

NAIC BLANKS (E) WORKING GROUP

Blanks Agenda Item Submission Form

<p align="right">DATE: <u>02/28/2018</u></p> <p>CONTACT PERSON: <u>Charles Therriault</u></p> <p>TELEPHONE: <u>212 386-1920</u></p> <p>EMAIL ADDRESS: <u>CTherriault@naic.org</u></p> <p>ON BEHALF OF: <u>Kevin Fry, Chair, VOS Task Force</u></p> <p>NAME: <u>Robert Carcano</u></p> <p>TITLE: <u>Senior Counsel, Investment Analysis Office</u></p> <p>AFFILIATION: <u>NAIC Staff Support to the VOS TF</u></p> <p>ADDRESS: <u>One New York Plaza</u> <u>New York, NY 10004</u></p>	<p align="center">FOR NAIC USE ONLY</p> <p>Agenda Item # <u>2018-07BWG MOD</u></p> <p>Year <u>2018</u></p> <p>Changes to Existing Reporting [X]</p> <p>New Reporting Requirement []</p> <hr/> <p align="center">REVIEWED FOR ACCOUNTING PRACTICES AND PROCEDURES IMPACT</p> <p>No Impact [X]</p> <p>Modifies Required Disclosure []</p> <hr/> <p align="center">DISPOSITION</p> <p>[] Rejected For Public Comment</p> <p>[] Referred To Another NAIC Group</p> <p>[] Received For Public Comment</p> <p>[X] Adopted Date <u>06/12/2018</u></p> <p>[] Rejected Date _____</p> <p>[] Deferred Date _____</p> <p>[] Other (Specify) _____</p>
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BLANK(S) TO WHICH PROPOSAL APPLIES

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| <input checked="" type="checkbox"/> ANNUAL STATEMENT | <input checked="" type="checkbox"/> QUARTERLY STATEMENT | <input checked="" type="checkbox"/> BLANK |
| <input checked="" type="checkbox"/> INSTRUCTIONS | <input type="checkbox"/> CROSSCHECKS | |
| <input checked="" type="checkbox"/> Life and Accident & Health | <input checked="" type="checkbox"/> Property/Casualty | <input checked="" type="checkbox"/> Health |
| <input type="checkbox"/> Separate Accounts | <input checked="" type="checkbox"/> Fraternal | <input checked="" type="checkbox"/> Title |
| <input type="checkbox"/> Other Specify _____ | | |

Anticipated Effective Date: Annual 2018 & Annual 2019 (see next page for detail)

IDENTIFICATION OF ITEM(S) TO CHANGE

See next page for detail.

REASON, JUSTIFICATION FOR AND/OR BENEFIT OF CHANGE**

See next page for detail.

NAIC STAFF COMMENTS

Comment on Effective Reporting Date: _____

Other Comments:

** This section must be completed on all forms.

Revised 6/13/2009

IDENTIFICATION OF ITEM(S) TO CHANGE

1. Add a new “**PL**” and “**PLGT**” symbols to the reporting instructions to identify securities subject to a private letter rating (referred to as PL securities). *****This will be effective 2018 Annual reporting*****
2. (a) Add two new symbols – a “**YE**” symbol and an “**IF**” symbol to be used as part of a new “carry-over” administrative procedure of the SVO. *****This will be effective 2018 Annual reporting*****

(b) Modify definitions of the symbol “**Z**” if any definitions exist and define as an indicator that a security is in transition from one reporting status to another. *****This will be effective 2018 Annual reporting*****
3. Develop a new General Interrogatory for PL securities issued prior to January 1, 2018. *****This will be effective 2018 Annual reporting*****
4. Rename the “NAIC Designation” and “NAIC Designation/Market Indicator” columns to “NAIC Designation and Administrative Symbol” for Schedule BA, D and DL. *****Reference to “Market Indicator will be removed effective 2019 Annual report. For 2018 columns will read “NAIC Designation and Administrative Symbol/Market Indicator”*****
5. Remove designation matrices from instructions and replace with list of administrative symbols valid for use on Schedules BA and D. *****This will be effective 2018 Annual reporting*****
- ~~6. Remove the reference to “Life and Fraternal Only” in the General Instructions for Schedule BA regarding investments that have the underlying characteristics of bonds or fixed instruments. Also remove the reference from the instructions for Schedule BA regarding the CUSIP and NAIC Designation Column.~~
7. Eliminate the use of “P” and “RP” with the designation and add specific line categories for perpetual preferred and redeemable preferred stock. *****This will be effective 2019 Annual reporting*****
8. Remove the “Market Indicator” column from Schedule D, Part 2, Section 2 for common stocks and renumber remaining columns on the schedule. *****This will be effective 2019 Annual reporting*****

REASON, JUSTIFICATION FOR AND/OR BENEFIT OF CHANGE**

1. “**PL**” is a corollary to the “**FE**” symbol. Whereas **FE** applies to securities that have been assigned a public rating (i.e., one distributed on publicly available electronic data feeds provided by the NAIC CRP); credit ratings for PL securities are distributed in letters given to the issuer by the credit rating provider under a non-disclosure agreement and not distributed in publicly available electronic data feeds. In June 2004 the Task Force elected not to regulate PL securities but it reversed this position on November 13, 2017 when the Task Force adopted a verification procedure to be administered by the SVO. Under the verification procedure, insurance companies that own PL securities must verify to the SVO the credit rating assigned to the security by an NAIC CRP. If the SVO confirms the credit rating assigned to the PL security it publishes a corresponding NAIC Designation for the security in AVS Plus. If the insurer cannot verify that the PL security has been assigned a credit rating by an NAIC CRP, the insurer may file the security with the SVO or report the security on the 5*GI.
2. The requested **General Interrogatory** would be used as part of the verification procedure for PL securities discussed above. The Task Force determined that it was necessary to provide an additional mechanism to verify the credit ratings of PL securities issued prior to January 1, 2018 because it would not be possible for insurers to cause the NAIC CRPs to modify the documentation for this population of PL securities to revise existing confidentiality provisions. The Task Force determined that instead, PL securities issued **prior** to January 1, 2018 could be reported on a General Interrogatory to include a certification by the insurer stating that they were not permitted to share the credit rating of the PL security with the SVO.

The certification would provide that the insurer certifies the securities reported on the PL General Interrogatory was purchased prior to January 1, 2018; that the insurer is holding capital commensurate with the NAIC Designation reported for the security and that the NAIC Designation was derived from the credit rating assigned by an NAIC CRP in its legal capacity as a NRSRO which is shown on a current private letter rating held by the insurer and available for examination by state insurance regulators; and that the insurer is not permitted to share this credit rating of the PL security with the SVO.

It is the expectation of the Task Force that the existing block of PL securities should not grow and would in fact decrease over time.

3. The new symbols “**YE**” and “**IF**” will be used in a new “carry-over” administrative procedure. Under the carryover procedure, at or near year-end, the SVO would identify properly filed securities that SVO will be unable to designate by year-end due to workload constraints. SVO would mark these securities by assigning one of the two new symbols that would then be distributed through AVS Plus.

The new symbol “**YE**” would be assigned to annual updates securities (those already designated by the SVO and re-filed by an insurer for an annual review). The SVO would extend the existing designations for the **YE** annual update population of securities into the next year.

The new symbol “**IF**” would be assigned to initial filings (securities filed with the SVO for the first time). Insurance companies that own securities assigned the “**IF**” symbol would self-assign an NAIC Designation to such securities. Self-designation under **IF** indicates a security awaiting analysis by the SVO.

The carry-over procedure replaces the use of the “**Z**” symbol to permit insurers to self-designate securities the SVO did not designate by year-end.

The SVO would prioritize securities assigned “**YE**” and “**IF**” in the new-year, removing the above symbol as it completes a new analysis for the securities in both populations.

The symbol “**Z**” was also modified to serve as an indicator that a security is in transition from one reporting status to another. This concept of a change in reporting status applies to new securities not yet filed with the SVO under the 120 day rule but would also encompass, for example, a security that was filing exempt (FE) but that is no longer rated by an NAIC CRP and must be filed with the SVO for an NAIC Designation.

4. The Administrative Symbols A, J, K,L, U and V, which identified the manner or source of a Unit Price assigned by the SVO are no longer necessary and can be deleted. Sufficient time has passed for insurers to transition to the valuation rules published in Part Five, Section 1 of the P&P Manual. These rules permit insurers to use one of five valuation sources provided the source is identified.
5. The Administrative Symbols P and RP (called Valuation Indicators), used to distinguish between Perpetual and Redeemable Preferred Stock, should be discontinued and replaced with an instruction for amount of such securities to be aggregated on a specified line. The suggested approach would continue to fulfill the same regulatory objectives.
6. The Administrative Symbol F as applied to valuation should be removed as it is no longer necessary given the valuation process and symbols discussed in Part Five, Section 1 of the P&P Manual. However, some insurance companies have reported that the symbol F has become associated with sub-paragraph D companies and should be retained for insurer self-designation as discussed in Part Three, Section 1 (a) (ii) C 3.
7. Matrices should be replaced with a chart that identifies the symbols that convey credit determinations (NAIC Designations) and those that convey information about processes with a short definition of what they mean. NAIC staff can supplement these with instructions on NAIC web-sites which may include matrices.

ANNUAL STATEMENT INSTRUCTIONS – LIFE, HEALTH, PROPERTY, FRATERNAL AND TITLE

SCHEDULE BA – PARTS 1, 2 AND 3

OTHER LONG-TERM INVESTED ASSETS – GENERAL INSTRUCTIONS

=====**Detail Eliminated To Conserve Space**=====

Fixed or Variable Interest Rate Investments that Have the Underlying Characteristics of a Bond, Mortgage Loan or Other Fixed Income Instrument

Include: Fixed income instruments that are not corporate or governmental unit obligations (Schedule D) or secured by real property (Schedule B).

For Life and Fraternal Insurers:

Any investments deemed by the reporting entity to possess the underlying characteristics of a bond or other fixed income instrument which qualify for Filing Exemption or that have been reviewed and approved by the Securities Valuation Office (SVO) within this category.

Exclude: **For Life and Fraternal Insurers:**

~~Exclude:~~ Any investments deemed by the reporting entity to possess the underlying characteristics of a bond or other fixed income investment, but for which the Securities Valuation Office (SVO) has not yet affirmed that the specific BA investment (identified by CUSIP) fits in this category (as identified in the NAIC *Valuation of Securities*). Until affirmed by the SVO, report these BA investments in the category for “Any Other Class of Assets.”

Joint Ventures or Partnership Interests for Which the Primary Underlying Investments are Considered to Be:

Fixed Income Instruments

Include: Leveraged Buy-out Fund.
A fund investing in the “Z” strip of Collateralized Mortgage Obligations.

For Life and Fraternal Insurers:

Any investments deemed by the reporting entity to possess the underlying characteristics of fixed income instruments which qualify for Filing Exemption or that have been reviewed and approved by the Securities Valuation Office (SVO) within this category.

Exclude: **For Life and Fraternal Insurers:**

~~Exclude:~~ Any investments deemed by the reporting entity to possess the underlying characteristics of fixed income instruments, but for which the Securities Valuation Office (SVO) has not affirmed that the specific BA investment (identified by CUSIP) fits in this subcategory. Until affirmed by the SVO, report these BA investments in the “Other” subcategory of this category.

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Other

Include: Limited partnership interests in oil and gas production.

Forest product partnerships.

Investments within the Joint Venture and Partnership Interests category that do not qualify for inclusion in the “Fixed Income Instruments,” “Common Stocks,” “Real Estate” or “Mortgage Loans” subcategories.

Reporting should be consistent with the corresponding risk-based capital factor for this investment category (i.e., Other Long-Term Assets).

For Life and Fraternal Insurers:

This includes investments believed by the reporting entity to have the underlying characteristics of “Fixed Income Instruments” but which do not qualify for Filing Exemption and have not been reviewed by the SVO, as well as those that have been reviewed by the SVO and were determined to have the underlying characteristics of “Other” instruments.

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Any Other Class of Assets

Include: Investments that do not fit into one of the other categories. An example of items that may be included are reverse mortgages.

For Life and Fraternal Insurers:

This includes investments believed by the reporting entity to fit the category of “Fixed or Variable Interest Rate Investments that Have the Underlying Characteristics of a Bond, Mortgage Loan or Other Fixed Income Instrument,” but which do not qualify for Filing Exemption and have not been reviewed by the SVO, as well as those that have been reviewed by the SVO and were determined to be “Any Other Class of Assets.”

SCHEDULE BA – PART 1

OTHER LONG-TERM INVESTED ASSETS OWNED DECEMBER 31 OF CURRENT YEAR

Refer to *SSAP No. 23—Foreign Currency Transactions and Translations* for accounting guidance.

Column 1 – CUSIP Identification

This column must be completed by **Life and Fraternal** insurers ~~reporting entities~~ that file Schedule BA investments with the Securities Valuation Office.

CUSIP numbers for all purchased publicly issued securities are available from the broker's confirmation or the certificate. For private placement securities, the NAIC has created a special number called a PPN to be assigned by the Standard & Poor's CUSIP Bureau. For foreign securities, use a CINS that is assigned by the Standard & Poor's CUSIP Bureau: www.cusip.com/cusip/index.htm.

If no CUSIP number exists, the CUSIP field should be zero-filled.



Detail Eliminated To Conserve Space

Column 7 – NAIC Designation and Administrative Symbol

This column must be completed by **Life and Fraternal** insurers only. All other insurers may ignore this column and its instructions.

For Schedule BA investments with the underlying characteristics of a bond or a preferred stock instrument, insert the appropriate NAIC designation (1 through 6) and administrative symbol combination. List of valid administrative symbols are shown below.

Listing of valid NAIC designation and administrative symbol combinations can be found on the NAIC's website for the Securities Valuation Office (<http://www.naic.org/svo.htm>).

Following are valid administrative symbols for bonds and preferred stock. Refer to the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* for the application of these symbols.

S Additional or other non-payment risk

YE Year-end carry over

FE Filing Exempt

PL Private Letter Rating

PLGI Private Letter Rating - reported on General Interrogatory

F Sub-paragraph D Company - Insurer self-designated

~~For Schedule BA investments with the underlying characteristics of a bond or a preferred stock instrument, insert the NAIC designation, valuation indicator or market indicator as reported in the *NAIC Valuation of Securities* or its *Supplement*.~~

Following is a matrix of the valid combinations of designations and suffixes for bonds.

1	2	3	4	5	6
	2S	3S	4S	5S	6S
				5*	6*
				5*S	6*S
1FE	2FE	3FE	4FE	5FE	6FE

Following is a matrix of the valid combinations of designations and suffixes for preferred stock.

P1A	P2A	P3A	P4A	P5A	P6A
P1SA	P2SA	P3SA	P4SA	P5SA	P6SA
				P5*A	P6*A
				P5*SA	P6*SA
P1L	P2L	P3L	P4L	P5L	P6L
P1SL	P2SL	P3SL	P4SL	P5SL	P6SL
				P5*L	P6*L
				P5*SL	P6*SL
P1U	P2U	P3U	P4U	P5U	P6U
P1SU	P2SU	P3SU	P4SU	P5SU	P6US
				P5*U	P6*U
				P5*SU	P6*SU
P1V	P2V	P3V	P4V	P5V	P6V
P1SV	P2SV	P3SV	P4SV	P5SV	P6SV
				P5*V	P6*V
				P5*SV	P6*SV
P1LFE	P2LFE	P3LFE	P4LFE	P5LFE	P6LFE
P1UFE	P2UFE	P3UFE	P4UFE	P5UFE	P6UFE
P1VFE	P2VFE	P3VFE	P4VFE	P5VFE	P6VFE
RP1A	RP2A	RP3A	RP4A	RP5A	RP6A
RP1SA	RP2SA	RP3SA	RP4SA	RP5SA	RP6SA
				RP5*A	RP6*A
				RP5*SA	RP6*SA
RP1L	RP2L	RP3L	RP4L	RP5L	RP6L
RP1SL	RP2SL	RP3SL	RP4SL	RP5SL	RP6SL
				RP5*L	RP6*L
				RP5*SL	RP6*SL
RP1U	RP2U	RP3U	RP4U	RP5U	RP6U
RP1SU	RP2SU	RP3SU	RP4SU	RP5SU	RP6SU
				RP5*U	RP6*U
				RP5*SU	RP6*SU
RP1V	RP2V	RP3V	RP4V	RP5V	RP6V
RP1SV	RP2SV	RP3SV	RP4SV	RP5SV	RP6SV
				RP5*V	RP6*V
				RP5*SV	RP6*SV
RP1LFE	RP2LFE	RP3LFE	RP4LFE	RP5LFE	RP6LFE
RP1UFE	RP2UFE	RP3UFE	RP4UFE	RP5UFE	RP6UFE
RP1VFE	RP2VFE	RP3VFE	RP4VFE	RP5VFE	RP6VFE

~~If the VOS data file has a designation for a specific Schedule BA investment, that designation must be reported in this column. If the VOS data file does not provide a designation and the investment qualifies for filing exemption, an “FE” or an “S” must follow the designation reported in this column. For the meaning and applicability of suffixes and designations, please refer to the most recent version of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* Part Three, Section 1.~~

The NAIC designation and administrative symbol field should be zero-filled for those Schedule BA investments with the underlying characteristics of a bond or a preferred stock instrument which have not been filed with the SVO and do not meet the requirements of Filing Exemption, as well for any other investments reported in the respective “Other” categories (non-fixed income-like BA investments).

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Column 11 – Fair Value

Include: **For all statement types:** Use fair value received from a counter party when available. For example, for limited partnerships and hedge funds, the latest financial statement’s fair value should be used. For other types of instruments, a quote from a broker, seller, or another counter party should be used. If such quote is not available, the reporting entity should make an estimate of fair value at which the investment could be sold to an unaffiliated third party. A record of the quote, or the methodology used to reach an estimate should be kept in file.

Life and Fraternal Reporting entities who have filed Schedule BA assets with the SVO must complete this column with the assigned value as reported in the AVS+ database ~~NAIC Valuation of Securities or its Supplement.~~

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SCHEDULE BA – PART 2

OTHER LONG-TERM INVESTED ASSETS ACQUIRED AND ADDITIONS MADE DURING THE YEAR

This schedule should reflect not only those newly acquired long-term invested assets, but also any increases or additions to long-term invested assets acquired in the current and prior periods, including, for example, capital calls from existing limited partnerships.

Column 1 – CUSIP Identification

This column must be completed by **Life and Fraternal** insurers ~~reporting entities~~ that file Schedule BA investments with the Securities Valuation Office.

CUSIP numbers for all purchased publicly issued securities are available from the broker’s confirmation or the certificate. For private placement securities, the NAIC has created a special number called a PPN to be assigned by the Standard & Poor’s CUSIP Bureau. For foreign securities, use a CINS that is assigned by the Standard & Poor’s CUSIP Bureau: www.cusip.com/cusip/index.htm.

If no CUSIP number exists, the CUSIP field should be zero-filled.



SCHEDULE BA – PART 3

OTHER LONG-TERM INVESTED ASSETS DISPOSED, TRANSFERRED OR REPAID DURING THE YEAR

This schedule should reflect not only disposals of an entire “other invested asset”, but should also include partial disposals and amounts received during the year on investments still held, including, for example, return of capital distributions from limited partnerships.

Column 1 – CUSIP Identification

This column must be completed by **Life and Fraternal** insurers ~~reporting entities~~ that file Schedule BA investments with the Securities Valuation Office.

CUSIP numbers for all purchased publicly issued securities are available from the broker’s confirmation or the certificate. For private placement securities, the NAIC has created a special number called a PPN to be assigned by the Standard & Poor’s CUSIP Bureau. For foreign securities, use a CINS that is assigned by the Standard & Poor’s CUSIP Bureau: www.cusip.com/cusip/index.htm.

If no CUSIP number exists, the CUSIP field should be zero-filled.



SCHEDULE D – PART 1

LONG-TERM BONDS OWNED DECEMBER 31 OF CURRENT YEAR

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Column 6 – NAIC Designation and Administrative Symbol

Provide the appropriate NAIC designation (1 through 6) and administrative symbol combination for each security. List of valid administrative symbols are shown below.

Listing of valid NAIC designation and administrative symbol combinations can be found on the NAIC’s website for the Securities Valuation Office (<http://www.naic.org/svo.htm>).

DRAFTING NOTE: — The link to the listing will be provided after posting to the Web site.

~~Insert the NAIC designation for such security provided in the *Valuation of Securities*. Any NAIC designation that is not obtained from the current edition of the *Valuation of Securities* or its *Supplement* and that is entered by the reporting entity under its own judgment shall have the letter “Z” appended to the designation. For the meaning and applicability of suffixes and designations, please refer to the most recent version of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office Part One, Section 3.*~~

For Bond Mutual Funds – as Identified by the SVO, enter 1.

~~For Exchange Traded Funds — as Identified by the SVO, please refer to the most recent version of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office.*~~

~~Following is a matrix of the are valid combinations of designations and administrative symbols suffixes for bonds. Refer to the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* for the application of these symbols.~~

- S Additional or other non-payment risk
- FE Filing Exempt
- FM Financially Modeled RMBS/CMBS subject to SSAP 43R
- AM Analytically Modeled subject to SSAP 43R
- YE Year-end carry over
- IF Initial filing
- PL Private Letter Rating
- PLGI Private Letter Rating - reported on General Interrogatory
- Z Insurer self-designated
- GI General Interrogatory
- F Sub-paragraph D Company - Insurer self-designated
- * Limited to NAIC Designations 6

1	2	3	4	5	6
4S	2S	3S	4S	5S	6S
				5*	6*
				5*S	6*S
				5*GI	
4F	2F	3F	4F	5F	6F
4FE	2FE	3FE	4FE	5FE	6FE
4AM	2AM	3AM	4AM	5AM	6AM
4FM	2FM	3FM	4FM	5FM	6FM
4Z	2Z	3Z	4Z	5Z	6Z
4Z*	2Z*	3Z*	4Z*	5Z*	6Z*

If the VOS data file does not provide a designation for a specific security, an “FE,” “AM,” “FM,” “Z,” “S” or “F” must follow the designation reported in this column.

Refer to the flow chart in the Investment Schedules General Instructions for instruction on how to determine the NAIC designation for structured securities.


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SCHEDULE D – PART 2 – SECTION 1

PREFERRED STOCKS OWNED DECEMBER 31 OF CURRENT YEAR

Changes regarding Perpetual Preferred and Redeemable Preferred will be effective 2019 Annual reporting

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<u>Category</u>	<u>Line Number</u>
Industrial and Miscellaneous (Unaffiliated) <u>Perpetual Preferred</u>	8499999
<u>Industrial and Miscellaneous (Unaffiliated) Redeemable Preferred</u>	8599999
Parent, Subsidiaries and Affiliates <u>Perpetual Preferred</u>	8599999869999
<u>Parent, Subsidiaries and Affiliates Redeemable Preferred</u>	8799999
Total Preferred Stocks	8999999

⌵
⌶
⌵

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Column 8 – Book/Adjusted Carrying Value

The chart below details the appropriate valuation method for this column. The *Purposes & Procedures Manual of the NAIC Investment Analysis Office* may allow other valuation methods for preferred stock investments in Subsidiary, Controlled or Affiliated (SCA) companies.

Deduct: Cash dividends paid on Payment In Kind stock during the stock dividend period.

A direct write-down for a decline in the fair value of a stock that is other-than-temporary.

For reporting entities maintaining an AVR:

Redeemable Preferred

- NAIC Designation **RP1 – RP3** Enter book value
- NAIC Designation **RP4 – RP6** Enter the lower of book value or fair value

Perpetual Preferred

- NAIC Designation **P1 – P3** Enter book value
- NAIC Designation **P4 – P6** Enter the lower of book value or fair value

For reporting entities not maintaining an AVR:

Redeemable Preferred

- NAIC Designation **RP1 – RP2** Enter book value
- NAIC Designation **RP3 – RP6** Enter the lower of book value or fair value

Perpetual Preferred

- NAIC Designations **P1 – P2** Enter fair value
- NAIC Designations **P3 – P6** Enter the lower of book value or fair value

The amount reported in this column should equal:

Book/Adjusted Carrying Value reported in the Prior Year statement
(or Actual Cost for newly acquired securities)
plus "Total Change in Book/Adjusted Carrying Value"
plus "Total Foreign Exchange Change in Book/Adjusted Carrying Value"
plus Changes due to amounts reported in Schedule D, Parts 3, 4 and 5

Detail Eliminated To Conserve Space

Column 20 – NAIC Designation and Administrative Symbol

Provide the appropriate combination of NAIC designation (1 through 6) and administrative symbol combination for each security. List of valid administrative symbols are shown below.

Listing of valid NAIC designation and administrative symbol combinations can be found on the NAIC's website for the Securities Valuation Office (<http://www.naic.org/svo.htm>).

~~Insert the NAIC designation for such security reported in the *Valuation of Securities*. Include the market indicator A, J, K, L, U or V at the end of the NAIC designation. Any NAIC Designation that is not obtained from the current edition of the *Valuation of Securities* or its *Supplement* and that is entered by the reporting entity under its own judgment shall have the letter "FE," "Z," "F" or "S" appended to the designation. For the meaning and applicability of suffixes and designations, please refer to the most recent version of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office*, Part Three, Section 1.~~

~~For Exchange Traded Funds, please refer to the most recent version of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office*.~~

Exchange Traded Funds should be reported as perpetual securities.

Following is a matrix of the valid administrative symbols combinations of codes for preferred stock. Refer to the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* for the application of these symbols.

S Additional or other non-payment risk assigned by the SVO or SSG.
FE Filing Exempt assigned by the SVO
YE Year-end carry over assigned by the SVO
IF Initial filing - insurer reported designation with Admin Symbol assigned by the SVO
PL Private Letter Rating assigned by the SVO
PLGI Private Letter Rating - insurer assigned and reported on General Interrogatory
Z Insurer assigned and reported subject to limitation
GI Insurer assigned and reported on General Interrogatory
F Sub-paragraph D Company - Insurer self-designated
* Limited to NAIC Designations 6 - insurer assigned

				P5*GI	
P1A	P2A	P3A	P4A	P5A	P6A
P1SA	P2SA	P3SA	P4SA	P5SA	P6SA
				P5*A	P6*A
				P5*AGI	
				P5*SA	P6*SA
P1J	P2J	P3J	P4J	P5J	P6J
P1SJ	P2SJ	P3SJ	P4SJ	P5SJ	P6SJ
				P5*J	P6*J
				P5*SJ	P6*SJ
P1K	P2K	P3K	P4K	P5K	P6K
P1SK	P2SK	P3SK	P4SK	P5SK	P6SK
				P5*K	P6*K
				P5*SK	P6*SK
P1L	P2L	P3L	P4L	P5L	P6L
P1SL	P2SL	P3SL	P4SL	P5SL	P6SL
				P5*L	P6*L
				P5*LGI	
				P5*SL	P6*SL
P1U	P2U	P3U	P4U	P5U	P6U
P1SU	P2SU	P3SU	P4SU	P5SU	P6SU
				P5*U	P6*U
				P5*UGI	
				P5*SU	P6*SU
P1V	P2V	P3V	P4V	P5V	P6V
P1SV	P2SV	P3SV	P4SV	P5SV	P6SV
				P5*V	P6*V
				P5*VGI	
				P5*SV	P6*SV
P1AZ	P2AZ	P3AZ	P4AZ	P5AZ	P6AZ
P1AF	P2AF	P3AF	P4AF	P5AF	P6AF
P1AZ*	P2AZ*	P3AZ*	P4AZ*	P5AZ*	P6AZ*
P1JZ	P2JZ	P3JZ	P4JZ	P5JZ	P6JZ
P1JF	P2JF	P3JF	P4JF	P5JF	P6JF
P1JZ*	P2JZ*	P3JZ*	P4JZ*	P5JZ*	P6JZ*
P1KZ	P2KZ	P3KZ	P4KZ	P5KZ	P6KZ
P1KF	P2KF	P3KF	P4KF	P5KF	P6KF
P1KZ*	P2KZ*	P3KZ*	P4KZ*	P5KZ*	P6KZ*
P1LFE	P2LFE	P3LFE	P4LFE	P5LFE	P6LFE
P1LZ	P2LZ	P3LZ	P4LZ	P5LZ	P6LZ
P1LF	P2LF	P3LF	P4LF	P5LF	P6LF
P1LZ*	P2LZ*	P3LZ*	P4LZ*	P5LZ*	P6LZ*
P1UFE	P2UFE	P3UFE	P4UFE	P5UFE	P6UFE
P1UZ	P2UZ	P3UZ	P4UZ	P5UZ	P6UZ
P1UF	P2UF	P3UF	P4UF	P5UF	P6UF
P1UZ*	P2UZ*	P3UZ*	P4UZ*	P5UZ*	P6UZ*
P1VFE	P2VFE	P3VFE	P4VFE	P5VFE	P6VFE
P1VZ	P2VZ	P3VZ	P4VZ	P5VZ	P6VZ
P1VF	P2VF	P3VF	P4VF	P5VF	P6VF
P1VZ*	P2VZ*	P3VZ*	P4VZ*	P5VZ*	P6VZ*
				RP5*GI	
RP1A	RP2A	RP3A	RP4A	RP5A	RP6A
RP1SA	RP2SA	RP3SA	RP4SA	RP5SA	RP6SA
				RP5*A	RP6*A
				RP5*AGI	
				RP5*SA	RP6*SA

RP1J	RP2J	RP3J	RP4J	RP5J	RP6J
RP1SJ	RP2SJ	RP3SJ	RP4SJ	RP5SJ	RP6SJ
				RP5*J	RP6*J
				RP5*SJ	RP6*SJ
RP1K	RP2K	RP3K	RP4K	RP5K	RP6K
RP1SK	RP2SK	RP3SK	RP4SK	RP5SK	RP6SK
				RP5*K	RP6*K
				RP5*SK	RP6*SK
RP1L	RP2L	RP3L	RP4L	RP5L	RP6L
RP1SL	RP2SL	RP3SL	RP4SL	RP5SL	RP6SL
				RP5*L	RP6*L
				RP5*LGI	
				RP5*SL	RP6*SL
RP1U	RP2U	RP3U	RP4U	RP5U	RP6U
RP1SU	RP2SU	RP3SU	RP4SU	RP5SU	RP6SU
				RP5*U	RP6*U
				RP5*UGI	
				RP5*SU	RP6*SU
RP1V	RP2V	RP3V	RP4V	RP5V	RP6V
RP1SV	RP2SV	RP3SV	RP4SV	RP5SV	RP6SV
				RP5*V	RP6*V
				RP5*VGI	
				RP5*SV	RP6*SV
RP1AZ	RP2AZ	RP3AZ	RP4AZ	RP5AZ	RP6AZ
RP1AF	RP2AF	RP3AF	RP4AF	RP5AF	RP6AF
RP1AZ*	RP2AZ*	RP3AZ*	RP4AZ*	RP5AZ*	RP6AZ*
RP1JZ	RP2JZ	RP3JZ	RP4JZ	RP5JZ	RP6JZ
RP1JF	RP2JF	RP3JF	RP4JF	RP5JF	RP6JF
RP1JZ*	RP2JZ*	RP3JZ*	RP4JZ*	RP5JZ*	RP6JZ*
RP1KZ	RP2KZ	RP3KZ	RP4KZ	RP5KZ	RP6KZ
RP1KF	RP2KF	RP3KF	RP4KF	RP5KF	RP6KF
RP1KZ*	RP2KZ*	RP3KZ*	RP4KZ*	RP5KZ*	RP6KZ*
RP1LFE	RP2LFE	RP3LFE	RP4LFE	RP5LFE	RP6LFE
RP1LZ	RP2LZ	RP3LZ	RP4LZ	RP5LZ	RP6LZ
RP1LF	RP2LF	RP3LF	RP4LF	RP5LF	RP6LF
RP1LZ*	RP2LZ*	RP3LZ*	RP4LZ*	RP5LZ*	RP6LZ*
RP1UFE	RP2UFE	RP3UFE	RP4UFE	RP5UFE	RP6UFE
RP1UZ	RP2UZ	RP3UZ	RP4UZ	RP5UZ	RP6UZ
RP1UF	RP2UF	RP3UF	RP4UF	RP5UF	RP6UF
RP1UZ*	RP2UZ*	RP3UZ*	RP4UZ*	RP5UZ*	RP6UZ*
RP1VFE	RP2VFE	RP3VFE	RP4VFE	RP5VFE	RP6VFE
RP1VZ	RP2VZ	RP3VZ	RP4VZ	RP5VZ	RP6VZ
RP1VF	RP2VF	RP3VF	RP4VF	RP5VF	RP6VF
RP1VZ*	RP2VZ*	RP3VZ*	RP4VZ*	RP5VZ*	RP6VZ*

Detail Eliminated To Conserve Space

SCHEDULE D – PART 2 – SECTION 2

COMMON STOCKS OWNED DECEMBER 31 OF CURRENT YEAR

*****Removal of the NAIC Market Indicator Column will be effective 2019 Annual reporting*****

Detail Eliminated To Conserve Space

Column ~~17~~ — NAIC Market Indicator

~~Insert the NAIC market indicator for such security printed in the *Valuation of Securities*. If this market indicator is not available, the reporting entity should include a market indicator of “A,” “J,” “K,” “L,” “U” or “V” as appropriate. For the meaning and applicability of suffixes and designations, please refer to the most recent version of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office Part One, Section 3*.~~

~~Following is a listing of the valid codes for common stock:~~

A	J	K	L	U	V
--------------	--------------	--------------	--------------	--------------	--------------

Column ~~17~~ – Date Acquired

~~For public placements use trade date, not settlement date. For private placements, use funding date. Each issue of stocks acquired at public offerings on more than one date may be totaled on one line and the date of last acquisition inserted.~~

**** Columns ~~19-18~~ through ~~24-23~~ will be electronic only. ****

Column ~~18~~ – Fair Value Hierarchy Level and Method Used to Obtain Fair Value Code

~~Whenever possible, fair value should represent the price at which the security could be sold, based on market information. Fair value should only be determined analytically when the market based value cannot be obtained.~~

~~The following is a listing of valid fair value level indicators to show the fair value hierarchy level.~~

~~“1” for Level 1~~

~~“2” for Level 2~~

~~“3” for Level 3~~

~~The following is a listing of the valid method indicators for common stocks to show the method used by the reporting entity to determine the Rate Per Share Used to Obtain Fair Value.~~

~~“a” for securities where the rate is determined by a pricing service.~~

~~“b” for securities where the rate is determined by a stock exchange.~~

~~“c” for securities where the rate is determined by a broker or custodian. The reporting entity should obtain and maintain the pricing policy for any broker or custodian used as a pricing source. In addition, the broker must either be approved by the reporting entity as a counterparty for buying and selling securities or be an underwriter of the security being valued.~~

“d” for securities where the rate is determined by the reporting entity. The reporting entity is required to maintain a record of the pricing methodology used.

“e” for securities where the rate is determined by the unit price published in the NAIC *Valuation of Securities*.

Enter a combination of hierarchy and method indicator. The fair value hierarchy level indicator would be listed first and the method used to determine fair value indicator would be listed next. For example, use “1b” to report Level 1 for the fair value hierarchy level and stock exchange for the method used to determine fair value.

The guidance in *SSAP No. 100R—Fair Value* allows the use of net asset value per share (NAV) instead of fair value for certain investments. The guidance is effective Jan. 1, 2018 with early adoption permitted. For reporting entities electing to early-adopt, the reporting entity shall the code “2c”.

| Column ~~20~~19 – Source Used to Obtain Fair Value

For Method Code “a,” identify the specific pricing service used.

For Method Code “b,” identify the specific stock exchange used.

The listing of most **stock exchange codes can be found in the Investment Schedules General Instructions or the following Web address:**

www.fixprotocol.org/specifications/exchanges.shtml

For Method Code “c,” identify the specific broker or custodian used.

If net asset value (NAV) is used instead of fair value by early adopting the guidance in *SSAP No. 100R—Fair Value*, the reporting entity should use “NAV” to indicate net asset value used instead of fair value.

For Method Code “d,” leave blank.

For Method Code “e,” leave blank.

| Column ~~24~~20 – Legal Entity Identifier (LEI)

Provide the 20-character Legal Entity Identifier (LEI) for any issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned, leave blank.

| Column ~~22~~21 – Issuer

Issuer Definition:

The name of the legal entity that develops, registers and sells securities for the purpose of financing its operations and may be domestic or foreign governments, corporations or investment trusts. The issuer is legally responsible for the obligations of the issue and for reporting financial conditions, material developments and any other operational activities as required by the regulations of their jurisdictions

The reporting entity is encouraged to use the following sources:

- Bloomberg
- Interactive Data Corporation (IDC)
- Thomson Reuters
- S&P/CUSIP

- Name used in either the relevant SEC filing or legal documentation for the transaction. Issuer is the name of the legal entity that can be found on documents such as SEC Form 424B2, Note Agreements, Prospectuses and Indentures, as appropriate. The name used should be as complete and detailed as possible to enable others to differentiate the legal entity issuing the security from another legal entity with a similar name.

Do not report ticker symbols, either internal or otherwise.

| Column 2322 – Issue

Issue information provides detailed data as to the type of security being reported.

The reporting entity is encouraged to use the following sources:

- Bloomberg
- Interactive Data Corporation (IDC)
- Thomson Reuters
- S&P/CUSIP
- Descriptions used in either the relevant SEC filing or legal documentation for the transaction.

Do not report ticker symbols, either internal or otherwise.

| Column 2423 – ISIN Identification

The International Securities Identification Numbering (ISIN) system is an international standard set up by the International Organization for Standardization (ISO). It is used for numbering specific securities, such as stocks, bonds, options and futures. ISIN numbers are administered by a National Numbering Agency (NNA) in each of their respective countries, and they work just like serial numbers for those securities. Record the ISIN number only if no valid CUSIP, CINS or PPN exists to report in Column 1.


Detail Eliminated To Conserve Space

SCHEDULE D – PART 3

LONG-TERM BONDS AND STOCKS ACQUIRED DURING CURRENT YEAR

Changes regarding Perpetual Preferred and Redeemable Preferred will be effective 2019 Annual reporting

=====**Detail Eliminated To Conserve Space**=====

Bonds:

U.S. Governments	0599999
All Other Governments	1099999
U.S. States, Territories and Possessions (Direct and Guaranteed).....	1799999
U.S. Political Subdivisions of States, Territories and Possessions (Direct and Guaranteed).....	2499999
U.S. Special Revenue and Special Assessment Obligations and all Non-Guaranteed Obligations of Agencies and Authorities of Governments and Their Political Subdivisions	3199999
Industrial and Miscellaneous (Unaffiliated)	3899999
Hybrid Securities	4899999
Parent, Subsidiaries and Affiliates.....	5599999
SVO Identified Funds	8199999
Subtotals – Bonds – Part 3.....	8399997
Summary item from Part 5 for Bonds.....	8399998
Subtotals – Bonds	8399999

Preferred Stocks:

Industrial and Miscellaneous (Unaffiliated) <u>Perpetual Preferred</u>	8499999
<u>Industrial and Miscellaneous (Unaffiliated) Redeemable Preferred</u>	8599999
Parent, Subsidiaries and Affiliates <u>Perpetual Preferred</u>	8599999869999
<u>Parent, Subsidiaries and Affiliates Redeemable Preferred</u>	8799999
Subtotals – Preferred Stocks – Part 3	8999997
Summary item from Part 5 for Preferred Stocks	8999998
Subtotals – Preferred Stocks.....	8999999

Common Stocks:

Industrial and Miscellaneous (Unaffiliated)	9099999
Parent, Subsidiaries and Affiliates.....	9199999
Mutual Funds.....	9299999
Subtotals – Common Stocks – Part 3	9799997
Summary item from Part 5 for Common Stocks	9799998
Subtotals – Common Stocks.....	9799999
Subtotals – Preferred and Common Stocks	9899999

Totals 9999999

=====**Detail Eliminated To Conserve Space**=====

SCHEDULE D – PART 4

**LONG-TERM BONDS AND STOCKS SOLD, REDEEMED OR OTHERWISE DISPOSED OF
DURING CURRENT YEAR**

Changes regarding Perpetual Preferred and Redeemable Preferred will be effective 2019 Annual reporting


Detail Eliminated To Conserve Space

Bonds:

U.S. Governments	0599999
All Other Governments	1099999
U.S. States, Territories and Possessions (Direct and Guaranteed).....	1799999
U.S. Political Subdivisions of States, Territories and Possessions (Direct and Guaranteed).....	2499999
U.S. Special Revenue and Special Assessment Obligations and all Non-Guaranteed Obligations of Agencies and Authorities of Governments and Their Political Subdivisions	3199999
Industrial and Miscellaneous (Unaffiliated)	3899999
Hybrid Securities	4899999
Parent, Subsidiaries and Affiliates.....	5599999
SVO Identified Funds.....	8199999
Subtotals – Bonds – Part 4.....	8399997
Summary item from Part 5 for Bonds.....	8399998
Subtotals – Bonds	8399999

Preferred Stocks:

Industrial and Miscellaneous (Unaffiliated) <u>Perpetual Preferred</u>	8499999
<u>Industrial and Miscellaneous (Unaffiliated) Redeemable Preferred</u>	8599999
Parent, Subsidiaries and Affiliates <u>Perpetual Preferred</u>	8599999 8699999
<u>Parent, Subsidiaries and Affiliates Redeemable Preferred</u>	8799999
Subtotals – Preferred Stocks – Part 4	8999997
Summary item from Part 5 for Preferred Stocks	8999998
Subtotals – Preferred Stocks.....	8999999

Common Stocks:

Industrial and Miscellaneous (Unaffiliated)	9099999
Parent, Subsidiaries and Affiliates.....	9199999
Mutual Funds.....	9299999
Subtotals – Common Stocks – Part 4	9799997
Summary item from Part 5 for Common Stocks	9799998
Subtotals – Common Stocks.....	9799999
Subtotals – Preferred and Common Stocks	9899999

Totals 9999999


Detail Eliminated To Conserve Space

SCHEDULE D – PART 5

**LONG-TERM BONDS AND STOCKS ACQUIRED DURING THE YEAR AND FULLY DISPOSED OF
DURING CURRENT YEAR**

Changes regarding Perpetual Preferred and Redeemable Preferred will be effective 2019 Annual reporting


Detail Eliminated To Conserve Space

<u>Category</u>	<u>Line Number</u>
Bonds:	
U.S. Governments	0599999
All Other Governments	1099999
U.S. States, Territories and Possessions (Direct and Guaranteed).....	1799999
U.S. Political Subdivisions of States, Territories and Possessions (Direct and Guaranteed).....	2499999
U.S. Special Revenue and Special Assessment Obligations and all Non-Guaranteed Obligations of Agencies and Authorities of Governments and Their Political Subdivisions	3199999
Industrial and Miscellaneous (Unaffiliated)	3899999
Hybrid Securities	4899999
Parent, Subsidiaries and Affiliates.....	5599999
SVO Identified Funds.....	8199999
Subtotals – Bonds	8399998
Preferred Stocks:	
Industrial and Miscellaneous (Unaffiliated) <u>Perpetual Preferred</u>	8499999
Industrial and Miscellaneous (Unaffiliated) <u>Redeemable Preferred</u>	8599999
Parent, Subsidiaries and Affiliates <u>Perpetual Preferred</u>	8599999 8699999
Parent, Subsidiaries and Affiliates <u>Redeemable Preferred</u>	8799999
Subtotals – Preferred Stocks.....	8999998
Common Stocks:	
Industrial and Miscellaneous (Unaffiliated)	9099999
Parent, Subsidiaries and Affiliates.....	9199999
Mutual Funds.....	9299999
Subtotals – Common Stocks.....	9799998
Subtotals – Preferred and Common Stocks	9899999
Totals	9999999


Detail Eliminated To Conserve Space

SCHEDULE DL – PART 1

SECURITIES LENDING COLLATERAL ASSETS

Reinvested Collateral Assets Owned December 31 Current Year
(Securities lending collateral assets reported in aggregate on Line 10 of the asset page
and not included on Schedules A, B, BA, D, DB and E.)

*****Changes regarding Perpetual Preferred and Redeemable Preferred will be effective 2019 Annual reporting*****

*****Reference to “Market Indicator will be removed effective 2019 Annual report.
For 2018 columns will read “NAIC Designation and Administrative Symbol/Market Indicator”*****

**=====
↓ ↑ **Detail Eliminated To Conserve Space** ↓ ↑ =====**

Stocks:

Preferred Stocks (Schedule D, Part 2, Section 1 type):	
Industrial and Miscellaneous (Unaffiliated) <u>Perpetual and Redeemable Preferred</u>	6899999
Parent, Subsidiaries and Affiliates <u>Perpetual and Redeemable Preferred</u>	6999999
Total Preferred Stocks.....	7099999
Common Stocks (Schedule D, Part 2, Section 2 type):	
Industrial and Miscellaneous (Unaffiliated).....	7199999
Parent, Subsidiaries and Affiliates	7299999
Mutual Funds	7399999
Total Common Stocks.....	7599999
Total Preferred and Common Stocks.....	7699999

**=====
↓ ↑ **Detail Eliminated To Conserve Space** ↓ ↑ =====**

Column 4 – NAIC Designation and Administrative Symbol/Market Indicator

The NAIC Designation and Administrative Symbol/Market Indicator reported for this column should be determined in a manner consistent with the instructions of other schedules for the lines shown below:

- Lines 0199999 through 6699999 Schedule D, Part 1, Column 6
- Lines 6899999 through 7099999 Schedule D, Part 2, Section 1, Column 20
- Lines 7199999 through 7599999 Schedule D, Part 2, Section 2, Column 17
- Line 8899999 Schedule BA, Part 1, Column 7

For Lines 8699999, 8799999, 8999999, 9099999, 9199999 and 9299999, the column should be left blank.

Refer to the flow chart in the Investment Schedules General Instructions for instruction on how to determine the NAIC designation for structured securities.

**=====
↓ ↑ **Detail Eliminated To Conserve Space** ↓ ↑ =====**

SCHEDULE DL – PART 2

SECURITIES LENDING COLLATERAL ASSETS

Reinvested Collateral Assets Owned December 31 Current Year
(Securities lending collateral assets included on Schedules A, B, BA, D, DB and E
and not reported in aggregate on Line 10 of the asset page.)

*****Changes regarding Perpetual Preferred and Redeemable Preferred will be effective 2019 Annual reporting*****

*****Reference to “Market Indicator will be removed effective 2019 Annual report.
For 2018 columns will read “NAIC Designation and Administrative Symbol/Market Indicator”*****

↓
=====**Detail Eliminated To Conserve Space**=====

Stocks:

Preferred Stocks:

Industrial and Miscellaneous (Unaffiliated) Perpetual and Redeemable Preferred..... 6899999
Parent, Subsidiaries and Affiliates Perpetual and Redeemable Preferred 6999999
Total Preferred Stocks..... 7099999

Common Stocks:

Industrial and Miscellaneous (Unaffiliated)..... 7199999
Parent, Subsidiaries and Affiliates 7299999
Mutual Funds 7399999
Total Common Stocks..... 7599999
Total Preferred and Common Stocks..... 7699999

↓
=====**Detail Eliminated To Conserve Space**=====

Column 4 – NAIC Designation and Administrative Symbol/Market Indicator

The NAIC Designation and Administrative Symbol/Market Indicator reported for this column should be same for the security as reported in other schedules for the lines shown below:

Lines 0199999 through 6699999 Schedule D, Part 1, Column 6
Lines 6899999 through 7099999 Schedule D, Part 2, Section 1, Column 20
Lines 7199999 through 7599999 Schedule D, Part 2, Section 2, Column 17
Line 8899999 Schedule BA, Part 1, Column 7

For Lines 8699999, 8799999, 8999999, 9099999, 9199999 and 9299999, the column should be left blank.

Refer to the flow chart in the Investment Schedules General Instructions for instruction on how to determine the NAIC designation for structured securities.

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=====**Detail Eliminated To Conserve Space**=====

GENERAL INTERROGATORIES

PART 1 – COMMON INTERROGATORIES

GENERAL

=====**Detail Eliminated To Conserve Space**=====

OTHER

- | 3435. The purpose of this General Interrogatory is to capture information about payments to any trade association, service organization, and statistical or rating bureau. A service organization is defined as every person, partnership, association or corporation that formulates rules, establishes standards, or assists in the making of rates or standards for the information or benefit of insurers or rating organizations.
- | 3536. The purpose of this General Interrogatory is to capture information about legal expenses paid during the year. These expenses include all fees or retainers for legal services or expenses, including those in connection with matters before administrative or legislative bodies. It excludes salaries and expenses of company personnel, legal expenses in connection with investigation, litigation and settlement of policy claims, and legal fees associated with real estate transactions, including mortgage loans on real estate. Do not include amounts reported in General Interrogatories No. 3435 and No. 3637.
- | 3637. The purpose of this General Interrogatory is to capture information about expenditures in connection with matters before legislative bodies, officers or departments of government paid during the year. These expenses are related to general legislative lobbying and direct lobbying of pending and proposed statutes or regulations before legislative bodies and/or officers or departments of government. Do not include amounts reported in General Interrogatories No. 3435 and No. 3536.

QUARTERLY STATEMENT INSTRUCTIONS – LIFE, HEALTH, PROPERTY, FRATERNAL AND TITLE

SCHEDULE BA – PARTS 2 AND 3

OTHER LONG-TERM INVESTED ASSETS ACQUIRED AND DISPOSED OF

=====
Detail Eliminated To Conserve Space
=====

Fixed or Variable Interest Rate Investments that Have the Underlying Characteristics of a Bond, Mortgage Loan or Other Fixed Income Instrument

Include: Fixed income instruments that are not corporate or governmental unit obligations (Schedule D) or secured by real property (Schedule B).

For Life and Fraternal Insurers:

Any investments deemed by the insurer to possess the underlying characteristics of a bond or other fixed income instrument which qualify for Filing Exemption or that have been reviewed and approved by the Securities Valuation Office (SVO) within this category.

Exclude: **For Life and Fraternal Insurers:**

Exclude: Any investments deemed by the insurer to possess the underlying characteristics of a bond or other fixed income investment, but for which the Securities Valuation Office (SVO) has not yet affirmed that the specific BA investment (identified by CUSIP) fits in this category (as identified in *the Valuations of Securities* product). Until affirmed by the SVO, report these BA investments in the category for “Any Other Class of Assets.”

Joint Ventures or Partnership Interests for Which the Primary Underlying Investments are Considered to Be:

Fixed Income Instruments

Include: Leveraged Buy-out Fund.
A fund investing in the “Z” strip of Collateralized Mortgage Obligations.

For Life and Fraternal Insurers:

Any investments deemed by the insurer to possess the underlying characteristics of fixed income instruments which qualify for Filing Exemption or that have been reviewed and approved by the Securities Valuation Office (SVO) within this category.

Exclude: **For Life and Fraternal Insurers:**

Exclude: Any investments deemed by the insurer to possess the underlying characteristics of fixed income instruments, but for which the Securities Valuation Office (SVO) has not affirmed that the specific BA investment (identified by CUSIP) fits in this subcategory. Until affirmed by the SVO, report these BA investments in the “Other” subcategory of this category.

↓ **Detail Eliminated To Conserve Space** ↓

Other

Include: Limited partnership interests in oil and gas production.

Forest product partnerships.

Investments within the Joint Venture and Partnership Interests category that do not qualify for inclusion in the “Fixed Income Instruments,” “Common Stocks,” “Real Estate” or “Mortgage Loans” subcategories.

Reporting should be consistent with the corresponding risk-based capital factor for this investment category (i.e., Other Long-Term Assets).

For Life and Fraternal Insurers:

This includes investments believed by the insurer to have the underlying characteristics of “Fixed Income Instruments” but which do not qualify for Filing Exemption and have not been reviewed by the SVO, as well as those that have been reviewed by the SVO and were determined to have the underlying characteristics of “Other” instruments.

↓ **Detail Eliminated To Conserve Space** ↓

Any Other Class of Assets

Include: Investments that do not fit into one of the other categories. An example of items that may be included are reverse mortgages.

For Life and Fraternal Insurers:

This includes investments believed by the insurer to fit the category of “Fixed or Variable Interest Rate Investments that Have the Underlying Characteristics of a Bond, Mortgage Loan or Other Fixed Income Instrument,” but which do not qualify for Filing Exemption and have not been reviewed by the SVO, as well as those that have been reviewed by the SVO and were determined to be “Any Other Class of Assets.”

SCHEDULE BA – PART 2

**OTHER LONG-TERM INVESTED ASSETS ACQUIRED
AND ADDITIONS MADE DURING THE CURRENT QUARTER**

This schedule should reflect not only those newly acquired long-term invested assets, but also any increases or additions to long-term invested assets acquired in the current and prior periods, including, for example, capital calls from existing limited partnerships.

Column 1 – CUSIP Identification

This column must be completed by **Life and Fraternal** insurers ~~reporting entities~~ that file Schedule BA investments with the Securities Valuation Office.

CUSIP numbers for all purchased publicly issued securities are available from the broker's confirmation or the certificate. For private placement securities, the NAIC has created a special number called a PPN to be assigned by the Standard & Poor's CUSIP Bureau. For foreign securities, use a CINS that is assigned by the Standard & Poor's CUSIP Bureau: www.cusip.com/cusip/index.htm.

If no CUSIP number exists, the CUSIP field should be zero-filled.



Column 6 – NAIC Designation and Administrative Symbol

~~This column must be completed by Life and Fraternal insurers only. All other insurers may ignore this column and its instructions.~~

For Schedule BA investments with the underlying characteristics of a bond or a preferred stock instrument, insert the appropriate combination of the NAIC designation (1 through 6) and administrative symbol. List of valid administrative symbols are shown below.

Listing of valid NAIC designation and administrative symbol combinations can be found on the NAIC's website for the Securities Valuation Office (<http://www.naic.org/svo.htm>).

Following are valid administrative symbols for bonds and preferred stock. Refer to the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* for the application of these symbols.

- S Additional or other non-payment risk
- YE Year-end carry over
- FE Filing Exempt
- PL Private Letter Rating
- PLGI Private Letter Rating - reported on General Interrogatory
- F Sub-paragraph D Company - Insurer self-designated

~~For Schedule BA investments with the Underlying characteristics of a bond or a preferred stock instrument, insert the NAIC designation, valuation indicator or market indicator as reported in the *Valuations of Securities* or its *Supplement*.~~

~~Following is a matrix of the valid combinations of designations and suffixes for bonds.~~

1	2	3	4	5	6
1S	2S	3S	4S	5S	6S
1*	2*	3*	4*	5*	6*

				5*S	6*S
1FE	2FE	3FE	4FE	5FE	6FE

Following is a matrix of the valid combinations of designations and suffixes for preferred stock.

P1A	P2A	P3A	P4A	P5A	P6A
P1SA	P2SA	P3SA	P4SA	P5SA	P6SA
				P5*A	P6*A
				P5*SA	P6*SA
P1L	P2L	P3L	P4L	P5L	P6L
P1SL	P2SL	P3SL	P4SL	P5SL	P6SL
				P5*L	P6*L
				P5*SL	P6*SL
P1U	P2U	P3U	P4U	P5U	P6U
P1SU	P2SU	P3SU	P4SU	P5SU	P6SU
				P5*U	P6*U
				P5*SU	P6*SU
P1V	P2V	P3V	P4V	P5V	P6V
P1SV	P2SV	P3SV	P4SV	P5SV	P6SV
				P5*V	P6*V
				P5*SV	P6*SV
P1LFE	P2LFE	P3LFE	P4LFE	P5LFE	P6LFE
P1UFE	P2UFE	P3UFE	P4UFE	P5UFE	P6UFE
P1VFE	P2VFE	P3VFE	P4VFE	P5VFE	P6VFE
RP1A	RP2A	RP3A	RP4A	RP5A	RP6A
RP1SA	RP2SA	RP3SA	RP4SA	RP5SA	RP6SA
				RP5*A	RP6*A
				RP5*SA	RP6*SA
RP1L	RP2L	RP3L	RP4L	RP5L	RP6L
RP1SL	RP2SL	RP3SL	RP4SL	RP5SL	RP6SL
				RP5*L	RP6*L
				RP5*SL	RP6*SL
RP1U	RP2U	RP3U	RP4U	RP5U	RP6U
RP1SU	RP2SU	RP3SU	RP4SU	RP5SU	RP6SU
				RP5*U	RP6*U
				RP5*SU	RP6*SU
RP1V	RP2V	RP3V	RP4V	RP5V	RP6V
RP1SV	RP2SV	RP3SV	RP4SV	RP5SV	RP6SV
				RP5*V	RP6*V
				RP5*SV	RP6*SV
RP1LFE	RP2LFE	RP3LFE	RP4LFE	RP5LFE	RP6LFE
RP1UFE	RP2UFE	RP3UFE	RP4UFE	RP5UFE	RP6UFE
RP1VFE	RP2VFE	RP3VFE	RP4VFE	RP5VFE	RP6VFE

~~If the VOS data file has a designation for a specific Schedule BA investment, that designation must be reported in this column. If the VOS data file does not provide a designation and the investment qualifies for filing exemption, an “FE” or an “S” must follow the designation reported in this column. For the meaning and applicability of suffixes and designations, please refer to the most recent version of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* Part Three, Section 1.~~

The NAIC designation and administrative symbol field should be zero-filled for those Schedule BA investments with the underlying characteristics of a bond or a preferred stock instrument which have not been filed with the SVO and do not meet the requirements of Filing Exemption, as well for any other investments reported in the respective “Other” categories (non-fixed income-like BA investments).



Detail Eliminated To Conserve Space



SCHEDULE BA – PART 3

OTHER LONG-TERM INVESTED ASSETS DISPOSED, TRANSFERRED OR REPAID DURING THE CURRENT QUARTER

This schedule should reflect not only disposals of an entire “other invested asset”, but should also include partial disposals and amounts received during the year on investments still held, including, for example, return of capital distributions from limited partnerships.

Column 1 – CUSIP Identification

This column must be completed by **Life and Fraternal** insurers ~~reporting entities~~ that file Schedule BA investments with the Securities Valuation Office.

CUSIP numbers for all purchased publicly issued securities are available from the broker’s confirmation or the certificate. For private placement securities, the NAIC has created a special number called a PPN to be assigned by the Standard & Poor’s CUSIP Bureau. For foreign securities, use a CINS that is assigned by the Standard & Poor’s CUSIP Bureau: www.cusip.com/cusip/index.htm.

If no CUSIP number exists, the CUSIP field should be zero-filled.



Detail Eliminated To Conserve Space



SCHEDULE D – PART 3

LONG-TERM BONDS AND STOCKS ACQUIRED DURING THE CURRENT QUARTER

Changes regarding Perpetual Preferred and Redeemable Preferred will be effective 2019 Annual reporting

Removal of the NAIC Market Indicator information instruction will be effective 2019 Annual reporting



Detail Eliminated To Conserve Space

<u>Category</u>	<u>Line Number</u>
Bonds:	
U.S. Governments	0599999
All Other Governments	1099999
U.S. States, Territories and Possessions	1799999
U.S. Political Subdivisions of States, Territories and Possessions	2499999
U.S. Special Revenue and Special Assessment and all Non-Guaranteed Obligations of Agencies and Authorities of Governments and Their Political Subdivisions.....	3199999
Industrial and Miscellaneous (Unaffiliated)	3899999
Hybrid Securities	4899999
Parent, Subsidiaries and Affiliates.....	5599999
SVO Identified Funds.....	8199999
Subtotals – Bonds – Part 3.....	8399997
Summary Item from Part 5 for Bonds (N/A to Quarterly).....	8399998
Subtotals – Bonds.....	8399999
Preferred Stocks:	
Industrial and Miscellaneous (Unaffiliated) <u>Perpetual Preferred</u>	8499999
<u>Industrial and Miscellaneous (Unaffiliated) Redeemable Preferred</u>	8599999
Parent, Subsidiaries and Affiliates <u>Perpetual Preferred</u>	8599999 8699999
<u>Parent, Subsidiaries and Affiliates Redeemable Preferred</u>	8799999
Subtotals – Preferred Stocks – Part 3	8999997
Summary Item from Part 5 for Preferred Stocks (N/A to Quarterly)	8999998
Subtotals – Preferred Stocks.....	8999999
Common Stocks:	
Industrial and Miscellaneous (Unaffiliated)	9099999
Parent, Subsidiaries and Affiliates.....	9199999
Mutual Funds.....	9299999
Subtotals – Common Stocks – Part 3	9799997
Summary Item from Part 5 for Common Stocks (N/A to Quarterly)	9799998
Subtotals – Common Stocks.....	9799999
Subtotals – Preferred and Common Stocks	9899999
Totals	9999999



Detail Eliminated To Conserve Space

Provide the appropriate combination of NAIC designation (1 through 6) and administrative symbol (see below) combination. Enter the NAIC designation or market indicator at the end of the quarter for each security shown. List of valid administrative symbols are shown below.

For the meaning and applicability of suffixes and designations, please refer to the most recent version of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office Part One, Section 3*.

Listing of valid NAIC designation and administrative symbol combinations can be found on the NAIC's website for the Securities Valuation Office (<http://www.naic.org/svo.htm>).

Long Term Bond NAIC Designations:

Insert the NAIC designation for such security reported in the *Valuations of Securities*. Any NAIC designation that is not obtained from the current edition of the *Valuations of Securities* or its *Supplement* and that is entered by the reporting entity under its own judgment shall have the letter Z appended to the designation.

For Bond Mutual Funds – as Identified by the SVO, enter 1.

For Exchange Traded Funds – as Identified by the SVO, please refer to the most recent version of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office*.

Exchange Traded Funds – as Identified by the SVO should be reported as perpetual securities.

Following is a matrix of the valid administrative symbol combinations of designations and suffixes for bonds. Refer to the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* for the application of these symbols

- S Additional or other non-payment risk
- FE Filing Exempt
- FM Financially Modeled RMBS/CMBS subject to SSAP 43R
- AM Analytically Modeled subject to SSAP 43R
- YE Year-end carry over
- IF Initial filing
- PL Private Letter Rating
- PLGI Private Letter Rating - General Interrogatory
- Z Insurer self-designated
- GI General Interrogatory
- F Sub-paragraph D Company - Insurer self-designated
- * Limited to NAIC Designations 6

1	2	3	4	5	6
1S	2S	3S	4S	5S	6S
				5*	6*
				5*S	6*S
				5*GI	
1F	2F	3F	4F	5F	6F
1FE	2FE	3FE	4FE	5FE	6FE
1AM	2AM	3AM	4AM	5AM	6AM
1FM	2FM	3FM	4FM	5FM	6FM
1Z	2Z	3Z	4Z	5Z	6Z
1Z*	2Z*	3Z*	4Z*	5Z*	6Z*

If the VOS data file does not provide a designation for a specific security, an “FE,” “AM,” “FM,” “Z,” “S” or “F” must follow the designation reported in this column.

Refer to the flow chart in the Investment Schedules General Instructions for instruction on how to determine the NAIC designation for structured securities.

Preferred Stock NAIC Designations:

Insert the NAIC designation for such security reported in the *Valuations of Securities*. Include the market indicator A, J, K, L, U or V at the end of the NAIC designation. Any NAIC designation that is not obtained from the current edition of the *Valuations of Securities* or its *Supplement* and that is entered by the reporting entity under its own judgment shall have the letter FE, Z, F or S appended to the designation.

Following is a matrix of the are valid administrative symbol combinations of codes for preferred stock. Refer to the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* for the application of these symbols

- S Additional or other non-payment risk
- FE Filing Exempt
- YE Year-end carry over
- IF Initial filing
- PL Private Letter Rating
- PLGI Private Letter Rating - General Interrogatory
- Z Insurer self-designated
- GI General Interrogatory
- F Sub-paragraph D Company - Insurer self-designated
- * Limited to NAIC Designations 6

For common stock the NAIC designation and administrative symbol field should be zero-filled.

				P5*GI	
P1A	P2A	P3A	P4A	P5A	P6A
P1SA	P2SA	P3SA	P4SA	P5SA	P6SA
				P5*A	P6*A
				P5*AGI	
				P5*SA	P6*SA
P1J	P2J	P3J	P4J	P5J	P6J
P1SJ	P2SJ	P3SJ	P4SJ	P5SJ	P6SJ
				P5*J	P6*J
				P5*SJ	P6*SJ
P1K	P2K	P3K	P4K	P5K	P6K
P1SK	P2SK	P3SK	P4SK	P5SK	P6SK
				P5*K	P6*K
				P5*SK	P6*SK
P1L	P2L	P3L	P4L	P5L	P6L
P1SL	P2SL	P3SL	P4SL	P5SL	P6SL
				P5*L	P6*L
				P5*LGI	
				P5*SL	P6*SL
P1U	P2U	P3U	P4U	P5U	P6U
P1SU	P2SU	P3SU	P4SU	P5SU	P6SU

				P5*U	P6*U
				P5*UGI	
				P5*SU	P6*SU
P1V	P2V	P3V	P4V	P5V	P6V
P1SV	P2SV	P3SV	P4SV	P5SV	P6SV
				P5*V	P6*V
				P5*VGI	
				P5*SV	P6*SV
P1AZ	P2AZ	P3AZ	P4AZ	P5AZ	P6AZ
P1AF	P2AF	P3AF	P4AF	P5AF	P6AF
P1AZ*	P2AZ*	P3AZ*	P4AZ*	P5AZ*	P6AZ*
P1JZ	P2JZ	P3JZ	P4JZ	P5JZ	P6JZ
P1JF	P2JF	P3JF	P4JF	P5JF	P6JF
P1JZ*	P2JZ*	P3JZ*	P4JZ*	P5JZ*	P6JZ*
P1KZ	P2KZ	P3KZ	P4KZ	P5KZ	P6KZ
P1KF	P2KF	P3KF	P4KF	P5KF	P6KF
P1KZ*	P2KZ*	P3KZ*	P4KZ*	P5KZ*	P6KZ*
P1LFE	P2LFE	P3LFE	P4LFE	P5LFE	P6LFE
P1LZ	P2LZ	P3LZ	P4LZ	P5LZ	P6LZ
P1LF	P2LF	P3LF	P4LF	P5LF	P6LF
P1LZ*	P2LZ*	P3LZ*	P4LZ*	P5LZ*	P6LZ*
P1UFE	P2UFE	P3UFE	P4UFE	P5UFE	P6UFE
P1UZ	P2UZ	P3UZ	P4UZ	P5UZ	P6UZ
P1UF	P2UF	P3UF	P4UF	P5UF	P6UF
P1UZ*	P2UZ*	P3UZ*	P4UZ*	P5UZ*	P6UZ*
P1VFE	P2VFE	P3VFE	P4VFE	P5VFE	P6VFE
P1VZ	P2VZ	P3VZ	P4VZ	P5VZ	P6VZ
P1VF	P2VF	P3VF	P4VF	P5VF	P6VF
P1VZ*	P2VZ*	P3VZ*	P4VZ*	P5VZ*	P6VZ*
				RP5*GI	
RP1A	RP2A	RP3A	RP4A	RP5A	RP6A
RP1SA	RP2SA	RP3SA	RP4SA	RP5SA	RP6SA
				RP5*A	RP6*A
				RP5*AGI	
				RP5*SA	RP6*SA
RP1J	RP2J	RP3J	RP4J	RP5J	RP6J
RP1SJ	RP2SJ	RP3SJ	RP4SJ	RP5SJ	RP6SJ
				RP5*J	RP6*J
				RP5*SJ	RP6*SJ
RP1K	RP2K	RP3K	RP4K	RP5K	RP6K
RP1SK	RP2SK	RP3SK	RP4SK	RP5SK	RP6SK
				RP5*K	RP6*K
				RP5*SK	RP6*SK
RP1L	RP2L	RP3L	RP4L	RP5L	RP6L
RP1SL	RP2SL	RP3SL	RP4SL	RP5SL	RP6SL
				RP5*L	RP6*L
				RP5*LGI	
				RP5*SL	RP6*SL
RP1U	RP2U	RP3U	RP4U	RP5U	RP6U
RP1SU	RP2SU	RP3SU	RP4SU	RP5SU	RP6SU
				RP5*U	RP6*U
				RP5*UGI	
				RP5*SU	RP6*SU
RP1V	RP2V	RP3V	RP4V	RP5V	RP6V
RP1SV	RP2SV	RP3SV	RP4SV	RP5SV	RP6SV
				RP5*V	RP6*V

				RP5*VGI	
				RP5*SV	RP6*SV
RP1AZ	RP2AZ	RP3AZ	RP4AZ	RP5AZ	RP6AZ
RP1AF	RP2AF	RP3AF	RP4AF	RP5AF	RP6AF
RP1AZ*	RP2AZ*	RP3AZ*	RP4AZ*	RP5AZ*	RP6AZ*
RP1JZ	RP2JZ	RP3JZ	RP4JZ	RP5JZ	RP6JZ
RP1JF	RP2JF	RP3JF	RP4JF	RP5JF	RP6JF
RP1JZ*	RP2JZ*	RP3JZ*	RP4JZ*	RP5JZ*	RP6JZ*
RP1KZ	RP2KZ	RP3KZ	RP4KZ	RP5KZ	RP6KZ
RP1KF	RP2KF	RP3KF	RP4KF	RP5KF	RP6KF
RP1KZ*	RP2KZ*	RP3KZ*	RP4KZ*	RP5KZ*	RP6KZ*
RP1LFE	RP2LFE	RP3LFE	RP4LFE	RP5LFE	RP6LFE
RP1LZ	RP2LZ	RP3LZ	RP4LZ	RP5LZ	RP6LZ
RP1LF	RP2LF	RP3LF	RP4LF	RP5LF	RP6LF
RP1LZ*	RP2LZ*	RP3LZ*	RP4LZ*	RP5LZ*	RP6LZ*
RP1UFE	RP2UFE	RP3UFE	RP4UFE	RP5UFE	RP6UFE
RP1UZ	RP2UZ	RP3UZ	RP4UZ	RP5UZ	RP6UZ
RP1UF	RP2UF	RP3UF	RP4UF	RP5UF	RP6UF
RP1UZ*	RP2UZ*	RP3UZ*	RP4UZ*	RP5UZ*	RP6UZ*
RP1VFE	RP2VFE	RP3VFE	RP4VFE	RP5VFE	RP6VFE
RP1VZ	RP2VZ	RP3VZ	RP4VZ	RP5VZ	RP6VZ
RP1VF	RP2VF	RP3VF	RP4VF	RP5VF	RP6VF
RP1VZ*	RP2VZ*	RP3VZ*	RP4VZ*	RP5VZ*	RP6VZ*

Common Stock NAIC Market Indicators:

Insert the NAIC market indicator for such security reported in the *Valuations of Securities*. If this market indicator is not available, the reporting entity should include a market indicator of A, J, K, L, U or V as appropriate.

Following is a listing of the valid codes for common stock:

A	J	K	L	U	V
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Detail Eliminated To Conserve Space

SCHEDULE D – PART 4

**LONG-TERM BONDS AND STOCKS SOLD, REDEEMED OR OTHERWISE
DISPOSED OF DURING THE CURRENT QUARTER**

Changes regarding Perpetual Preferred and Redeemable Preferred will be effective 2019 Annual reporting

Removal of the NAIC Market Indicator information instruction will be effective 2019 Annual reporting



Detail Eliminated To Conserve Space

<u>Category</u>	<u>Line Number</u>
Bonds:	
U.S. Governments	0599999
All Other Governments	1099999
U.S. States, Territories and Possessions	1799999
U.S. Political Subdivisions of States, Territories and Possessions	2499999
U.S. Special Revenue and Special Assessment and all Non-Guaranteed Obligations of Agencies and Authorities of Governments and Their Political Subdivisions.....	3199999
Industrial and Miscellaneous (Unaffiliated)	3899999
Hybrid Securities	4899999
Parent, Subsidiaries and Affiliates.....	5599999
SVO Identified Funds.....	8199999
Subtotals – Bonds – Part 4.....	8399997
Summary Item from Part 5 for Bonds (N/A to Quarterly).....	8399998
Subtotals – Bonds	8399999
Preferred Stocks:	
Industrial and Miscellaneous (Unaffiliated) Perpetual Preferred	8499999
Industrial and Miscellaneous (Unaffiliated) Redeemable Preferred.....	8599999
Parent, Subsidiaries and Affiliates Perpetual Preferred.....	8599999 8699999
Parent, Subsidiaries and Affiliates Redeemable Preferred	8799999
Subtotals – Preferred Stocks – Part 4	8999997
Summary Item from Part 5 for Preferred Stocks (N/A to Quarterly)	8999998
Subtotals – Preferred Stocks.....	8999999
Common Stocks:	
Industrial and Miscellaneous (Unaffiliated)	9099999
Parent, Subsidiaries and Affiliates.....	9199999
Mutual Funds.....	9299999
Subtotals – Common Stocks – Part 4	9799997
Summary Item from Part 5 for Common Stocks (N/A to Quarterly)	9799998
Subtotals – Common Stocks.....	9799999
Subtotals – Preferred and Common Stocks	9899999
Totals	9999999



Detail Eliminated To Conserve Space

Column 22 – ~~NAIC Designation and Administrative Symbol or Market Indicator~~

Provide the appropriate combination of NAIC designation (1 through 6) and administrative symbol combination. Enter the NAIC designation or market indicator at date of disposal for each security shown. List of valid administrative symbols are shown below. Where multiple disposal transactions occurred for the same CUSIP, and those transactions are summarized on one line, enter the appropriate combination of NAIC designation and administrative symbol or market indicator for the last disposal using the last available designation. For the meaning and applicability of suffixes and designations, please refer to the most recent version of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office Part One, Section 3.*

Listing of valid NAIC designation and administrative symbol combinations can be found on the NAIC's website for the Securities Valuation Office (<http://www.naic.org/svo.htm>).

Long Term Bond-NAIC Designations:

Insert the NAIC designation for such security reported in the *Valuations of Securities*. Any NAIC designation that is not obtained from the current edition of the *Valuations of Securities* or its *Supplement* and that is entered by the reporting entity under its own judgment shall have the letter Z appended to the designation.

For Bond Mutual Funds – as Identified by the SVO, enter 1.

~~For Exchange Traded Funds – as Identified by the SVO, please refer to the most recent version of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office*.~~

Exchange Traded Funds – as Identified by the SVO should be reported as perpetual securities.

~~Following is a matrix of the valid administrative symbols combinations of designations and suffixes for bonds. Refer to the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* for the application of these symbols~~

- S Additional or other non-payment risk
- FE Filing Exempt
- FM Financially Modeled RMBS/CMBS subject to SSAP 43R
- AM Analytically Modeled subject to SSAP 43R
- YE Year-end carry over
- IF Initial filing
- PL Private Letter Rating
- PLGI Private Letter Rating - General Interrogatory
- Z Insurer self-designated
- GI General Interrogatory
- F Sub-paragraph D Company - Insurer self-designated
- * Limited to NAIC Designations 6

1	2	3	4	5	6
1S	2S	3S	4S	5S	6S
				5*	6*
				5*S	6*S
				5*GI	
1F	2F	3F	4F	5F	6F
1FE	2FE	3FE	4FE	5FE	6FE
1Z	2Z	3Z	4Z	5Z	6Z
1AM	2AM	3AM	4AM	5AM	6AM
1FM	2FM	3FM	4FM	5FM	6FM
1Z*	2Z*	3Z*	4Z*	5Z*	6Z*

~~If the VOS data file does not provide a designation for a specific security, an “FE,” “AM,” “FM,” “S,” “Z” or “F” must follow the designation reported in this column.~~

Refer to the flow chart in the Investment Schedules General Instructions for instruction on how to determine the NAIC designation for structured securities.

Preferred Stock NAIC Designations:

Insert the NAIC designation for such security reported in the *Valuations of Securities*. Include the market indicator A, J, K, L, U or V at the end of the NAIC designation. Any NAIC designation that is not obtained from the current edition of the *Valuations of Securities* or its *Supplement* and that is entered by the reporting entity under its own judgment shall have the letter FE, Z, F or S appended to the designation.

Following is a matrix of the valid administrative symbol combinations of codes for preferred stock. Refer to the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* for the application of these symbols

- S Additional or other non-payment risk
- FE Filing Exempt
- YE Year-end carry over
- IF Initial filing
- PL Private Letter Rating
- PLGI Private Letter Rating - General Interrogatory
- Z Insurer self-designated
- GI General Interrogatory
- F Sub-paragraph D Company - Insurer self-designated
- * Limited to NAIC Designations 6

For common stock the NAIC designation and administrative symbol field should be zero-filled.

				P5*GI	
P1A	P2A	P3A	P4A	P5A	P6A
P1SA	P2SA	P3SA	P4SA	P5SA	P6SA
				P5*A	P6*A
				P5*AGI	
				P5*SA	P6*SA
P1J	P2J	P3J	P4J	P5J	P6J
P1SJ	P2SJ	P3SJ	P4SJ	P5SJ	P6SJ
				P5*J	P6*J
				P5*SJ	P6*SJ
P1K	P2K	P3K	P4K	P5K	P6K
P1SK	P2SK	P3SK	P4SK	P5SK	P6SK
				P5*K	P6*K
				P5*SK	P6*SK
P1L	P2L	P3L	P4L	P5L	P6L
P1SL	P2SL	P3SL	P4SL	P5SL	P6SL
				P5*L	P6*L
				P5*LGI	
				P5*SL	P6*SL
P1U	P2U	P3U	P4U	P5U	P6U
P1SU	P2SU	P3SU	P4SU	P5SU	P6SU
				P5*U	P6*U
				P5*UGI	
				P5*SU	P6*SU
P1V	P2V	P3V	P4V	P5V	P6V
P1SV	P2SV	P3SV	P4SV	P5SV	P6SV
				P5*V	P6*V

				P5*VGI	
				P5*SV	P6*SV
P1AZ	P2AZ	P3AZ	P4AZ	P5AZ	P6AZ
P1AF	P2AF	P3AF	P4AF	P5AF	P6AF
P1AZ*	P2AZ*	P3AZ*	P4AZ*	P5AZ*	P6AZ*
P1JZ	P2JZ	P3JZ	P4JZ	P5JZ	P6JZ
P1JF	P2JF	P3JF	P4JF	P5JF	P6JF
P1JZ*	P2JZ*	P3JZ*	P4JZ*	P5JZ*	P6JZ*
P1KZ	P2KZ	P3KZ	P4KZ	P5KZ	P6KZ
P1KF	P2KF	P3KF	P4KF	P5KF	P6KF
P1KZ*	P2KZ*	P3KZ*	P4KZ*	P5KZ*	P6KZ*
P1LFE	P2LFE	P3LFE	P4LFE	P5LFE	P6LFE
P1LZ	P2LZ	P3LZ	P4LZ	P5LZ	P6LZ
P1LF	P2LF	P3LF	P4LF	P5LF	P6LF
P1LZ*	P2LZ*	P3LZ*	P4LZ*	P5LZ*	P6LZ*
P1UFE	P2UFE	P3UFE	P4UFE	P5UFE	P6UFE
P1UZ	P2UZ	P3UZ	P4UZ	P5UZ	P6UZ
P1UF	P2UF	P3UF	P4UF	P5UF	P6UF
P1UZ*	P2UZ*	P3UZ*	P4UZ*	P5UZ*	P6UZ*
P1VFE	P2VFE	P3VFE	P4VFE	P5VFE	P6VFE
P1VZ	P2VZ	P3VZ	P4VZ	P5VZ	P6VZ
P1VF	P2VF	P3VF	P4VF	P5VF	P6VF
P1VZ*	P2VZ*	P3VZ*	P4VZ*	P5VZ*	P6VZ*
				RP5*GI	
RP1A	RP2A	RP3A	RP4A	RP5A	RP6A
RP1SA	RP2SA	RP3SA	RP4SA	RP5SA	RP6SA
				RP5*A	RP6*A
				RP5*AGI	
				RP5*SA	RP6*SA
RP1J	RP2J	RP3J	RP4J	RP5J	RP6J
RP1SJ	RP2SJ	RP3SJ	RP4SJ	RP5SJ	RP6SJ
				RP5*J	RP6*J
				RP5*SJ	RP6*SJ
RP1K	RP2K	RP3K	RP4K	RP5K	RP6K
RP1SK	RP2SK	RP3SK	RP4SK	RP5SK	RP6SK
				RP5*K	RP6*K
				RP5*SK	RP6*SK
RP1L	RP2L	RP3L	RP4L	RP5L	RP6L
RP1SL	RP2SL	RP3SL	RP4SL	RP5SL	RP6SL
				RP5*L	RP6*L
				RP5*LGI	
				RP5*SL	RP6*SL
RP1U	RP2U	RP3U	RP4U	RP5U	RP6U
RP1SU	RP2SU	RP3SU	RP4SU	RP5SU	RP6SU
				RP5*U	RP6*U
				RP5*UGI	
				RP5*SU	RP6*SU
RP1V	RP2V	RP3V	RP4V	RP5V	RP6V
RP1SV	RP2SV	RP3SV	RP4SV	RP5SV	RP6SV
				RP5*V	RP6*V
				RP5*VGI	
				RP5*SV	RP6*SV
RP1AZ	RP2AZ	RP3AZ	RP4AZ	RP5AZ	RP6AZ
RP1AF	RP2AF	RP3AF	RP4AF	RP5AF	RP6AF
RP1AZ*	RP2AZ*	RP3AZ*	RP4AZ*	RP5AZ*	RP6AZ*
RP1JZ	RP2JZ	RP3JZ	RP4JZ	RP5JZ	RP6JZ

RP1JF	RP2JF	RP3JF	RP4JF	RP5JF	RP6JF
RP1JZ*	RP2JZ*	RP3JZ*	RP4JZ*	RP5JZ*	RP6JZ*
RP1KF	RP2KF	RP3KF	RP4KF	RP5KF	RP6KF
RP1KZ*	RP2KZ*	RP3KZ*	RP4KZ*	RP5KZ*	RP6KZ*
RP1LFE	RP2LFE	RP3LFE	RP4LFE	RP5LFE	RP6LFE
RP1LZ	RP2LZ	RP3LZ	RP4LZ	RP5LZ	RP6LZ
RP1LF	RP2LF	RP3LF	RP4LF	RP5LF	RP6LF
RP1LZ*	RP2LZ*	RP3LZ*	RP4LZ*	RP5LZ*	RP6LZ*
RP1UFE	RP2UFE	RP3UFE	RP4UFE	RP5UFE	RP6UFE
RP1UZ	RP2UZ	RP3UZ	RP4UZ	RP5UZ	RP6UZ
RP1UF	RP2UF	RP3UF	RP4UF	RP5UF	RP6UF
RP1UZ*	RP2UZ*	RP3UZ*	RP4UZ*	RP5UZ*	RP6UZ*
RP1VFE	RP2VFE	RP3VFE	RP4VFE	RP5VFE	RP6VFE
RP1VZ	RP2VZ	RP3VZ	RP4VZ	RP5VZ	RP6VZ
RP1VF	RP2VF	RP3VF	RP4VF	RP5VF	RP6VF
RP1VZ*	RP2VZ*	RP3VZ*	RP4VZ*	RP5VZ*	RP6VZ*

Common Stock NAIC Market Indicators:

Insert the NAIC market indicator for such security reported in the *Valuations of Securities*. If this market indicator is not available, the reporting entity should include a market indicator of A, J, K, L, U or V as appropriate.

Following is a listing of the valid codes for common stock:

A	J	K	L	U	V
---	---	---	---	---	---

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SCHEDULE DL – PART 1

SECURITIES LENDING COLLATERAL ASSETS

Reinvested Collateral Assets Owned Current Statement Date
(Securities lending collateral assets reported in aggregate on Line 10 of the asset page
and not included on Schedules A, B, BA, D, DB and E.)

*****Changes regarding Perpetual Preferred and Redeemable Preferred will be effective 2019 Annual reporting*****

*****Reference to “Market Indicator will be removed effective 2019 Annual report.
For 2018 columns will read “NAIC Designation and Administrative Symbol/Market Indicator”*****

**=====
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Stocks:

Preferred Stocks (Schedule D, Part 2, Section 1 type):	
Industrial and Miscellaneous (Unaffiliated) <u>Perpetual and Redeemable Preferred</u>	6899999
Parent, Subsidiaries and Affiliates <u>Perpetual and Redeemable Preferred</u>	6999999
Total Preferred Stocks.....	7099999
Common Stocks (Schedule D, Part 2, Section 2 type):	
Industrial and Miscellaneous (Unaffiliated).....	7199999
Parent, Subsidiaries and Affiliates	7299999
Mutual Funds	7399999
Total Common Stocks.....	7599999
Total Preferred and Common Stocks.....	7699999

**=====
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Column 4 – NAIC Designation and Administrative Symbol/Market Indicator

The NAIC Designation and Administrative Symbol/Market Indicator reported for this column should be determined in a manner consistent with the instructions of other schedules for the lines shown below:

- Lines 0199999 through 6699999 Schedule D, Part 1, Column 6
- Lines 6899999 through 7099999 Schedule D, Part 2, Section 1, Column 20
- Lines 7199999 through 7599999 Schedule D, Part 2, Section 2, Column 17
- Line 8899999 Schedule BA, Part 1, Column 7

For Lines 8699999, 8799999, 8999999, 9099999, 9199999 and 9299999, the column should be left blank.

Refer to the flow chart in the Investment Schedules General Instructions for instruction on how to determine the NAIC designation for structured securities.

**=====
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SCHEDULE DL – PART 2

SECURITIES LENDING COLLATERAL ASSETS

Reinvested Collateral Assets Owned Current Statement Date
(Securities lending collateral assets included on Schedules A, B, BA, D, DB and E
and not reported in aggregate on Line 10 of the asset page.)

*****Changes regarding Perpetual Preferred and Redeemable Preferred will be effective 2019 Annual reporting*****

*****Reference to “Market Indicator will be removed effective 2019 Annual report.
For 2018 columns will read “NAIC Designation and Administrative Symbol/Market Indicator”*****

↓
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Stocks:

Preferred Stocks:

Industrial and Miscellaneous (Unaffiliated) Perpetual and Redeemable Preferred..... 6899999
Parent, Subsidiaries and Affiliates Perpetual and Redeemable Preferred 6999999
Total Preferred Stocks..... 7099999

Common Stocks:

Industrial and Miscellaneous (Unaffiliated)..... 7199999
Parent, Subsidiaries and Affiliates 7299999
Mutual Funds 7399999
Total Common Stocks..... 7599999

Total Preferred and Common Stocks..... 7699999

↓
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Column 4 – NAIC Designation and Administrative Symbol/Market Indicator

The NAIC Designation and Administrative Symbol/Market Indicator reported for this column should be same for the security as reported in other schedules for the lines shown below:

Lines 0199999 through 6699999 Schedule D, Part 1, Column 6
Lines 6899999 through 7099999 Schedule D, Part 2, Section 1, Column 20
Lines 7199999 through 7599999 Schedule D, Part 2, Section 2, Column 17
Line 8899999 Schedule BA, Part 1, Column 7

For Lines 8699999, 8799999, 8999999, 9099999, 9199999 and 9299999, the column should be left blank.

Refer to the flow chart in the Investment Schedules General Instructions for instruction on how to determine the NAIC designation for structured securities.

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GENERAL INTERROGATORIES

PART 1 – COMMON INTERROGATORIES

INVESTMENT



=====**Detail Eliminated To Conserve Space**=====



33. By self-designating ~~5~~ 5 ~~GH~~ 5GI securities, the reporting entity is certifying the following elements of each self-designated ~~5~~ 5 ~~GH~~ 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 ~~5~~ 5 ~~GH~~ 5GI securities? Yes [] No []

34. 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 a NRSRO which is shown on a current private letter rating held by the insurer and available for examination by state insurance regulators.
- d. The reporting entity is not permitted to share this credit rating of the PL security with the SVO.

Has the reporting entity self-designated PLGI securities? Yes [] No []

OTHER

3435.1 Amount of payments to trade associations, service organizations and statistical or rating bureaus, if any? \$ _____

3435.2 List the name of the organization and the amount paid if any such payment represented 25% or more of the total payments to trade associations, service organizations and statistical or rating bureaus during the period covered by this statement.

1 Name	2 Amount Paid
	\$
	\$
	\$
	\$

3536.1 Amount of payments for legal expenses, if any? \$ _____

3536.2 List the name of the firm and the amount paid if any such payment represented 25% or more of the total payments for legal expenses during the period covered by this statement.

1 Name	2 Amount Paid
	\$
	\$
	\$
	\$

3637.1 Amount of payments for expenditures in connection with matters before legislative bodies, officers or departments of government, if any? \$ _____

3637.2 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 Name	2 Amount Paid
	\$
	\$
	\$
	\$

ANNUAL STATEMENT BLANK – LIFE, HEALTH, PROPERTY, FRATERNAL AND TITLE

SCHEDULE BA – PART 1

Showing Other Long-Term Invested Assets OWNED December 31 of Current Year

1 CUSIP Identification	2 Name or Description	3 Code	4 Location		6 Name of Vendor or General Partner	7 NAIC Designation and Administrative Symbol	8 Date Originally Acquired	9 Type and Strategy	10 Actual Cost	11 Fair Value	12 Book/ Adjusted Carrying Value Less Encumbrances	Change in Book/Adjusted Carrying Value					18 Investment Income	19 Commitment for Additional Investment	20 Percentage of Ownership
			4 City	5 State								13 Unrealized Valuation Increase (Decrease)	14 Current Year's (Depreciation) or (Amortization)/ Accretion	15 Current Year's Other-Than- Temporary Impairment Recognized	16 Capitalized Deferred Interest and Other	17 Total Foreign Exchange Change in B./A.C.V.			

SCHEDULE D – PART 1

Showing All Long-Term BONDS Owned December 31 of Current Year

1 CUSIP Identification	2 Description	3 Codes			6 NAIC Designation and Administrative Symbol	7 Actual Cost	8 Fair Value		10 Par Value	11 Book / Adjusted Carrying Value	Change in Book/Adjusted Carrying Value				Interest			Dates	
		3 Code	4 F o r e i g n	5 Bond CHAR			8 Rate Used To Obtain Fair Value	9 Fair Value			12 Unrealized Valuation Increase/ (Decrease)	13 Current Year's (Amortization)/ Accretion	14 Current Year's Other- Than- Temporary Impairment Recognized	15 Total Foreign Exchange Change in B./A.C.V.	16 Rate of	17 Effective Rate of	18 When Paid	19 Admitted Amount Due & Accrued	20 Amount Rec. During Year

SCHEDULE D – PART 2 – SECTION 1

Showing All PREFERRED STOCKS Owned December 31 of Current Year

1 CUSIP Identification	2 Description	3 Codes		5 Number of Shares	6 Par Value Per Share	7 Rate Per Share	8 Book/ Adjusted Carrying Value	9 Fair Value		11 Actual Cost	Dividends			Change in Book/Adjusted Carrying Value					20 NAIC Designation and Administrative Symbol	21 Date Acquired
		3 Code	4 F o r e i g n					9 Rate per Share Used to Obtain Fair Value	10 Fair Value		12 Declared but Unpaid	13 Amount Received During Year	14 Nonadmitted Declared But Unpaid	15 Unrealized Valuation Increase/ (Decrease)	16 Current Year's (Amortization) Accretion	17 Current Year's Other-Than- Temporary Impairment Recognized	18 Total Change in B./A.C.V. (15+16-17)	19 Total Foreign Exchange Change in B./A.C.V.		

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

*****Removal of the NAIC Market Indicator Colum will be effective 2019 Annual reporting*****

1 CUSIP Identification	2 Description	Codes		5 Number of Shares	6 Book/Adjusted Carrying Value	Fair Value		9 Actual Cost	Dividends			Change in Book/Adjusted Carrying Value				17 NAIC Market Indicator (*)	18 Date Acquired
		3 Code	4 F o r e i g n			7 Rate per Share Used to Obtain Fair Value	8 Fair Value		10 Declared but Unpaid	11 Amount Received During Year	12 Nonadmitted Declared But Unpaid	13 Unrealized Valuation Increase/ (Decrease)	14 Current Year's Other-Than- Temporary Impairment Recognized	15 Total Change in B./A.C.V. (13-14)	16 Total Foreign Exchange Change in B./A.C.V.		

SCHEDULE DL – PART 1
SECURITIES LENDING COLLATERAL ASSETS

Reinvested Collateral Assets Owned December 31 Current Year
(Securities lending collateral assets reported in aggregate on Line 10 of the Assets page
and not included on Schedules A, B, BA, D DB and E)

*****Reference to “Market Indicator will be removed effective 2019 Annual report.**
For 2018 columns will read “NAIC Designation and Administrative Symbol/Market Indicator”***

1 CUSIP Identification	2 Description	3 Code	4 NAIC Designation and Administrative Symbol/ Market Indicator	5 Fair Value	6 Book/Adjusted Carrying Value	7 Maturity Date
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SCHEDULE DL – PART 2
SECURITIES LENDING COLLATERAL ASSETS

Reinvested Collateral Assets Owned December 31 Current Year
(Securities lending collateral assets included on Schedules A, B, BA, D, DB and E
and not reported in aggregate on Line 10 of the Assets page)

*****Reference to “Market Indicator will be removed effective 2019 Annual report.**
For 2018 columns will read “NAIC Designation and Administrative Symbol/Market Indicator”***

1 CUSIP Identification	2 Description	3 Code	4 NAIC Designation and Administrative Symbol/ Market Indicator	5 Fair Value	6 Book/Adjusted Carrying Value	7 Maturity Date
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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

NAIC Designation	1 1 Year or Less	2 Over 1 Year Through 5 Years	3 Over 5 Years Through 10 Years	4 Over 10 Years Through 20 Years	5 Over 20 Years	6 No Maturity Date	7 Total Current Year	8 Col. 7 as a % of Line 11.7	9 Total from Col. 7 Prior Year	10 % From Col. 8 Prior Year	11 Total Publicly Traded	12 Total Privately Placed (a)
------------------	------------------------	--	---	--	-----------------------	--------------------------	----------------------------	---------------------------------------	---	--------------------------------------	-----------------------------------	---

Detail Eliminated To Conserve Space

14. Total Privately Placed Bonds												
14.1 NAIC 1	XXX
14.2 NAIC 2	XXX
14.3 NAIC 3	XXX
14.4 NAIC 4	XXX
14.5 NAIC 5	XXX
14.6 NAIC 6	XXX
14.7 Totals	XXX
14.8 Line 14.7 as a % of Col. 7	XXX	XXX	XXX	XXX
14.9 Line 14.7 as a % of Line 11.7, Col. 7, Section 11	XXX	XXX	XXX	XXX

- (a) Includes \$ _____ freely tradable under SEC Rule 144 or qualified for resale under SEC Rule 144A.
- (b) Includes \$ _____ current year of bonds with Z designations, \$ _____ prior year of bonds with Z designations and \$ _____ current year, \$ _____ prior year of bonds with Z* designations. The letter "Z" means the NAIC designation was not assigned by the Securities Valuation Office (SVO) at the date of the statement. "Z*" means the SVO could not evaluate the obligation because valuation procedures for the security class is under regulatory review.
- (c) Includes \$ _____ current year of bonds with 5GI designations, \$ _____ prior year of bonds with 5* or 5GI designations and \$ _____ current year, \$ _____ prior year of bonds with 6* designations. "5GI5*" means the NAIC designation was assigned by the SVO in reliance on the insurer's certification that the issuer is current in all principal and interest payments. "6*" means the NAIC designation was assigned by the SVO due to inadequate certification of principal and interest payments.
- (d) Includes the following amount of short-term and cash equivalent bonds by NAIC designation: NAIC 1 \$ _____; NAIC 2 \$ _____; NAIC 3 \$ _____; NAIC 4 \$ _____; NAIC 5 \$ _____; NAIC 6 \$ _____.

QUARTERLY STATEMENT BLANK – LIFE, HEALTH, PROPERTY, FRATERNAL AND TITLE

SCHEDULE BA – PART 2

Showing Other Long-Term Invested Assets ACQUIRED AND ADDITIONS MADE During the Current Quarter

1 CUSIP Identification	2 Name or Description	Location		5 Name of Vendor or General Partner	6 NAIC Designation and Administrative Symbol	7 Date Originally Acquired	8 Type and Strategy	9 Actual Cost at Time of Acquisition	10 Additional Investment Made After Acquisition	11 Amount of Encumbrances	12 Commitment for Additional Investment	13 Percentage of Ownership
		3 City	4 State									

SCHEDULE D – PART 3

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

*****Reference to “Market Indicator will be removed effective 2019 Annual report.**

For 2018 columns will read “NAIC Designation and Administrative Symbol/Market Indicator”***

1 CUSIP Identification	2 Description	3 Foreign	4 Date Acquired	5 Name of Vendor	6 Number of Shares of Stock	7 Actual Cost	8 Par Value	9 Paid for Accrued Interest and Dividends	10 NAIC Designation and Administrative Symbol or Market Indicator ^(a)
------------------------------	------------------	--------------	-----------------------	---------------------------	--------------------------------------	---------------------	-------------------	--	---



Detail Eliminated To Conserve Space



9999999 Totals							XXX		XXX
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~~(a) For all common stock bearing the NAIC market indicator “U” provide: the number of such issues _____.~~

SCHEDULE D – PART 4

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

*****Reference to “Market Indicator will be removed effective 2019 Annual report.
For 2018 columns will read “NAIC Designation and Administrative Symbol/Market Indicator”*****

1 CUSIP Indenti- fication	2 Des- cription	3 Foreign	4 Disposal Date	5 Name of Purchaser	6 Number of Shares of Stock	7 Consider- ation	8 Par Value	9 Actual Cost	10 Prior Year Book/ Adjusted Carrying Value	Change In Book/Adjusted Carrying Value					16 Book/ Adjusted Carrying Value at Disposal Date	17 Foreign Exchange Gain (Loss) on Disposal	18 Realized Gain (Loss) on Disposal	19 Total Gain (Loss) on Disposal	20 Bond Interest/ Stock Dividends Received During Year	21 Stated Contractual Maturity Date	22 NAIC Designation and Administrative Symbol- Market Indicator (a)
										11 Unrealized Valuation Increase/ (Decrease)	12 Current Year's (Amortization)/ Accretion	13 Current Year's Other- Than- Temporary Impairment Recognized	14 Total Change in B./A.C.V. (11+12-13)	15 Total Foreign Exchange Change in B./A.C.V.							


Detail Eliminated To Conserve Space


9999999	Totals																		XXX	XXX
---------	--------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	-----	-----

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

SCHEDULE DL – PART 1
SECURITIES LENDING COLLATERAL ASSETS
 Reinvested Collateral Assets Owned Current Statement Date
 (Securities lending collateral assets reported in aggregate on Line 10 of the Assets page
 and not included on Schedules A, B, BA, D DB and E)

*****Reference to “Market Indicator will be removed effective 2019 Annual report.
 For 2018 columns will read “NAIC Designation and Administrative Symbol/Market Indicator”*****

1	2	3	4	5	6	7
CUSIP Identification	Description	Code	NAIC Designation and Administrative Symbol/Market Indicator	Fair Value	Book/Adjusted Carrying Value	Maturity Dates

SCHEDULE DL – PART 2
SECURITIES LENDING COLLATERAL ASSETS
 Reinvested Collateral Assets Owned Current Statement Date
 (Securities lending collateral assets included on Schedules A, B, BA, D, DB and E
 and not reported in aggregate on Line 10 of the Assets page)

*****Reference to “Market Indicator will be removed effective 2019 Annual report.
 For 2018 columns will read “NAIC Designation and Administrative Symbol/Market Indicator”*****

1	2	3	4	5	6	7
CUSIP Identification	Description	Code	NAIC Designation and Administrative Symbol Market Indicator	Fair Value	Book/Adjusted Carrying Value	Maturity Dates

GENERAL INTERROGATORIES

PART 1 – COMMON INTERROGATORIES

GENERAL


Detail Eliminated To Conserve Space


19. By self-designating ~~5*GI~~ 5GI securities, the reporting entity is certifying the following elements for each self-designated ~~5*GI~~ 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 ~~5*GI~~ 5GI securities? Yes [] No []

20. 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 a NRSRO which is shown on a current private letter rating held by the insurer and available for examination by state insurance regulators.
 - d. The reporting entity is not permitted to share this credit rating of the PL security with the SVO.
- Has the reporting entity self-designated PLGI securities? Yes [] No []


Detail Eliminated To Conserve Space


**Matrices that will be posted to NAIC’s website for the Securities Valuation Office
(<http://www.naic.org/svo.htm>)**

Schedule D — Bonds:

Administrative Symbol	NAIC Designation					
	1	2	3	4	5	6
	1	2	3	4	5	6
S	1S	2S	3S	4S	5S	6S
FE	1FE	2FE	3FE	4FE	5FE	6FE
FM	1FM	2FM	3FM	4FM	5FM	6FM
AM	1AM	2AM	3AM	4AM	5AM	6AM
YE	1YE	2YE	3YE	4YE	5YE	6YE
IF	1IF	2IF	3IF	4IF	5IF	6IF
PL	1PL	2PL	3PL	4PL	5PL	6PL
PLGI	1PLGI	2PLGI	3PLGI	4PLGI	5PLGI	6PLGI
Z	1Z	2Z	3Z	4Z	5Z	6Z
GI					5GI	
F	1F	2F	3F	4F	5F	6F
*						6*

Schedule D — Preferred Stocks:

 For 2018 Annual reporting “P” or “RP” should inserted (as appropriate) at the beginning of the “NAIC Designation and Administrative Symbol” highlighted in gray in the table below. Market Indicators from the Market Indicator table below should be appended (as appropriate) to the end of the “NAIC Designation and Administrative Symbol” highlighted in gray in the table below.

Administrative Symbol	NAIC Designation					
	1	2	3	4	5	6
	1	2	3	4	5	6
S	1S	2S	3S	4S	5S	6S
FE	1FE	2FE	3FE	4FE	5FE	6FE
YE	1YE	2YE	3YE	4YE	5YE	6YE
IF	1IF	2IF	3IF	4IF	5IF	6IF
PL	1PL	2PL	3PL	4PL	5PL	6PL
PLGI	1PLGI	2PLGI	3PLGI	4PLGI	5PLGI	6PLGI
Z	1Z	2Z	3Z	4Z	5Z	6Z
GI					5GI	
F	1F	2F	3F	4F	5F	6F
*						6*

Market Indicators					
A	J	K	L	U	V

Schedule BA — Bonds & Preferred Stocks:

Administrative Symbol	NAIC Designation					
	1	2	3	4	5	6
	1	2	3	4	5	6
S	1S	2S	3S	4S	5S	6S
FE	1FE	2FE	3FE	4FE	5FE	6FE
YE	1YE	2YE	3YE	4YE	5YE	6YE
PL	1PL	2PL	3PL	4PL	5PL	6PL
PLGI	1PLGI	2PLGI	3PLGI	4PLGI	5PLGI	6PLGI
F	1F	2F	3F	4F	5F	6F

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