



# QUARTERLY STATEMENT

As of March 31, 2015  
of the Condition and Affairs of the

## United Transportation Union Insurance Association

NAIC Group Code..... 0, 0 <small>(Current Period) (Prior Period)</small>	NAIC Company Code..... 56413	Employer's ID Number..... 23-7131460
Organized under the Laws of Ohio	State of Domicile or Port of Entry Ohio	Country of Domicile US
Incorporated/Organized..... November 16, 1970	Commenced Business..... March 10, 1971	
Statutory Home Office	24950 Country Club Blvd Ste 340..... North Olmsted ..... OH ..... US ..... 44070-5333 <small>(Street and Number) (City or Town, State, Country and Zip Code)</small>	
Main Administrative Office	24950 Country Club Blvd Ste 340..... North Olmsted ..... OH ..... US ..... 44070-5333 216-228-9400 <small>(Street and Number) (City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)</small>	
Mail Address	24950 Country Club Blvd Ste 340..... North Olmsted ..... OH ..... US ..... 44070-5333 <small>(Street and Number or P. O. Box) (City or Town, State, Country and Zip Code)</small>	
Primary Location of Books and Records	24950 Country Club Blvd Ste 340..... North Olmsted ..... OH ..... US ..... 44070-5333 216-228-9400 <small>(Street and Number) (City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)</small>	
Internet Web Site Address	utuia.org	
Statutory Statement Contact	Richard A Kusnic Sr <small>(Name)</small> Rkusnic@utuia.org <small>(E-Mail Address)</small>	216-228-9400 <small>(Area Code) (Telephone Number) (Extension)</small> 216-228-0411 <small>(Fax Number)</small>

### OFFICERS

Name	Title	Name	Title
1. John Previsich	President	2. John England	Secretary
3. John England	Treasurer	4.	

### OTHER

### DIRECTORS OR TRUSTEES

John Lesniewski	John Previsich	John England	Frank James Riha
Nicholas J Diccico Jr	John J Risch III	William Jennings Thompson	William B Ryan

State of.....  
County of.....

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

_____ (Signature) John Previsich 1. (Printed Name) _____ President (Title)	_____ (Signature) John England 2. (Printed Name) _____ Secretary (Title)	_____ (Signature) John England 3. (Printed Name) _____ Treasurer (Title)
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Subscribed and sworn to before me  
This \_\_\_\_\_ day of \_\_\_\_\_

a. Is this an original filing? Yes [ X ] No [ ]  
b. If no: 1. State the amendment number \_\_\_\_\_  
2. Date filed \_\_\_\_\_  
3. Number of pages attached \_\_\_\_\_

**ASSETS**

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1. Bonds.....	197,324,075		197,324,075	196,151,602
2. Stocks:				
2.1 Preferred stocks.....			0	
2.2 Common stocks.....	17,963,575		17,963,575	17,401,965
3. Mortgage loans on real estate:				
3.1 First liens.....			0	
3.2 Other than first liens.....			0	
4. Real estate:				
4.1 Properties occupied by the company (less \$.....0 encumbrances).....			0	
4.2 Properties held for the production of income (less \$.....0 encumbrances).....	1,592,980		1,592,980	1,603,392
4.3 Properties held for sale (less \$.....0 encumbrances).....			0	
5. Cash (\$....385,229), cash equivalents (\$....2,184,874) and short-term investments (\$.....0).....	2,570,103		2,570,103	3,987,821
6. Contract loans (including \$.....0 premium notes).....	5,828,064		5,828,064	6,066,977
7. Derivatives.....			0	
8. Other invested assets.....			0	
9. Receivables for securities.....			0	
10. Securities lending reinvested collateral assets.....			0	
11. Aggregate write-ins for invested assets.....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11).....	225,278,797	0	225,278,797	225,211,757
13. Title plants less \$.....0 charged off (for Title insurers only).....			0	
14. Investment income due and accrued.....	2,300,549		2,300,549	2,251,716
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection.....	151,115		151,115	103,197
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$.....0 earned but unbilled premiums).....	39,789		39,789	28,269
15.3 Accrued retrospective premiums.....			0	
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers.....			0	
16.2 Funds held by or deposited with reinsured companies.....			0	
16.3 Other amounts receivable under reinsurance contracts.....			0	
17. Amounts receivable relating to uninsured plans.....			0	
18.1 Current federal and foreign income tax recoverable and interest thereon.....			0	
18.2 Net deferred tax asset.....			0	
19. Guaranty funds receivable or on deposit.....			0	
20. Electronic data processing equipment and software.....			0	
21. Furniture and equipment, including health care delivery assets (\$.....0).....			0	
22. Net adjustment in assets and liabilities due to foreign exchange rates.....			0	
23. Receivables from parent, subsidiaries and affiliates.....			0	
24. Health care (\$.....0) and other amounts receivable.....			0	
25. Aggregate write-ins for other than invested assets.....	0	0	0	0
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 through 25).....	227,770,250	0	227,770,250	227,594,939
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			0	
28. Total (Lines 26 and 27).....	227,770,250	0	227,770,250	227,594,939

**DETAILS OF WRITE-INS**

1101. ....			0	
1102. ....			0	
1103. ....			0	
1198. Summary of remaining write-ins for Line 11 from overflow page.....	0	0	0	0
1199. Totals (Lines 1101 thru 1103 plus 1198) (Line 11 above).....	0	0	0	0
2501. ....			0	
2502. ....			0	
2503. ....			0	
2598. Summary of remaining write-ins for Line 25 from overflow page.....	0	0	0	0
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above).....	0	0	0	0

## United Transportation Union Insurance Association LIABILITIES, SURPLUS AND OTHER FUNDS

	1 Current Statement Date	2 December 31 Prior Year
1. Aggregate reserve for life contracts (including \$.....0 Modco Reserve).....	160,746,406	162,004,647
2. Aggregate reserve for accident and health contracts (including \$.....0 Modco Reserve).....	5,342,332	5,466,324
3. Liability for deposit-type contracts (including \$.....0 Modco Reserve).....	5,766,723	5,649,282
4. Contract claims:		
4.1 Life.....	1,059,489	1,153,061
4.2 Accident and health.....	197,074	172,696
5. Refunds due and unpaid.....	6,299	6,299
6. Provisions for refunds payable in following calendar year - estimated amounts:		
6.1 Apportioned for payment.....		
6.2 Not yet apportioned.....		
7. Premiums and annuity considerations for life and accident and health contracts received in advance less \$.....0 discount; including \$.....161,704 accident and health premiums.....	475,027	380,189
8. Certificate and contract liabilities not included elsewhere:		
8.1 Surrender values on canceled contracts.....	209,882	222,433
8.2 Other amounts payable on reinsurance including \$.....0 assumed and \$.....0 ceded.....		
8.3 Interest maintenance reserve (IMR).....	6,133,366	6,178,959
9. Commissions to fieldworkers due or accrued - life and annuity contracts \$.....22,173, accident and health \$.....42,148 and deposit-type contract funds \$.....0.....	64,321	64,329
10. Commissions and expense allowances payable on reinsurance assumed.....		
11. General expenses due or accrued.....	495,669	408,960
12. Transfers to Separate Accounts due or accrued (net) (including \$.....0 accrued for expense allowances recognized in reserves).....		
13. Taxes, licenses and fees due or accrued.....	40,597	33,097
14. Unearned investment income.....		
15. Amounts withheld or retained by Society as agent or trustee.....		
16. Amounts held for fieldworkers' account, including \$.....0 fieldworkers' credit balances.....		
17. Remittances and items not allocated.....		
18. Net adjustment in assets and liabilities due to foreign exchange rates.....		
19. Liability for benefits for employees and fieldworkers if not included above.....		
20. Borrowed money \$.....0 and interest thereon \$.....0.....		
21. Miscellaneous liabilities:		
21.1 Asset valuation reserve.....	3,093,895	2,874,673
21.2 Reinsurance in unauthorized and certified (\$.....0) companies.....		
21.3 Funds held under reinsurance treaties with unauthorized and certified (\$.....0) reinsurers.....		
21.4 Payable to subsidiaries and affiliates.....	577,644	506,255
21.5 Drafts outstanding.....		
21.6 Funds held under coinsurance.....		
21.7 Derivatives.....		
21.8 Payable for securities.....		
21.9 Payable for securities lending.....		
22. Aggregate write-ins for liabilities.....	451,747	30,275
23. Total liabilities excluding Separate Accounts business (Lines 1 to 22).....	184,660,471	185,151,479
24. From Separate Accounts Statement.....		
25. Total liabilities (Lines 23 to 24).....	184,660,471	185,151,479
26. Aggregate write-ins for other than liabilities and surplus funds.....	0	0
27. Surplus notes.....		
28. Aggregate write-ins for surplus funds.....	0	0
29. Unassigned funds.....	43,109,779	42,443,460
30. Total (Lines 26 through 29) (including \$.....0 in Separate Accounts Statement).....	43,109,779	42,443,460
31. Totals (Lines 25 + 30) (Page 2, Line 28, Col. 3).....	227,770,250	227,594,939

### DETAILS OF WRITE-INS

2201. Liability for uncashed checks.....	30,275	30,275
2202. Experience Refund Due.....	421,472	
2203. ....		
2298. Summary of remaining write-ins for Line 22 from overflow page.....	0	0
2299. Totals (Lines 2201 thru 2203 plus 2298) (Line 22 above).....	451,747	30,275
2601. ....		
2602. ....		
2603. ....		
2698. Summary of remaining write-ins for Line 26 from overflow page.....	0	0
2699. Totals (Lines 2601 thru 2603 plus 2698) (Line 26 above).....	0	0
2801. ....		
2802. ....		
2803. ....		
2898. Summary of remaining write-ins for Line 28 from overflow page.....	0	0
2899. Totals (Lines 2801 thru 2803 plus 2898) (Line 28 above).....	0	0

**SUMMARY OF OPERATIONS**

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
1. Premiums and annuity considerations for life and accident and health contracts.....	3,528,431	4,004,136	15,749,299
2. Considerations for supplementary contracts with life contingencies.....			
3. Net investment income.....	2,437,496	2,358,008	8,956,316
4. Amortization of Interest Maintenance Reserve (IMR).....	268,743	296,661	1,181,038
5. Separate Accounts net gain from operations excluding unrealized gains and losses.....			
6. Commissions and expense allowances on reinsurance ceded.....			
7. Reserve adjustments on reinsurance ceded.....			
8. Miscellaneous income:			
8.1 Income from fees associated with investment management, administration and contract guaranties from Separate Accounts.....			
8.2 Charges and fees for deposit-type contracts.....			
8.3 Aggregate write-ins for miscellaneous income.....	5,152	8,035	44,194
9. Totals (Lines 1 to 8.3).....	6,239,822	6,666,840	25,930,847
10. Death benefits.....	874,306	1,098,166	3,454,419
11. Matured endowments (excluding guaranteed annual pure endowments).....	8,445	13,443	103,453
12. Annuity benefits.....	2,415,296	3,212,797	11,639,456
13. Disability benefits and benefits under accident and health contracts including premiums waived \$.....0.....	394,209	361,682	1,270,835
14. Surrender benefits and withdrawals for life contracts.....	854,788	628,483	2,226,170
15. Interest and adjustments on contract or deposit-type contract funds.....	1,064	1,241	5,415
16. Payments on supplementary contracts with life contingencies.....			
17. Increase in aggregate reserve for life and accident and health contracts.....	(837,336)	(1,325,788)	(3,055,086)
18. Totals (Lines 10 to 17).....	3,710,772	3,990,024	15,644,662
19. Commissions on premiums, annuity considerations and deposit-type contract funds (direct business only).....	174,204	175,213	779,489
20. Commissions and expense allowances on reinsurance assumed.....			
21. General insurance expenses and fraternal expenses.....	1,758,236	1,561,747	6,215,400
22. Insurance taxes, licenses and fees.....	167,687	142,081	493,999
23. Increase in loading on deferred and uncollected premiums.....			
24. Net transfers to or (from) Separate Accounts net of reinsurance.....			
25. Aggregate write-ins for deductions.....	0	0	0
26. Totals (Lines 18 to 25).....	5,810,899	5,869,065	23,133,550
27. Net gain from operations before refunds to members (Line 9 minus Line 26).....	428,923	797,775	2,797,297
28. Refunds to members.....	(5,508)	(4,144)	(15,449)
29. Net gain from operations after refunds to members and before realized capital gains (losses) (Line 27 minus Line 28).....	434,431	801,919	2,812,746
30. Net realized capital gains (losses) less capital gains tax of .....0 (excluding \$.....0 transferred to the IMR).....		2,044	2,239,628
31. Net income (Lines 29 + 30).....	434,431	803,963	5,052,374
<b>SURPLUS ACCOUNT</b>			
32. Surplus, December 31, prior year.....	42,443,460	37,367,562	37,367,562
33. Net income from operations (Line 31).....	434,431	803,963	5,052,374
34. Change in net unrealized capital gains (losses) less capital gains tax of \$.....0.....	451,110	339,625	(786,907)
35. Change in net unrealized foreign exchange capital gain (loss).....			
36. Change in nonadmitted assets.....		(7,500)	50,000
37. Change in liability for reinsurance in unauthorized and certified companies.....			
38. Change in reserve on account of change in valuation basis (increase) or decrease.....			
39. Change in asset valuation reserve.....	(219,222)	(170,025)	760,431
40. Surplus (contributed to) withdrawn from Separate Accounts during period.....			
41. Other changes in surplus in Separate Accounts Statement.....			
42. Change in surplus notes.....			
43. Cumulative effect of changes in accounting principles.....			
44. Change in surplus as a result of reinsurance.....			
45. Aggregate write-ins for gains and losses in surplus.....	0	0	0
46. Net change in surplus for the year (Lines 33 through 45).....	666,319	966,063	5,075,898
47. Surplus as of statement date (Lines 32 + 46).....	43,109,779	38,333,625	42,443,460
<b>DETAILS OF WRITE-INS</b>			
08.301. Miscellaneous income.....	1,101	237	24,801
08.302. Penalty on early withdrawal.....	4,051	7,798	19,393
08.303. ....			
08.398. Summary of remaining write-ins for Line 8.3 from overflow page.....	0	0	0
08.399. Totals (Lines 08.301 thru 08.303 plus 08.398) (Line 8.3 above).....	5,152	8,035	44,194
2501. ....			
2502. ....			
2503. ....			
2598. Summary of remaining write-ins for Line 25 from overflow page.....	0	0	0
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above).....	0	0	0
4501. ....			
4502. ....			
4503. ....			
4598. Summary of remaining write-ins for Line 45 from overflow page.....	0	0	0
4599. Totals (Lines 4501 thru 4503 plus 4598) (Line 45 above).....	0	0	0

## CASH FLOW

	1 Current Year to Date	2 Prior Year To Date	3 Prior Year Ended December 31
<b>CASH FROM OPERATIONS</b>			
1. Premiums collected net of reinsurance.....	3,563,831	4,090,857	15,787,867
2. Net investment income.....	2,491,837	2,319,245	9,211,247
3. Miscellaneous income.....	5,152	8,035	44,194
4. Total (Lines 1 through 3).....	6,060,820	6,418,137	25,043,308
5. Benefit and loss related payments.....	4,629,853	5,141,979	18,559,393
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts.....			
7. Commissions, expenses paid and aggregate write-ins for deductions.....	2,001,501	1,829,237	7,468,175
8. Dividends paid to policyholders.....	(5,508)	(1,345)	(1,225)
9. Federal and foreign income taxes paid (recovered) net of \$.....0 tax on capital gains (losses).....			
10. Total (Lines 5 through 9).....	6,625,846	6,969,871	26,026,343
11. Net cash from operations (Line 4 minus Line 10).....	(565,026)	(551,734)	(983,035)
<b>CASH FROM INVESTMENTS</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds.....	11,689,154	8,095,863	35,719,729
12.2 Stocks.....	2	2,044	14,604,763
12.3 Mortgage loans.....			
12.4 Real estate.....			1,173,708
12.5 Other invested assets.....			
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments.....			
12.7 Miscellaneous proceeds.....			
12.8 Total investment proceeds (Lines 12.1 to 12.7).....	11,689,156	8,097,907	51,498,200
13. Cost of investments acquired (long-term only):			
13.1 Bonds.....	12,741,651	15,234,745	50,715,597
13.2 Stocks.....	110,499	26,287	5,031,997
13.3 Mortgage loans.....			
13.4 Real estate.....			
13.5 Other invested assets.....			
13.6 Miscellaneous applications.....		933,300	
13.7 Total investments acquired (Lines 13.1 to 13.6).....	12,852,150	16,194,333	55,747,593
14. Net increase or (decrease) in contract loans and premium notes.....	(238,913)	(80,443)	(302,254)
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14).....	(924,080)	(8,015,982)	(3,947,140)
<b>CASH FROM FINANCING AND MISCELLANEOUS SOURCES</b>			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes.....			
16.2 Capital and paid in surplus, less treasury stock.....			
16.3 Borrowed funds.....			
16.4 Net deposits on deposit-type contracts and other insurance liabilities.....			(663,841)
16.5 Dividends to stockholders.....			
16.6 Other cash provided (applied).....	71,389	66,618	602,072
17. Net cash from financing and miscellaneous sources (Lines 16.1 through 16.4 minus Line 16.5 plus Line 16.6).....	71,389	66,618	(61,769)
<b>RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS</b>			
18. Net change in cash, cash equivalents and short-term investments (Line 11 plus Line 15 plus Line 17).....	(1,417,718)	(8,501,098)	(4,991,944)
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year.....	3,987,822	8,979,766	8,979,766
19.2 End of period (Line 18 plus Line 19.1).....	2,570,105	478,668	3,987,822

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

20.0001			
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**EXHIBIT 1**

**DIRECT PREMIUMS AND DEPOSIT-TYPE CONTRACTS**

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
1. Life Insurance.....	1,399,004	1,338,761	5,838,141
2. Individual annuities.....	1,052,688	1,461,072	5,504,087
3. Accident and Health.....	910,273	869,786	3,548,698
4. Aggregate of all other lines of business.....	315,428	334,518	1,198,611
5. Subtotal (Lines 1 through 4).....	3,677,393	4,004,137	16,089,537
6. Fraternal.....			
7. Expenses.....			
8. Subtotal (Lines 5 through 7).....	3,677,393	4,004,137	16,089,537
9. Deposit-type contracts.....			1,198,611
10. Total.....	3,677,393	4,004,137	17,288,148

**DETAILS OF WRITE-INS**

0401. Supplemental Contracts.....	315,428	334,518	1,198,611
0402. ....			
0403. ....			
0498. Summary of remaining write-ins for Line 4 from overflow page.....	0	0	0
0499. Total (Lines 0401 thru 0403 plus 0498) (Line 4 above).....	315,428	334,518	1,198,611

**NOTES TO FINANCIAL STATEMENTS****Note 1 - Summary of Significant Accounting Policies**

## A. Accounting Practices

	State of Domicile	2015	2014
<b>NET INCOME</b>			
(1) United Transportation Union Insurance Association state basis (Page 4, Line 31, Columns 1 & 2)	OH	434,431	5,052,374
(2) State Prescribed Practices that increase/decrease NAIC SAP			
(3) State Permitted Practices that increase/decrease NAIC SAP			
(4) NAIC SAP (1 - 2 - 3 = 4)	OH	434,431	5,052,374
<b>SURPLUS</b>			
(5) United Transportation Union Insurance Association state basis (Page 3, line 30, Columns 1 & 2)	OH	43,109,779	42,443,460
(6) State Prescribed Practices that increase/decrease NAIC SAP			
(7) State Permitted Practices that increase/decrease NAIC SAP			
(8) NAIC SAP (5 - 6 - 7 = 8)	OH	43,109,779	42,443,460

## C. Accounting Policies

**Note 2 - Accounting Changes and Corrections of Errors**

No significant change.

**Note 3 - Business Combinations and Goodwill**

No significant change.

**Note 4 - Discontinued Operations**

No significant change.

**Note 5 - Investments**

## D. Loan-Backed Securities

(1)

	1	2a	2b	c
(2)	Amortized Cost Basis Before Other-than-Temporary Impairment	Other-than-Temporary Impairment Recognized in Loss		Fair Value 1 - (2a + 2b)
		Interest	Non-Interest	
OTTI recognized 1 <sup>st</sup> Quarter				
a.	Intent to sell			
b.	Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis			
c.	Total 1 <sup>st</sup> Quarter			
OTTI recognized 2 <sup>nd</sup> Quarter				
d.	Intent to sell			
e.	Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis			
f.	Total 2 <sup>nd</sup> Quarter			
OTTI recognized 3 <sup>rd</sup> Quarter				
g.	Intent to sell			
h.	Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis			
i.	Total 4 <sup>th</sup> Quarter			
OTTI recognized 4 <sup>th</sup> Quarter				
j.	Intent to sell			
k.	Inability or lack of intent to retain the investment in the security for a period of time sufficient to recover the amortized cost basis			
l.	Total 4 <sup>th</sup> Quarter			
m.	Annual aggregate total	XXX		XXX

(3) Recognized OTTI securities

## NOTES TO FINANCIAL STATEMENTS

CUSIP	Book/Adjusted Carrying Value Amortized Cost Before Current Period OTTI	Present Value of Projected Cash Flows	Recognized Other-Than-Temporary Impairment	Amortized Cost After Other-Than-Temporary Impairment	Fair Value at Time of OTTI	Date of Financial Statement Where Reported
Total						

- (4) All impaired securities (fair value is less than cost or amortized cost) for which an other-than-temporary impairment has not been recognized in earnings as a realized loss (including securities with a recognized other-than-temporary impairment for non-interest related declines when a non-recognized interest related impairment remains):

a.	The aggregate amount of unrealized losses:	1.	Less than 12 Months	
		2.	12 Months or Longer	
b.	The aggregate related fair value of securities with unrealized losses:	1.	Less than 12 Months	
		2.	12 Months or Longer	

(5)

E. Repurchase Agreements and/or Securities Lending Transactions

(3) Collateral Received

- b. The fair value of that collateral and of the portion of that collateral that it has sold or repledged

I. Working Capital Finance Investments

(2) Aggregate Maturity Distribution on the Underlying Working Capital Finance Programs

	Book/Adjusted Carrying Value
(a) Up to 180 Days	
(b) 181 to 365 Days	
(c) Total	

(3)

J. Offsetting and Netting of Assets and Liabilities

	Gross Amount Recognized	Amount Offset*	Net Amount Presented on Financial Statements
(1) Assets			
(2) Liabilities			

\* For derivative assets and derivative liabilities, the amount offset shall agree to Schedule DB, Part D-Section 1.

**Note 6 - Joint Ventures, Partnerships and Limited Liability Companies**

No significant change.

**Note 7 - Investment Income**

No significant change.

**Note 8 - Derivative Instruments**

No significant change.

**Note 9 - Income Taxes**

No significant change.

**Note 10 - Information Concerning Parent, Subsidiaries, Affiliates and Other Related Parties**

No significant change.

**Note 11 - Debt**

B. FHLB (Federal Home Loan Bank) Agreements

(1)

(2) a. FHLB Capital Stock – Aggregate Totals

1. Current Year

	1 Total 2 + 3	2 General Account	3 Separate Accounts
(a) Membership Stock – Class A			
(b) Membership Stock – Class B			
(c) Activity Stock			

## NOTES TO FINANCIAL STATEMENTS

		1 Total 2 + 3	2 General Account	3 Separate Accounts
(d)	Excess Stock			
(e)	Aggregate Total			
(f)	Actual or estimated borrowing capacity as determined by the insurer		XXX	XXX

## 2. Prior Year

		1 Total 2 + 3	2 General Account	3 Separate Accounts
(a)	Membership Stock – Class A			
(b)	Membership Stock – Class B			
(c)	Activity Stock			
(d)	Excess Stock			
(e)	Aggregate Total			
(f)	Actual or estimated borrowing capacity as determined by the insurer		XXX	XXX

## b. Membership Stock (Class A and B) Eligible for Redemption

		Current Year Total	Not Eligible for Redemption	Less Than 6 Months	6 Months to Less than 1 Year	1 to Less than 3 Years	3 to 5 Years
1.	Class A						
2.	Class B						

## (3) Collateral Pledged to FHLB

## a. Amount Pledged as of Reporting Date

## 1. Current Year Total General and Separate Accounts

	Fair Value	Carrying Value	Aggregate Total Borrowing
Total Collateral Pledged			

## 2. Current Year General Account

	Fair Value	Carrying Value	Aggregate Total Borrowing
Total Collateral Pledged			

## 3. Current Year Separate Accounts

	Fair Value	Carrying Value	Aggregate Total Borrowing
Total Collateral Pledged			

## 4. Prior Year Total General and Separate Accounts

	Fair Value	Carrying Value	Aggregate Total Borrowing
Total Collateral Pledged			

## b. Maximum Amount Pledged During Reporting Period

## 1. Current Year Total General and Separate Accounts

	Fair Value	Carrying Value	Amount of Borrowed at Time of Maximum Collateral
Maximum Collateral Pledged			

## 2. Current Year General Account

	Fair Value	Carrying Value	Amount of Borrowed at Time of Maximum Collateral
Maximum Collateral Pledged			

## 3. Current Year Separate Accounts

	Fair Value	Carrying Value	Amount of Borrowed at Time of Maximum Collateral
Maximum Collateral Pledged			

## 4. Prior Year Total General Separate Accounts

	Fair Value	Carrying Value	Amount of Borrowed at Time of Maximum Collateral
Maximum Collateral Pledged			

## (4) Borrowing from FHLB

## a. Amount as of the Reporting Date

## 1. Current Year

		1 Total 2 + 3	2 General Account	3 Separate Account	4 Funding Agreements Established
(a)	Debt				XXX
(b)	Funding Agreements				
(c)	Other				XXX
(d)	Aggregate Total				

## 2. Prior Year-end

## NOTES TO FINANCIAL STATEMENTS

		1 Total 2 + 3	2 General Account	3 Separate Account	4 Funding Agreements Established
(a)	Debt				XXX
(b)	Funding Agreements				
(c)	Other				XXX
(d)	Aggregate Total				

## b. Maximum Amount During Reporting Period (Current Year)

		1 Total 2 + 3	2 General Account	3 Separate Account
1.	Debt			
2.	Funding Agreements			
3.	Other			
4.	Aggregate Total			

## c. FHLB Prepayment Obligations

		Does the company have prepayment obligations under the following arrangements?
1.	Debt	
2.	Funding Agreements	
3.	Other	

### **Note 12 - Retirement Plans, Deferred Compensation, Postemployment Benefits and Compensated Absences and Other Postretirement Benefit Plans**

## A. Defined Benefit Plan

(4)	Components of net periodic benefit cost	Pension Benefits		Postretirement Benefits		Postemployment	
		2015	2014	2015	2014	2015	2014
a.	Service cost						
b.	Interest cost						
c.	Expected return on plan assets						
d.	Transition asset or obligation						
e.	Gains and losses						
f.	Prior service cost or credit						
g.	Gain or loss recognized due to a settlements curtailment						
h.	Total net periodic benefit cost						

### **Note 13 - Capital and Surplus, Shareholders' Dividend Restrictions and Quasi-Reorganizations**

No significant change.

### **Note 14 - Contingencies**

No significant change.

### **Note 15 - Leases**

No significant change.

### **Note 16 - Information About Financial Instruments With Off-Balance Sheet Risk and Financial Instruments With Concentrations of Credit Risk**

No significant change.

### **Note 17 - Sale, Transfer and Servicing of Financial Assets and Extinguishments of Liabilities**

## B. Transfer and Servicing of Financial Assets

(2)

- a.
- b.
- c.

(4)

- a.
- b.

## C. Wash Sales

**NOTES TO FINANCIAL STATEMENTS**

(1)

(2) The details by NAIC designation 3 or below, or unrated of securities sold during current quarter, 2015 and reacquired within 30 days of the sale date are:

Description	NAIC Designation	Number of Transactions	Book Value of Securities Sold	Cost of Securities Repurchased	Gain/(Loss)

**Note 18 - Gain or Loss to the Reporting Entity from Uninsured Plans and the Uninsured Portion of Partially Insured Plans**

No significant change.

**Note 19 - Direct Premium Written/Produced by Managing General Agents/Third Party Administrators**

No significant change.

**Note 20 - Fair Value**

A.

(1) Fair Value Measurements at Reporting Date

Assets at Fair Value	Level 1	Level 2	Level 3	Total
Total				

Liabilities at Fair Value	Level 1	Level 2	Level 3	Total
Total				

(2) Fair Value Measurements in (Level 3) of the Fair Value Hierarchy

a. Assets	Beginning Balance at Quarter	Transfers Into Level 3	Transfers Out of Level 3	Total Gains and (Losses) Included in Net Income	Total Gains and (Losses) Included in Surplus	Purchases	Issuances	Sales	Settlements	Ending Balance at Quarter
Total										

b. Liabilities	Beginning Balance at Quarter	Transfers Into Level 3	Transfers Out of Level 3	Total Gains and (Losses) Included in Net Income	Total Gains and (Losses) Included in Surplus	Purchases	Issuances	Sales	Settlements	Ending Balance at Quarter
Total										

(3)

(4)

(5)

B.

C.

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	(Level 3)	Not Practicable (Carrying Value)

D. Not Practicable to Estimate Fair Value

Type of Class or Financial Instrument	Carrying Value	Effective Interest Rate	Maturity Date	Explanation
		0.000		

**Note 21 - Other Items**

No significant change.

**Note 22 - Events Subsequent**

No significant change.

**Note 23 - Reinsurance**

No significant change.

**Note 24 - Retrospectively Rated Contracts & Contracts Subject to Redetermination**

**NOTES TO FINANCIAL STATEMENTS**

E. Risk Sharing Provisions of the Affordable Care Act

(1) Did the reporting entity write accident and health insurance premium which is subject to the Affordable Care Act risk sharing provisions

(2) Impact of Risk Sharing Provisions of the Affordable Care Act on admitted assets, liabilities and revenue for the current year:

a. Permanent ACA Risk Adjustment Program		AMOUNT
Assets		
1.	Premium adjustments receivable due to ACA Risk Adjustment	
Liabilities		
2.	Risk adjustment user fees payable for ACA Risk Adjustment	
3.	Premium adjustments payable due to ACA Risk Adjustment	
Operations (Revenue & Expenses)		
4.	Reported as revenue in premium for accident and health contracts (written/collected) due to ACA Risk Adjustment	
5.	Reported in expenses as ACA Risk Adjustment user fees (incurred/paid)	
b. Transitional ACA Reinsurance Program		
Assets		
1.	Amounts recoverable for claims paid due to ACA Reinsurance	
2.	Amounts recoverable for claims unpaid due to ACA Reinsurance (contra liability)	
3.	Amounts receivable relating to uninsured plans for contributions for ACA Reinsurance	
Liabilities		
4.	Liabilities for contributions payable due to ACA Reinsurance – not reported as ceded premium	
5.	Ceded reinsurance premiums payable due to ACA Reinsurance	
6.	Liabilities for amounts held under uninsured plans contributions for ACA Reinsurance	
Operations (Revenue & Expenses)		
7.	Ceded reinsurance premiums due to ACA Reinsurance	
8.	Reinsurance recoveries (income statement) due to ACA Reinsurance payments or expected payments	
9.	ACA Reinsurance contributions – not reported as ceded premium	
c. Temporary ACA Risk Corridors Program		
Assets		
1.	Accrued retrospective premium due to ACA Risk Corridors	
Liabilities		
2.	Reserve for rate credits or policy experience rating refunds due to ACA Risk Corridors	
Operations (Revenue & Expenses)		
3.	Effect of ACA Risk Corridors on net premium income (paid/received)	
4.	Effect of ACA Risk Corridors on change in reserves for rate credits	

(3) Roll forward of prior year ACA Risk Sharing Provisions for the following asset (gross of any nonadmission) and liability balances along with the reasons for adjustments to prior year balance:

		Accrued During the Prior Year on Business Written Before December 31 of the Prior Year		Received or Paid as of the Current Year on Business Written Before December 31 of the Prior Year		Differences		Adjustments		Unsettled Balances as of the Reporting Date		
		1	2	3	4	Prior Year Accrued Less Payments (Col. 1-3)	Prior Year Accrued Less Payments (Col. 2-4)	To Prior Year Balances	To Prior Year Balances	Cumulative Balance from Prior Years (Col. 1-3+7)	Cumulative Balance from Prior Years (Col. 2-4+8)	
		Receivable	(Payable)	Receivable	(Payable)	5	6	7	8	9	10	11
a.	Permanent ACA Risk Adjustment Program											
	1. Premium adjustments receivable									A		
	2. Premium adjustments (payable)									B		
	3. Subtotal ACA Permanent Risk Adjustment Program											
b.	Transitional ACA Reinsurance Program											
	1. Amounts recoverable for claims paid									C		
	2. Amounts recoverable for claims unpaid (contra liability)									D		
	3. Amounts receivable relating to uninsured plans									E		
	4. Liabilities for contributions payable due to ACA Reinsurance – not reported as ceded premiums									F		
	5. Ceded reinsurance premiums payable									G		
	6. Liability for amounts held under uninsured plans									H		
	7. Subtotal ACA Transitional Reinsurance Program											
c.	Temporary ACA Risk Corridors Program											
	1. Accrued retrospective premium									I		
	2. Reserve for rate credits or policy experience rating refunds									J		
	3. Subtotal ACA Risk Corridors Program											
d.	Total for ACA Risk Sharing Provisions											

Explanations of Adjustments

- A.
- B.
- C.
- D.

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## **NOTES TO FINANCIAL STATEMENTS**

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E.  
F.  
G.  
H.  
I.  
J.

**Note 25 - Change in Incurred Losses and Loss Adjustment Expenses**

**NOTE: This disclosure is required in every filing for the Quarterly Statement.**

**Note 26 - Intercompany Pooling Arrangements**

No significant change.

**Note 27 - Structured Settlements**

No significant change.

**Note 28 - Health Care Receivables**

No significant change.

**Note 29 - Participating Policies**

No significant change.

**Note 30 - Premium Deficiency Reserves**

No significant change.

**Note 31 - Reserves for Life Contracts and Annuity Contracts**

No significant change.

**Note 32 - Analysis of Annuity Actuarial Reserves and Deposit Liabilities by Withdrawal Characteristics**

No significant change.

**Note 33 - Premiums and Annuity Considerations Deferred and Uncollected**

No significant change.

**Note 34 - Separate Accounts**

No significant change.

**Note 35 - Loss/Claim Adjustment Expenses**

No significant change.

**GENERAL INTERROGATORIES**

**PART 1 - COMMON INTERROGATORIES**

**GENERAL**

- 1.1 Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act? Yes [ ] No [X]
- 1.2 If yes, has the report been filed with the domiciliary state? Yes [ ] No [ ]
- 2.1 Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity? Yes [ ] No [X]
- 2.2 If yes, date of change: \_\_\_\_\_

- 3.1 Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? If yes, complete Schedule Y, Parts 1 and 1A. Yes [ ] No [X]
- 3.2 Have there been any substantial changes in the organizational chart since the prior quarter X No [ X]
- 3.3 If the response to 3.2 is yes, provide a brief description of those changes.

- 4.1 Has the reporting entity been a party to a merger or consolidation during the period covered by this statement? Yes [ ] No [X]
- 4.2 If yes, provide name of entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.

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

- 5. If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved? If yes, attach an explanation. Yes [ ] No [ ] N/A [X]

- 6.1 State as of what date the latest financial examination of the reporting entity was made or is being made. 12-31-2012
- 6.2 State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. This date should be the date of the examined balance sheet and not the date the report was completed or released. 12-31-2012
- 6.3 State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date). 9-23-2013
- 6.4 By what department or departments?

- 6.5 Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with the Department? Yes [ ] No [ ] N/A [X]
- 6.6 Have all of the recommendations within the latest financial examination report been complied with? Yes [X] No [ ] N/A [ ]
- 7.1 Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period? Yes [ ] No [X]
- 7.2 If yes, give full information:

- 8.1 Is the company a subsidiary of a bank holding company regulated with the Federal Reserve Board? Yes [ ] No [X]
- 8.2 If response to 8.1 is yes, please identify the name of the bank holding company.

- 8.3 Is the company affiliated with one or more banks, thrifts or securities firms? Yes [ ] No [X]
- 8.4 If the response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator].

1 Affiliate Name	2 Location (City, State)	3 FRB	4 OCC	5 FDIC	6 SEC

- 9.1 Are the senior officers (principal executive officer, principal financial officer, principal accounting officer or controller, or persons performing similar functions) of the reporting entity subject to a code of ethics, which includes the following standards? Yes [X] No [ ]
  - (a) Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships;
  - (b) Full, fair, accurate, timely and understandable disclosure in the periodic reports required to be filed by the reporting entity;
  - (c) Compliance with applicable governmental laws, rules and regulations;
  - (d) The prompt internal reporting of violations to an appropriate person or persons identified in the code; and
  - (e) Accountability for adherence to the code.

- 9.11 If the response to 9.1 is No, please explain:
- 9.2 Has the code of ethics for senior managers been amended? Yes [ ] No [X]
- 9.21 If the response to 9.2 is Yes, provide information related to amendment(s).

- 9.3 Have any provisions of the code of ethics been waived for any of the specified officers? Yes [ ] No [X]
- 9.31 If the response to 9.3 is Yes, provide the nature of any waiver(s).

**FINANCIAL**

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

**INVESTMENT**

- 11.1 Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.) Yes [ ] No [X]
- 11.2 If yes, give full and complete information relating thereto:

12. Amount of real estate and mortgages held in other invested assets in Schedule BA: \$ 0
13. Amount of real estate and mortgages held in short-term investments: \$ 0
- 14.1 Does the reporting entity have any investments in parent, subsidiaries and affiliates? Yes [ ] No [X]

14.2 If yes, please complete the following:

	1 Prior Year-End Book/Adjusted Carrying Value	2 Current Quarter Book/Adjusted Carrying Value
14.21 Bonds	\$ 0	\$ 0
14.22 Preferred Stock	0	0
14.23 Common Stock	0	0
14.24 Short-Term Investments	0	0
14.25 Mortgage Loans on Real Estate	0	0
14.26 All Other	0	0
14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26)	\$ 0	\$ 0
14.28 Total Investment in Parent included in Lines 14.21 to 14.26 above	\$ 0	\$ 0

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

16. For the reporting entity's security lending program, state the amount of the following as of current statement date:

- 16.1 Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2: \$ 0
- 16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2: \$ 0
- 16.3 Total payable for securities lending reported on the liability page: \$ 0

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

17.1 For all agreements that comply with the requirements of the NAIC *Financial Condition Examiners Handbook*, complete the following:

1 Name of Custodian(s)	2 Custodian Address

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

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

- 17.3 Have there been any changes, including name changes, in the custodian(s) identified in 17.1 during the current quarter? Yes [ ] No [X]

17.4 If yes, give full and complete information relating thereto:

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

17.5 Identify all investment advisors, broker/dealers or individuals acting on behalf of broker/dealers that have access to the investment accounts, handle securities and have authority to make investments on behalf of the reporting entity:

1 Central Registration Depository	2 Name(s)	3 Address
	JP Morgan	270 Park Ave. NY, NY 10017

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

# United Transportation Union Insurance Association GENERAL INTERROGATORIES (continued)

## PART 2 - FRATERNAL

1. Report the statement value of mortgage loans at the end of this reporting period for the following categories:

	Reponses
1.1 Long-term mortgages in good standing:	
1.11 Farm mortgages.....	.....
1.12 Residential mortgages.....	.....
1.13 Commercial mortgages.....	.....
1.14 Total mortgages in good standing.....	\$.....0
1.2 Long-term mortgages in good standing with restructured terms:	
1.21 Total mortgages in good standing with restructured terms.....	.....
1.3 Long-term mortgage loans upon which interest is overdue more than three months:	
1.31 Farm mortgages.....	.....
1.32 Residential mortgages.....	.....
1.33 Commercial mortgages.....	.....
1.34 Total mortgages with interest overdue more than three months.....	\$.....0
1.4 Long-term mortgage loans in process of foreclosure:	
1.41 Farm mortgages.....	.....
1.42 Residential mortgages.....	.....
1.43 Commercial mortgages.....	.....
1.44 Total mortgages in process of foreclosure.....	\$.....0
1.5 Total mortgage loans (Lines 1.14 + 1.21 + 1.34 + 1.44) (Page 2, Column 3, Lines 3.1 + 3.2).....	\$.....0
1.6 Long-term mortgages foreclosed, properties transferred to real estate in current quarter:	
1.61 Farm mortgages.....	.....
1.62 Residential mortgages.....	.....
1.63 Commercial mortgages.....	.....
1.64 Total mortgages foreclosed and transferred to real estate.....	\$.....0

2.1 In all cases where the reporting entity has assumed accident and health risks from another company, provisions should be made in this statement on account of such reinsurance for reserve equal to that which the original company would have been required to establish had it retained the risks. Has this been done? Yes [ ] No [X]

2.2 If no, explain.....  
 \_\_\_\_\_  
 \_\_\_\_\_

3. Operating Percentages:	
3.1 A&H loss percent.....	.....70.9
3.2 A&H cost containment percent.....	.....
3.3 A&H expense percent excluding cost containment expenses.....	.....70.9

4.1 Do you act as a custodian for health savings accounts?..... Yes [ ] No [X]

4.2 If yes, please provide the amount of custodial funds held as of the reporting date..... \$.....

4.3 Do you act as an administrator for health savings accounts?..... Yes [ ] No [X]

4.4 If yes, please provide the balance of the funds administered as of the reporting date..... \$.....

5.1 Does the reporting entity have outstanding assessments in the form of liens against policy benefits that have increased surplus?..... Yes [ ] No [X]

5.2 If yes, what is the date(s) of the original lien and the total outstanding balance of liens that remain in surplus?

Date	Outstanding Lien Amounts

**SCHEDULE S - CEDED REINSURANCE**

Showing All New Reinsurance Treaties - Current Year to Date

1 NAIC Company Code	2 ID Number	3 Effective Date	4 Name of Reinsurer	5 Domiciliary Jurisdiction	6 Type of Reinsurance Ceded	7 Type of Reinsurer	8 Certified Reinsurer Rating (1 through 6)	9 Effective Date of Certified Reinsuer Rating
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**NONE**

# United Transportation Union Insurance Association SCHEDULE T - PREMIUMS AND ANNUITY CONSIDERATIONS

Current Year to Date - Allocated by States and Territories

State, Etc.	1	Direct Business Only					
		Life Contracts		4 Accident and Health Insurance Premiums, Including Policy, Membership and Other Fees	5 Other Considerations	6 Total Columns 2 through 5	7 Deposit-Type Contracts
		2 Life Insurance Premiums	3 Annuity Considerations				
1. Alabama.....AL	N	22,879	1,478	8,443		32,800	
2. Alaska.....AK	N		363	16		379	
3. Arizona.....AZ	N	18,830	3,237	18,370		40,437	
4. Arkansas.....AR	N	37,436	1,000	12,061		50,497	
5. California.....CA	L	178,624	98,861	80,601		358,086	66,555
6. Colorado.....CO	L	26,242	30,696	19,041		75,979	
7. Connecticut.....CT	N	897	4,919	1,269		7,085	
8. Delaware.....DE	N	2,170		852		3,022	
9. District of Columbia.....DC	L	2,412		2,016		4,428	
10. Florida.....FL	N	23,414	118,500	9,041		150,955	
11. Georgia.....GA	N	58,642	1,958	36,761		97,361	
12. Hawaii.....HI	N					0	
13. Idaho.....ID	N	9,219	440	15,119		24,778	
14. Illinois.....IL	N	136,125	235,660	105,713		477,498	
15. Indiana.....IN	N	56,616	4,067	39,021		99,704	
16. Iowa.....IA	N	24,830	2,632	11,667		39,129	3,830
17. Kansas.....KS	N	47,429	123,296	24,880		195,605	22,261
18. Kentucky.....KY	N	45,012	1,779	11,939		58,730	5,944
19. Louisiana.....LA	N	29,631	2,115	28,228		59,974	
20. Maine.....ME	N	810		166		976	
21. Maryland.....MD	N	18,139	2,720	3,792		24,651	
22. Massachusetts.....MA	N	2,968		3,218		6,186	
23. Michigan.....MI	N	16,910	32,227	7,911		57,048	
24. Minnesota.....MN	N	19,348	35,722	5,353		60,423	53,148
25. Mississippi.....MS	N	7,288	956	5,557		13,801	
26. Missouri.....MO	N	60,148	13,048	35,377		108,573	
27. Montana.....MT	N	7,449	172	7,254		14,875	
28. Nebraska.....NE	N	45,857	10,117	39,640		95,614	
29. Nevada.....NV	N	3,324	3,659	1,523		8,506	
30. New Hampshire.....NH	N			51		51	
31. New Jersey.....NJ	N	36,389	8,052	86,369		130,810	20,390
32. New Mexico.....NM	L	5,577	497	4,765		10,839	
33. New York.....NY	N	44,904	18,179	30,504		93,587	7,857
34. North Carolina.....NC	N	25,539	31,438	10,864		67,841	10,704
35. North Dakota.....ND	N	22,417	2,837	10,932		36,186	
36. Ohio.....OH	L	68,629	130,291	32,815		231,735	79,632
37. Oklahoma.....OK	N	13,703	77	3,513		17,293	
38. Oregon.....OR	N	4,485		4,224		8,709	
39. Pennsylvania.....PA	L	40,161	80,944	47,991		169,096	30,117
40. Rhode Island.....RI	N					0	
41. South Carolina.....SC	N	18,552	1,243	13,049		32,844	
42. South Dakota.....SD	N	1,934		1,766		3,700	
43. Tennessee.....TN	N	29,604	6,834	13,478		49,916	
44. Texas.....TX	N	66,528	8,278	47,930		122,736	2,632
45. Utah.....UT	N	9,139		3,705		12,844	
46. Vermont.....VT	N	114		49		163	
47. Virginia.....VA	N	30,109	15,815	13,386		59,310	
48. Washington.....WA	N	7,370	1,683	6,528		15,581	
49. West Virginia.....WV	L	19,935	11,369	12,811		44,115	4,211
50. Wisconsin.....WI	N	19,764	2,813	9,410		31,987	8,147
51. Wyoming.....WY	N	31,502	2,716	21,304		55,522	
52. American Samoa.....AS	N					0	
53. Guam.....GU	N					0	
54. Puerto Rico.....PR	N					0	
55. US Virgin Islands.....VI	N					0	
56. Northern Mariana Islands.....MP	N					0	
57. Canada.....CAN	N					0	
58. Aggregate Other Alien.....OT	XXX	0	0	0	0	0	0
59. Subtotals.....(a).....7		1,399,004	1,052,688	910,273	0	3,361,965	315,428
90. Reporting entity contributions for employee benefit plans.....XXX						0	
91. Dividends or refunds applied to purchase paid-up additions and annuities.....XXX						0	
92. Dividends or refunds applied to shorten endowment or premium paying period.....XXX						0	
93. Premium or annuity considerations waived under disability or other contract provisions.....XXX						0	
94. Aggregate other amounts not allocable by state.....XXX		0	0	0	0	0	0
95. Totals (Direct Business).....XXX		1,399,004	1,052,688	910,273	0	3,361,965	315,428
96. Plus reinsurance assumed.....XXX						0	
97. Totals (All Business).....XXX		1,399,004	1,052,688	910,273	0	3,361,965	315,428
98. Less reinsurance ceded.....XXX		76,455		72,508		148,963	
99. Totals (All Business) less reinsurance ceded.....XXX		1,322,549	1,052,688	837,765	0	3,213,002	315,428

**DETAILS OF WRITE-INS**

58001.....XXX						0	
58002.....XXX						0	
58003.....XXX						0	
58998. Summary of remaining write-ins for Line 58 from overflow page.....XXX		0	0	0	0	0	0
58999. Totals (Lines 58001 thru 58003 plus 58998) (Line 58 above).....XXX		0	0	0	0	0	0
9401.....XXX						0	
9402.....XXX						0	
9403.....XXX						0	
9498. Summary of remaining write-ins for Line 94 from overflow page.....XXX		0	0	0	0	0	0
9499. Totals (Lines 9401 thru 9403 plus 9498) (Line 94 above).....XXX		0	0	0	0	0	0

(L) - Licensed or Chartered - Licensed Insurance Carrier or Domiciled RRG; (R) - Registered - Non-domiciled RRGs; (Q) - Qualified - Qualified or Accredited Reinsurer; (E) - Eligible - Reporting Entities eligible or approved to write Surplus Lines in the state; (N) - None of the above - Not allowed to write business in the state.

(a) Insert the number of L responses except for Canada and Other Alien.

**Sch. Y-Part 1**  
**NONE**

**Schedule Y-Part 1A**  
**NONE**

# United Transportation Union Insurance Association SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

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

	<b>Response</b>
1. Will the Trusteed Surplus Statement be filed with the state of domicile and the NAIC with this statement?	NO
2. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement?	NO
3. Will the Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV be filed with the state of domicile and electronically with the NAIC?	NO
4. Will the Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXV be filed with the state of domicile and electronically with the NAIC?	NO
5. Will the Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI be filed with the state of domicile and electronically with the NAIC?	NO
6. Will the Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value) be filed with the state of domicile and electronically with the NAIC?	NO
7. Will the Reasonableness and Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value) be filed with the state of domicile and electronically with the NAIC?	NO

**Explanations:**

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.

**Bar Code:**



**NONE**

## United Transportation Union Insurance Association SCHEDULE A - VERIFICATION

### Real Estate

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	1,603,392	2,232,115
2. Cost of acquired:		
2.1 Actual cost at time of acquisition.....		
2.2 Additional investment made after acquisition.....		
3. Current year change in encumbrances.....		
4. Total gain (loss) on disposals.....		479,213
5. Deduct amounts received on disposals.....		1,173,708
6. Total foreign exchange change in book/adjusted carrying value.....		
7. Deduct current year's other than temporary impairment recognized.....		
8. Deduct current year's depreciation.....	10,412	(65,772)
9. Book/adjusted carrying value at end of current period (Lines 1+2+3+4-5+6-7-8).....	1,592,981	1,603,392
10. Deduct total nonadmitted amounts.....		
11. Statement value at end of current period (Line 9 minus Line 10).....	1,592,981	1,603,392

## SCHEDULE B - VERIFICATION

### Mortgage Loans

	1 Year to Date	2 Prior Year Ended December 31
1. Book value/recorded investment excluding accrued interest, December 31 of prior year.....	0	
2. Cost of acquired:		
2.1 Actual cost at time of acquisition.....		
2.2 Additional investment made after acquisition.....		
3. Capitalized deferred interest and other.....		
4. Accrual of discount.....		
5. Unrealized valuation increase (decrease).....		
6. Total gain (loss) on disposals.....		
7. Deduct amounts received on disposals.....		
8. Deduct amortization of premium and mortgage interest points and commitment fees.....		
9. Total foreign exchange change in book value/recorded investment excluding accrued interest.....		
10. Deduct current year's other than temporary impairment recognized.....		
11. Book value/recorded investment excluding accrued interest at end of current period (Lines 1+2+3+4+5+6-7-8+9-10).....	0	0
12. Total valuation allowance.....		
13. Subtotal (Line 11 plus Line 12).....	0	0
14. Deduct total nonadmitted amounts.....		
15. Statement value at end of current period (Line 13 minus Line 14).....	0	0

NONE

## SCHEDULE BA - VERIFICATION

### Other Long-Term Invested Assets

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	0	
2. Cost of acquired:		
2.1 Actual cost at time of acquisition.....		
2.2 Additional investment made after acquisition.....		
3. Capitalized deferred interest and other.....		
4. Accrual of discount.....		
5. Unrealized valuation increase (decrease).....		
6. Total gain (loss) on disposals.....		
7. Deduct amounts received on disposals.....		
8. Deduct amortization of premium and depreciation.....		
9. Total foreign exchange change in book/adjusted carrying value.....		
10. Deduct current year's other than temporary impairment recognized.....		
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5+6-7-8+9-10).....	0	0
12. Deduct total nonadmitted amounts.....		
13. Statement value at end of current period (Line 11 minus Line 12).....	0	0

NONE

## SCHEDULE D - VERIFICATION

### Bonds and Stocks

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year.....	12,927,736	6,544,473
2. Cost of bonds and stocks acquired.....	12,852,150	55,747,593
3. Accrual of discount.....	18,204	67,597
4. Unrealized valuation increase (decrease).....	451,110	(488,257)
5. Total gain (loss) on disposals.....	223,153	1,835,953
6. Deduct consideration for bonds and stocks disposed of.....	11,689,156	50,324,492
7. Deduct amortization of premium.....	121,377	455,133
8. Total foreign exchange change in book/adjusted carrying value.....		
9. Deduct current year's other than temporary impairment recognized.....		
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9).....	14,661,819	12,927,736
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	14,661,819	12,927,736

**SCHEDULE D - PART 1B**

Showing the Acquisitions, Dispositions and Non-Trading Activity

During the Current Quarter for all Bonds and Preferred Stock by NAIC Designation

NAIC Designation	1 Book/Adjusted Carrying Value Beginning of Current Quarter	2 Acquisitions During Current Quarter	3 Dispositions During Current Quarter	4 Non-Trading Activity During Current Quarter	5 Book/Adjusted Carrying Value End of First Quarter	6 Book/Adjusted Carrying Value End of Second Quarter	7 Book/Adjusted Carrying Value End of Third Quarter	8 Book/Adjusted Carrying Value December 31 Prior Year
<b>BONDS</b>								
1. NAIC 1 (a).....	154,731,281	4,822,229	6,787,262	(902,115)	151,864,133			154,731,281
2. NAIC 2 (a).....	41,420,321	7,919,422	4,678,741	798,942	45,459,943			41,420,321
3. NAIC 3 (a).....								
4. NAIC 4 (a).....								
5. NAIC 5 (a).....								
6. NAIC 6 (a).....								
7. Total Bonds.....	196,151,602	12,741,651	11,466,003	(103,174)	197,324,075	0	0	196,151,602
<b>PREFERRED STOCK</b>								
8. NAIC 1.....								
9. NAIC 2.....								
10. NAIC 3.....								
11. NAIC 4.....								
12. NAIC 5.....								
13. NAIC 6.....								
14. Total Preferred Stock.....	0	0	0	0	0	0	0	0
15. Total Bonds and Preferred Stock.....	196,151,602	12,741,651	11,466,003	(103,174)	197,324,075	0	0	196,151,602

QS102

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

**Sch. DA-Part 1  
NONE**

**Sch. DA-Verification  
NONE**

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

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

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

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

**Sch. DB-Verification  
NONE**

**SCHEDULE E- VERIFICATION**

Cash Equivalents

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year.....	3,329,109	8,558,305
2. Cost of cash equivalents acquired.....	14,138,558	60,249,781
3. Accrual of discount.....		
4. Unrealized valuation increase (decrease).....		
5. Total gain (loss) on disposals.....		
6. Deduct consideration received on disposals.....	15,282,795	65,478,977
7. Deduct amortization of premium.....		
8. Total foreign exchange change in book/ adjusted carrying value.....		
9. Deduct current year's other than temporary impairment recognized.....		
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9).....	2,184,873	3,329,109
11. Deduct total nonadmitted amounts.....		
12. Statement value at end of current period (Line 10 minus Line 11).....	2,184,873	3,329,109

**Sch. A-Pt 2  
NONE**

**Sch. A-Pt 3  
NONE**

**Sch. B-Pt 2  
NONE**

**Sch. B-Pt 3  
NONE**

**Sch. BA-Pt 2  
NONE**

**Sch. BA-Pt 3  
NONE**

## SCHEDULE D - PART 3

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

1 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 or Market Indicator (a)
<b>Bonds - U.S. Government</b>									
912810 QU 5	UNITED STATES TREAS BDS.....		02/13/2015	Goldman Sachs.....		421,898	380,000	5,873	1.....
912810 QX 9	UNITED STATES TREAS BDS.....		01/27/2015	MLPFS Inc.....		1,038,923	970,000	11,960	1.....
912828 A4 2	UNITED STATES TREAS NTS.....		03/03/2015	Citigroup Global Mkts.....		894,163	880,000	4,497	1.....
912828 D5 6	UNITED STATES TREAS NTS.....		02/23/2015	MLPFS Inc.....		1,404,946	1,370,000	719	1.....
0599999. Total Bonds - U.S. Government.....						3,759,929	3,600,000	23,049	XXX
<b>Bonds - Industrial and Miscellaneous</b>									
00507U AP 6	ACTAVIS FUNDING SCS.....		03/12/2015	VARIOUS.....		498,177	493,000		2FE.....
00507U AS 0	ACTAVIS FUNDING SCS.....		03/12/2015	VARIOUS.....		1,021,902	1,010,000		2.....
29358Q AE 9	ENSCO PLC.....		03/12/2015	VARIOUS.....		607,949	600,000		2.....
65504L AN 7	NOBLE HOLD INT LTD.....		03/19/2015	VARIOUS.....		580,970	585,000	62	2.....
71656L BC 4	PETROLEOS MEXICANOS MTN 144A.....		01/23/2015	VARIOUS.....		499,731	500,000		2.....
71656L BD 2	PETROLEOS MEXICANOS MTN 144A.....		01/23/2015	VARIOUS.....		1,398,247	1,405,000		2.....
042735 BE 9	ARROW ELECTRS INC.....		03/02/2015	VARIOUS.....		522,406	527,000		2FE.....
00206R AR 3	AT&T INC.....		02/24/2015	RBC Capital Mkts.....		497,732	440,000	638	1.....
12572Q AG 0	CME GROUP INC.....		03/10/2015	VARIOUS.....		564,567	565,000	12	1.....
278865 AR 1	ECOLAB INC.....		01/16/2015	Citigroup Global Mkts.....		502,504	502,000	21	2.....
68268N AN 3	ONEOK PARTNERS LP.....		03/20/2015	Deutsche Bank.....		499,910	500,000		2.....
68268N AP 8	ONEOK PARTNERS LP.....		03/20/2015	Deutsche Bank.....		957,984	960,000		2.....
13645R AS 3	CANADIAN PAC RY CO NEW.....		02/02/2015	Morgan Stanley.....		829,643	830,000		2.....
3899999. Total Bonds - Industrial and Miscellaneous.....						8,981,721	8,917,000	732	XXX
8399997. Total Bonds - Part 3.....						12,741,651	12,517,000	23,781	XXX
8399999. Total Bonds.....						12,741,651	12,517,000	23,781	XXX
<b>Common Stocks - Industrial and Miscellaneous</b>									
744336 50 4	PRUDENTIAL INVT PORTFOLIO 12.....		03/24/2015	VENDOR CODE 000 NOT IN TABLE.....	31,317	812	XXX		L.....
74439V 80 0	PRUDENTIAL INVT PORTFOLIOS INC.....		03/03/2015	Dividend Reinvestment.....	2,932	29	XXX		L.....
922040 10 0	VANGUARD INSTL INDEX FD.....		03/30/2015	Dividend Reinvestment.....	391,964	73,572	XXX		L.....
94987W 73 7	WELLS FARGO FDS TR.....		01/02/2015	Dividend Reinvestment.....	3,043,344	33,081	XXX		L.....
9099999. Total Common Stocks - Industrial and Miscellaneous.....						107,494	XXX	0	XXX
<b>Common Stocks - Mutual Funds</b>									
722005 62 6	Pimco All Asset Fund - Instl.....		03/20/2015	Dividend Reinvestment.....	244,879	2,826	XXX		L.....
922908 64 5	Vanguard Index TR.....		03/25/2015	Dividend Reinvestment.....	1,120	179	XXX		L.....
9299999. Total Common Stocks - Mutual Funds.....						3,005	XXX	0	XXX
9799997. Total Common Stocks - Part 3.....						110,499	XXX	0	XXX
9799999. Total Common Stocks.....						110,499	XXX	0	XXX
9899999. Total Preferred and Common Stocks.....						110,499	XXX	0	XXX
9999999. Total Bonds, Preferred and Common Stocks.....						12,852,150	XXX	23,781	XXX

QE04

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

**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22	
										11	12	13	14	15								
CUSIP Identification	Description	For eig n	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amortization)/ Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in B./A.C.V. (11+12-13)	Total Foreign Exchange Change in B./A.C.V.	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Design- ation or Market Indicator (a)	
<b>Bonds - U.S. Government</b>																						
3128P7	X9 9 FHLMC PC GOLD CASH 20.....		03/15/2015	PRINCIPAL RECEIPT.....		51,757	51,757	53,402	53,371			(1,614)	(1,614)		51,757			0	122	01/01/2033	1.....	
31292S	AQ 3 FHLMC PC GOLD CASH 30.....		03/15/2015	PRINCIPAL RECEIPT.....		29,066	29,066	30,324	30,315			(1,249)	(1,249)		29,066			0	76	10/01/2042	1.....	
31292S	AU 4 FHLMC PC GOLD CASH 30.....		03/15/2015	PRINCIPAL RECEIPT.....		32,122	32,122	33,693	33,688			(1,566)	(1,566)		32,122			0	79	12/01/2042	1.....	
312946	N9 3 FHLMC PC GOLD COMB 30.....		03/15/2015	PRINCIPAL RECEIPT.....		38,551	38,551	42,044	42,039			(3,488)	(3,488)		38,551			0	161	03/01/2041	1.....	
3132HM	K2 6 FHLMC PC GOLD PC 30YR.....		03/15/2015	PRINCIPAL RECEIPT.....		31,468	31,468	32,914	32,912			(1,444)	(1,444)		31,468			0	101	09/01/2042	1.....	
31417E	SS 1 FNMA PASS-THRU LNG 30 YEAR.....		03/25/2015	PRINCIPAL RECEIPT.....		12,500	12,500	12,387	12,387			113	113		12,500			0	20	01/01/2043	1.....	
31417F	ML 9 FNMA PASS-THRU LNG 30 YEAR.....		03/25/2015	PRINCIPAL RECEIPT.....		8,267	8,267	7,715	7,716			551	551		8,267			0	14	01/01/2043	1.....	
31417H	CR 3 FNMA PASS-THRU LNG LP SF30YR.....		03/25/2015	PRINCIPAL RECEIPT.....		46,148	46,148	48,319	48,298			(2,149)	(2,149)		46,148			0	103	07/01/2043	1.....	
36202D	YY 1 GNMA II Pool 3427.....		03/20/2015	PRINCIPAL RECEIPT.....		7,448	7,448	7,299	7,308			141	141		7,448			0	29	08/20/2033	1.....	
36290S	5M 9 GNMA II Pool 616552.....		03/20/2015	PRINCIPAL RECEIPT.....		4,214	4,214	4,514	4,490			(276)	(276)		4,214			0	24	08/20/2034	1.....	
36225A	KR 0 GNMA PASS-THRU 780304.....		03/15/2015	PRINCIPAL RECEIPT.....		34,565	34,565	39,749	37,770			(3,205)	(3,205)		34,565			0	376	07/15/2021	1.....	
36225B	4C 9 GNMA PASS-THRU 781719.....		03/15/2015	PRINCIPAL RECEIPT.....		20,531	20,531	21,590	21,574			(1,043)	(1,043)		20,531			0	122	02/15/2034	1.....	
911759	GL 6 Housing Urban Development.....		02/02/2015	Call.....		15,000	15,000	14,325	14,733			7	7		14,739		261	261	404	08/01/2018	1.....	
0599999. Total Bonds - U.S. Government.....						331,637	331,637	348,275	346,600	0		(15,224)	0	(15,224)	0	331,376	0	261	261	1,629	XXX	XXX
<b>Bonds - U.S. States, Territories and Possessions</b>																						
57419P	JR 1 Maryland St Comnty Dev Admin.....		03/01/2015	MATURITY.....		410,000	410,000	410,000	410,000				0		410,000			0	10,804	03/01/2015	1FE.....	
1799999. Total Bonds - U.S. States, Territories and Possessions.....						410,000	410,000	410,000	410,000	0		0	0	0	410,000	0		0	10,804	XXX	XXX	
<b>Bonds - U.S. Special Revenue and Special Assessment</b>																						
3128M4	JF 1 FG G02662.....		03/15/2015	PRINCIPAL RECEIPT.....		9,521	9,521	10,140	10,038			(517)	(517)		9,521			0	63	07/01/2034	1.....	
31292H	NC 4 FGC 01287.....		03/15/2015	PRINCIPAL RECEIPT.....		5,035	5,035	5,111	5,098			(63)	(63)		5,035			0	27	01/01/2032	1.....	
3128M7	VT 0 FGG 05726.....		03/15/2015	PRINCIPAL RECEIPT.....		19,191	19,191	20,367	20,328			(1,137)	(1,137)		19,191			0	60	08/01/2039	1.....	
312935	H8 5 FHLMC PC A8-8355.....		03/15/2015	PRINCIPAL RECEIPT.....		17,161	17,161	17,338	17,336			(175)	(175)		17,161			0	65	09/01/2039	1.....	
3128M7	LX 2 FHLMC PC 5442.....		03/15/2015	PRINCIPAL RECEIPT.....		13,348	13,348	15,033	14,636			(1,288)	(1,288)		13,348			0	97	07/01/2032	1.....	
3128M8	3G 7 FHLMC PC G06799 GOLD COMB 30.....		03/16/2015	PRINCIPAL RECEIPT.....		46,244	46,244	47,342	47,305			(1,061)	(1,061)		46,244			0	213	11/01/2041	1.....	
3137B4	HD 1 FHLMC REMIC SERIES 4247.....		03/16/2015	PRINCIPAL RECEIPT.....		61,991	61,991	68,113	67,147			(5,156)	(5,156)		61,991			0	312	12/15/2042	1FE.....	
3138EB	PJ 8 FN AK6724.....		03/25/2015	PRINCIPAL RECEIPT.....		8,658	8,658	8,846	8,838			(180)	(180)		8,658			0	23	03/01/2042	1.....	
31371K	Y7 0 FN 254634.....		03/25/2015	PRINCIPAL RECEIPT.....		5,172	5,172	5,197	5,182			(9)	(9)		5,172			0	25	02/01/2023	1.....	
31383S	TH 3 FN 511852.....		02/25/2015	PRINCIPAL RECEIPT.....		51,174	51,174	53,444	52,895			(1,721)	(1,721)		51,174			0	277	07/01/2029	1.....	
31402C	U6 7 FN 725205.....		03/25/2015	PRINCIPAL RECEIPT.....		10,061	10,061	10,068	10,062			(1)	(1)		10,061			0	38	03/01/2034	1.....	
31404V	TS 7 FN 780061.....		03/25/2015	PRINCIPAL RECEIPT.....		10,841	10,841	10,836	10,832			9	9		10,841			0	11	05/01/2034	1.....	
31407F	GC 8 FN 829195.....		03/25/2015	PRINCIPAL RECEIPT.....		128	128	124	124			4	4		128			0	0	07/01/2035	1.....	
31408F	GA 1 FN 849893.....		03/25/2015	PRINCIPAL RECEIPT.....		1,978	1,978	1,845	1,887			91	91		1,978			0	7	11/01/2023	1.....	
31408G	Y2 7 FN 851329.....		03/25/2015	PRINCIPAL RECEIPT.....		13,349	13,349	13,184	13,197			152	152		13,349			0	58	02/01/2036	1.....	
31419A	KZ 9 FN Pool AE0311.....		03/25/2015	PRINCIPAL RECEIPT.....		25,618	25,618	25,642	25,638			(20)	(20)		25,618			0	72	08/01/2040	1.....	
31371K	7E 5 FNMA PASS-THRU 254793.....		03/25/2015	PRINCIPAL RECEIPT.....		11,447	11,447	11,475	11,473			(26)	(26)		11,447			0	47	07/01/2033	1.....	
31381D	2J 3 FNMA PASS-THRU 458077.....		03/25/2015	PRINCIPAL RECEIPT.....		6,606	6,606	7,167	7,077			(472)	(472)		6,606			0	31	08/15/2027	1.....	

QE05

**SCHEDULE D - PART 4**

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	Foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amortization)/Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in B./A.C.V. (11+12-13)	Total Foreign Exchange Change in B./A.C.V.	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Designation or Market Indicator (a)
31385J DJ 4	FNMA PASS-THRU 545605		03/25/2015	PRINCIPAL RECEIPT		6,830	6,830	7,496	7,464		(634)		(634)		6,830			0	40	05/01/2032	1
31403D T8 2	FNMA PASS-THRU 745875		03/25/2015	PRINCIPAL RECEIPT		11,444	11,444	12,283	12,274		(830)		(830)		11,444			0	59	09/01/2036	1
31403U PF 2	FNMA PASS-THRU 758322		03/25/2015	PRINCIPAL RECEIPT		10,124	10,124	10,575	10,570		(446)		(446)		10,124			0	60	12/01/2033	1
31416C FS 0	FNMA PASS-THRU 995777		03/25/2015	PRINCIPAL RECEIPT		29,822	29,822	32,431	32,308		(2,486)		(2,486)		29,822			0	249	04/01/2033	1
31396Y S2 9	FNR 2008-26 ZK		03/25/2015	PRINCIPAL RECEIPT		52,165	52,165	45,245	52,746		(581)		(581)		52,165			0	145	04/25/2038	1
31397N WX 9	FNR 2009-30 Z		03/25/2015	PRINCIPAL RECEIPT		6,864	6,864	6,958	7,434		(570)		(570)		6,864			0		05/25/2039	1
64970M XL 2	New York NY City Hsg Dev Corp		02/23/2015	Call		140,000	140,000	140,000	140,000				0		140,000			0	2,365	11/01/2017	1FE
658196 2T 6	NORTH CAROLINA EASTN MUN PWR A TAX		01/01/2015	MATURITY		500,000	500,000	500,000	500,000				0		500,000			0	11,700	01/01/2015	1FE
3199999. Total Bonds - U.S. Special Revenue and Special Assessment						1,074,772	1,074,772	1,086,258	1,091,887	0	(17,116)	0	(17,116)	0	1,074,772	0	0	0	16,047	XXX	XXX

**Bonds - Industrial and Miscellaneous**

71656L BC 4	PETROLEOS MEXICANOS MTN 144A		02/23/2015	mitsubishi securities		505,750	500,000	499,731			(7)		(7)		499,724		6,026	6,026	1,458	07/23/2020	2
71656L BD 2	PETROLEOS MEXICANOS MTN 144A		02/23/2015	HSBC Securities		1,405,295	1,405,000	1,398,247			(10)		(10)		1,398,237		7,058	7,058	5,269	01/23/2026	2
124857 AL 7	CBS CORP NEW		03/20/2015	VENDOR CODE *** NOI IN TABLE		49,846	50,000	49,232	49,249		34		34		49,283		563	563	674	08/15/2019	2
166764 AH 3	CHEVRON CORP NEW		03/09/2015	Merrill Lynch		1,035,570	1,000,000	990,950	992,450		120		120		992,569		43,001	43,001	6,648	06/24/2023	1FE
12572Q AE 5	CME GROUP INC		03/09/2015	KeyBank Cap Mkts		1,022,470	1,000,000	996,910	997,517		77		77		997,594		24,876	24,876	14,500	09/15/2022	1FE
377372 AD 9	GLAXOSMITHKLINE CAP INC		03/16/2015	BNP Paribas		562,945	500,000	549,220	521,318		(1,237)		(1,237)		520,081		42,864	42,864	9,495	05/15/2018	1FE
20173Q AB 7	GREENWICH CAP CMBS 2007-GG9		03/13/2015	PRINCIPAL RECEIPT		279,048	279,048	288,291	280,507		(1,460)		(1,460)		279,048			0	3,089	03/10/2039	1FE
40414L AF 6	HCP INC		03/20/2015	Raymond James		52,613	50,000	52,750	52,681		(138)		(138)		52,543		69	69	1,193	02/01/2019	2
61755B AC 8	MSC 2007 - HQ12 A2		03/13/2015	PRINCIPAL RECEIPT		286,027	286,027	294,518	286,481		(453)		(453)		286,027			0	144	04/12/2049	2FE
713448 BH 0	PEPSICO INC		01/29/2015	Millennium Advisors LLC		752,767	675,000	671,531	673,586		12		12		673,598		79,169	79,169	5,438	06/01/2018	1FE
713448 CG 1	PEPSICO INC		02/24/2015	Wells Fargo		604,050	600,000	599,424	599,582		17		17		599,599		4,451	4,451	7,929	03/01/2023	1FE
71645W AR 2	Petrobras Intl Fin Co		03/03/2015	Nomura		886,490	1,000,000	1,047,500	1,034,231		(856)		(856)		1,033,376		(146,886)	(146,886)	32,250	01/27/2021	2FE
717081 DH 3	PFIZER INC		03/09/2015	Millennium Advisors LLC		507,950	500,000	498,405	498,624		17		17		498,641		9,309	9,309	3,500	06/15/2023	1FE
760759 AH 3	REPUBLIC SVCS INC		03/20/2015	US Bancorp		50,138	45,000	49,874	49,823		(190)		(190)		49,633		505	505	1,244	03/01/2020	2
760759 AP 5	REPUBLIC SVCS INC		03/09/2015	First Tennessee		305,145	295,000	288,068	288,789		132		132		288,920		16,225	16,225	2,851	06/01/2022	2FE
871829 AW 7	SYSCO CORP		02/18/2015	VARIOUS		423,015	400,000	399,994	399,969		6		6		399,975		23,040	23,040	6,774	10/02/2044	1
883556 BE 1	THERMO FISHER SCIENTIFIC INC		03/20/2015	MLPFS Inc		50,509	50,000	49,885	49,888		6		6		49,893		615	615	763	02/01/2019	2
883556 BF 8	THERMO FISHER SCIENTIFIC INC		01/21/2015	Pierpont Securities LLC		330,013	305,000	316,800	316,260		(53)		(53)		316,206		13,807	13,807	5,977	02/01/2024	2FE
90783W AA 1	Union Pacific RR Co		01/02/2015	Sink PMT @ 100.0000000		9,641	9,641	9,641	9,641				0		9,641			0		07/02/2030	1FE
929227 ZC 3	WAMU 2002 - AR18 A		03/25/2015	PRINCIPAL RECEIPT		368	368	366	365		3		3		368			0	1	01/25/2033	1FE
94106L AV 1	WASTE MGMT INC DEL		02/27/2015	tender offer		753,097	545,000	657,052	655,285		(386)		(386)		654,899		98,198	98,198	8,067	11/30/2039	2FE
3899999. Total Bonds - Industrial and Miscellaneous						9,872,745	9,495,083	9,708,387	7,756,244	0	(4,367)	0	(4,367)	0	9,649,855	0	222,890	222,890	117,264	XXX	XXX
8399997. Total Bonds - Part 4						11,689,154	11,311,492	11,552,920	9,604,732	0	(36,706)	0	(36,706)	0	11,466,003	0	223,150	223,150	145,743	XXX	XXX
8399999. Total Bonds						11,689,154	11,311,492	11,552,920	9,604,732	0	(36,706)	0	(36,706)	0	11,466,003	0	223,150	223,150	145,743	XXX	XXX

**Common Stocks - Industrial and Miscellaneous**

74439V 80 0	PRUDENTIAL INVT PORTFOLIOS INC		01/30/2015	CAPITAL GAIN		2							0				2	2		XXX	L
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QE05.1

## SCHEDULE D - PART 4

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

1	2	3	4	5	6	7	8	9	10	Change in Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	For eig n	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consideration	Par Value	Actual Cost	Prior Year Book/Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amortization)/ Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Change in B./A.C.V. (11+12-13)	Total Foreign Exchange Change in B./A.C.V.	Book/Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/Stock Dividends Received During Year	Stated Contractual Maturity Date	NAIC Desig- nation or Market Indicator (a)
9099999	Total Common Stocks - Industrial and Miscellaneous.....					.2	XXX	.0	.0	.0	.0	.0	.0	.0	.0	.0	.2	.2	.0	XXX	XXX
9799997	Total Common Stocks - Part 4.....					.2	XXX	.0	.0	.0	.0	.0	.0	.0	.0	.0	.2	.2	.0	XXX	XXX
9799999	Total Common Stocks.....					.2	XXX	.0	.0	.0	.0	.0	.0	.0	.0	.0	.2	.2	.0	XXX	XXX
9899999	Total Preferred and Common Stocks.....					.2	XXX	.0	.0	.0	.0	.0	.0	.0	.0	.0	.2	.2	.0	XXX	XXX
9999999	Total Bonds, Preferred and Common Stocks.....					11,689,156	XXX	11,552,920	9,604,732	.0	(36,706)	.0	(36,706)	.0	11,466,003	.0	223,153	223,153	145,743	XXX	XXX

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

QE05.2

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

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

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

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

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

**Sch. DL-Pt. 2  
NONE**

## SCHEDULE E - PART 1 - CASH

### Month End Depository Balances

1 Depository	2 Code	3 Rate of Interest	4 Amount of Interest Received During Current Quarter	5 Amount of Interest Accrued at Current Statement Date	Book Balance at End of Each Month During Current Quarter			9 *
					6 First Month	7 Second Month	8 Third Month	
<b>Open Depositories</b>								
Fifth Third Bank..... Cleveland, Ohio.....					.424,841	.259,082	.385,229	XXX
0199999. Total Open Depositories.....	XXX	XXX	.0	.0	.424,841	.259,082	.385,229	XXX
0399999. Total Cash on Deposit.....	XXX	XXX	.0	.0	.424,841	.259,082	.385,229	XXX
0599999. Total Cash.....	XXX	XXX	.0	.0	.424,841	.259,082	.385,229	XXX

## SCHEDULE E - PART 2 - CASH EQUIVALENTS

Show Investments Owned End of Current Quarter

1 Description	2 Code	3 Date Acquired	4 Rate of Interest	5 Maturity Date	6 Book/Adjusted Carrying Value	7 Amount of Interest Due & Accrued	8 Amount Received During Year
<b>U.S. Government Bonds - Issuer Obligations</b>							
First Amer Prime Oblig Fund CI Y.....		Various.....			2,184,874		.94
0199999. U.S. Government Bonds - Issuer Obligations.....					2,184,874	.0	.94
0599999. Total - U.S. Government Bonds.....					2,184,874	.0	.94
<b>Total Bonds</b>							
7799999. Subtotals - Issuer Obligations.....					2,184,874	.0	.94
8399999. Subtotals - Bonds.....					2,184,874	.0	.94
8699999. Total - Cash Equivalents.....					2,184,874	.0	.94

QE13