<br>94283N-RV-1 | Wawkee IA County Sch Dist  | tt                           | 2              | 1.7   | 52,674           | 101.3470                    | 50,674               | 50,000           | 50, 184                       |                                   | (436)                              |  | <b></b>                                      | 4.000<br>3.000 | 3.007             | JD         | 250                                    | 1,500                            | 11/08/2017               | 05/01/2031                                |
| 952725-DX-4                 | West Faroo NO Pk Dist  |                              | 2              | 1.A   | 50,000           | 107 .3030                   | 53,652<br>52,198     | 50,000<br>50,000 | 50,000<br>49,766              | ļ                                 | 17                                 |  | t  | 3.000          | 3.049             | MN         | 250                                    | 1,500                            | 10/24/2016               | 05/01/2033                                |
| 952734 - NU-1<br>1899999 -  | West Fargo ND Pub Sch  | sions of St                  | ates, Terr     | itories and   | 49,677           | 104.3950                    |                      |                  |                               |                                   | (8,947)                            |  |  | XXX            | XXX               | XXX        | 23.831                                 | 95.044                           | XXX                      | XXX                                       |
|                             | December (Direct and Guar-   | antood) . I                  | leenar Ohli    | nations   | 3,171,611        | XXX                         | 3,229,786            | 3,110,000        | 3,122,604                     | L                                 | 1                                  | l  |  | 1 ^^^          |                   |            |  |                                  |                          |   |
|                             | Political Subdivisions of Sta<br>Political Subdivisions of Sta                             |                              |                |   |                  |                             |                      |                  |                               |                                   |                                    |  |  |                |                   |            |  |                                  |                          |   |
| Bonds - U.S                 | . Political Subdivisions of Sta  | tes Terri                    | tories and     | Possessions   | (Direct and Gua  | ranteed) - 0th              | er Loan-Backed       | and Structured   | Securities                    |                                   |                                    |  |  |                |                   |            |  |                                  |                          |   |
| 2499999                     | Bonds - U.S. Political Subdivis  | sions of St                  | ates, Terr     | itories and   | 1                | 1                           | 1                    |                  |                               |                                   | T                                  | 1  |  |                | 1                 | 1          |  |                                  |                          | 1   |
|                             | Possessions (Direct and Guar-<br>Political Subdivisions of St.                             | anteed) - S                  | Subtotals -    | · U.S.  |                  |                             |                      |                  |                               |                                   |                                    |  | 1  | XXX            | xxx               | XXX        | 23,831                                 | 95.044                           | XXX                      | XXX                                       |
|                             |  |                              |                |   |                  | XXX                         | 3,229,786            | 3,110,000        | 3,122,604                     | L                                 | (8,947)                            | instings                                       | J  | 1 YYY          |                   |            | 20,001                                 | 33,044                           | , AM                     | 1   |
| Bonds - U.S                 | Special Poyonya and Special A  | ssessment                    | Obligation:    | s and all Non   | -Guaranteed Obl  | igations of Ag              | encies and Auth      | orities of Gove  | rnments and The               | eir Political Subd                | IVISIONS - ISSUEL OUI              | Tyat TOIIS                                     | T  |                | T                 | T          |  |                                  |                          |   |
| 150573-GR-8                 | Cedar Rapids IA Sewer 3.375%<br>6/1/38   |                              | ļ              | 1.A   | 68,958           | L                           | 74,885               | 70,000           | 69,094                        |                                   | 40                                 | ļ  | <del> </del>                                 | 3.375          | 3.479             | JD         | 197                                    | 2,363                            | 06/14/2018               | 06/01/2038                                |
|                             | LOURCH DIGHTS IN GOLD OD   |                              | 1              | 1   | 74,212           | 106.9350                    | 80,201               | 75,000           | 74,331                        |                                   |                                    |  | 1  | 3.375          | 3.454             | JD         | 211                                    | 2,531                            | 06/11/2018               | 06/01/2036                                |
|                             | 3.375% 6/1/36  | <u> </u>                     | 2              | 1.A   | 30,616           | 104.8450                    | 31,454               | 30,000           | 30,187                        |                                   | (64)                               |  |  | 4.000          | 3.758             | A0         | 300                                    | 1,200                            | 12/17/2014               | 1   |
| 1                           | IA Univ Athltc Fac 2018 SUI<br>3.5% 7/1/33   |                              |                | 1.A   | 100,734          | 109.4170                    | 109,417              | 100,000          | 100,707                       |                                   | (27)                               |  | 4  | 3.500          | 3.425             | JJ         | 1,750                                  | 3,500                            | 12/13/2018               | 07/01/2033_                               |
| 1                           | IA Univ Rev Athltc Fac 2018  | 1                            | T              | T   | T                | 1                           |                      | 400 000          | 400 050                       |                                   | (145)                              |  | 1  | 4.000          | 3.726             |            | 2,000                                  | 4,000                            | 12/13/2018               | 07/01/2038                                |
| 857536-59-8                 | SUIA 4% 7/1/   | <del>  </del>                |                | 1. <u>^</u>   | 103,648          | 111.2620                    | 111,262              | 100,000          | 103 ,356<br>97 ,032           |                                   | (817)                              |  |  | 4.000<br>5.467 | 3.642             |            |  | 4,374                            | 12/22/2017               | 05/01/2040                                |
| 64971M-S8-6                 | New York NY Fin Auth   | <del>  </del>                | 1              | 1   | 1                | 133.030                     |                      |                  | 1                             |                                   | 1 '                                |  |  | 2              | 2 400             | l in       | 169                                    | 2.025                            | 06/08/2018               | .06/01/2036.                              |
| 851885-DG-5                 | 6/1/36   | 1                            |                | 1.A   | 67,914           | 102.2800                    | 76,710               | 75,000           | 69,032                        |                                   | 316                                |  | -  | 2.700          | ŀ                 |            | 1                                      | ,                                |                          | T   |
| 857536-00-5                 | State Univ IA Univ Rev   |                              | 1              | 1.4   | 35,000           | 108.4580                    | 37,960               | 35,000           | 35,000                        |                                   |                                    | <u></u>  | <u> </u>                                     | 3.000          | 2.999             | JJJ        | 525                                    | 1,050                            | 03/19/2020               | 07/01/2025                                |
| 2599999 -                   | Bonds - U.S. Special Revenue a<br>and all Non-Guaranteed Oblig                             | nd Special                   | Assessmen      | t Obligations   |                  |                             |                      |                  |                               |                                   |                                    |  |  |                |                   |            |  | 1                                |                          |   |
| 1                           | Authorities of Governments a   | nd Their P                   | olitical S     | ubdivisions -   |                  |                             |                      |                  |                               |                                   | (661)                              | J  | 1  | XXX            | XXX               | 1 xxx      | 5.881                                  | 21,042                           | XXX                      | XXX                                       |
|                             | Issuer Obligations   |                              | ALL: 11        |   | 581,298          | ligations of A              | 628,957              | 565,000          | rements and The               | air Political Subd                | ivisions - Residentia              | Mortgage-Backed                                | Securities                                   | 1 1/1/1        | 1 1/101           | 1 1000     |  |                                  |                          |   |
| Bonds - U.                  | <ol> <li>Special Revenue and Special is</li> <li>Special Revenue and Special is</li> </ol> | Assessment                   | Obligation     | s and all Non   | overanteed vo    | ligations of A              | mencies and Auth     | norities of Gove | eroments and The              | eir Political Subd                | ivisions - Commercial              | Mortgage-Backed S                              | Securities _                                 |                |                   |            |  |                                  |                          |   |
| bonos - U.                  | s. special kevenue and special   | 1006228611                   | ourigation     | a ditt di i NOI   | -voarantocu uu   | rigations of A              | Julia Con Carlo Mari |                  |                               |                                   |                                    |  |  |                |                   |            |  |                                  |                          |   |

#### **SCHEDULE D - PART 1**

| 1 2 Codes 6 7 Fair Value 10 11 11 Change in Book / Adjusted Carrying Value Current Year's Total Current Year's Other Than Social Assessment On Ligations and all Non-Guaranteed Obligations of Agencies and Authorities of Governments and Their Political Subdivisions - State of Social Revenue and Special Assessment Obligations of Agencies and Authorities of Governments and Their Political Subdivisions - State of Social Revenue and Special Assessment Obligations and all Non-Guaranteed Obligations of Agencies and Authorities of Social Revenue and Special Assessment Obligations - State of Social Revenue and Special Assessment obligations - St |                   |   |  |   |  |                    |                       |                  | Showing All Lo  | ong-Term BON    | DS Owned Dece                           | ember 31 of Current \  | rear  |  |          |                   | l-too:  |                             |                          | Da              | toe                               |
|--|-------------------|---|--|---|--|--------------------|-----------------------|------------------|-----------------|-----------------|---|------------------------|---|--|----------|-------------------|---------|-----------------------------|--------------------------|-----------------|-----------------------------------|
| 3   F   5   0   0   0   0   0   0   0   0   0  |                   |   | Ca                                     | dee                                       | 6 1  | 7 1                | Fair                  |                  |                 |                 | Cl                                      | nange in Book / Adjust | ed Carrying Value                                 |  |          |                   |         |                             |                          |                 |                                   |
| Secretary   Content   Co   | 1                 | Z   | 3 4<br>F                               | 5   | NAIC Designation , NAIC Designation Modifier and SVO |                    | 8 Rate Used to Obtain | 9                |                 | Adjusted        | 12 Unrealized Valuation                 | 13 Current Year's      | 14 Current Year's Other Than Temporary Impairment | Total<br>Foreign<br>Exchange<br>Change<br>In | Rate     | Effective<br>Rate | When    | Admitted<br>Amount<br>Due & | Amount<br>Rec.<br>During | <u>-</u> ,      | Stated<br>Contractual<br>Maturity |
| Second   S   |                   | _ , , , , ,   | Q-4-1 9                                |   |  |                    | 34-1 1                | Mahin            | Value           | 1/alua          | (Decrease)                              | Accretion              | Recognized  | B./A.C.V.                                    | of       | of                | Paid    | Accrued                     | Year                     | Acquired        | Date                              |
| 319992   2005   13   3   3   3   3   3   3   3   3   | Identification    | Description   | Code n                                 | blimations.                               | and all Non i  | Custopt Ohli       | nations of An         | encies and Autho | rities of Gover | nments and Thei | r Political Subdi                       | visions - Other Loan-  | Backed and Structu                                | red Securities                               |          |                   |         |                             |                          |                 |                                   |
| and all two-described (bigli loss of lagracies and part of lagracies and special substance). Special power and Special substances (bigli loss of Agencies of Service). Special power and Special substances (bigli loss of Agencies of Service). Special power and Special substances (bigli loss of Agencies of Service). Special power and Special substances (bigli loss of Agencies of Service). Special power and Special substances (bigli loss of Agencies of Service). Special power and Special substances (bigli loss of Agencies of Service). Special power and Special substances (bigli loss of Agencies of Service). Special power and Special substances (bigli loss of Agencies of Service). Special power and Special substances (bigli loss of Agencies of Service). Special power and Special substances (bigli loss of Agencies of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special power and Special substances (bigli loss of Service). Special special substances (bigli loss of Service). Special special | Bonds - U.S. Spec | ciai kevenue and special As   | a Connic                               | Accordant                                 | Obligations I  | Juan allicecy WIII | got Iona or Aye       |                  | 1               | 1               |   |                        |   | 1  |          |                   | 1 1     | 1                           |                          |                 | l                                 |
| See : Industrial and Plaint Political Solidarius (See 1987) 58 (2011) 1  | and<br>Aut<br>Sub | d all Non-Guaranteed Obliga<br>thorities of Governments an<br>htotals - U.S. Special Reve | tions of A<br>d Their Po<br>nue and So | gencies and<br>litical Sub<br>ecial Asses | d<br>bdivisions -<br>ssment                          |                    |                       |                  |                 |                 |   |                        |   |  |          |                   |         | 5 004                       | 24 042                   | ***             | ***                               |
| Stock   Transferred and Hispatiness   Delivatives   Stock      | 1 001             | iligations and all mon-buald  | al Subdivi                             | garrons or                                | Agencies u   | 581.298            | XXX                   | 628.957          | 565,000         | 578,738         |   | (661)                  |   |  | XXX      | XXX               | XXX     | 5,881                       | 21,042                   |                 |                                   |
| 1000000 000   1000000   100000   100000   100000   100000   100000   100000   1000000   100000   1000000   100000   1000000   100000   1000000   100000   1000000   1000000   1000000   1000000   1000000   1000000   1000000   1000000   10000000   100000000  | Ponde - Industria | ist and Miscellaneous filest  | iliated .                              | Issuer Ob                                 | ligations  | 55.,500            |                       |                  |                 |                 |   |                        |   |  | 0.464.3  | 0 400             | 1 441 1 | 200.1                       | 2 600                    | 11/22/2017      | 11/22/2022                        |
| Borgan Starly Raw N is SC UT   | 000000-00-0 ICani | ital One Bank USA   |  |   |  | 150,000            | 100 .0000             | 150,000          | 150,000         | 150,000         |   |                        |   | ļ  | 2.400    | 2.400             | ····/   |                             |                          | ····· 1/22/201/ | 1                                 |
| Sality Name Park Of 2,690k   | 61762X-A.I-6 3.55 | gan Stanley Bank NA SLC UT<br>5% 11/8   |  |   |  |                    |                       | 105,325          | 100,000         | 100,000         |   |                        |   |  | 3.550    | 3.550             | MN      |                             |                          |                 | 11/08/2023                        |
| 200497-14-0 Wenter Global Top  | Sail              | ly Mae Bank CD 2.65%  |  | 1   | 1  | 400.000            | 400 0000              | 400 000          | 100,000         | 100.000         |   | i                      |   |  | 2.650    | 2.650             | JJ      | 1,259                       |                          | 01/10/2018      |                                   |
| \$20.46.14.4 [feet ross [close] 198. Gorp.   | SALLYN-AE-3_ 1/10 | 0/23  | <del> </del>                           | ļ   |  |                    |                       | 20 543           | 15 000          |                 |   | (5)                    |   | I  | 6.400    | 6.298             | FA      | 363                         | 960                      | D6/06/2008      |                                   |
| Second   Production   Product   |                   |   | ···                                    | ·   |  | 19,375             |                       | 26,713           |                 |                 |   |                        |   |  | 5.850    | 6.023             | KS      | 345                         | 1,170                    | 96/11/2008      | <u>U9/ 13/ 2035,</u>              |
| Books - Industrial and National Industrial and National Industrial and National Industrial and National Industrial and National Industrial and National Industrial and National Industrial and National Industrial and National Industrial and National Industrial and National Industrial and National Industrial and National Industrial and National Industrial Indust   | 3299999 - Bonds   | ds - Industrial and Miscella  | •                                      |   | - issuer   | 384,627            | XXX                   |                  |                 |                 |   | 9                      |   |  | XXX      | XXX               | ххх     | 2,879                       | 11,930                   | XXX             | XXX                               |
| Books - Industrial and Hispolanous (Martifilated - Commiscial Bird (gaps-laceded Scorutties - Section 18 for 19 fo | Bonds - Industria | ial and Miscellaneous (Unaf)  | iliated)                               | Residenti                                 | al Mortgage-B  | acked Securitie    | es                    |                  |                 |                 |   |                        |   |  |          |                   |         |                             |                          |                 |                                   |
| Books - Industrial and Hiscoll landous (Industrial and Hiscoll landous (Industrial and Hiscoll landous (Industrial and Hiscoll landous (Industrial and Hiscoll landous (Industrial and Hiscoll landous (Industrial and Hiscoll landous (Industrial and Hiscoll landous (Industrial and Hiscoll landous (Industrial and Hiscoll landous (Industrial and Hiscoll landous (Industrial and Hiscoll landous (Industrial and Hiscoll landous (Industrial Indus | Dondo Industri    | ial and Niccollangous (Unaf   | fitiated) .                            | <ul> <li>Commercia</li> </ul>             | at Mortoage-Ra                                       | cked Securities    | ;                     |                  |                 |                 |   |                        |   |  |          |                   |         |                             |                          |                 |                                   |
| 3889999 - Bonds - Industrial and Miscellaneous (Martillated) - Suctorials   384,627   XXX   402,581   385,000   384,832   9   XXX   XXX   2,679   11,930   XXX   XXX   2,679   11,930   XXX   XXX   2,679   11,930   XXX   XXX   2,679   11,930   XXX   XXX   2,679   11,930   XXX   XXX   2,679   11,930   XXX   XXX   2,679   11,930   XXX   XXX   2,679   11,930   XXX   XXX   2,679   11,930   XXX   XXX   2,679   11,930   XXX   XXX   2,679   11,930   XXX   XXX   XXX   2,679   11,930   XXX   XXX   XXX   2,679   11,930   XXX     | Bonds - Industria | ial and Miscellaneous (Unaf   | filiated)                              | - Other Loa                               | an-Backed and  | Structured Secu    | ırities               |                  |                 |                 |   |                        |   |  |          | 1                 | 1       |                             | 1                        | 1               |                                   |
| Bonds - Hybrid Securities - Residential flortgage-Backed Securities  | 3899999 - Bonds   | ts - Industrial and Miscella<br>Industrial and Miscellaneou                               | neous (Una<br>rs (Unaffil              | iffiliated)                               | - Subtotals  |                    |                       | 402,581          | 385,000         | 384,832         |   | 9                      |   | <u></u>                                      | XXX      | XXX               | XXX     | 2,879                       | 11,930                   | XXX             | XXX                               |
| Bonds - Hybrid Securities - Commercial Nortgage-Backed Securities  Bonds - Hybrid Securities - Commercial Nortgage-Backed Securities  Bonds - Parent, Subsidiaries and Affiliates - Issuer Obligations  Bonds - Parent, Subsidiaries and Affiliates - Commercial Nortgage-Backed Securities  Bonds - Parent, Subsidiaries and Affiliates - Commercial Nortgage-Backed Securities  Bonds - Parent, Subsidiaries and Affiliates - Commercial Nortgage-Backed Securities  Bonds - Parent, Subsidiaries and Affiliates - Affiliated Bank Loans - Issued  Bonds - Parent, Subsidiaries and Affiliates - Affiliated Bank Loans - Subsidiaries and Affiliates - Affiliated Bank Loans - Subsidiaries and Affiliates - Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loa | Bonds - Hybrid S  | Securities - Issuer Obligat   | ions                                   |   |  |                    |                       |                  |                 |                 |   |                        |   |  |          |                   |         |                             |                          |                 |                                   |
| Bonds - Parent, Subsidiaries and Affiliates - Residential Nortgage-Backed Securities  Bonds - Parent, Subsidiaries and Affiliates - Residential Nortgage-Backed Securities  Bonds - Parent, Subsidiaries and Affiliates - Residential Nortgage-Backed Securities  Bonds - Parent, Subsidiaries and Affiliates - Ownercial Nortgage-Backed Securities  Bonds - Parent, Subsidiaries and Affiliates - Ownercial Nortgage-Backed Securities  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent, Subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Parent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent I subsidiaries and Affiliated Bank Loans - Acquired  Bonds - Darent Bank Loans - Darent Bank Loans - Acquired  Bonds - Darent Bank Loans - Darent Bank Loans - Acquired  Bonds - Darent Bank Loans - Darent Bank Loans - Darent Bank Loans - Darent Bank Loans - Darent Bank Loans - Darent Bank Loans - Darent Bank Loans - | Bonds - Hybrid S  | Securities - Residential Mo   | rtgage-Bac                             | ked Securit                               | res  |                    |                       |                  |                 |                 |   |                        |   |  |          | -                 |         |                             |                          |                 |                                   |
| Sunds - Parent   Substidiaries and Affiliates - Residential Rorigage-Backed Securities   | Bonds - Hybrid S  | Securities - Commercial Mor   | gage-Back                              | ed Securiti                               | ies  |                    |                       |                  |                 |                 |   |                        |   |  |          |                   |         |                             |                          |                 |                                   |
| Bords - Parent   Subsidiaries and Affiliates - Residential Nortgage-Backed Securities  | Bonds - Hybrid S  | Securities - Other Loan-Bac   | ked and St                             | ructured Se                               | Curities   |                    |                       |                  |                 |                 |   |                        |   |  |          |                   |         |                             |                          |                 |                                   |
| Sords - Parent, Subsidiaries and Affiliates - Other Companies -    | Bonds - Parent .  | Subsidiaries and Affiliate  | s - Issuer                             | UDI IGATION                               | NS<br>Name Bankad Co                                 | our it ion         |                       |                  |                 |                 |   |                        |   |  |          |                   |         |                             |                          |                 |                                   |
| Bonds - Parent, Subsidiaries and Affiliates - Affiliated Bank Loans - Issued   | Bonds - Parent    | Subsidiaries and Affiliate  | s - Keside                             | nual mortg                                | page-Backed Se                                       | runities           |                       |                  |                 |                 |   |                        |   |  |          |                   |         |                             |                          |                 |                                   |
| Bonds - Parent, Subsidiaries and Affiliates - Affiliated Bank Loans - Issued   | Bonds - Parent    | Subsidiaries and Affiliate  | s commer                               | inan-Backed                               | and Structur   | ed Securities      |                       |                  |                 |                 |   |                        |   |  |          |                   |         |                             |                          |                 |                                   |
| Sonds - Parent   Subsidiaries and Affiliates - Affiliated Bank Loans - Acquired   Fonds - Funds   Funds - Exchange   Traded Funds - Substituted by the SVO   | Bonds - Parent,   | Subsidiaries and Affiliate  | s - Utilli                             | ated Bank I                               | nane . Jesuar  | l securities       |                       |                  |                 |                 | .,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, |                        |   |  |          |                   |         |                             |                          |                 |                                   |
| Sports   SVD   Identified Funds - Exchange   Tradet Funds - Exchange   Tradet Funds - Exchange   Tradet Funds - State   Sports    | Bonds - Parent,   | Subsidiaries and Affiliate  | s Affili                               | ated Rank L                               | nans - Acriti  | ed                 |                       |                  |                 |                 |   |                        |   |  |          |                   |         |                             |                          |                 |                                   |
| Sonds - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Loagried   Sonds - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Coal Bonds - Total Bonds - Sublotals - Issuer Obligations   4,137,536   XXX   4,261,323   4,060,000   4,066,174   (9,598)   XXX   X   | Ponde: SVO Ideas  | tified Funds . Fychanna Tra   | ded Funds                              | as Identi                                 | ified by the S                                       | SVO                |                       |                  |                 |                 |   |                        |   |  |          |                   |         |                             |                          |                 |                                   |
| Bonds - Unaffiliated Bank Loans - Acquired   XXX   X   | Ronds - Unaffili  | iated Rank Loans - Unaffili   | ated Bank                              | Loans - Iss                               | sued   |                    |                       |                  |                 |                 |   |                        |   |  |          |                   |         |                             |                          |                 |                                   |
| 7699999 - Bonds - Total Bonds - Subtotals - Issuer Obligations 4,137,536 XXX 4,261,323 4,060,000 4,086,174 (9,389)   | Ronds - Unaffili  | iated Bank Loans - Unaffili   | ated Bank                              | Loans - Acc                               | quired   |                    |                       |                  |                 |                 |   |                        |   |  | VVV      | T VVV             | T VYY   | 32 500                      | 128 017                  | XXX             | XXX                               |
|  | 7699999 - Rond    | ds - Total Bonds - Subtotal   | s - Issuer                             | Obligation                                | ns   | 4,137,536          | XXX                   | 4,261,323        | 4,060,000       | 4,086,174       |   | (9,598)                | <del> </del>                                      |  | ***      |                   | 1 ^^^   | 32,390                      | 120,017                  | 1               | 7.500                             |
|  | 700000 - 0010     | Star Bondo Goototan   |  | I   |  |                    |                       |                  |                 |                 |   |                        | <b>-</b>  | +  | <b>+</b> | t                 | ·†      | ļ                           | 1                        | 1               |                                   |
|  |                   |   |  | 1   |  | <b></b>            | <b></b>               |                  | ļ               |                 |   | ·                      | <del> </del>                                      | +  | t        | 1                 | T       | l                           | I                        | [               | 1                                 |
|  |                   |   | ļļ                                     | 4   | 4  | <b></b>            | ł                     |                  | ļ               |                 |   | ·                      | t   | †  | 1        | 1                 |         |                             |                          |                 |                                   |
|  |                   |   | <del>  </del>                          |   | 4  | <b>}</b>           | <del> </del>          | <del> </del>     | ·····           | ł               |   | <b>†</b>               | 1   | 1  |          | I                 |         |                             | <b></b>                  |                 |                                   |
|  |                   |   | <del>  </del>                          | +   |  | ·····              | f                     | ·                |                 | 1               |   |                        |   | 1  | ļ        | <b>↓</b>          | _       | ļ                           | <del></del>              |                 |                                   |
|  |                   |   | <del>  </del>                          | ·†  |  | ····               | †·· <i>·</i> ····     |                  |                 |                 |   |                        | <b>_</b>  | 4  | <b></b>  | <b></b>           |         |                             | <del> </del>             | ·               |                                   |
|  |                   |   | †                                      | -   | 1  | ·                  | 1                     |                  |                 |                 | <b></b>                                 |                        |   | <del>-</del>                                 | 4        | +                 |         |                             | ·                        | ·               | 1                                 |
|  | ]                 | ***************************************   |  | 1   | I  | I                  | I                     |                  |                 |                 |   | 4                      | ļ   | +  | +        | +                 |         |                             | +                        | ·               | 1                                 |
|  |                   |   | I                                      | 1   |  |                    | ļ                     | ļ                |                 | ļ               |   |                        | +   | +  | ·        | †                 |         | 1                           | 1                        |                 |                                   |
|  |                   | .,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,   | <u> </u>                               | 1   |  | <b></b>            | <b></b>               | .                |                 |                 |   | +                      | ·   | +  | 1        |                   | 1       | 1                           |                          |                 |                                   |
|  |                   |   | ļ                                      | 4   | }  | <b>}</b>           | <b>+</b>              | · <del> </del>   | ····            | ł               | ·····                                   | <b>†</b>               | †   | 1  | 1        | I                 |         | <u> </u>                    |                          | <u>. ]</u>      |                                   |
| 839999 Subtotals - Total Bonds   4,13/,536   XXX   4,251,325   4,000,000   4,000,174   15,000  |                   |   | 4                                      |   | <u></u>  | 1 407              | VVV                   | 4 204 202        | 4 000 000       | 4 006 174       |   | (O FOR                 | 1   |  | XXX      | XXX               | XXX     | 32,590                      | 128,017                  | XXX             | XXX                               |
|  | 8399999 Sub       | btotals - Total Bonds   |  |   |  | 4,137,536          | 1 111                 | 4,201,323        | 1 4,000,000     | 4,000,1/4       |   | 1 (3,330               | <u> </u>  |  |          |                   |         |                             |                          |                 |                                   |

| 1.     |       |                           |       |                          |         |    |    |   |            |   |   |    |                  |   |    |    |
|--------|-------|---------------------------|-------|--------------------------|---------|----|----|---|------------|---|---|----|------------------|---|----|----|
| Line   |       |                           |       | _                        |         |    |    |   |            |   |   |    |                  |   |    |    |
| Number | Book/ | Adjusted Carrying Value b | y NAI | C Designation Category F | ootnote | 9: |    |   | 45         |   | • | 45 | e 450 778        | ı | 16 |    |
| 1A     | 1A    | \$ 3,500,446              | 1B    | \$                       | 1C      | \$ | 10 | , | \$<br>. 12 | • | • | 11 | <b>4</b> 400,110 |   |    | \$ |
| 18     | 2A    | \$ 84,950                 | 2B    | \$                       | 2C      | \$ |    |   |            |   |   |    |                  |   |    |    |
|        |       | \$ 50,000                 |       |                          |         |    |    |   |            |   |   |    |                  |   |    |    |
| 1D     | 4A    | \$                        | 48    | \$                       | 4C      | \$ |    |   |            |   |   |    |                  |   |    |    |
| 1E     | 5A    | \$                        | 5B    | \$                       | 5C      | \$ |    |   |            |   |   |    |                  |   |    |    |
| 1F     | 6     | \$                        |       |                          |         |    |    |   |            |   |   |    |                  |   |    |    |

## SCHEDULE D - PART 2 - SECTION 1

|                         |   |               |                                       |                        |                              |                                       |  | Show  | ing All PREF  | ERRED ST       | OCKS Owne                 | d December 31                           | of Current Year                          |  |  |  | Malus  |  | 20  | 21               |
|-------------------------|---|---------------|---------------------------------------|------------------------|------------------------------|---------------------------------------|--|---|---------------|----------------|---------------------------|---|--|--|--|--|--|--|---|------------------|
|                         |   | Co            | doe 1                                 | 5                      | 6                            | 7                                     | 8                                      | Fair \  | /alue         | 11             |                           | Dividends                               |  |  |  | ook/Adjusted Carrying  | Value<br>18                                      | 19   |   |                  |
| 1                       | 2                                       | 3             | 4                                     | 3                      |                              |                                       | ľ                                      | 9   | 10            |                | 12                        | 13                                      | 14                                       | 15   | 16   | 17   | 18   |  | NAIC<br>Designation,<br>NAIC  |                  |
| CUSIP<br>Identification | Description                             | Code          | Foreign                               | Number<br>Of<br>Shares | Par<br>Value<br>Per<br>Share | Rate<br>Per<br>Share                  | Book/<br>Adjusted<br>Carrying<br>Value | Rate Per<br>Share<br>Used to<br>Obtain<br>Fair<br>Value | Fair<br>Value | Actual<br>Cost | Declared<br>but<br>Unpaid | Amount<br>Received<br>During<br>Year    | Nonadmitted<br>Declared<br>But<br>Unpaid | Unrealized<br>Valuation<br>Increase/<br>(Decrease) | Current<br>Year's<br>(Amortization)<br>Accretion | Current Year's<br>Other-Than-<br>Temporary<br>Impairment<br>Recognized | Total<br>Change<br>In<br>B./A.C.V.<br>(15+16-17) | Total Foreign Exchange Change In B./A.C.V. | Designation<br>Modifier<br>and SVO<br>Admin-<br>istrative<br>Symbol | Date<br>Acquired |
|                         |   |               |                                       |                        |                              | ļ                                     |  |   |               | ·····          |                           | ••••••••••••••••••••••••••••••••••••••• |  | [  |  |  |  |  | ł   | ·                |
|                         |   | <b>}</b>      | ······                                |                        |                              | ·····                                 |  |   |               |                | İ                         |   |  |  |  |  |  |  | †   | (                |
|                         |   |               |                                       |                        |                              | ·                                     |  |   |               |                |                           |   |  |  |  |  |  |  |   |                  |
|                         |   |               |                                       |                        |                              |                                       |  |   |               |                |                           |   |  |  |  |  |  |  | I   |                  |
|                         | *************************************** | I             | [                                     |                        |                              | ļ                                     |  |   |               | ļ              |                           | <del></del>                             |  | ·····  | ł  |  | [  |  | 1   | įl               |
|                         |   | 1             | L                                     |                        |                              | <b></b>                               |  |   |               | ļ              | ·····                     |   | <b></b>                                  | 1  | T  |  | L  |  | ļ   | ļ!               |
|                         |   | 1             |                                       |                        | ļ                            | ···                                   |  |   |               |                | ·····                     |   |  | *************************                          |  |  |  |  | ·   | t                |
|                         |   |               |                                       |                        |                              |                                       |  |   |               |                |                           |   |  |  |  | ł  |  |  |   |                  |
|                         |   |               |                                       |                        |                              |                                       |  |   |               |                |                           |   |  |  |  | 1  |  |  |   |                  |
|                         |   |               |                                       |                        |                              |                                       |  |   |               |                |                           |   |  |  |  | 1  |  |  |   |                  |
|                         |   |               |                                       |                        |                              |                                       |  |   |               |                |                           |   |  |  |  | I  |  |  |   |                  |
|                         |   | 1             | I                                     |                        |                              | ļ                                     |  |   |               |                |                           |   |  | ·····  |  |  |  |  | 1   | ļ                |
|                         |   | I             | L                                     |                        | ļ                            |                                       |  |   |               | ļ              |                           |   |  |  |  |  |  |  |   | ļ                |
| 1                       | *************************************** | ļ             | ļ                                     |                        |                              | ·                                     |  | ····  |               |                |                           |   |  | T  | I  |  |  |  |   |                  |
|                         |   | <b></b>       | ļ                                     |                        |                              | ·····                                 |  |   |               |                |                           |   |  |  |  |  |  |  |   | ·                |
|                         |   | ·····         | ł                                     |                        | j                            | · · · · · · · · · · · · · · · · · · · | ·····                                  |   |               |                | 1 miles                   |   |  |  |  |  |  | <b></b>                                    | •   | 1                |
|                         |   | +             | ·····                                 |                        | ł                            | ·                                     | 1                                      |   |               |                |                           |   |  |  |  |  |  | ·····                                      | -   |                  |
|                         |   | **********    | · · · · · · · · · · · · · · · · · · · |                        |                              |                                       | I                                      |   |               |                |                           |   |  |  | ·  |  | †····  |  | T   |                  |
|                         |   | 1             |                                       |                        |                              |                                       | I                                      |   |               |                |                           |   | <b></b>                                  |  | ·  |  | 1  |  | I   | <u> </u>         |
|                         |   | 1             | I                                     |                        |                              | <b></b>                               |  |   |               | ļ              |                           |   |  |  | †····  | ·  |  |  | 1   |                  |
|                         |   | 1             |                                       | <b></b>                |                              |                                       | ł                                      |   |               | ·              | t                         |   |  |  |  | I  |  |  |   | <b></b>          |
|                         |   | <b></b>       | <b></b>                               |                        | ļ                            | ·····                                 | ł                                      |   |               | <b>†</b>       | t                         | 1                                       |  | T  | I  | <u> </u>   |  |  | .+  |                  |
|                         |   | <b>{</b>      | ·}                                    | <b></b>                |                              | +                                     | t                                      | 1   | t             | 1              | 1                         | T                                       | L  | 1  |  | ļ  |  |  | ·†  | <b>†</b>         |
|                         |   | <del> </del>  | <del> </del>                          | <b>†</b>               | ·                            | ·                                     | <b>†</b>                               | İ   |               |                | I                         |   |  |  |  | ·····  |  | <b>†</b>                                   |   | 1                |
|                         | ·                                       | †             | <b>†</b>                              | †                      | 1                            | 1                                     | Ī                                      | [   | [             |                | <b></b>                   |   |  | <b></b>  |  | <del> </del>   | †  | 1  | 1   |                  |
|                         |   | †             | 1                                     | 1                      |                              | T                                     | I                                      |   |               |                | <b>↓</b>                  | ļ                                       | ļ  | <del> </del>                                       |  | <b></b>  | T  |  | I   |                  |
|                         |   | T             | 1                                     | I                      |                              | ļ                                     | <b>↓</b>                               |   | <b></b>       | . <b></b>      | <b></b>                   | <b></b>                                 | ····                                     | <del> </del>                                       | †  | 1  | T  |  | .1  |                  |
|                         |   | 1             | 1                                     |                        |                              |                                       | <b>↓</b>                               | ļ   |               | <del> </del>   | <del> </del>              | <del></del>                             |  | 1  | 1  | I  | <b></b>  | <b></b>                                    |   |                  |
|                         |   | 4             | <b></b>                               | <b></b>                | .}                           | <del></del>                           | ł                                      | ·····   | <b></b>       | <b>†</b>       | †·····                    | ·                                       | ***************************************  | T  | I  | <b></b>  | ļ  | <b></b>                                    |   | <b>†</b>         |
|                         |   |               | <b>4</b>                              | <b></b>                | .}                           | ·                                     | <del> </del>                           | ·   | ·             | †              | t                         | T                                       |  | I  | 1  | ļ  | ļ  | ·}   |   | <b>†</b>         |
|                         |   | . <del></del> | ·                                     | <b></b>                | ·}                           | +                                     | <b>†</b>                               | ·   | †             | 1              | 1                         | 1                                       | I  |  |  | <b></b>  |  | <del> </del>                               | -+  | +                |
|                         |   | +             | <del> </del>                          | ł                      | ·                            | †                                     | †                                      | 1   |               | I              | I                         | 1                                       | .  |  |  | ·····  | ·  | <b>†</b>                                   | -†  | 1                |
|                         |   | ·†            | †                                     | †                      |                              | 1                                     | 1                                      |   | I             | I              | 1                         |   |  |  |  | ·  |  | ·  |   | 1                |
|                         |   | †             | 1                                     | †                      |                              | 1                                     | Ţ                                      |   |               |                | 4                         | ļ                                       |  |  |  | · ·····  |  | 1  | I   |                  |
| ļ                       |   | 1             | T                                     | I                      | 1                            | 1                                     |  |   |               |                | 4                         |   |  | <u> </u>   |  |  | 1  | 1  | XXX   | XXX              |
| DOCCOOO Tota            | Preferred Stocks                        |               |                                       |                        |                              |                                       |  | XXX   |               | 1              | <u> </u>                  |   | <u> </u>                                 | L  |  |  |  |  |   |                  |
| baaaaaa 100             | LIBIGIIOU SIOCKS                        |               |                                       |                        |                              |                                       | <del></del>                            |   |               |                |                           |   |  |  |  |  |  |  |   |                  |

| 1.     |       |                            |        |                          |         |         |    |        |    |   |         |          |    |   |
|--------|-------|----------------------------|--------|--------------------------|---------|---------|----|--------|----|---|---------|----------|----|---|
| Line   |       |                            |        | _                        |         |         |    |        |    |   |         |          |    |   |
| Number | Book/ | Adjusted Carrying Value by | / NAIC | Designation Category For | otnote: |         |    |        |    | _ |         | •        | 10 | • |
| 1A     | 1A    | Adjusted Carrying Value by | 1B     | \$                       | 1C :    |         | 1D | \$<br> | 1E | 5 | <br>11- | <b>*</b> | 10 | • |
| 1B     | 2A    | \$                         | 2B     | \$                       | 2C :    |         |    |        |    |   |         |          |    |   |
|        |       | \$                         |        |                          |         |         |    |        |    |   |         |          |    |   |
|        |       | \$                         |        |                          |         |         |    |        |    |   |         |          |    |   |
| 1E     | 5A    | \$                         | 5B     | \$                       | 5C :    | <b></b> |    |        |    |   |         |          |    |   |
| 1F     |       | •                          |        |                          |         |         |    |        |    |   |         |          |    |   |

# SCHEDULE D - PART 2 - SECTION 2 Showing all COMMON STOCKS Owned December 31 of Current Year

|                                    |  |                      |   |                       |                             | Show                   | ring all COMMON   | STOCKS Owner     | December 31 of | f Current Year |                |                   |                |                      |                     |                            | 1 40             |
|------------------------------------|--|----------------------|---|-----------------------|-----------------------------|------------------------|-------------------|------------------|----------------|----------------|----------------|-------------------|----------------|----------------------|---------------------|----------------------------|------------------|
|                                    |  |                      | odes                                    | 5                     | 6                           | Fair \                 | /alue             | 9 1              |                | Dividends      |                |                   |                | usted Carrying Value |                     | 17                         | 18<br>NAIC       |
| 1                                  | 2  | 3                    | 4                                       | , ,                   | l "                         | 7                      | 8                 |                  | 10             | 11             | 12             | 13                | 14             | 15                   | 16                  | l                          | Designation.     |
| 1                                  |  | ,                    | •                                       |                       |                             | · ·                    |                   |                  |                | 1              | 1              |                   |                |                      |                     | l .                        | NAIC             |
| 1                                  |  |                      | j l                                     |                       |                             | D-4                    |                   |                  | 1              | 1 1            | 1              |                   | Current Year's |                      |                     |                            | Designation      |
| 1                                  |  | 1 1                  | 1                                       |                       |                             | Rate per<br>Share Used |                   |                  |                | 1 1            |                | Unrealized        | Other-Than-    | Total                | Total Foreign       |                            | Modifier and SVO |
| 1                                  |  |                      |   | ļ                     | Book / Adjusted             | To Obtain              |                   | }                |                | Amount         | Nonadmitted    | Valuation         | Temporary      | Change in            | Exchange            | Date                       | Administrat      |
|                                    |  |                      |   | Number of             | Carrying                    | Fair                   | Fair              | Actual           | Declared       | Received       | Declared       | Increase/         | Impairment     | B./A.C.V.<br>(13-14) | Change in B./A.C.V. | Acquired                   | ive Symbol       |
| CUSIP<br>Identification            | Description  | Code                 | Foreign                                 | Shares                | Value                       | Value                  | Value             | Cost             | but Unpaid     | During Year    | But Unpaid     | (Decrease)        | Recognized     | [13-14]              | BJA.C.V.            | / Acquired                 | 10001000         |
| Industrial and                     | Miscellaneous (Unaffiliated) Publicly Traded   |                      |   |                       |                             |                        |                   | A0 A63           |                | 4,576          |                | (3,224)           |                | (3,224)              |                     | 04/24/2012                 | XXX              |
| 002068-10-2                        | MT&T Inc   |                      |   | 775.000               | 19,065<br>20,910            | 24.600<br>24.600       |                   | 26,037<br>28,557 |                | 4,070          |                | (3.536)1          |                | (3,536)              |                     | 10/08/2014                 | XXX              |
| 00206R-10-2                        | ATAT Inc.  |                      | ł                                       | 850.000<br>575.000    | 14,145                      | 24.600                 | 14,145            |                  |                |                |                | (2,392)           |                | (2,392)              |                     | 07/11/2019                 | XXX              |
| 00206R-10-2<br>0000AF-13-9.        | Affinity Financial Corp  |                      | 1                                       | 101.000               |                             |                        |                   | 10,000           | ļ              | 3,387          |                | 25,223            |                | 25,223               |                     | 04/24/2012                 | XXX              |
| 09247X-10-1                        | Blackrock Inc  |                      |   | 130.000               | 119,023                     | 915.560                | 119,023<br>68,667 | 24,661<br>25,470 | }              | 3,38/          |                | 14.552            |                | 14,552<br>13,160     |                     | 08/04/2015                 | XXX              |
| 09247X-10-1                        | Blackrock Inc  | ļ                    | <b></b>                                 |                       |                             |                        | 46,940            | 50,465           |                | 2,124          |                | 13,160            |                | 13,160               |                     | 07/11/2019<br>12/05/2019   | XXX              |
| 166764-10-0<br>17275R-10-2         | Chevron Corp   | ł                    | İ                                       | 1,125.000             | 71.291                      | 63.370                 | 71,291            | 49.867           |                | 1,654          |                | 20,948<br>1,420   |                | 20,948               |                     | 04/24/2012                 | l xxx l          |
| 191216-10-0                        | Coca-Cola  |                      | I                                       | 325 000               | 19,243<br>19,243            | 59.210                 | 19,243            | 12,057           |                | 3,654          |                | 1,420             |                | 1,420                |                     | 08/13/2012                 | XXX              |
| 191216-10-0                        | Coca-Cola  | ł                    | ļ                                       | 325.000<br>575.000    |                             | 59.210<br>59.210       |                   | 12,057<br>24,730 |                |                |                | 2 513             |                | 2,513                | ļ                   | 12/22/2020                 | XXX              |
| 191216-10-0                        | Coca-Cola<br>Coca-Cola   | t                    | t                                       | 950.000               | 56,250<br>15,298            | 59.210                 |                   | 50,298           |                |                |                | 4,152<br>4,993    | <b></b>        | 4,152<br>4,993       | l                   | 07/11/2019                 | XXX              |
| 302316-10-2                        | Exxon Mobile   | 1                    | I                                       | 250.000               | 15,298                      | 61 . 190               | 15,298            | 19,518<br>49,470 |                | ·              |                | 14,478            |                | 14,478               |                     | 12/05/2019                 | XXX              |
| 302316-10-2                        | Exxon Nobile   | ļ                    | ļ                                       | 725.000<br>250.000    | 44,363                      |                        | 44,363<br>15,298  | 15,702           |                | 5,375          |                | 4.993             |                | 4,993                | ļ                   | 10/04/2005<br>08/04/2015   | XXX              |
| 302316-10-2                        | Exxon Mobile.  | t                    | <del> </del>                            | 250.000               |                             | 61,190                 | 19,275            | 24,927           |                |                |                | 6,291             |                | 6,291<br>13,592      |                     | 05/07/2015                 | XXX              |
| 302316-10-2<br>37045V-10-0         | General Motors   | 1                    | 1                                       | 1800.000              | 46.904                      | 58.630                 | 46.904            | 28,126           | ļ              | +              |                | 13,592            |                | 782                  |                     | 12/22/2020                 | XXX              |
| 46625H-10-0                        | JP Morgan Chase & Co   |                      | ļ                                       | 25.000                | 3,959<br>15,835             | 158.350<br>158.350     | 3,959             | 3,100<br>12,401  |                | 2,673          |                | 3,128             |                | 3,128                |                     | 12/22/2020                 |                  |
| 46625H-10-0                        | JP Morgan Chase & Co   |                      | ·                                       | 100.000<br>600.000    | 95,010                      | 158.350                | 95.010            | 74,402           |                |                |                | 18,768            |                |                      |                     | 12/22/2020                 |                  |
| 46625H-10-0<br>478160-10-4         | JP Morgan Chase & Co   | ·                    | ·                                       | 335.000               | 57,308                      | 171.070                |                   | 34,797           |                | 4,756          |                | 4,586<br>2,738    |                | 2,738                |                     | 10/04/2005                 | XXX              |
| 478160-10-4                        | Johnson & Johnson  |                      |   | 200.000               | 34,214                      | 171.070                | 34,214<br>102,642 | 12,698<br>73,690 |                | 4,/30          |                | 8,214             |                | 8,214                |                     | 06/08/2018                 | XXX              |
| 478160-10-4                        | Johnson & Johnson  |                      |   | 600.000<br>650.000    | 22,335                      | 171.070<br>35.900      | 23.335            | 29,423           |                | 3,600          |                | 806               |                |                      |                     | 07/06/2015.<br>12/05/2019. | XXX              |
| 500754-10-6<br>500754-10-6         | Kraft Food Groups Inc  | · <del> </del> ····· | +                                       | 1,600.000             | 102,642<br>23,335<br>57,440 | 35.900                 | 57,440            | 49.260           |                | 1              |                | 1,964<br>16,047   | ·····          | 16,047               |                     | 07/23/2012                 | XXX              |
| 580135-10-1                        | McDonalds  | 1                    |   | 300.000               | 80.421                      | 268.070                |                   | 27,099<br>49,904 |                | 2,809          |                | 12.570            |                | 12,570               |                     | 12/22/2020                 | XXX              |
| 580135-10-1                        | McDonalds  |                      |   | 235.000               |                             | 268.070<br>76.640      | 87,370            | 85,813           |                | 2,223          |                | (5.882)           |                | (5,882)              |                     | 12/22/2020                 | XXX              |
| 58933Y-10-5                        | Merck & Co Inc   | +                    | +                                       | 1,140.000             | 87,370<br>30,080            | 75.200                 | 30,080            | 30,973           |                |                |                | 10,816            | <b></b>        |                      |                     | 06/03/2021                 | 1 XXX            |
| 73755L - 10 - 7<br>68622V - 10 - 6 | Organon & Co.  |                      | 1                                       | 114.000               | 3.471                       | 30.450                 | 3,471             | 4,238            |                |                |                | (767)<br>9,275    |                | 9,275                |                     | I_07/11/2019.              | xxx              |
| 713448-10-8                        | Pensico Inc  |                      |   | 365.000               | 63,404<br>29,525<br>76,765  | 173.710<br>59.050      | 63,404<br>29,525  | 49,291<br>15,790 |                | 2,808          |                | 11,120            |                | 11,120               |                     | 12/05/2019                 | XXX              |
| 071781-10-8                        | Pfizer Inc   |                      |   | 1,300,000             | 76 765                      | 59.050                 | 76,765            | 49,667           |                | 1              |                | 28,912            |                | 28,912               |                     | 04/24/2012                 | xxx              |
| 071781-10-8<br>742718-10-9         | Proctor & Gamble   | 1                    |   | 375.000               | 61.343                      | 163.580                | 61,343            | 25,112           |                | 5,610          | ļ              | 9,165             |                | 6.721                |                     | 09/20/2016                 | XXX              |
| 742718-10-9                        | Proctor & Gamble   | I                    | I                                       | 275.000               |                             | 163.580<br>163.580     |                   | 24,734<br>74,586 |                |                | †              | 24 440            |                | 24,440               |                     | 06/08/2018<br>04/08/2013   | XXX              |
| 742718-10-9                        | Proctor & Gamble   |                      |   | 1,000.000             | 20,181                      | 43.400                 |                   | 32,106           |                | 1,206          |                | 3,841<br>3,304    |                | 3,841                |                     | 10/08/2014                 | XX               |
| 780259-20-6<br>780259-20-6         | Royal Dutch Shell PLC  | 1                    |   | 400.000               | 17,360<br>31,176            | 43.400                 |                   | 27,618           | 1              |                |                | (4,074)           |                | 14.074               | ١                   | 05/07/2015                 | XXX              |
| 92343V-10-4                        | Verizon Comm.  | 1                    |   | 600.000               | 31,176                      | 51.960                 | 31,176<br>26,759  | 30,136           |                | 2,813          |                | (3,497)           |                | [3,497               |                     | 07/11/2019                 | XXX              |
| 92343V-10-4                        | Verizon Comm   |                      |   |                       |                             | 51.960<br>13.530       | 3 017             | 28,730           |                |                |                | (1, 162)          |                | 10.680               | )}                  | 11/27/2020.                | XXX              |
| 92556Y - 10 - 6<br>949746 - 10 - 1 | Viatris Inc  | ·†                   |   | 600.000               | 28,788                      | 47.980                 | 28,788            | 33,233           |                |                |                | 10,680            | ļ              | 8,900                |                     | 01/21/2009                 | xxx              |
| 949746-10-1                        | Nells Fargo  |                      |   | 500.000               | 23,990                      |                        |                   |                  |                | 52,143         |                | 299,995           |                | 299,995              |                     | XXX                        | XXX              |
| 9099999 - In                       | dustrial and Miscellaneous (Unaffiliated) Pu   | blicly Trac          | ded                                     |                       | 1,874,914                   | XXX                    | 1,874,914         | 1,358,733        |                | 52,143         | 1              |                   |                |                      |                     |                            |                  |
| Industrial and                     | Miscellaneous (Unaffiliated) Other   |                      |   | 60 00                 | 20 966                      | 347 770                | T 20 866          | 3,000            |                |                |                |                   |                | 1,983                |                     | 12/21/1987.                | XXX              |
| 162989*-10-5                       | NAMIC-Class B.   | +                    |   |                       | 20,866                      | 347.770                |                   | 1,500            |                |                |                |                   |                | 992                  |                     | XXX                        | XXX              |
| 9199999 - 10-5                     | dustrial and Miscellaneous (Unaffiliated) Ot   | her                  |   |                       | 31,299                      | XXX                    | 31,299            | 4,500            | 1              |                | <u> </u>       | 2,975             | L              | 2,9/3                | <u>'</u>            | , Ann                      |                  |
| Parent, Subsic                     | iaries and Affiliates Publicly Traded  |                      |   |                       |                             |                        |                   |                  |                |                |                |                   |                |                      |                     |                            |                  |
| Parent, Subsid                     | liaries and Affiliates Other   |                      |   |                       |                             |                        |                   |                  |                |                |                |                   |                |                      |                     | 1010616616                 |                  |
| Mutual Funds                       | No. of the Property of the Pro |                      | т                                       | 1 2 146 94            | 55 304                      | 25.770                 | 55.324            | 50,000           | T              |                |                | 4,916             |                | 4,916                |                     | 12/05/2019<br>02/13/2012   | ···              |
| 453320-40-0<br>453320-40-0         | American Funds Income Fund   | · t                  | · t · · · · · · · · · · · · · · · · · · | 2,146.844             | 55,324<br>216,938           | 25.770                 | 216.938           | 136,593          | l              |                |                | 19,278            | ·              | 19,278               |                     | 04/15/2021                 | 1.A              |
| 532726-40-3                        | Munerican Funds Ltd Term Tax Exempt Bd Fu  |                      |   | 9,264,978             | i148,240                    | 16.000                 | 148,240           | 150,000          | \ <del> </del> |                |                | (1,098)           |                | (1,098)              | [                   | 04/15/2021                 | 1.A              |
| B76902-40-4                        | American Funds Tax Exempt Bond Fund  |                      |   | 10,980.96             | 148,902                     | 13.560<br>70.170       | 148,902           | 135.000          | )              |                |                | 17.563            |                | 17,563               | ļ                   | 02/17/2012                 | 1.4              |
| 140193-40-0<br>353496-30-0         | Franklin Income Fund Class A   |                      |   | 15.086.20             | 38,017                      | L2.520                 | 38,017            | 33.671           | · [            |                | <b></b>        | 3,319             |                | 3,319                |                     | 10/18/2011                 | 1.A              |
| 353496-30-0                        | Franklin Income Fund Class A   | 1                    |   | 7.075.47              | 17,830                      | L                      | 17,830            | 15,792           | } <b>}</b>     | 11,042         | <del> </del>   | 9,910             |                | 9,910                |                     | 10/14/2010.                |                  |
| 353496-30-0                        | Franktin Income Fund Class A   |                      |   | 45,045.04<br>3,502.51 | 113,514                     | 2.520                  | 113,514           |                  | { <del> </del> | 14.382         |                | 1,471             |                | 1,471                |                     | 05/28/2010                 | 1.A              |
| 416648-24-4                        | Hartford Balanced Income Fund  |                      | +                                       | 5,256.25              | 100,225                     | 16.020                 | 100,225           | 65,618           | 3 L            |                |                | 2,628             | <b></b>        | 2,628                | <b></b>             | 06/04/2010                 | 1.7              |
| 416648-24-4<br>416648-24-4         | Hartford Balanced Income Fund  | 1                    | 1                                       | 701.40                | 3 11.236                    | 16.020                 | 11,230            | 3,357            | <u> </u>       |                | · <del> </del> | 1,093             |                | 1,093                |                     | 07/21/2011                 | 1.A              |
| 416648-24-4                        | Hartford Balanced Income Fund  |                      |   | 2,601.90              | 41,683                      |                        |                   | 27,290           | ₹}             | 961            | 1              | 181               |                | 181                  |                     | 10/14/2010                 | 1.A              |
| 416648-55-8                        | Hartford Floating Rate Fund Class  |                      |   | 2,006.68<br>1,783.72  | 16,836                      |                        |                   | 5                | ) L            | I              |                | 161               |                | 161                  |                     | 10/19/2010                 | 1.4              |
| 416648-55-8<br>00142F-53-5         | Hartford Floating Rate Fund Class  | <b>-</b>             |   | 6.435.32              | 2164,744                    | 25.600                 | 164,74            | 109,180          | L              | 10,831         |                | 16,796<br>(6,897) | 1              | 16,796               |                     | 03/09/1993                 |                  |
| 922031-77-8                        | Vanguard LT Invest 6r Adm.   | -T                   | -T                                      | 7,927.48              | 86,568                      | 10.920                 | 86,56             | 74,250           | ) L            | 4,879          | 1              | 1                 | h              |                      |                     |                            |                  |

### **SCHEDULE D - PART 2 - SECTION 2**

|   |   |   |          |                |                                      | Show   | ving all COMMON | STOCKS Owned                            | December 31 of         | Current Year   |   |  |  |  |   | 17               | 18   |
|---|---|---|----------|----------------|--------------------------------------|--|-----------------|---|------------------------|--|---|--|--|--|---|------------------|--|
|   |   |   | odes     | 5              | 6                                    | Fair \   | Value           | 9                                       |                        | Dividends  |   |  |  | sted Carrying Value                        |   | ''               | NAIC   |
| 1                                       | 2                                       | 3                                       | 4        | 1 *            |                                      | 7  | 8               |   | 10                     | 11   | 12                                      | 13   | 14   | 15   | 16  |                  | Designation<br>NAIC                                  |
| CUSIP                                   |   |   | 5        | Number of      | Book / Adjusted<br>Carrying<br>Value | Rate per<br>Share Used<br>To Obtain<br>Fair<br>Value | Fair<br>Value   | Actual<br>Cost                          | Declared<br>but Unpaid | Amount<br>Received<br>During Year                    | Nonadmitted<br>Declared<br>But Unpaid   | Unrealized<br>Valuation<br>Increase/<br>(Decrease) | Current Year's Other-Than- Temporary Impairment Recognized | Total<br>Change in<br>B./A.C.V.<br>(13-14) | Total Foreign<br>Exchange<br>Change in<br>B./A.C.V. | Date<br>Acquired | Designatio Modifier and SVO Administra ive Symbo XXX |
| dentification                           | Description                             | Code                                    | Foreign  | Shares         | 1,403,016                            | XXX  | 1,403,016       |   |                        | During Year<br>67,526                                |   | 69,411   |  | 69,411                                     |   | XXX              |  |
| 9499999 - Mutu                          | rail Funds                              |   |          |                | 1,403,010                            | AAA  | 1,700,010       | .,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, |                        |  |   |  |  |  |   |                  |  |
| nit Investment                          | Trusts                                  |   |          |                |                                      |  |                 |   |                        |  |   |  |  |  |   | ,                | <del></del>  |
| losed-End Funds                         |   |   |          | ,              | ,                                    |  |                 |   |                        | 1  |   |  |  |  |   | ł                |  |
|   |   |   | <b></b>  | · <del>}</del> |                                      |  |                 |   |                        |  |   | <b>.</b>   |  |  |   | ł                |  |
|   |   | ļ                                       | <b>†</b> | · <del> </del> |                                      |  |                 |   |                        | I  |   | 1  |  |  |   | <del>†</del>     |  |
|   | *************************************** | <u> </u>                                | <b>†</b> | ·              |                                      | ······   | 1               |   | I                      | I  |   |  |  |  | ····  | t                |  |
|   |   | ļ                                       |          |                |                                      |  | 1               |   |                        |  |   |  |  | <b>.</b>                                   |   |                  |  |
|   |   |   | <b>†</b> | ·              |                                      |  | T               |   |                        |  |   |  | <b></b>  | ···-                                       | ***************************************             | 1                |  |
|   |   |   | ·†       | 1              | 1                                    | Ī  | I               | L                                       |                        |  |   | ļ  | ····   | ·····                                      |   | İ                |  |
|   |   |   | ł        | 1              |                                      |  |                 |   |                        |  |   | <b></b>  |  |  |   | 1                |  |
|   |   |   |          | 1              |                                      |  | I               |   |                        |  |   | ···  |  | <b>†</b> ·····                             |   | 1                |  |
|   |   |   |          | 1              |                                      |  | I               |   |                        |  |   | ·····  | •  | <b>†</b>                                   |   | 1                |  |
| 4                                       |   |   | 1        | 1              |                                      |  |                 |   |                        | ļ  |   |  |  | İ  | İ   | Ī                |  |
|   |   | 1                                       | 1        |                |                                      |  |                 |   |                        |  |   | <b>+</b>   |  | ·  |   | Ī                |  |
|   |   | *************************************** | 1        | T              |                                      |  |                 |   |                        | ·  |   | ***************************************            |  |  |   | I                |  |
|   |   |   |          | Ι              |                                      |  |                 |   |                        | ·····  |   | <b></b>  |  |  |   | I                |  |
|   |   | 1                                       | I        | I              |                                      |  |                 |   |                        | ·······  | ·····                                   | †  | ***************************************                    |  |   |                  |  |
|   |   |   | Ι        | .1             |                                      |  |                 |   |                        | ·  |   | · · · · · · · · · · · · · · · · · · ·              | ***************************************                    | T  | I   | .1               |  |
|   |   | Ι                                       | Ι        | .1             |                                      |  |                 |   | <b></b>                | ·····  |   |  |  | I  |   |                  |  |
|   |   | I                                       |          |                |                                      |  |                 |   |                        |  | *************************************** | ***************************************            |  | l  |   |                  |  |
| *************************************** |   | ļ                                       | .1       |                |                                      |  | ·               | <b>+</b>                                | <b>†</b>               | ·  |   | 1  |  |  |   |                  |  |
|   |   | Į                                       |          |                |                                      |  |                 | <del></del>                             | t                      | +  | 1                                       | T  | I  | <u> </u>                                   | <b></b>   |                  |  |
|   |   | <b></b>                                 |          |                |                                      | ······   |                 | <b>†</b>                                | †                      | *  |   | I  |  |  | ļ   |                  |  |
|   |   |   |          |                |                                      |  |                 | †                                       |                        | 1  |   | L  | <u></u>  |  | ļ   |                  |  |
|   |   | <b></b>                                 |          | · <del> </del> | ·                                    | <b>†</b>   | ·†              | t                                       | 1                      | I  | Į                                       | <b>.</b>   | <b>1</b>   | <b></b>                                    | <del> </del>  | +                |  |
|   |   |   |          |                |                                      | <b>†</b>   | ·               | 1                                       |                        | I  | <u> </u>                                |  |  |  | <b></b>   |                  |  |
|   |   | t                                       |          | +              | ·t                                   | 1  | 1               | I                                       |                        | 1  | <b></b>                                 |  | <b>+</b>   | · <del> </del>                             | <del> </del>  | +                | t  |
|   | <b></b>                                 | <b>†</b>                                | +        |                | †                                    | <b>†</b>   | 1               | Ι                                       | 1                      | 1  | <b></b>                                 | ļ  | <del> </del>   | <b>+</b>                                   | <del> </del>  | ·†               |  |
|   |   | t                                       |          |                | †                                    |  | I               | I                                       | <u> </u>               |  |   |  | <b>+</b>   | +  | †   | <b></b>          |  |
|   |   | t                                       | ·†       |                | 1                                    | 1  | I               | L                                       | 1                      |  | <b></b>                                 | <b>.</b>   | <del> </del>   | t  | t   | 1                | 1  |
| · · · · · · · · · · · · · · · · · · ·   |   | †                                       | 1        | 1              | ·                                    | I  | I               | <b></b>                                 | <b></b>                |  | <b>}</b>                                | · <del> </del>                                     | <del>+</del>   | †  | 1   | 1                |  |
| ·····                                   | <del> </del>                            | †                                       | 1        | 1              | T                                    | I  | 1               | <u> </u>                                | <b></b>                | 4  | <del> </del>                            | <b></b>  | <del> </del>   | †  | 1   | 1                |  |
|   | 1                                       | 1                                       | 1        | 1              | I                                    | I  | 1               | <b></b>                                 | <b>↓</b>               |  | <del> </del>                            | · <del> </del>                                     | †·····   | ·†····                                     | 1   | I                |  |
|   | <b></b>                                 | 1                                       | 1        | T              | I                                    | I  |                 | <b></b>                                 | ļ                      |  | <del> </del>                            | · <del>†</del>                                     | †  | ·†   | 1   | Ι                |  |
|   | <b>†</b>                                | †                                       | 1        | I              | I                                    | <u> </u>   |                 | <b>↓</b>                                |                        | +  | ł                                       | <del></del>  | t  |  | 1   | I                |  |
|   | †                                       | T                                       | T        | Ι              |                                      | 1  |                 | <b></b>                                 |                        | · <del>†</del> · · · · · · · · · · · · · · · · · · · | ·                                       | ·†   | t  |  | Ι   | 1                |  |
|   | <b></b>                                 | Ι                                       | I        | I              |                                      | 1  |                 |   |                        | 445 444  |   | 372,380  |  | 372,380                                    |   | XXX              | XXX  |
| 0700000 Ta                              | tal Common Stocks                       |   |          |                | 3,309,229                            | XXX  | 3,309,229       | 2,489,255                               |                        | 119,670  |   |  |  | 372,380                                    |   | XXX              | XXX  |
| A(AAAAA 10                              | tal Common Stocks                       |   |          |                | 3,309,229                            |  | 3,309,229       | 2,489,255                               |                        | 119,670  | 1                                       | 372,380  | 1  | 3/2,360                                    | 1   |                  |  |

| 1.     |       |      |                        |       |                         |         |      |    |    |    |    |     |   |        |   |
|--------|-------|------|------------------------|-------|-------------------------|---------|------|----|----|----|----|-----|---|--------|---|
| Line   |       |      |                        |       | _                       |         |      |    |    |    |    |     |   |        |   |
| Number | Book/ | Adiu | usted Carrying Value b | y NAK | Designation Category Fo | otnote: |      |    | _  |    | _  |     |   | 10     |   |
| 1A     | 1A    | \$   | 1,403,016              | 1B    | \$                      | 1C \$   |      | 1D | \$ | 1E | \$ | 115 | • | <br>10 | • |
| 1B     | 2A    | \$   |                        | 2B    | \$                      | 2C \$   | ,,,, |    |    |    |    |     |   |        |   |
| 1C     | 3A    | \$   |                        | 3B    | \$                      | 3C \$   |      |    |    |    |    |     |   |        |   |
| 1D     | 4A    | Š    |                        | 48    | \$                      | 4C \$   |      |    |    |    |    |     |   |        |   |
| 1E     | 5A    | \$   |                        | 5B    | \$                      | 5C \$   |      |    |    |    |    |     |   |        |   |
| 1F     | 6     | •    |                        |       |                         |         |      |    |    |    |    |     |   |        |   |

#### **SCHEDULE D - PART 3**

| CLUSP   Description   Description   Pereign   Date Acquired   Name of Vendor   Shares of Stock   Cost   Par Value   Place of Accus   Par Value   Place of Accus   Par Value   Place of Accus   Par Value   Place of Cost   Par V   |                       |   |                       | Si                     | lowing All Long-Term Bonds and Stocks ACQUIRED During Current Year |                 |         |           |                        |
|--|-----------------------|---|-----------------------|------------------------|--|-----------------|---------|-----------|------------------------|
| Cust   | 1 1                   | 2   | 3                     | 4                      | 5  | 6               | 7       | 8         | 9                      |
| Cuts    Description   Description   Foreign   Date Acquired   Name of Vendor   Shares of Shock   Cose   Par Value   Interest and Divide   Bords - 1.5   Generatories   Shares of Shock   Cose   Par Value   Interest and Divide   Shares of Shock   Cose   Par Value   Interest and Divide   Shares of Shock   Cose   Par Value   Interest and Divide   Shares of Shock   Cose   Par Value   Interest and Divide   Cose   Par Value   Interest and Divide   Cose   Par Value   Interest and Divide   Cose   Par Value   Interest   Par Value   Interest   Par Value   Par Value   Interest   Par Value   Interest   Par Value   Interest   Par Value   Par Value   Interest   Par Value   Par Value   Interest   Par Value   Par Value   Interest   Par Value      | 1 '                   | -   | _                     |                        |  | 1 1             | 1       |           | Daid for Accrued       |
| Description   Description   Description   Description   Description   Description   Secure   Description   Descr   | CUEID                 |   | }                     |                        |  |                 |         | DayVolve  |                        |
| Section   All Different and Properties   |                       | Description   | Foreign               | Date Acquired          | Name of Vendor   | Shares of Stock | Cost    | Par value | Interest and Dividends |
| Econs - 1.8   Toller Conserments   |                       |   |                       |                        |  |                 |         |           |                        |
| Stories   U.S. States   Ferritories and Possessions (Direct and Guarantee)   |                       |   |                       |                        |  |                 |         |           |                        |
| Sport   10.8   Pol   Itilizal   Sacitivi   sions of   States, ferrifories and Possessions (Direct and Gearnites)   Sport   10.8   Sport   1   | Bonds II C States     | Torritories and Possessions (Direct and Guaranteed)       |                       |                        |  |                 |         |           |                        |
| SSST-34-6-6   Codet Regiots IA for Rev 2-05 614-00   Codet Regiots IA for Regions IA for Regiots IA    | Bonds - ILS Politica  | I Subdivisions of States, Territories and Possessions (D  | Direct and Guaranteed | )                      |  |                 | 97 450  | 100,000   |                        |
| 150931-17-5    Code Rapids   N. H.Y. Rev. 2.0. 671/41   0.0727/2021   Prior Clearing   XXX   5.00   0.00   | 150573-KC-6           | Cedar Rapids IA Swr Rev 2.0% 6/1/40                       | T                     | 1 0//01/2021           | Edward Jones   |                 |         |           |                        |
| Seption   Sept   | 150591-J V-5          | Cedar Rapids 1A Wtr Rev 2.0% 6/1/41                       | ļ                     | 05/27/2021             | Edward Jones.  |                 |         |           |                        |
| Septid-407-3   |                       | Kirkwood Cmnty Cilg IA New Jobs Training                  |                       | 05/27/2021             | First Clearing.  |                 |         |           | 14                     |
| St454-Park   Link of IA Face Coping Park   20.8 97.178.   S627/2021   Several Access.   SXXX   S1,041   S2,000   S2,00   |                       | Oregon WI Go Corp 2.0%                                    |                       |                        |  | XXX I           |         |           | 83                     |
| Section 67-7   Intertorm Sch Diel Sales Tax Rev  | 914364-XN-9           | Univ of IA Facs Corp Rev 2.0% 6/1/36                      |                       | 05/27/2021             |  |                 |         | 50,000    |                        |
| ### ### ##############################   | 914364-XP-4           | Univ of 1A Facs Corp Rev 2.0% 6/1/3/                      |                       |                        |  | XXX             |         |           |                        |
| Special Pewrite and Special Assessment and all Non-Garranteed Obligations of Agencies and Authorities of Governments and Their Political Suddivisions   Sports - Industrial and Miscellaranous (Munifiliated)   Sports - Parity, Subsidiaries, and Affiliates   Sports - Parity, Subsidiaries, and Affiliates   Sports - Parity, Subsidiaries, and Affiliates   Sports - Parity, Subsidiaries, and Affiliates   Sports - Parity, Subsidiaries, and Affiliates   Sports - Parity, Subsidiaries, and Affiliates   Sports - Parity, Subsidiaries, and Affiliates   Sports - Parity, Subsidiaries, and Affiliates   Sports - Parity, Subsidiaries, and Affiliates   Sports - Parity, Subsidiaries, Sports -    | 94216P-GY-7           | Matertown Sch Dist Sales lax Rev                          | .L                    |                        | First Vical III  |                 | 450,969 | 450,000   | 253                    |
| Bonds - Industrial and Miscel laneous (Marifiliated)   Bonds - Farent, Substidaries, and Affiliates  | 2499999 - Bonds - U   | I.S. Political Subdivisions of States, Territories and Po | ossessions (Direct at | to ocaranteeu)         | f Coveragents and Their Delitical Subdivisions                     |                 |         |           |                        |
| Bonds - Nyorid Securities   Bonds - Stories   Substidiaries and Affiliates   Bonds - Parts   Substidiaries   Association   Substidiaries   Association   A   | Bonds - U.S. Special  | Revenue and Special Assessment and all Non-Guaranteed Ut  | origations of Agencie | es and Addition thes t | Sovernments and men roritical subcivisions                         |                 |         |           |                        |
| Sports - Parent   Subsidiaries   and Affiliates  |                       |   |                       |                        | · · · · · · · · · · · · · · · · · · ·                              |                 |         |           |                        |
| Bonds - SVD (deht[field Funds   Deht   | Bonds - Hybrid Securi | ties  |                       |                        |  |                 |         |           |                        |
| Bonds - Subtotals - Marffillated Bank Loans   450,969  | Bonds - Parent, Subsi | diaries, and Affiliates                                   |                       |                        |  |                 |         |           |                        |
| 8399997 - Bonds - Subtotals - Bonds - Part 3   450,000   |                       |   |                       |                        |  |                 |         |           |                        |
| 30,000   3   | Bonds - Subtotals - L | haffiliated Bank Loans                                    |                       |                        |  |                 |         |           | 253                    |
| Preferred Stocks - Industrial and Niscellaneous (Unaffiliated) Perpetual Preferred Stocks - Industrial and Niscellaneous (Unaffiliated) Redeemable Preferred Stocks - Parent, Subsidiaries and Affiliates Redeemable Preferred Stocks - Parent, Subsidiaries and Affiliates Redeemable Preferred Stocks - Parent, Subsidiaries and Affiliates Redeemable Preferred Stocks - Parent, Subsidiaries and Affiliates Redeemable Preferred Stocks - Parent, Subsidiaries and Affiliates Redeemable Preferred Stocks - Parent, Subsidiaries and Affiliates Redeemable Preferred Stocks - Parent, Subsidiaries and Affiliates Redeemable Preferred Stocks - Parent, Subsidiaries and Affiliates Redeemable Preferred Stocks - Parent, Subsidiaries and Affiliates Redeemable Preferred Stocks - Redeemable Redeemable Preferred Stocks - Parent, Subsidiaries and Affiliates Redeemable Redeemab   |                       |   |                       |                        |  |                 | 450,969 | 450,000   | 253                    |
| Preferred Stocks - Industrial and Niscel Taneous (Inaffiliated) Redeemable Preferred   | 8399999 - Bonds - S   | Subtotals - Bonds   |                       |                        |  |                 |         |           |                        |
| Preferred Stocks - Parent, Subsidiaries and Affiliates Perpetual Preferred Stocks - Parent, Subsidiaries and Affiliates Redemands Preferred Stocks - Parent, Subsidiaries and Affiliates Redemands Preferred Stocks - Industrial and Niscellamous (Unaffiliated) Publicly Traded   | Preferred Stocks - In | ndustrial and Miscellaneous (Unaffiliated) Perpetual Pre  | terred                |                        |  |                 |         |           |                        |
| Preferred Stocks - Parent, Subsidiaries and Affiliates Redemable Preferred Common Stocks - Industrial and Niscellaneous (Unaffiliated) Publicly Traded   114.000   4,238   XXX   | Preferred Stocks - In | ndustrial and Miscellaneous (Unaffiliated) Redeemable Pro | eterred               |                        |  |                 |         |           |                        |
| Common Stocks - Industrial and Miscellaneous (Unaffiliated) Publicly Traded   114.000   4.238   XXX  | Preferred Stocks - Pa | arent, Subsidiaries and Affiliates Perpetual Preferred    |                       |                        |  |                 |         |           |                        |
| Sec24-10-6.   Organon & Co.   Substitute     | Preferred Stocks - Pa | arent, Subsidiaries and Affiliates Redeemable Preferred   |                       |                        |  |                 |         |           |                        |
| Marcian   Marc   | Common Stocks - Indus | strial and Miscellaneous (Unaffiliated) Publicly Iraded   |                       | 1 00/02/2024           | Cainaff  | 114,000 L       | 4,238   | XXX       |                        |
| Common Stocks - Industrial and Miscellaneous (Unaffiliated) Other  | 68622V - 10 - 6       | Organon & Co.   |                       | U0(U3(ZUZ)             | ppmort   |                 | 4,238   | XXX       |                        |
| Common Stocks - Parent, Subsidiaries, and Affiliates Publicly Traded   | 9099999 - Common St   | tocks - Industrial and Miscellaneous (Unaffiliated) Publ  | icly traded           |                        |  |                 |         |           |                        |
| Common Stocks - Natural Funds   9,264.978   150,000   XXX  | Common Stocks - Indus | strial and Miscellaneous (Unaffiliated) Other             |                       |                        |  |                 |         |           |                        |
| Common Stocks - Nutruel Funds   9,284.978   150,000   XXX  | Common Stocks - Parer | nt, Subsidiaries, and Affiliates Publicly Traded          |                       |                        |  |                 |         |           |                        |
| S32726-40-3  | Common Stocks - Pares | nt, Subsidiaries and Affiliates Other                     |                       |                        |  |                 |         |           |                        |
| SS2726-40-3.   American Funds Ltd Term Tax Exempt Bd Fu.   St.132422.   Fifth Third Mutual Funds.   10,980.986   150,000   XXX   | Common Stocks - Mutua | al Funds  |                       | 1 04/45/0004           | Parcel Total Bulgary Streets                                       | 9.264.978       | 150,000 |           |                        |
| New Year   | 532726-40-3           | American Funds Ltd Term Tax Exempt Bd Fu                  |                       |                        |  |                 | 150,000 |           |                        |
| Common Stocks - Unit Investment Trusts         304,238         XXX           Common Stocks - Closed-End Funds         304,238         XXX           9799997 - Common Stocks - Subtotals - Common Stocks - Part 3         304,238         XXX           9799999 - Common Stocks - Subtotals - Common Stocks         304,238         XXX   |                       |   |                       | <u></u>                | FILLI MINO MULUAL FORUS.   |                 | 300,000 | XXX       |                        |
| Common Stocks - Closed-End Funds         304,238         XXX           9799997 - Common Stocks - Subtotals - Common Stocks - Part 3         304,238         XXX           97999999 - Common Stocks - Subtotals - Common Stocks - Common Stocks - Subtotals - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common Stocks - Common  |                       |   |                       |                        |  |                 |         |           |                        |
| 9799997 - Common Stocks - Subtotals - Common Stocks - Part 3 9799999 - Common Stocks - Subtotals - Common Stocks - Subtotals - Common Stocks - 304,238 XXX 9799999 - Common Stocks - Subtotals - Commo |                       |   |                       |                        |  |                 |         |           |                        |
| 9799999 - Common Stocks - Subtotals - Common Stocks - 304,238 XXX  | Common Stocks - Closi | ed-End Funds  |                       |                        |  |                 | 304.238 | XXX       |                        |
| 9799999 - Common Stocks - Subtotals - Common Stocks - Subtotals - Common Stocks - XXX  | 9799997 - Common S    | tocks - Subtotals - Common Stocks - Part 3                |                       |                        |  |                 |         | XXX       |                        |
|  | 9799999 - Common S    | tocks - Subtotals - Common Stocks                         |                       |                        |  |                 |         | XXX       |                        |
| 9899999 - Common Stocks - Subtorars - Preferred and Common Stocks  | 9899999 - Common S    | tocks - Subtotals - Preferred and Common Stocks           |                       |                        |  |                 | 755,207 | XXX       | 253                    |
| 999999 Totals  | 9999999 Totals        |   |                       |                        |  |                 | 130,201 | ,,,,,,    |                        |

#### **SCHEDULE D - PART 4**

|                 |   |                       |                               |                  |                     |                  | <b>~~.</b>      |              |   |                              |  |                | Vand          |                    |               |   |            |                |             |
|-----------------|---|-----------------------|-------------------------------|------------------|---------------------|------------------|-----------------|--------------|---|------------------------------|--|----------------|---------------|--------------------|---------------|---|------------|----------------|-------------|
|                 |   |                       |                               |                  | Showing all         | Long-Term I      | Sonds and St    | ocks SOLD, i | REDEEMED o                              | Otherwise DI                 | SPOSED OF D                                      | Juring Current | rear          | 100                | 17            | 18                                      | 19         | 20             | 21          |
|                 | 2   | 12 4                  | 5                             | 6                | 7                   | 8                | 9               | 10           |   | Change in E                  | Sook/Adjusted Ca                                 | mying value    |               | 16                 | 17            | , ·•                                    | .9         |                | 1 -         |
| '               | <b>-</b>  | 12                    | · ·                           | 1                | 1                   |                  |                 |              | 11                                      | 12                           | 13   | 14             | 15            | ĺ                  |               |   |            |                | J i         |
| 1               |   |                       |                               | i                |                     |                  |                 |              |   |                              |  |                |               | 1                  |               |   |            |                | !           |
|                 |   |                       |                               | l                | 1                   |                  |                 |              |   |                              |  |                | 1             | Book/              |               |   |            | Bond           | ]           |
| 1               |   | i e                   |                               |                  | 1 1                 |                  |                 | Prior Year   |   |                              | Current Year's                                   | Total          | Total Foreign | Adjusted           | Foreign       | i                                       |            | Interest/Stock | Stated      |
|                 |   | līl i                 |                               | ļ.               | 1                   |                  |                 | Book/        | Unrealized                              |                              | Other-Than-                                      | Change in      | Exchange      | Carrying Value     | Exchange Gain | Realized Gain                           | Total Gain | Dividends      | Contractual |
| CUSIP           | i   | اما                   |                               | Number of        | 1 1                 |                  |                 | Adjusted     | Valuation                               | Current Year                 | Temporary  | B./A.C.V.      | Change in     | Callying value     | (Loss) on     | (Loss) on                               | (Loss) on  | Received       | Maturity    |
| Identi-         | ]   | n Disposal            |                               | Shares of        | 1                   |                  |                 | Carrying     | Increase/                               | (Amortization)/<br>Accretion | Impairment<br>Recognized                         | (11+12-13)     | B/A.C.V.      | Disposal Date      | Disposal      | Disposal                                | Disposal   | During Year    | Date        |
| fication        | Description                                       | Date                  | Name of Purchaser             | Stock            | Consideration       | Par Value        | Actual Cost     | Value        | (Decrease)                              | Accietion                    | Recognized                                       | (117.12-10)    | 1 03740.11    | ,                  |               |   |            |                |             |
| Bonds - U.S.    | Governments                                       |                       |                               |                  |                     |                  | 20.74           | 00.570       |   | 1,427                        |  | 1,427          | 1             | 40,000             |               |   |            |                | 06/15/2021  |
| 88059E-XD-1     | Tennessee Valley Auth Strips                      | 06/15/2021            | Matured                       | XXX              | 40,000              | 40,000           | 32,741          | 38,573       | *************************************** | 1.427                        |  | 1.427          |               | 40,000             |               |   |            |                | XXX         |
| 0599999 -       | Bonds - U.S. Governments                          |                       |                               |                  | 40,000              | 40,000           | 32,741          | 36,3/3       |   | 1,421                        |  | .,             | ·             |                    |               |   |            |                |             |
| Bonds - All (   | Other Governments                                 |                       |                               |                  |                     |                  |                 |              |   |                              |  |                |               |                    |               |   |            |                |             |
| Bonds - U.S.    | States, Territories and Possession                | ns (Direct and Guaran | nteed)                        |                  |                     |                  |                 |              |   |                              |  |                |               |                    |               |   |            |                |             |
| Bonds - U.S.    | Political Subdivisions of States,                 | Territories and Post  | sessions (Direct and Guarant  | (eed)            | 50.000              | FA 000           | 49,701          | 49,906       |   |                              | 1  | 6              | 1             | 49,911             |               |   |            |                | 06/01/2028  |
| 035357-YJ-8     | Ankeny, IA Comm School                            |                       |                               | <u>XXX</u>       | 50,000              | 50,000<br>50,000 | 49,701          | 49,860       |   | † <u>8</u>                   | · · · · · · · · · · · · · · · · · · ·            | , a            | T             | 49,868             | L             | 132                                     | 132        | 877            |             |
| 150573-CG-6.    | Cedar Rapids IA Sewer Rev                         | 06/23/2021            |                               | XXX              | 50,000              |                  |                 |              |   | t                            | İ  | 1              |               | 50,000             |               | 1                                       | L          | 763            | 06/01/2027  |
| 263867-5V-1     | Dubuque IA Go Cap Ln NTS                          | 06/04/2021            |                               | XXX              | 50,000              | 50,000           |                 | 25,743       |   | (58)                         | t  | (58)           | 1             | 25,685             | <u> </u>      | (457)                                   | (457)      |                | 06/01/2028  |
| 264057 - CY - 4 | Dubuque IA Witr Rev Ser                           |                       |                               | XXX              | 25,228              | 25,000           |                 | 50.382       |   | (382)                        |  | [382]          |               | 50,000             |               |   |            | 1,250          | 04/01/2031  |
| 462460-07-4     | IA Higher Ed Ln Auth                              | 04/01/2021            |                               | XXX              | 50,000              | 50,000           | 56,623          | 50,382       |   | (218)                        |  | (218)          |               | 50,000             |               |   |            | 2,063          | 12/01/2039. |
|                 | Pell City, AL Refund Warranty                     | 12/01/2021            |                               | XXX              | 50,000              | 50,000           | 49.675          | 49,885       |   | 29                           |  | 29             |               | 49,914             |               | 86                                      | 86         | 1,506          | 06/01/2024  |
|                 | Syracuse NY Pub                                   | 11/18/2021            |                               | XXX              | 50,000              | 35,000           | 35,656          | 35,091       |   | (91)                         |  | (91            |               | 35,000             |               |   |            | 1,400          | 07/01/2031  |
| 91474P-BR-0_    | Univ of Northern lowa                             | 07/01/2021_           | Called                        |                  | 35,000              | 35,000           | 35,050          |              |   | 1                            |  |                |               |                    |               |   |            | 9,108          | ххх         |
| 2499999 -       | Bonds - U.S. Political Subdivision                | is of States, Territo | ries and Possessions (Direc   | tand             | 360.228             | 360.000          | 368,835         | 361,085      | l                                       | (706)                        | d)   | (706)          | )             | 360,379            |               | (151)                                   | (151)      | 9,108          | 1 444       |
|                 | Guaranteed) Special Revenue and Special Assess    |                       | asset and Obligations of Age  | ncine and Author | ities of Government | ents and Their I | olitical Subdiv | isions       |   |                              |  |                |               |                    |               |   |            |                |             |
| Bonds - U.S.    | Special Revenue and Special Assess                | sment and all Mon-eu  | aranteed our igas ions or age | ILIES GIA NULLIA | 11163 01 001011     | and the men      |                 |              |   |                              |  |                |               |                    |               |   |            | 1 0.000        | 11/29/2021_ |
|                 | strial and Miscellaneous (Unaffilia               | 11/29/2021            | Maturad                       | XXX              | 150.000             | 150,000          | 150,000         | .150,000     |   | I                            |  |                |               | 150,000            |               |   |            | 3,300          |             |
| BIMIBAN-00-D.   | Bonds - Industrial and Niscellaneo                |                       | matureu                       |                  | 150,000             |                  |                 |              |   |                              |  |                |               | 150,000            | l             |   |            | 3,300          | 1 222       |
|                 |   | us (unammateu)        |                               |                  | 100,000             |                  |                 |              |   |                              |  |                |               |                    |               |   |            |                |             |
| Bonds - Hypr    | id Securities<br>nt, Subsidiaries, and Affiliates |                       |                               |                  |                     |                  |                 |              |   |                              |  |                |               |                    |               |   |            |                |             |
|                 | nt, Substitiaries, and Attitiales                 |                       |                               |                  |                     |                  |                 |              |   |                              |  |                |               |                    |               |   |            |                |             |
|                 | otals - Unaffiliated Bank Loans                   |                       |                               |                  |                     |                  |                 |              |   |                              |  |                |               | 1                  |               | 74641                                   | (151       | 12,406         | 1 XXX       |
|                 | Bonds - Subtotals - Bonds - Part 4                |                       |                               |                  | 550.228             | 550,000          | 551,577         |              |   | 721                          |  | 721            |               | 550,379<br>550,379 |               | (151)                                   |            |                |             |
|                 | Bonds - Subtotals - Bonds                         |                       |                               |                  | 550,228             | 550,000          | 551,577         | 549,658      |   | 721                          | 1  | 721            | 4             | 550,379            | L             | (10)                                    | (13)       |                |             |
| Dreferred St    | ocks - Industrial and Miscellaneou                | s (Inaffitiated) Per  | petual Preferred              |                  |                     |                  |                 |              |   |                              |  |                |               |                    |               |   |            |                |             |
| Dreferred C     | ocks - Industrial and Miscellaneou                | s (Unaffiliated) Red  | eemable Preferred             |                  |                     |                  |                 |              |   |                              |  |                |               |                    | _             |   |            |                |             |
| Preferred St    | ocks - Parent Subsidiaries and Af                 | filiates Perpetual P  | referred                      |                  |                     |                  |                 |              |   |                              |  |                |               |                    |               |   |            |                |             |
| Preferred St    | ocks - Parent, Subsidiaries and Af                | filiates Redeemable   | Preferred                     |                  |                     |                  |                 |              |   |                              |  |                |               |                    |               |   |            |                |             |
| Common Stock    | s - Industrial and Miscellaneous (                | Unaffiliated) Public  | ly Traded                     |                  |                     |                  |                 |              |   |                              |  | 1 4 000        |               | 14,238             | т —           |   | 1          |                | 1xxx        |
|                 | Merck & Co Inc.                                   | 06/03/2021            | Spin Off                      |                  | 4,238               |                  | 4,238           |              | 4,238                                   |                              |  | 4,238          |               | 4,238              |               | *************************************** |            |                | XXX         |
| 9099999 -       | Common Stocks - Industrial and Mis                | scellaneous (Unaffili |                               |                  | 4,238               | XXX              | 4,238           | l            | 4,238                                   |                              |  | 4,230          | <u> </u>      | 1 4,230            |               |   |            |                |             |
| Common Stock    | s - Industrial and Miscellaneous_(                | (Unaffiliated) Other  |                               |                  |                     |                  |                 |              |   |                              |  |                |               |                    |               |   |            |                |             |
| Common Stock    | s - Parent, Subsidiaries, and Affi                | iliates Publicly Trac | led                           |                  |                     |                  |                 |              |   |                              |  |                |               |                    |               |   |            |                |             |
| Common Stock    | s - Parent, Subsidiaries and Affil                | liates Other          |                               |                  |                     |                  |                 |              |   |                              |  |                |               |                    |               |   |            |                |             |
| Common Stock    | s - Mutual Funds                                  |                       |                               |                  |                     |                  |                 |              |   |                              |  |                |               |                    |               |   |            |                |             |
| Common Stock    | s - Unit Investment Trusts                        |                       |                               |                  |                     |                  |                 |              |   |                              |  |                |               |                    |               |   |            |                |             |
| Common Stock    | s - Closed-End Funds                              |                       |                               |                  |                     |                  |                 |              | 1 / ^^                                  |                              | ·  | 1 4.238        | 1             | 4,238              | П'            |   |            |                | XXX         |
| 9799997 -       | Common Stocks - Subtotals - Common                | n Stocks - Part 4     |                               |                  | 4,238               |                  | 4,238           |              | 4,238                                   | +                            | <b>+</b>   | 4,230          | Ή——           | 7,200              | <u> </u>      | 38                                      |            |                | XXX         |
| 9799998 -       | Common Stocks - Summary item from                 | Part 5 for Common S   | locks                         |                  | 38                  |                  | 4,238           | +            | 4.23                                    | +                            | <del></del>                                      | 4,238          | 1             | 4,238              |               | 38                                      |            |                | XXX         |
| 9799999 -       | Common Stocks - Subtotals - Common                | n Stocks              |                               |                  | 4,276               |                  | 4,238           |              | 4,23                                    |                              | <del>                                     </del> | 4.238          |               | 4,238              |               | 38                                      |            |                | XXX         |
|                 | Common Stocks - Subtotals - Prefe                 | rred and Common Stoc  | ks                            |                  | 4,276<br>554,504    |                  | 555,815         |              |   |                              | 1  | 4.959          |               | 554,617            |               | (113                                    | )] (113    | 3) 12,40       | 8 XXX       |
| 0000000         | <del></del>                                       |                       |                               |                  | 1 554.504           | 1 444            | 1 333.613       | 1 249,020    | 1 4,230                                 | 1 141                        |  | 7,500          |               |                    |               |   |            |                |             |

#### **SCHEDULE D - PART 5**

|                |   |                        |                         |                | Showing a                             | ill Long-Term B | onds and Sto     | cks ACQUIRED [ | During Year and | Fully DISPOS | ED OF During C | urrent Year     |                 |   |                |   |                                       | 20           | 21       |
|----------------|---|------------------------|-------------------------|----------------|---------------------------------------|-----------------|------------------|----------------|-----------------|--------------|----------------|-----------------|-----------------|---|----------------|---|---------------------------------------|--------------|----------|
|                |   | 101 4                  |                         | 6              | 7                                     | 8               | 9                | 10             | 11              |              | Change in      | Book/Adjusted C |                 |   | 17             | 18                                      | 19                                    | 20           | 2'       |
| 1              | 2   | 3 4                    | 3                       | , ,            | · ·                                   | ŭ               |                  |                |                 | 12           | 13             | 14              | 15              | 16                                      |                |   |                                       |              | 1        |
|                |   | 1_1                    | 1                       | 1 :            |                                       |                 |                  |                |                 |              | 1              | ŀ               | j               |   |                | 1                                       |                                       |              | 1        |
| 1              |   | F                      |                         | 1              |                                       |                 |                  | 1              |                 |              |                | į               | 1               | 1                                       |                |   |                                       |              | D-14 4   |
|                |   | 0                      |                         | i              |                                       | Par Value       |                  | l i            | Book/           |              |                | Current Year's  | 1               | l                                       | ì              |   |                                       |              | Paid for |
| 1              |   | r                      | ! ·                     | 1              |                                       | (Bonds) or      | ·                |                | Adjusted        | Unrealized   | 1              | Other Than      | Total Change    | Total Foreign                           | Foreign        |   |                                       | Interest and | Accrued  |
|                |   | е                      | i                       | 1              |                                       |                 |                  | 1              | Carrying        |              | Current Year's |                 | ln ln           | Exchange                                | Exchange       | Realized-Gain                           | Total                                 | Dividends    | Interest |
| 1              |   | 111                    | l                       |                |                                       | Number of       | ł                |                | Value at        | Increase/    | (Amortization) |                 | B./A. C.V.      | Change in                               | Gain (Loss) on | (Loss) on                               | Gain (Loss)                           | Received     | and      |
| CUSIP          |   | g Date                 | l .                     | Disposal       |                                       | Shares          |                  |                | Disposat        | (Decrease)   | Accretion      | Recognized      | (12 + 13 - 14)  | B/A, C.V.                               | Disposal       | Disposal                                | on Disposal                           | During Year  | Dividend |
| Identification | Description   | n Acquired             | Name of Vendor          | Date           | Name of Purchaser                     | (Stocks)        | Actual Cost      | Consideration  | Dispusai        | [Decrease]   |                | 1 (1000g/nacoo  | 1112 - 10 - 117 |   |                |   |                                       |              |          |
|                | Governments   |                        |                         |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Bonds - All C  | Other Governments   |                        |                         |                | · · · · · · · · · · · · · · · · · · · |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Bonde - IIS    | States Territories and Possess                                      | sions (Direct and G    | uaranteed)              |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
|                |   |                        |                         | ranteed)       |                                       |                 | 7 - 10 10        | 1 W. I-I       |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Bonds - U.S    | Special Revenue and Special   | Assessment and all     | Non-Guaranteed Obligati | ons of Agencie | s and Authorities of Gove             | mments and 1    | heir Political S | uparvisions    |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Bonds - Indi   | strial and Miscellaneous (Unaffi                                    | iliated)               |                         |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
|                | rid Securities  |                        |                         |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Bonds - Pan    | ent, Subsidiaries, and Affiliates                                   |                        |                         |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Bonds - SV     | Identified Funds  |                        |                         |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
|                | totals - Unaffiliated Bank Loans                                    |                        |                         |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Denformed St   | ocks - Industrial and Miscellane                                    | ous (Unaffiliated) P   | emetual Preferred       |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Professed St   | ocks - Industrial and Miscellane                                    | ous (I (naffiliated) R | tedeemable Preferred    |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Preferred St   | ocks - Parent, Subsidiaries and                                     | Affiliates Pernetual   | Preferred               |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Pretened St    | ocks - Parent, Subsidiaries and                                     | Affiliates Perleams    | ble Preferred           |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Preferred S    | ocks - Parent, Sussidianes and<br>ocks - Industrial and Miscellane  | wa (I haffiisted) D    | ublick Traded           |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   | т —                                   |              |          |
| Common St      | ocks - Industrial and Miscellanes<br>Bank of NY Mellon Securities   | ous (Unaminateu) F     | 1                       | 7              | 1                                     | T               | 1                |                |                 |              |                |                 | 1               |   | J.             | 38                                      | 38                                    |              | 1        |
| BANKNY-MN-4    |   | 11/26/2021             | Class Action Settlement | 11/26/2021_    | Class Action Settlement               |                 |                  | 38             |                 |              |                |                 |                 | *************************************** | +              | 38                                      | 38                                    |              |          |
| 0000000        | Common Stocks - Industrial an                                       |                        |                         | 1              |                                       |                 |                  | 38             |                 | 1            | 1              | 1               | <u> </u>        | <u> </u>                                |                |   |                                       | J            |          |
| 9099999        | ocks - Industrial and Miscellane                                    | our (I Inaffiliated) C | other                   |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Common Si      | ocks - Parent, Subsidiaries, and                                    | Affiliates Dublich     | Traded                  |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Common Si      | ocks - Parent, Subsidiaries, and<br>ocks - Parent, Subsidiaries and | Affiliates Other       | I account               |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Common Si      | ocks - Parent, Subsidiaries and                                     | Attribues Other        |                         |                |                                       | _,              |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Common S       | ocks - Mutual Funds   |                        |                         |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              |          |
| Common St      | ocks - Unit Investment Trusts                                       |                        |                         |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       |              | _        |
| Common S       | ocks - Closed-End Funds   | <del></del>            |                         |                |                                       |                 |                  | 38             |                 |              |                |                 |                 |   |                | 38                                      |                                       |              | +        |
| 9799998        | Common Stocks - Subtotals - C                                       | Common Stocks          |                         |                |                                       |                 |                  | 38             |                 |              |                |                 |                 |   | 1              | 38                                      | 38                                    |              | ļ        |
| 9899999        | Common Stocks - Subtotals - F                                       | Preferred and Com      | mon Stocks              |                |                                       |                 |                  |                |                 |              |                |                 |                 |   |                |   |                                       | <del>-</del> |          |
|                | ļ   |                        | · <del> </del>          |                | <b></b>                               | t               | 1                | Ť              | I               | I            |                |                 |                 |   |                | +                                       | · · · · · · · · · · · · · · · · · · · | +            |          |
|                | ļ   |                        | · <del> </del>          |                | 1                                     | T               | 1                | I              |                 |              |                |                 |                 | +                                       | +              | +                                       |                                       | †            | 1        |
|                | ł   |                        | 1                       | 1              | 1                                     |                 |                  | 1              | ļ               | <b></b>      | <b></b>        |                 |                 | · <del>†</del>                          | +              | ·†                                      | 1                                     | 1            | I        |
|                |   |                        | 1                       |                |                                       |                 |                  |                | <b></b>         | •            | · <del> </del> |                 | .+              | †                                       | †              | 1                                       | 1                                     | I            | 1        |
|                |   | 11                     |                         |                | <b></b>                               |                 |                  | <b></b>        | ł               | <del> </del> |                |                 |                 | †                                       | 1              | 1                                       | 1                                     | I            |          |
|                |   |                        | 1                       |                | <b></b>                               |                 |                  | · <del> </del> | <del> </del>    | t            |                | -†              | 1               | 1                                       | I              |   | 4                                     | 1            |          |
|                |   |                        |                         |                | <b></b>                               | ·}              |                  | +              | t               | t            | -              | T               | 1               | 1                                       | 4              |   | 4                                     | 4            |          |
|                |   |                        | ·                       |                | ·····                                 |                 |                  | †              | 1               | 1            |                | I               |                 |   |                |   |                                       | +            |          |
|                |   |                        |                         |                | ·                                     | †               |                  | 1              | 1               | 1            |                |                 |                 | 4                                       |                | .+                                      |                                       | +            |          |
|                |   |                        |                         |                | 1                                     | 1               | T                | I              |                 | 1            |                |                 |                 |   |                |   |                                       | ·            | ··†      |
|                |   |                        |                         |                |                                       | T               |                  | 1              | <u> </u>        | <b></b>      |                |                 |                 | -+                                      |                |   | 1                                     | 1            | 1        |
|                |   |                        |                         |                |                                       |                 |                  |                |                 | <b></b>      |                |                 |                 | .+                                      |                | · † · · · · · · · · · · · · · · · · · · | 1                                     | 1            | I        |
|                | 1   | 1 1                    | Ι                       |                |                                       | <u></u>         |                  |                |                 | <u> </u>     |                |                 |                 | +                                       |                | 38                                      | 36                                    |              |          |
| 9999999        | T-4-1-  |                        |                         |                |                                       |                 | I                | 38             |                 | 1            |                |                 |                 | <del></del>                             |                |   |                                       |              |          |

Schedule D - Part 6 - Section 1

NONE

Schedule D - Part 6 - Section 2

NONE

Schedule DA - Part 1

NONE

Schedule DB - Part A - Section 1

NONE

Schedule DB - Part A - Section 2

NONE

Schedule DB - Part B - Section 1

NONE

Schedule DB - Part B - Section 2

NONE

Schedule DB - Part D - Section 1

NONE

Schedule DB - Part D - Section 2

NONE

SCHEDULE E - PART 1 - CASH

| 1  | 2     | 3              | 4  | 5                                       | 6                                       | 7           |
|--|-------|----------------|--|---|---|-------------|
|  |       |                |  |   |   |             |
|  |       |                |  |   |   |             |
|  | 1     |                | Amount of Interest                               | Amount of Interest                      | 1                                       | 1           |
|  |       |                | Received   | Accrued                                 |   |             |
|  | 1     | Rate of        | During   | December 31 of                          |   | ١.          |
| Denocitory   | Code  | Interest       | Amount of Interest<br>Received<br>During<br>Year | December 31 of<br>Current Year          | Balance                                 | *           |
| Depository OPEN DEPOSITORIES   |       |                |  |   |   |             |
| Ordi berdellonies  |       | 2.850          | 4, 178<br>1, 176                                 | 326                                     | 149,235<br>8,828                        | XX)         |
| Palo Savings Bank  |       | 2.850<br>0.100 | 1,176  | ,                                       | 8,828                                   | XXX         |
| 11/15 balik aliu 1105t company   |       | -              |  |   |   | Ι.          |
| 0199998 Deposits in depositones trial do not exceed t  | ХХХ   | XXX            |  |   |   | XXX         |
| 019998 Deposits in depositories that do not exceed the allowable limit in any one depository - Open Depositories |       | XXX            | 5,353  | 326                                     | 158,062                                 | XXX         |
| 0199999 Totals - Open Depositories   | XXX   |                | 3,333  | J20                                     | 750,000                                 | 1 1000      |
|  |       |                |  |   |   | ļ           |
|  |       |                |  |   |   |             |
|  |       |                | <b>†</b>   |   |   |             |
|  |       |                |  |   |   | L           |
|  |       |                |  |   |   |             |
|  |       |                |  | .,,,                                    |   |             |
|  |       |                |  | *************************************** |   |             |
|  |       |                |  |   | ,                                       | ļ           |
|  |       | L              | <b></b>  |   |   |             |
|  |       | ļ              | ļ  |   |   | ·           |
|  |       |                |  |   |   | +           |
|  |       |                | <b>†</b>   |   |   | ·           |
|  |       | ļ              | <b></b>  |   |   | 1           |
|  |       | ·····          | <b></b>  |   |   | 1           |
|  |       |                | <del> </del>                                     |   |   | 1           |
|  |       |                | †  |   |   |             |
|  |       | ļ              | T  |   |   | 1           |
|  |       | 1              | 1  |   |   |             |
|  |       |                |  |   |   |             |
|  |       |                |  |   |   |             |
|  |       |                |  |   |   |             |
|  |       | ļ              |  |   |   |             |
|  |       |                |  |   | ļ                                       |             |
|  |       |                |  |   |   |             |
| ***************************************  |       |                |  |   |   |             |
|  |       |                |  |   |   | 1           |
|  |       |                |  |   | *************************************** |             |
|  |       |                | ······   |   | *************************************** |             |
|  |       |                |  |   |   |             |
|  |       |                |  |   |   |             |
|  |       |                |  |   |   |             |
|  |       |                |  |   |   |             |
|  |       |                |  |   |   |             |
|  |       | L              |  |   |   |             |
|  |       |                |  |   |   |             |
|  |       |                |  |   |   |             |
|  |       |                |  |   |   |             |
|  |       |                |  |   |   | ·- <b> </b> |
|  |       |                | +  |   |   |             |
|  |       |                | · <del> </del>                                   |   |   | 1           |
|  |       | ·              |  |   |   | 1           |
|  |       | ·              | ··   |   |   |             |
|  |       | ·              | 1  |   |   |             |
|  |       | ·              |  |   |   |             |
|  |       |                | I  |   |   |             |
|  |       | [              |  |   |   |             |
|  |       | .              |  |   |   |             |
|  |       | .              |  | <b>.</b>                                |   |             |
|  |       | .              |  | · · · · · · · · · · · · · · · · · · ·   |   |             |
|  |       | .              |  |   |   |             |
|  |       | · <del> </del> |  | ·                                       |   |             |
|  |       | · }            |  | ·                                       | ·····                                   |             |
|  |       | ·              |  | · ·····                                 |   |             |
|  |       | ·              |  | ·                                       |   |             |
|  |       | 1              | T  |   |   |             |
|  |       | 1              | 1  |   |   |             |
|  |       | . [            |  |   |   |             |
|  |       |                |  |   |   |             |
| 0200000 Total Cook on Donocit  | XXX   | XXX            | 5.353  | 326                                     | 158,062                                 | T X         |
| 0399999 Total Cash on Deposit  | XXX   | XXX            | XXX  | XXX                                     | 75                                      | (X)         |
| 0499999 Cash in Company's Office   | - xxx | XXX            | 5,353  | 326                                     | 158,137                                 | (X)         |

|             | TOTALS  | OF DEPOSITORY E | BALANCES ON THE LAS | ST DAY OF EACH MO | NTH DURING THE CU | RRENI YEAR   |         |
|-------------|---------|-----------------|---------------------|-------------------|-------------------|--------------|---------|
| 1. January  | 340.890 | 4. April        | 331,798             | 7. July           |                   | 10. October  | 163,322 |
| 2. February | 323.732 | 5. Mav          | 238,315             | 8. August         |                   | 11. November | 293,417 |
| 3. March    | 378.572 | 6. June         | 338,125             | 9. September      | 189,314           | 12. December | 158,137 |

#### E28

#### **SCHEDULE E - PART 2 - CASH EQUIVALENTS**

| 1 2  | 3                                       | 4                        | December 31 of Currer<br>5 | 6                                     | 7                    | 8                  | 9                                     |
|--|---|--------------------------|----------------------------|---------------------------------------|----------------------|--------------------|---------------------------------------|
|  | "                                       | Date                     | Rate of                    | Maturity                              | Book/Adjusted        | Amount of Interest | Amount Received                       |
| CUSIP Description  | Code                                    | Acquired                 | Interest                   | Date                                  | Carrying Value       | Due & Accrued      | During Year                           |
| - U.S. Governments - Issuer Obligations  |   |                          |                            |                                       |                      |                    |                                       |
| - II.S. Governments - Residential Mortgage-Backed Securities   |   |                          |                            |                                       |                      |                    |                                       |
| - U.S. Governments - Commercial Mortgage-Backed Securities   |   |                          |                            |                                       |                      |                    |                                       |
| - U.S. Governments - Other Loan-Backed and Structured Securities   |   |                          |                            |                                       |                      |                    |                                       |
| s - All Other Governments - Issuer Obligations   |   |                          |                            |                                       |                      |                    | -                                     |
| s - All Other Governments - Residential Mortgage-Backed Securities   |   |                          |                            |                                       |                      |                    |                                       |
| s - All Other Governments - Commercial Mortgage-Backed Securities  |   |                          |                            |                                       |                      |                    |                                       |
| All Other Covernments - Other Loan-Racked and Structured Securities  |   |                          |                            |                                       |                      |                    |                                       |
| e . IIS States Territories and Possessions (Direct and Guaranteed) - ISSUER VDIIGE   | tions                                   |                          |                            |                                       |                      |                    |                                       |
| - ILC Chatan Tarritacian and Decemenions (Direct and Guaranteed) - Residential   | orroade-sacked Securities               |                          |                            |                                       |                      |                    |                                       |
| s - S. States, Territories and Possessions (Direct and Guaranteed) - Commercial Mon  | Igage-Backed Securities                 |                          |                            |                                       |                      |                    |                                       |
| s - U.S. States, Territories and Possessions (Direct and Guaranteed) - Other Loan-Ba<br>s - U.S. Political Subdivisions of States, Territories and Possessions (Direct and Educations)   | unrantood) - Issuer Obligations         |                          |                            |                                       |                      |                    |                                       |
| to the Continue Debution of Cinton Torritorion and Decempions (Direct and f  | usranteed) - Kesidentisi Morrosoe-Backe | d Securities             |                            |                                       |                      |                    |                                       |
|  |   |                          |                            |                                       |                      |                    |                                       |
|  |   |                          |                            |                                       |                      |                    |                                       |
|  |   |                          | Political Subdivisions -   | Issuer Obligations                    | 1.10                 |                    |                                       |
|  |   |                          |                            |                                       | cked Securities      |                    |                                       |
| is - U.S. Special Revenue and Special Assessment Obligations and all Non-Guaranteed of<br>Special Revenue and Special Assessment Obligations and all Non-Guaranteed Obligation   | ns of Agencies and Authorities of Gover | nments and Their Politic | I Subdivisions - Commerc   | Other Lean Pooked and S               | trictured Securities |                    |                                       |
| is - U.S. Special Revenue and Special Assessment Utiligations and art Non-buaranteed of  | bligations of Agencies and Authorities  | of Governments and Their | POTITICAL SUBDIVISIONS -   | Vinei Luair-backeu anu a              | Tructured Securities |                    |                                       |
| ts - Industrial and Miscellaneous - Issuer Obligations   |   | 12/31/2020               |                            |                                       | 591,976              |                    |                                       |
| XXX.   Federated Government Obligations Fund   |   |                          |                            |                                       | 591,976              |                    |                                       |
| 199999 - Bonds - Industrial and Miscellaneous (Unattiliated) - Issuer Unitgations  | tine                                    |                          |                            |                                       |                      |                    |                                       |
| is - Industrial and Miscellaneous (Unaffiliated) - Residential Mortgage-Backed Secur<br>is - Industrial and Miscellaneous (Unaffiliated) - Commercial Mortgage-Backed Securi   | ies                                     |                          |                            |                                       |                      |                    |                                       |
| to tetrateial and Miccottonogue (Iboffiliated) - Other Loan-Backed and Structured  | lecur ities                             |                          |                            |                                       |                      |                    | · · · · · · · · · · · · · · · · · · · |
| 1899999 - Bonds - Industrial and Miscellaneous (Unaffiliated) - Subtotals - Industria  | I and Miscellaneous (Unaffiliated)      |                          |                            |                                       | 591,976              | <u> </u>           |                                       |
| ts - Hybrid Securities - Issuer Obligations  |   |                          |                            |                                       |                      |                    |                                       |
| ds - Hybrid Securities - Residential Mortgage-Backed Securities  |   |                          |                            |                                       |                      |                    |                                       |
| ds - Hybrid Securities - Commercial Mortgage-Backed Securities   |   |                          |                            |                                       |                      |                    |                                       |
| ds - Hybrid Securities - Commercial mortgage-backed securities   |   |                          |                            |                                       |                      |                    |                                       |
| ds - Hybrid Securities - Other Loan-Backed and Structured Securities   |   |                          |                            | · · · · · · · · · · · · · · · · · · · |                      |                    |                                       |
| ds - Hybrid Securities - Other Loan-Backed and Structured Securities   |   |                          |                            |                                       |                      |                    |                                       |
| is - Hybrid Securities - Other Loan-Backed and Structured Securities is - Parent, Subsidiaries and Affiliates Bonds - Issuer Obligations is - Parent Subsidiaries and Affiliates Bonds - Residential Mortgage-Backed Securit   | es                                      |                          |                            |                                       |                      |                    |                                       |
| ds - Hybrid Securities - Other Loan-Backed and Structured Securities ds - Parent, Subsidiaries and Affiliates Bonds - Issuer Obligations ds - Parent, Subsidiaries and Affiliates Bonds - Residential Mortgage-Backed Securiti   | es                                      |                          |                            |                                       |                      |                    |                                       |
| ds Hybrid Securities - Other Loan-Backed and Structured Securities to Farent, Subsidiaries and Affiliates Bonds - Issuer Obligations to - Parent, Subsidiaries and Affiliates Bonds - Residential Nortgage-Backed Securit to - Parent, Subsidiaries and Affiliates Bonds - Ownercial Nortgage-Backed Securit to - Parent, Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured   | es                                      |                          |                            |                                       |                      |                    |                                       |
| ds - Hybrid Securities - Other Loan-Backed and Structured Securities ds - Parent, Subsidiaries and Affiliates Bonds - Issuer Obligations ds - Parent, Subsidiaries and Affiliates Bonds - Residential Mortgage-Backed Securiti ds - Parent, Subsidiaries and Affiliates Bonds - Commercial Mortgage-Backed Securiti ds - Parent, Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent, Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent, Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries Bonds - Other Loan-Backed and Structured Se ds - Parent Subsidiaries Bonds - Other Bonds - Other Bonds - Other Bonds - Other Bonds - Other Bonds - Other Bonds - Other Bonds - Other Bonds - Other Bon | es                                      |                          |                            |                                       |                      |                    |                                       |
| ds - Hybrid Securities - Other Loan-Backed and Structured Securities dis - Parent, Subsidiaries and Affiliates Bonds - Issuer Obligations dis - Parent, Subsidiaries and Affiliates Bonds - Residential Wortgage-Backed Securit ds - Parent, Subsidiaries and Affiliates Bonds - Commercial Mortgage-Backed Securit ds - Parent, Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Issued ds - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Acquired   | es                                      |                          |                            |                                       |                      |                    |                                       |
| ds - Hybrid Securities - Other Loan-Backed and Structured Securities ds - Parent, Subsidiaries and Affiliates Bonds - Issuer Obligations ds - Parent, Subsidiaries and Affiliates Bonds - Residential Nortgage-Backed Securit ds - Parent, Subsidiaries and Affiliates Bonds - Commercial Nortgage-Backed Securit ds - Parent, Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se ds - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Issued ds - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Acquired ds - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Acquired ds - Svo Identified Funds - Exchance Traded Funds - as Identified by the SVO  | es                                      |                          |                            |                                       |                      |                    |                                       |
| ds Hybrid Securities - Other Loan-Backed and Structured Securities dis - Parent, Subsidiaries and Affiliates Bonds - Issuer Obligations dis - Parent, Subsidiaries and Affiliates Bonds - Residential Nortgage-Backed Securit dis - Parent, Subsidiaries and Affiliates Bonds - Commercial Nortgage-Backed Securit dis - Parent, Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured dis - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Issued dis - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Acquired dis - SVO Identified Funds - Exchange Traded Funds - as Identified by the SVO dis - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired   | es                                      |                          |                            |                                       | 591 07               |                    |                                       |
| s - Hybrid Securities - Other Loan-Backed and Structured Securities s - Parent, Subsidiaries and Affiliates Bonds - Issuer Obligations s - Parent, Subsidiaries and Affiliates Bonds - Residential Nortgage-Backed Securit s - Parent, Subsidiaries and Affiliates Bonds - Commercial Nortgage-Backed Securit s - Parent, Subsidiaries and Affiliates Bonds - Commercial Nortgage-Backed Securiti s - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Issued s - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Acquired s - SVO Identified Funds - Exchange Trade Funds - as Identified by the SVO s - SVO Identified Funds - Exchange Trade Funds - as Identified by the SVO s - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Issued s - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Issued S - Unaffiliated Bank Loans  | es                                      |                          |                            |                                       | 591,97<br>591 97     |                    |                                       |
| is - Hybrid Securities - Other Loan-Backed and Structured Securities  s - Parent, Subsidiaries and Affiliates Bonds - Issuer Obligations  s - Parent, Subsidiaries and Affiliates Bonds - Residential Nortgage-Backed Securit  s - Parent, Subsidiaries and Affiliates Bonds - Commercial Nortgage-Backed Securit  s - Parent, Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured Se  s - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Issued  s - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Required  s - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Acquired  s - SVO Identified Funds - Exchange Traded Funds - as Identified by the SVO  s - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Issued  s - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired  for 199999 - Bonds - Total Bonds - Subtotals - Issuer Obligations  3899999 - Bonds - Total Bonds - Subtotals - Bonds  | es                                      |                          |                            |                                       | 591,97<br>591,97     |                    |                                       |
| is - Hybrid Securities - Other Loan-Backed and Structurad Securities is - Parent, Subsidiaries and Affiliates Bonds - Issuer Obligations is - Parent, Subsidiaries and Affiliates Bonds - Residential Nortgage-Backed Securit is - Parent, Subsidiaries and Affiliates Bonds - Ownercial Nortgage-Backed Securit is - Parent, Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured se is - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Issued is - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Acquired is - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Acquired is - SVO Identified Funds - Exchange Traded Funds - as Identified by the SVO is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Issued is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Subtotals - Issuer Obligations is - SVO Identified Bank Loans - Subtotals - Issuer Obligations is - SVO Identified Bank Loans - Subtotals - Bonds is - SVO Identified Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Subtotals - Issuer Obligations is - SVO Identified Bank Loans - Subtotals - Bonds is - SVO Identified Bank Loans - Identified Bank Loans - Acquired   | es                                      |                          |                            |                                       |                      |                    |                                       |
| ds - Hybrid Securities - Other Loan-Backed and Structured Securities ts - Parent, Subsidiaries and Affiliates Bonds - Issuer Obligations ts - Parent, Subsidiaries and Affiliates Bonds - Residential Mortgage-Backed Securit ts - Parent, Subsidiaries and Affiliates Bonds - Commercial Mortgage-Backed Securit ts - Parent, Subsidiaries and Affiliates Bonds - Commercial Mortgage-Backed Securiti ts - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Issued ts - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Required ts - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Required ts - SVO Identified Funds - Exchange Traded Funds - as Identified by the SVO ts - SVO Identified Funds - Exchange Traded Funds - as Identified by the SVO ts - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired ts - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired ts - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired ts - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Duaffiliated ts - Unaffiliated Bank - Total Bonds - Subtotals - Issuer Obligations ts - SVO Identified Funds - Acquired to - Unaffiliated Bank - Total Bonds - Subtotals - Bonds to - Unaffiliated Bank - Total Bonds - Subtotals - Bonds to - Unaffiliated Bank - Total Bonds - Subtotals - Bonds   | es                                      |                          |                            |                                       |                      |                    |                                       |
| is - Hybrid Securities - Other Loan-Backed and Structurad Securities is - Parent, Subsidiaries and Affiliates Bonds - Issuer Obligations is - Parent, Subsidiaries and Affiliates Bonds - Residential Nortgage-Backed Securit is - Parent, Subsidiaries and Affiliates Bonds - Residential Nortgage-Backed Securit is - Parent, Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured is - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Issued is - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Acquired is - SVO Identified Funds - Exchange Traded Funds - as identified by the SVO is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Unaffiliated is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Unaffiliated is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Unaffiliated is - Unaffiliated Bank Loans - Una | es                                      |                          |                            |                                       |                      |                    |                                       |
| is - Hybrid Securities - Other Loan-Backed and Structurad Securities is - Parent, Subsidiaries and Affiliates Bonds - Issuer Obligations is - Parent, Subsidiaries and Affiliates Bonds - Residential Nortgage-Backed Securit is - Parent, Subsidiaries and Affiliates Bonds - Ownercial Nortgage-Backed Securit is - Parent, Subsidiaries and Affiliates Bonds - Other Loan-Backed and Structured se is - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Issued is - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Acquired is - Parent, Subsidiaries and Affiliates Bonds - Affiliated Bank Loans - Acquired is - SVO Identified Funds - Exchange Traded Funds - as Identified by the SVO is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Issued is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Subtotals - Issuer Obligations is - SVO Identified Bank Loans - Subtotals - Issuer Obligations is - SVO Identified Bank Loans - Subtotals - Bonds is - SVO Identified Bank Loans - Unaffiliated Bank Loans - Acquired is - Unaffiliated Bank Loans - Subtotals - Issuer Obligations is - SVO Identified Bank Loans - Subtotals - Bonds is - SVO Identified Bank Loans - Identified Bank Loans - Acquired   | es                                      |                          |                            |                                       |                      | 6                  |                                       |

#### SCHEDULE E - PART 3 - SPECIAL DEPOSITS

|  |                          | 1                                       | 2                                       | Deposits<br>the Benefit of All          | Policyholders                           | All Other Spec                       |                    |
|--|--------------------------|---|---|---|---|--------------------------------------|--------------------|
| States, etc.   |                          | Type of<br>Deposits                     | Purpose of<br>Deposits                  | 3<br>Book/Adjusted<br>Carrying Value    | 4<br>Fair<br>Value                      | 5<br>Book/Adjusted<br>Carrying Value | 6<br>Fair<br>Value |
| 1. Alabama   | AL                       | Debosita                                | Борозна                                 |   |   |                                      |                    |
| 1. Alaņama<br>2. Alaska  |                          | *************************************** | *************************************** |   |   |                                      |                    |
| 3, Arizona   |                          |   |   |   | •••                                     |                                      |                    |
| 4. Arkansas  |                          | *************************************** |   |   |   |                                      |                    |
| 5. California  |                          |   |   |   |   |                                      |                    |
| 6. Colorado  |                          | •••••                                   |   |   | ****                                    |                                      |                    |
|  |                          |   |   |   |   |                                      |                    |
| 7. Connecticut   |                          |   | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, |   |   |                                      |                    |
| 8. Delaware  |                          |   |   |   |   |                                      |                    |
| 9. District of Columbia  |                          |   |   |   |   |                                      |                    |
| 10. Florida  |                          |   |   |   | *************************************** |                                      |                    |
| 11. Georgia  |                          |   |   |   | *************************************** |                                      |                    |
| 12. Hawaii   |                          |   |   |   |   |                                      |                    |
| 13. Idaho  |                          | ,                                       |   |   | ••••                                    | 1                                    |                    |
| 14. Illinois   |                          |   |   |   |   |                                      |                    |
| 15. Indiana  |                          |   |   |   |   |                                      |                    |
| 16. lowa   |                          |   |   |   |   |                                      |                    |
| 17. Kansas   |                          | <b></b>                                 | ļ                                       |   |   | - <del> </del>                       |                    |
| 18. Kentucky   |                          |   | ļ                                       |   |   |                                      |                    |
| 19. Louisiana  |                          |   | <b></b>                                 |   |   |                                      |                    |
| 20. Maine  |                          | ļ                                       |   |   |   |                                      | ******             |
| 21. Maryland   |                          | ļ                                       |   |   |   |                                      |                    |
| 22. Massachusetts  | MA                       |   |   |   |   |                                      |                    |
| 23. Michigan   | MI                       | ļ                                       |   |   |   |                                      |                    |
| 24. Minnesota  |                          | ļ                                       | ļ                                       |   |   |                                      |                    |
| 25. Mississippi  | MS                       | <b></b>                                 |   |   |   |                                      |                    |
| 26. Missouri   | MO                       |   |   |   |   |                                      |                    |
| 27. Montana  | MT                       | ļ                                       |   |   |   |                                      |                    |
| 28. Nebraska   |                          |   |   |   | ·····                                   |                                      |                    |
| 29. Nevada   |                          |   |   |   |   |                                      |                    |
| 30. New Hampshire  |                          |   |   |   |   |                                      |                    |
| 31. New Jersey   |                          |   |   |   | .,                                      |                                      |                    |
| 32. New Mexico   |                          |   |   |   |   |                                      |                    |
| 33. New York   |                          |   |   |   |   |                                      |                    |
| 34. North Carolina   |                          |   |   |   | ·                                       |                                      |                    |
| 35. North Dakota   |                          |   |   |   |   |                                      |                    |
|  |                          |   |   |   |   |                                      |                    |
| 36. Ohio   |                          | ·                                       |   |   |   |                                      |                    |
| 37. Oklahoma   |                          |   |   |   |   |                                      |                    |
| 38. Oregon   |                          |   |   |   |   |                                      |                    |
| 39. Pennsylvania   |                          | ••••••                                  |   |   |   |                                      |                    |
| 40. Rhode Island   |                          |   |   |   |   |                                      |                    |
| 41. South Çarolina   |                          | ·····                                   |   | *************************************** |   |                                      |                    |
| 42. South Dakota   |                          |   |   |   |   |                                      |                    |
| 43. Tennessee  |                          |   | -                                       |   |   |                                      |                    |
| 44. Texas  |                          |   |   |   |   |                                      |                    |
| 45. Utah   |                          |   |   |   |   |                                      |                    |
| 46. Vermont  |                          | ļ                                       | -                                       |   |   |                                      |                    |
| 47. Virginia   |                          | ļ                                       |   |   |   |                                      | L                  |
| 48. Washington   | WA                       | ļ                                       | -                                       |   |   |                                      |                    |
| 49. West Virginia  |                          | ļ                                       |   |   |   |                                      |                    |
| 50. Wisconsin  |                          | <b> </b>                                |   |   |   |                                      |                    |
| 51. Wyoming  | WY                       |   |   |   | ••••                                    |                                      | <b></b>            |
| 52. American Samoa   |                          | ļ                                       |   |   |   |                                      | <del> </del>       |
| 53. Guam   |                          | ļ                                       |   |   |   |                                      | <b></b>            |
| 54. Puerto Rico  | PR                       |   |   |   |   |                                      | ļ                  |
| 55. US Virgin Islands  |                          |   |   |   |   |                                      | <b></b>            |
| 56. Northern Mariana Is  |                          |   |   |   |   |                                      | <b></b>            |
| 57. Canada   | CAN                      | L                                       |   |   |   |                                      | ļ                  |
| 58. Aggregate Alien and  |                          | xxx                                     | XXX                                     |   |   |                                      | ļ                  |
| 59. Total  | 01                       | XXX                                     | XXX                                     |   |   |                                      | <u> </u>           |
|  |                          | 100                                     |   |   |   |                                      |                    |
| TAILS OF WRITE-INS   |                          |   | 1                                       |   |   |                                      | <u> </u>           |
| 301.   |                          | İ                                       | ·                                       |   |   |                                      |                    |
| 802.   |                          | <b> </b>                                | -                                       |   |   |                                      | Ī                  |
| 803.   | unita ina far i ina      |   | -                                       |   |   |                                      | İ                  |
| 898. Sum of remaining<br>58 from overflow p<br>899. Totals (Lines 5801 | wile-ins for Line<br>age | ххх                                     | XXX                                     |   | ļ                                       |                                      | <b>ļ</b>           |
| 399. Totals (Lines 5801  | - 5803 + 5898)           | XXX                                     | ххх                                     |   | 1                                       | 1                                    | I                  |